2016 ANNUAL REPORT

SEPTEMBER 6, 2017

2016 Annual Report

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Statement from the Executive Director

Once again, the Open Scholarship Initiative project (OSI) was nSCI's most significant undertaking by far in 2016. Lacking a paid staff to help with this project, I assumed the role of OSI's program director and worked full-time in this capacity during 2016, continued doing so in 2017, and will continue to do so for the foreseeable future.

OSI is an important international presence in the effort to improve science communication. About 380 high-level delegates from around the world are part of this effort, representing over 200 institutions from 25 countries and 20 stakeholder groups in research and research communication, from libraries to governments to publishers, funders, universities, and scholarly societies. The OSI2017 conference program and OSI2016 summary report are attached to this report for your reference.

The OSI2018 planning group is currently working on arrangements for the next annual conference, and a provisional executive group for OSI is beginning work on the future of OSI's partnerships, products, agreements, and more.

This is clearly a multi-person task, so the sooner nSCI (or OSI) can raise funds to support this work the better. I have drawn a small stipend ($7,500 in 2015 and $27,500 in 2016) from OSI registration fees to help support myself, but otherwise am not being reasonably compensated for this work.

The Science Communication Network, ASR, and other nSCI projects made no significant progress in 2016. Realistically, these projects will only flourish with full-time attention, which cannot be mobilized without paying someone to focus on these efforts.

As occurred last year, this report is being filed late due to the demands of OSI. Also, as noted in the financials section, nSCI's profit/loss and other financial tables are not included here but will be included in an amended version in September.

Sincerely,

Glenn Hampson
Executive Director
National Science Communication Institute

Business Information

A. **Company name:** The National Science Communication Institute (nSCI)
Legal status: 501(c)(3) nonprofit corporation, established in January 2011
Telephone: 206-417-3607

Street address:
National Science Communication Institute
2320 N 137th Street
Seattle, WA 98133

Mailing address:
Same as street address

B. **Tax ID number**: 274690007
Washington UBI number: 603081988

Contact:
Glenn Hampson, Executive Director
National Science Communication Institute
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Seattle, WA 98133
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C. **Mission statement:** The mission of the National Science Communication Institute (nSCI) is to help improve science collaboration, discovery, education and public policy by reforming the communications culture inside science.

2016 Summary of Activities

Details of nSCI's 2016 activities were discussed at the company's 2016 annual meeting. The minutes from these meetings are attached in Annex 1. The highlights are as follows:

- Projects
    - The Open Scholarship Initiative project consumed almost all available time

2017 Goals

Insofar as so much of nSCI is wrapped up with OSI at the moment, nSCI's 2017 goals are, for the most part, the same as OSI's goals. This said, it would be nice to be able to improve nSCI's internal capacity---if not this year then soon---so nSCI can also work on other, non-OSI projects, and also ramp up work on OSI. This will probably only come about through investment---through funds that will allow nSCI to hire people to help carry out this nonprofit's ambitious and understaffed agenda.

Annex 1: Minutes from 2016 Quarterly Meetings

NSCI 2016 ANNUAL (4Q15) MEETING
Date/time: Monday, December 19, 2016, 12-1 p.m. PDT
Present (quorum): Drienna, Joyce, Dee, Eric, Nissim, Marissa, Jeff, Noemi, Mike, Glenn
Attachments: OSI2016 conference program
Conference call recording: None

1. Roll call
2. nSCI's year in review
3. Reports:
    a. Projects:
        1. OSI (Glenn): Winter 2016, Spring, Summer, Fall activities. 10-year plan. Big visibility for nSCI. OSI much bigger than nSCI---audience and $. Current $150k annual budget, including sponsorships, fees, and grants from philanthropies.
            a. Process/guts of OSI needs more discussion
            b. Bi-monthly phone call for planning group
                1. More frequent around deliverables
                2. Project check-ins
                3. No substitution for face-to-face---whiteboarding, etc.
                4. More prodding for individual groups on deliverables
            c. Mention fundraising efforts for project (including Shuttleworth video filmed by Zack)
        2. SciComm Network (Eric)
        3. SciComm PhD (Lauren—submitting report for review but can't make the call)
            a. Synergy with iSchools?
            b. Masters program instead?
            c. Has this network looked at forming partnerships with professional organizations? Would help with justification effort.
            d. Noemi, Joyce available
        4. Other?
            a. Remove dormant projects from website
            b. Money is the elephant in the room---how can more projects been spun out without money
    b. Internal: fundraising, outreach, admin, project management
4. 2017 outlook
5. Board business
    a. Annual report, tax filings
    b. Board member nominations, terms, structure
    c. Other?
6. New business?

