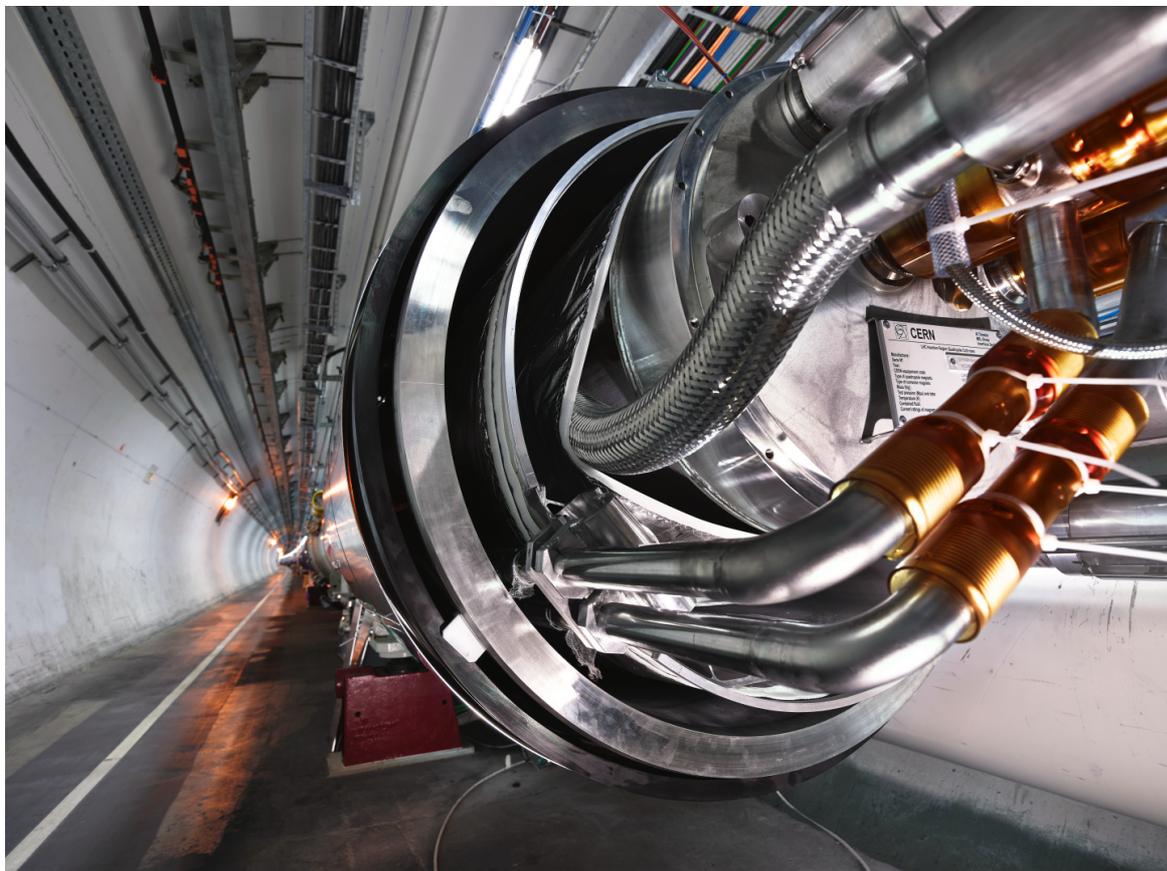


2022 SCOAP³ GOVERNING COUNCIL MEETING SUMMARY



Minutes from the meeting on
November 9th-10th at CERN, Geneva (remote)