3Q16 BOARD MEETING
Date: Not scheduled

2Q16 BOARD MEETING
Date: Not scheduled

1Q16 BOARD MEETING
Date/time: Monday, May 9, 2016, 9-10 a.m. PST
Present: Mike, Eric, Dee, Nissim, Diane Barbie, Marissa, Jeff, Joyce, Lauren, Glenn

1. OSI recap and outlook
    a. Glenn, Dee, Joyce and Eric spoke about the recently-completed OSI2016 conference and the work that remains ahead for planning OSI2017 and figuring out where OSI is heading
2. Short-term goals and needs
    a. Jeff spoke about funding and how we should parlay the upcoming OSI fundraising effort into getting more funding for nSCI as well
        1. Tied into this is effort should be some feedback from funders on what they think about national vs. international focus. If an international focus is preferred, we can adjust as needed (we have an international focus anyway---just not in name).
            a. Jeff will work with other members on examining the ins and outs of this and other important long-term structural questions (like profit vs. nonprofit) for future consideration
    b. Eric is going to try to get the SciComm Network kicked into gear again now that he's disengaging a little bit anyway from OSI's day-to-day needs
    c. Lauren is continuing to explore the SciComm PhD program. This effort may get more traction later this year as the OSI groups begins discussing concrete measures for helping improve the internal communication capacity of research institutions (by way of possible solutions to help change the culture of communication in science that is driving publishing practices).
3. Board business (board terms and other business)
    a. By unanimous consent, the board terms of Eric, Lauren and Marissa were extended for one year. Everyone's current board term now expires on Q117.
    b. Glenn will provide an updated version of nSCI's 2015 annual report asap.
    c. Jeff's ED salary recommendation document will be reviewed by Dee and Joyce and a final version will be circulated prior to the Q216 meeting as warranted (particularly if a large grant is awarded requiring clarification with regard to staff salaries)

Annex 2: Open Science Initiative documents

Two documents are attached here. The first is the conference program from OSI2017; the second is the OSI2016-25 investment summary, which includes a detailed description of OSI as well as a summary of OSI2016.

OSI2017

2ND ANNUAL CONFERENCE OF THE GLOBAL OPEN SCHOLARSHIP INITIATIVE
GEORGE WASHINGTON UNIVERSITY
WASHINGTON DC, USA
APRIL 18-21, 2017

United Nations
Educational, Scientific and
Cultural Organization

THE GEORGE
WASHINGTON
UNIVERSITY
WASHINGTON, DC

nSCI

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WELCOME TO

OSI2017

THE OPEN SCHOLARSHIP INITIATIVE

On behalf of the OSI2017 organizing committee, welcome to the second annual meeting of the global Open Scholarship Initiative! This is an important year in OSI's history as we begin the transition from building a broad community to building broad networks and policies for improving the future of scholarly communications. This is a unique effort—the only one of its kind which brings together so many leaders from so many different stakeholder groups, all united in common cause to work together on the vital challenges in this space. Thank you again for being part of this effort and for attending this important meeting.

OSI was created by the National Science Communication Institute (nSCI), and is being managed by nSCI in long-term partnership with UNESCO (the United Nations Educational, Scientific, and Cultural Organization). Our host for the first OSI conference (OSI2016) was George Mason University. This year, we are grateful to George Washington University for hosting our annual meeting. Special thanks goes out to Geneva Henry, GW's Dean of Libraries and Academic Innovation, Robin Delaloye, the Director of Communications & Outreach for GW Libraries, and to GW's events, AV, and catering teams.

Thank you as well to the OSI2017 planning team which has wrestled with the many issues related to this event since June of last year—in particular Scott Plutchak, Joyce Ogburn, Dee Magnoni, Joann Delenick, Bryan Alexander, Eric Olson, Claudia Holland, John Warren and Rick Anderson for their frequent help sorting through all the details of OSI and OSI2017. And we are grateful as well to the staff of the One Washington Circle hotel and the Ritz-Carlton DC for their help and support planning this event.

Finally of course, we owe a tremendous debt of gratitude to the organizations that provided the financial support to make this year's meeting even possible: UNESCO, the Doris Duke Charitable Fund, the Alfred P. Sloan Foundation, Elsevier, Wiley, Springer Nature, Sage Publications, and Taylor & Francis, with in-kind support from nSCI.* Thank you!