GC members in attendance

Name	Institution	Country
Appavoo, Clare (CA)	Canadian Research Knowledge Network (CRKN)	Canada
Barbour, Virginia (VB)	Australian Open Access Strategy Group (AOASG)	Australia
Basaglia, Tullio (TB)	CERN as a Partner	CERN
Bianco, Stefano (SB)	National Institute for Nuclear Physics (INFN)	Italy
Chen, Pochung (PC)	Physics Research Promotion Center (PRPC)	Chinese Taipei
Claivaz, Jean-Blaise (JBC)	University of Geneva	Switzerland
Frantzi, Maria (MF)	HEAL-Link	Greece
Hohenegger, Stefan (SH)	Centre National de la Recherche Scientifique (CNRS)	France
Holl, Andras (AH)	Hungarian Academy of Sciences	Hungary
Hoover, Carol (CH)	Los Alamos National Laboratory (LANL)	United States
Ikematsu, Katsumasa (KI)	The High Energy Accelerator Research Organization (KEK)	Japan
Jung, Youngim (YJ)	Korea Institute of Science and Technology Information (KISTI)	Korea
Kohls, Alexander (AK)	CERN as Host Organization	CERN
Kromp, Brigitte (BK)	Vienna University Library	Austria
Lopez, Ianko (IL)	Consortio Madroño	Spain
Ludwig, Judith (JL)	Technische Informationsbibliothek (TIB)	Germany
Mahmoud, Hadia (HM)	International Atomic Energy Agency (IAEA)	IAEA
Marsteller, Matthew (MM)	Carnegie Mellon University (CMU)	United States
Nilsen, Tore (TN)	The Norwegian Directorate for ICT and Joint Services in Higher Education & Research	Norway
Novais, Joana (JN)	Foundation for Science and Technology (FCT-FCCN)	Portugal
Okerson, Ann (AO)	Center for Research Libraries (CRL)	United States

Satoglu, Mehmet (MS)	The Scientific and Technological Research Council of Turkey (ULAKBIM)	Turkey
Schalken, Arjan (AS)	Universiteitsbibliotheken Koninklijke Bibliotheek (UKB)	Netherlands
Schlembach, Mary (MSch)	University of Illinois	United States
Schwensen, Florian (FS)	German Electron Synchrotron (DESY)	Germany
Sevcik, Robert (RS)	Ministry of Education, Science, Research and Sport	Slovak Republic
Svoboda, Martin (MS)	National Library of Technology (NKT)	Czech Republic
Truran, Glenn (GT)	South African National Library and Information Consortium (SANLiC)	South Africa
Vernon, Anna (AV)	JISC Collections	United Kingdom
Vilen, Timo (TV)	The National Library of Finland / FinELib	Finland
Wideberg, Britt-Marie (BMW)	Bibsam Consortium	Sweden
Wilson, Maggie (MW)	UK Research and Innovation (UKRI), Science and Technology Facilities Council (STFC)	United Kingdom
Xu, Jing (JX)	National Science and Technology Library (NSTL)	China
Yamaji, Kazu (KY)	The High Energy Accelerator Research Organization (KEK)	Japan
Zhao, Yan (YZ)	National Science Library, Chinese Academy of Sciences (CAS)	China
Zhemchugov, Alexey (AZ)	Joint Institute for Nuclear Research (JINR)	JINR

Observers and CERN staff

Name	Institution	Country	Remarks
Burguete, Sergio Fernandez	Polytechnic University of Valencia	Spain	Observer
Der, Adam	Max Planck Digital Library (MPDL)	Germany	Observer
Erriquez, Onofrio	National Institute for Nuclear Physics (INFN)	Italy	Observer
Feather, Celeste	LYRISIS	United States	Observer

Gentil-Beccot, Anne	CERN		CERN Staff
Grossmaier-Stieg, Kirsten	University Library Graz	Austria	Observer
Ko, Bonnie	Joint University Librarians Advisory Committee (JULAC)	Hong Kong	On rotation
Li, Xin	National Science and Technology Library (NSTL)	China	Observer
Mele, Salvatore	CERN		Observer
Naydenov, Momchil	University of Sofia	Bulgaria	Observer
Naim, Kamran	CERN	CERN	CERN Staff
Rainovski, Georgi	University of Sofia	Bulgaria	On rotation
Vincke, Alexander Heinz	CERN		CERN Staff
Zheng, Jian Cheng	National Science Library, CAS	China	Observer

Meeting Summary

The Governing Council (GC) of the SCOAP³ Collaboration—the world’s largest disciplinary open access initiative—held its annual meeting on November 9th and 10th, 2022. The hybrid meeting included a total of 48 participants (representing around 95% of eligible voting members) from across the collaboration, who met over the course of two days to discuss major strategic issues for SCOAP³ as it seeks to advance its mission to provide open access to the research literature in particle physics, at no financial burden to authors.

The meeting of the 2022 GC was focused on reviewing and discussing proposals from the two Working Groups tasked with developing strategies around two core activities for the Consortium, namely: the plan to establish a regular annual books program by the Open Books Working Group (OBWG); and the proposed strategy for Phase 4 of the program as presented by the Second SCOAP³ Tender Working Group (2STWG).