So that's it! Good luck, have fun, and here's to a productive, successful and enjoyable week, and to working together to achieve our shared goals for OSI2017 and beyond.

Sincerely,

Glenn Hampson
OSI Program Director

Tuesday April 18

6:00-9:00 PM	One Wash. Circle		Circle Bistro	Dinner & registration

Wednesday April 19

8:30-9:00 AM	GWU Marvin Center	Grand Ballroom	Delegate registration	
9:00-10:00 AM		Grand Ballroom	Breakfast & welcome	
10:00-10:15 AM		Grand Ballroom	Coffee break	
10:15 AM-12:00 PM		Meeting rooms	Workgroup meeting 1	See workgroup section
12:00-1:30 PM		Grand Ballroom	Lunch	
1:30-3:00 PM		Meeting rooms	Workgroup meeting 2	
3:00-3:30 PM		Grand Ballroom	Coffee break	
3:30-5:30 PM		Meeting rooms	Stakeholder meeting 1	See stakeholder section
5:30 PM			Adjourn	See DC Guide for ideas

Thursday April 20

8:30-8:45 AM	GWU Marvin Center	Grand Ballroom	Delegate registration	
8:45-9:45 AM		Grand Ballroom	Breakfast & meeting	Full group meets
9:45-10:00 AM		Grand Ballroom	Coffee break	Submit fast-pitch ideas
10:00-10:45 AM		Meeting rooms	Workgroup mix + summit	See note 1, below
10:55 A-11:40 PM		Meeting rooms	Stakeholder mix + summit	See note 2, below
11:45 A-12:15 PM		Meeting rooms	Stakeholder mini-meeting	See note 3, below
12:15-1:30 PM		Grand Ballroom	Lunch	
1:30-3:00 PM		Meeting rooms	Workgroup meeting 3	
3:00-3:30 PM		Grand Ballroom	Coffee break	
3:30-5:30 PM		Grand Ballroom	Workgroup presentations	
5:30 PM			Adjourn	See DC Guide for ideas

Friday April 21

7:30-7:45 AM	Ritz-Carlton DC	Salon 2	Late delegate registration	
7:45-10:00 AM			Breakfast & stakeholder presentations	Plus summit group report & extra workgroup Q&A
10:00-10:20 AM			Coffee break	
10:20-11:45 AM			Full-group meeting	Votes, open-mic, fast-pitch
11:45 A-12:00 PM			Closing remarks	
12:00-1:30 PM			Adjourn & lunch	
1:00 PM & 2:30 PM	One Wash. Circle		Buses leave for airports	See transportation page

Notes:

1. Summit reps meet. All other delegates (except 2 per group) go to workgroup meetings of their choice.
2. Summit reps continue meeting (if desired). All other delegates (except 2 per group) go to stakeholder meetings of their choice.
3. Stakeholders return to original groups for a brief wrap-up to consider new ideas and modifications.

1. **OSI2017 meeting format**
2. **OSI2017 goals**
3. **OSI's approach**
4. **OSI's methods**

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1. OSI2017 meeting format

Last year's meeting format was designed to introduce this stakeholder community to new people and perspectives and to help harness everyone's collective goodwill, experience and energy to begin creating a better future for scholarly publishing. To the extent we can, this year's format will begin nudging this group toward making decisions and detailed action plans. Whether we can do this on the fly or first need create more decision mechanisms remains to be seen. OSI is a 10-year effort so we weren't expecting to fly out of year one at full throttle. However, this year our collective expectations for actionable outputs are higher.

To this end, like OSI2016, OSI2017 will still be workgroup-centric, but 2017 workgroups will for the most part build on the work started by 2016 delegates. There will also be more full group discussion and debate at the 2017 meeting, as well as stakeholder group meetings, meetings of the "OSI summit group" (which is explained in the stakeholder section of this program), and opportunities to wander more between workgroups.

2. OSI2017 goals

Exactly what is OSI advocating? It's open—not particular open agendas or specific solutions (yet), but a robust, realistic, sustainable framework for moving open forward, which means being able to discuss issues and options as a community, collaborate on efforts, and adapt solutions and approaches the community can get behind and help grow. The OSI2016 report wanders into the weeds a bit more about what OSI is trying to accomplish and why, and also describes what OSI2016 was able to accomplish. Specifically, the goal of OSI as described in this report, is "to build a sustainable, robust framework for direct communication and cooperation among nations, universities, researchers, publishers, funding organizations, scholarly societies, libraries, policy makers, and other scholarly publishing stakeholders, in order to shape the future of scholarly communication, beginning with scholarly publishing and the issues that surround it, to support a climate for finding common understanding and workable solutions and to help this stakeholder community move toward these solutions together." The eventual outcomes of this effort will include:

- Achieving open goals faster and on a more predictable trajectory by bringing all stakeholders to the same side of the table to push together toward their common goals (while continuing to work out their differences on tangential issues),
- Creating multiple platforms for working on scholarly communication improvements together as a broad stakeholder community (these platforms will expand as OSI's ability to collaborate and communicate increases),
- Increasing the efficiency and effectiveness of stakeholders by facilitating the development of a common roadmap of goals, policies, and standards in scholarly communication, and

- In the end, increasing the amount of science information available to the world and the number of people who can access this information.

3. OSI's approach

Apart from annual meetings and reports, how exactly does this group plan to achieve these lofty outcomes? The short answer is not in one step. Because the OSI community is coming at this issue from so many different directions, the best strategy for encouraging more open is to acknowledge and value where each stakeholder group is in the process and then figure out what course adjustments can be made to the system to continue to expand open and what assistance this community can offer—new incentives, coordinated policies, collaboration efforts, formal partnerships, new studies, pilot products, expanded perceptions, and so on—to help flip to a more open mindset going forward and thereby accelerate the growth rate of open publishing and also increase the volume of scholarship available in open format.

As the OSI2016 report notes, "No single actor in a multi-stakeholder system like this can enact system-wide change unilaterally; a mechanism for collaborative action needs to exist but it doesn't currently exist in scholarly communication on a broad scale." Therefore, OSI has been designed to work on this change collaboratively and deliberatively, in a way that involves input from all stakeholders in the scholarly communications community, and always with an acute awareness that the new world of scholarly communications being designed needs to be accepted by the research community and be of benefit to this community, needs to work in every country, institution and field of study, and needs to be reliable and effective over the long term.

It is at these intersections of idealism and reality, of open knowledge and intellectual property, and of politics and policy that OSI's most important work will be done—-determining the best balance point between embargoes and immediate release, designing data repositories that scientists actually want and will use, curbing the unintended consequences of publish or perish without dismissing the importance of publishing in academia, improving access to scholarship for underserved regions of the world without unintentionally making the access problem worse, and more.

The OSI report notes that scholarly communication is changing and that this change presents opportunities and challenges. Some of the change that is happening involves shaking up the current system to utilize publishing tools and approaches that may be better suited to an Internet-based information world. But not all current and needed changes fall into this category. Indeed, some of the most needed changes do not. The general guidelines for action as defined by the OSI2016 group are therefore as follows (with the specific recommendations contained in workgroup reports):

- We don't have a clear, coordinated action plan for improving open. What needs to happen today, tomorrow and the day after? Who are the actors, what are the mileposts, what are the likely impacts, and how do we measure success? (Note that these concerns don't necessary suggest that OSI itself should create and evaluate specific programs of work. Rather, this is a commentary on the need for OSI to identify what it can do and how it will operate, and then farther down the road, what kinds of synergies OSI can encourage.)
- Some change will need to involve reforming the communications culture inside academia, where old publishing methods, measures and perceptions can drive author choices and be used

as proxies for merit when evaluating grant awards and tenure decisions. And some will need to involve examining our own biases that publishing is a binary proposition involving either open or closed, subscription or APC-based, right or wrong. Open, impact, author choices, peer review and other key concepts all exhibit a range of values. Identifying non-binary measures for some of these values (as proposed by several workgroups) may be helpful insofar as allowing stakeholders to focus on improving areas most in need of change and comparing progress and best practices across disciplines, institutions, publishing approaches, funders and so on.

- Any widespread change is going to require a widespread effort. There are simply too many stakeholders with different interests and perspectives who influence different decision points. No single stakeholder or group will be able to affect this kind of change unilaterally.
- How do we make these reforms in response to the needs and concerns of authors rather than in spite of authors (authors are not a homogenous group with common interests or opinions, of course, but there was some sense among delegates that reform efforts could be better attuned to what authors needed)?
- How do we make changes across disciplines (which have different needs) and that also effectively build on the efforts of the many stakeholders in this space?
- How do we reform the system without losing its benefits?
- How do we move from simply repairing dysfunction to creating a more ideal publishing world and reaping the benefits that such a world could provide in terms of participation, efficacy, efficiency, and discovery?
- Developing standards and norms would be helpful as we move forward, as well as answers to a number of key questions.