The OBWG reported on the progress of the SCOAP³ for Books pilot program, which is in the process of converting 113 books (monographs and textbooks) in High Energy Physics to Open Access, supported by voluntary contributions from SCOAP³ members. The books are systematically made available through both the publisher platforms, as well as through a dedicated collection on the [OAPEN library](#). The success of the pilot was demonstrated by a preliminary usage analysis indicating an increase of book downloads by a factor of 13, while the geographical usage also increased dramatically, with readers accessing the content in 48 countries (compared to 26 prior to conversion). Building on this, the OBWG recommended that SCOAP³ for Books be established as a recurring annual activity of the SCOAP³ collaboration. Moving forward, this program would prioritize frontlist titles selected through a rigorous selection process. An associated motion to establish SCOAP³ for Books as a regular activity supported by voluntary contributions was approved by the GC.

Throughout the year 2022, the 2STWG has been working on developing a strategy for a future 4th phase of SCOAP³. Following an extensive process of consultation (including community consultations and discussions with publisher partners), the 2STWG narrowed the potential procurement strategy for a 4th phase of SCOAP³ to three ‘silos’ of activity, namely:

- Silo 1: Renegotiating contracts with existing journals keeping all benefits and try limiting cost increases
- Silo 2: Including new journals (either side disciplines of HEP or new/small outlets) paid through new mechanisms from a new community fund.
- Silo 3: Support existing disciplinary platforms from a new community fund

As Silo 1 relates to the current scope of the initiative, which is highly valued by the community, it was decided to proceed with this as the primary strategic option, i.e. to retain the existing contracts/journals, however with the inclusion of an element of innovation. The innovation proposed by the 2STWG is a modification to the contract structure to include

mechanism to make publishers compete on the quality of their publishing service. For this purpose, a number of specific Service Elements were identified by the 2STWG, for which appropriate incentive structures would be incorporated into the publisher contracts to result in the outcome an improved service quality for authors and for the discipline more broadly. The 2STWG further proposed a Phase 4 duration of 5 years, starting 2025 and lasting until the end of 2029. This would provide financial stability to the consortium and would be administratively more straightforward. However, given the pace of change in scholarly communications, a 3+2-year approach was advanced, in which in mid-2026 there would be an evaluation of the market conditions following which a decision would be made on the duration of Phase 4. A motion to proceed with this strategy was presented to the GC and was approved in the voting process.

For Silo 2, the 2STWG considered the inclusion of new journals in SCOAP³ based on an analysis of bibliometric data to identify potential target journals. A total of 20 potential journals were identified. However, the majority of these journals were not considered viable for inclusion in SCOAP³, or the corresponding publishers signalled no interest in the inclusion of these journals in SCOAP³. The 2STWG determined it was insufficient to develop a new procurement process on the basis of a very limited set of journals, and Silo 2 would not be pursued moving forward.

Silo 3 focused on the support of disciplinary platforms through a new community fund. The 2STWG reviewed three platforms (namely, arXiv, SciPost and HEPData) on the basis of their relevance towards HEP, the sustainability of existing financial models, and the potential value SCOAP³ could provide to these initiatives. It was determined that these three platforms already have relatively robust funding mechanisms, and thus the intervention of SCOAP³ would only result in a marginal beneficial value. Rather than pursuing Silo 3, instead the 2STWG proposed the establishment of an innovation fund to which organizations could apply for funding for proposals to support scientific communication in high-energy physics. A motion related to exploring the adoption of the innovation fund was presented to the GC for consideration and was also approved during the voting.

During the 2022 meeting, specific motions were voted upon relating to the governing entities of SCOAP³. Judith Ludwig from the Technische Informationsbibliothek (Germany) was elected for her second 2-year term, and Yan Zhao from the Chinese Academy of Sciences was elected to her third 2-year term as members of the SCOAP³ Executive Committee. The Chair of the SCOAP³ Governing Council, Clare Appavoo thanked Matt Marsteller from Carnegie Mellon University (USA), who completed 3 full terms as ExCo member, for his strong and enthusiastic engagement and ambassadorship from which the SCOAP³ collaboration benefited immensely since his election in 2017. Mary Schlembach from the University of Illinois (USA) was appointed as the replacement for Matt and is warmly welcomed as a member of the SCOAP³ Executive Committee for a 2-year term