4. OSI's methods

The two most important communication instruments OSI has been using in this process so far are:

1. **Listserv conversations**. The OSI listserv was a robust tool in 2016 for tossing around ideas and will continue to play an important role in 2017. When engaging in this forum, delegates try to abide by a code of conduct that respects that everyone in OSI is committed to working on scholarly communication issues together. As members of this select group, the role of delegates is to contribute facts, share perspectives and experiences, and to the extent possible, help bridge the gap with fellow OSI colleagues by trying to see the big picture, find common ground, propose new solutions, and debate ideas. "What if" and "why not" discussions will be increasingly important in 2017.
2. **Workgroups**. OSI2017 will have 12 different workgroups focusing on a wide variety of issues such as needed studies, peer review, impact factors, and underserved populations. Workgroup members are the sherpas who guide OSI through particular issues and challenges and recommend solutions for consideration. Last year, OSI2016 delegates worked exclusively with one workgroup team to come up with the papers published on the OSI website at http://osinitiative.org/2016-outputs/. These papers were an opening volley of cross-stakeholder group collaboration and hit on familiar points in some sections, and broke new ground in others. The next phase of workgroup recommendations will begin to combine analysis with consensus and action plans for full-group consideration. Participating in workgroups is an opportunity open to all OSI members and not just meeting delegates.

Other communication instruments may evolve over the coming year (the OSI2016 group talked about forming tiger teams, for instance—maybe geographically close groups of delegates who could talk about OSI at meetings and institutions), but for now, the listserv and workgroups are OSI's two main drivers for action.

Going forward, OSI planning groups have put forward a draft governance plan which will be discussed at the upcoming meeting. Also to be discussed will be the strategic recommendations from OSI2016 delegates to create a united front for OSI by taking actions such as:

1. Sign a statement of purpose affirming that all OSI delegates are working toward a common goal of making research information more accessible. A draft of this statement was prepared last year but the general sentiment was that most people weren't quite ready to take this step.
2. Endorse a pluralistic approach to these challenges. OSI doesn't necessarily need to endorse a specific solution, for instance. Rather, it would help as a first step to simply acknowledge that many solutions exist on the same open spectrum and that we're all working toward the same end goal of more openness. By embracing all of these efforts, taking credit for them as a community, and then continuing to onboard new ideas and efforts, we can energize this space and make it a safer place for others to join. There are innovation advantages to this approach as well— to having a pluralistic approach, that is. As many delegates have noted, we're not entirely positive which way is up right now and having a broad approach will allow the market to find the best solutions—not all gold, or all green, but somewhere in between. Second, few universities have wanted to be the first to pioneer new forms of scholarly communication—kudos to Harvard and others for taking the risks here. But over time (as Susan Fitzpatrick has noted), few universities will want to be the last to adopt a new all-encompassing ethos of open we're promoting, with an array of stable and well-populated pathways that all tilt toward open, and that over time can continue to tilt more in this direction as policies and practices evolve. If we can push this approach to a critical mass of acceptance, it can reach a tipping point (as Ivy Anderson has mentioned) where it clearly makes sense to participate—where the benefits of participation clearly outweigh the risks.
3. Endorse a collaborative approach. Change the tenor of this effort to one where we're all working together instead of at cross-purposes.
4. Keep building the case for open (it's not as strong as it needs to be to convince skeptical policy makers) by supporting and/or conducting studies, and otherwise trying to improve the evidentiary base.
5. Lay the foundation for a common vocabulary. For instance, help ensure that funding rules don't discriminate against any of a rainbow of open options and are consistently applied internationally, and make sure we're all talking about the same thing (OA still means different things to different people, even when a definition of open is included in a glossary).
6. Find inroads to reforming systemic issues, from the commoditization of PhDs to publishing fraud to publish or perish hysteria and a hundred other issues in between.
7. Formally get behind appropriate efforts and enhance working relationships with other groups in this space so we can collaborate on efforts and strengthen our approach and outcomes.

1. **The OSI workgroup process**
2. **The OSI stakeholder group process**
3. **Facilitation**
4. **Chatham House rules**
5. **Technology use**
6. **Reporting requirements**

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1. The OSI workgroup process

1. **OSI's goal.** The goal of the Open Scholarship Initiative is to create an effective, robust framework for discussion and collaborative action between a diverse array of stakeholder groups in scholarly communications and publishing.
2. **Workgroup composition and assignments**. Delegates have been divided into 12 workgroups this year (plus one at-large group) which will focus on 12 different issues scholarly communications and publishing. The composition of these workgroups is balanced and diverse in order to incorporate a broad range of stakeholder perspectives and experiences and also encourage the development of new ideas and approaches.
3. **Keep an open mind.** The perspectives you share at this meeting can be your individual thoughts as well as official institutional perspectives. Stated another way, while many of you are the top executives at your institutions, or have the blessings of your top executives to speak and act in an official capacity, you need not feel that you are only representing an official point of view or that what you say necessarily commits your organization to a particular point of view or follow-up action. This is an opportunity for you to speak freely amongst your peers and search for common ground and new ideas. Keep an open mind, worry less about selling solutions than trying to see the big picture, and be open to the possibility that your views may shift and evolve over the course of this event.
4. **Approaching your workgroup questions**. The touch points of your workgroup deliberations should be to: (1) Quickly summarize the issue and the various perspectives involved (please refer to and build off of the work done by OSI2016 delegates as much as possible and appropriate), (2) In more detail, describe areas of general agreement and disagreement between stakeholders and the knowledge, perspective and/or policy gaps that may be powering these different viewpoints, and very importantly this year (3) Propose a set of specific actions or outcomes that can balance the needs and interests of all stakeholders (or a mechanism for finding solutions or bridging gaps). Also describe the challenges your proposal faces and how these can be addressed in a realistic and collaborative way (for instance, by linking together existing efforts with a similar focus).
5. **Operational details**. Each workgroup will meet several times on Wednesday and Thursday, April 19th and 20th for several hours of face-to-face conversations. These meetings will be generously interspersed with meals and breaks. Each team will be responsible for putting together a 5-minute slide presentation at the end of the day on 4/20 for the full group's consideration. Teams are also tasked with submitting a brief summary paper within four weeks of the end of the conference.

2. The OSI stakeholder group process

1. **OSI's goal.** The goal of the Open Scholarship Initiative is to create an effective, robust framework for discussion and collaborative action between a diverse array of stakeholder groups in scholarly communications and publishing. Stakeholder meetings provide a unique opportunity for stakeholder representatives to talk amongst themselves and discuss what they are willing to do together to support OSI and/or the goals of OSI.
2. **Group composition and assignments**. All delegates have been assigned to one of 18 different stakeholder groups (and have had an opportunity to review and change their stakeholder assignments). We acknowledge that at the career level of most OSI delegates, these distinctions are somewhat arbitrary—a number of delegates have been both publishers and researchers, for instance, or both library and government policy officials. Also, not all groups are equally represented at this meeting—delegates are more evenly distributed (by quota) in the full OSI group, but who is able to attend the meetings is subject to different influences beyond our control. Funders, for example, will be under-represented at OSI2017 and may not be able to meet as a full group. A separate online meeting for groups unable to meet will be considered. Delegates without a stakeholder group meeting will be invited to listen in on other meetings of their choice.
3. **Keep an open mind.** Obviously, simply belonging to the same stakeholder group doesn't guarantee the same outlook. Delegates are encouraged to speak freely, look for common ground, and build bridges with an eye toward figuring out how to work together to advance OSI and/or the goals of OSI.
4. **Approaching your stakeholder group discussion**. Similar to the approach of the issue workgroups, the touch points of your stakeholder group deliberations should be to: (1) Quickly summarize the various perspectives involved with regard to open, (2) In more detail, describe areas of general agreement and disagreement between stakeholders and the issues and questions that may be powering these different viewpoints, and (3) Propose a set of specific actions or outcomes that can balance the needs and interests of all members of your group (or a mechanism for finding solutions or bridging gaps). Also describe the challenges your proposal faces and how these can be addressed in a realistic and collaborative way.
5. **Operational details**. Stakeholder groups will meet on Thursday, April 20th. Each group of three or more members will be responsible for putting together a 5-minute slide presentation for Friday morning, 4/21, for the full group's consideration. Groups are also tasked with submitting a brief summary paper within four weeks of the end of the conference.

3. Facilitation

Each workgroup can decide on the organizational structure that works best for it. At least one person from each group should familiarize themselves with the OSI facilitation guide in order to help the group get through rough spots and stay on track as needed. However, these individuals won't necessarily be your group's conversation leaders. Give your group an opportunity to find its own equilibrium without sticking to Robert's Rules or some other strict code. The goal of this meeting is to talk openly and honestly about difficult subjects, expand your perspectives, and still come up with tangible outputs as outlined above.

If you want to refer to the facilitation training slides for ideas and guidance (including ideas about what to tackle in each workgroup session), you can find these on the OSI website at http://osinitiative.org/wp-content/uploads/2017/04/OSI-Facilitation-reference-2017.pptx. In general, to get started, introduce yourself and your connection to your workgroup challenge. Also, establish some basic ground rules for discussion, which may be as simple as agreeing to be respectful, not interrupting when someone is speaking, and making sure that everyone participates. Also, workgroup conversations should be kept inside the room in order to encourage people to be open and honest and to respect the process in which you are engaged.

4. Chatham House rules

Last year, OSI0216 delegates proposed using Chatham House Rules for group conversations, which basically means that until your workgroup and stakeholder group reports become public, you can say what was talked about, but you can't say who said what. What we want to avoid in these small conversations is having anyone live-Tweeting that so-and-so just said this and that, which will quickly sink your group into silence. Your discussions should be embraced as opportunities to speak frankly and privately. Then, as you wrap up your group meetings, you'll be able to put your names behind reports and ideas as you see fit, and these final reports will be presented to the full group and made public (late Thursday and early Friday), and THEN you can tweet away.

5. Technology use

1. You can use your laptop during workgroup sessions—writing, slides, research, etc. Each room will have a projector and screen.
2. You can check your email whenever you'd like (note that you'll also have morning and afternoon breaks, plus long breakfasts, lunches and dinners)
3. You can step out from your workgroup as needed to handle urgent business
4. No one will be monitoring your use of cell phones and such.

6. Reporting requirements

Each team will be responsible for putting together two 5-minute slide presentations for the full group's consideration. Workgroup presentations will be made on Thursday afternoon (with the order determined by hat draw). Stakeholder group presentations will be made on Friday morning. Teams will need to select a member of their group to make each presentation. Teams are also tasked with submitting a written paper within four weeks of the end of the conference. Teams should take notes and collaborate accordingly and circulate a paper for review and comment while everyone's recollection of this event is fresh. The final papers will be posted online for public comment and used as the basis for further discussion and action (as warranted).

1. **Meeting locations**
2. **Meeting times**
3. **Workgroup questions**
4. **Delegates by workgroup**

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1. Meeting Locations

All meeting locations on Wednesday and Thursday are at the Marvin Center on the GWU campus.

Workgroup	Wednesday 4/19	Thursday 4/20
Impact factors	Room 401	same
Global flip & other studies	Room 309	same
Standards, norms & best practices	Room 405	same
Funding models	Room 301	same
Institutional repositories	Room 407	same
Peer review	Room 413	same
Culture of communication	Room 308	same
Promotion & tenure reform	Room 413	same
Underserved populations	Room 310	same
Patent literature & other info	Room 311	same
HSS scholars & scientists	Room 302	same
Rogue solutions & new resources	Room 403	same
At-large	Ballroom (anywhere)	Room 307

Please also note that three meeting rooms have been reserved in the One Washington Circle hotel for Thursday night from 6-9 p.m.—the Meridian, Crescent, and Zenith rooms (which hold 65, 45, and 30 people respectively). These rooms are available on a first come, first served basis for any groups that want extra time and space to continue their discussions and/or prepare for Friday presentations.

2. Meeting Times

Day	Time	Workgroup Meeting
Wed April 19	10:15 AM-12:00 PM	1
	1:30-3:00 PM	2
Thurs April 20	10:00-10:45 AM	3 (mix)
	1:30-3:00 PM	4

3. Workgroup Questions

Impact factors

Following up on recommendations from OSI2016, this team will dig deeper into the question of developing and recommending new tools to repair or replace the journal impact factor (and/or how it is used), and propose actions the OSI community can take between now and the next meeting. What's needed? What change is realistic and how will we get there from here?

Global flip & other studies

Following up on the research ideas proposed by OSI2016 delegates, this workgroup will create broad action plans for a variety of studies, beginning with the global flip, moving next to embargos, and also including publisher services disaggregation and an assessment of open impacts if possible—how fast, how even, systemic pressures and so on (referencing the OSI2016 workgroup papers on these various topics). Detailed study protocols aren't expected, but rather an outline of what to prioritize, and how to conduct this work without necessarily relying on large grants from neutral parties. With regard to the global flip, this research is needed to help answer the question of whether a flip using APC's is the right model to pursue (given concerns, for instance, about how this might affect access in the global south).

Standards, norms & best practices

What standards, norms, best practices, exit strategies, and incentive systems does the world of scholarly communications need? What is the future ideal? What will it take (including studies or pilots) to develop a better understanding of how the scholarly communication system works now? This workgroup will also necessarily touch on norms and definitions, so will include discussions as warranted about open and impact spectrums as covered in OSI2016.

Funding models

Following up on a proposal from OSI2016, this workgroup will identify and/or design new funding models for open, such as a venture fund that can allow more support for joint efforts, or propose ways to improve existing funding by improving the flexibility of library budgets (e.g., by examining the efficiency of "big deals").

Institutional repositories

Building on the findings of OSI2016's preservation, repositories and mandates workgroup, this workgroup will propose a way forward for repository and infrastructure solutions—detailing what's needed before action can be taken, what this action should look like, what actors should be involved, and so on.

Peer review

Building on the peer review workgroup's proposals from OSI2016, this workgroup will develop a broader and clearer description of peer review that takes into account the different needs for different stages of review, as well as discuss possibly emerging issues such as the need to promote uniform interpretation and enforcement of peer review definitions, and will develop proposals for moving forward.

Culture of communication

Following a common thread from throughout OSI2016, this workgroup will develop partnership proposals for this community to work together to improve the culture of communication inside academia, particularly inside research. As part of this effort, it may be important to clarify messaging with regard to the benefits and impacts of open—and/or determine what resources and information are needed before this messaging work can be done effectively (including proving the benefits of open to a skeptical research community, addressing the many concerns involved, explaining the pros and cons, and making the case for why this is worth the trouble).

Promotion & tenure reform

Following a common thread that ran throughout OSI2016, this workgroup will discuss promotion and tenure reform, developing a widely-accepted and inclusive model (or a path to a model) that stakeholder partners can use to help reduce the influence of journal publishing on promotion and tenure decisions and help make these decisions broader, more transparent, and less reliant on publishing and impact factor measures. Note that this group is not trying to remove publishing from tenure decisions—just break the feedback loop that is fueling undesirable outcomes in scholarly publishing, academia, and grant funding.

Underserved populations & information underload

A new issue for OSI2017, this workgroup will focus on the unique challenges faced by the global south, the global diversity of scholarly communication, and the different issues, challenges and opportunities in both underserved regions of the world and underserved segments (like small colleges and small research firms). This group will also follow up on the information underload issue explored in OSI2016 (specific to research).

Patent literature

As a new issue for OSI2017, this workgroup will look at patent literature, research reports, databases and other published information. OSI by design has a university-centric and journal-centric bias to the perspectives being considered. Patent literature, research reports, and databases are also important sources of research information—more so than journals in some disciplines (although these still reference journal articles). As with journal articles, this information isn't always free or easy to find and is suffering from some of the same usability issues as journal articles.

HSS scholars & scientists

What are the unique needs and concerns of HSS scholars in this conversation? What are the unique needs and concerns of scientists (particularly in health/medicine)? This workgroup will recommend approaches and solutions to scholarly communications reform that work for both groups—a challenging assignment but important since common-ground conversations are what the research community is missing.

Rogue solutions & new open resources

What are the impacts of Sci-Hub and other rogue solutions on open access and what is the future of this approach, which may be gaining new mainstream support (noting for instance Wellcome's recent funding of ResearchGate)? What new resources should the scholarly community develop (and how) that would be useful and legal additions to our progress toward open (a new blacklist for instance, or new repositories)? This group will also integrate (to the extent possible) ideas raised by the information overload workgroup from OSI2016.

4. Delegates by workgroup

The tables below and on the following page list OSI2017 delegates by workgroup assignment. For a complete list of OSI2017 delegates and their email addresses, see the directory section of this program. A complete list of the names and titles of all OSI delegates is also included in the directory. For a list of delegates by stakeholder group, please see the stakeholder section of this program.

At-large	Brad Fenwick
	Mangala Sharma
	Jason Schmitt
	Geneva Henry
	John Dove
	Scott Plutchak
	Stephanie Westcott
	Michael Forster
	John Warren

Culture of communication	Louise Page
	Mary Yess
	Jason Steinhauer
	Barbara DeFelice
	Rachael Samberg
	Eric Olson
	Susan Haigh
	Barrett Matthews
	Leslie Reynolds
	Dan Morgan

Funding models	Michael Zentner
	Carrie Calder
	Alex Kohls
	Celeste Feather
	Christine Stamison
	Karla Cosgriff
	Kris Bishop
	Nick Lindsay

Global flip & other studies	Caroline Sutton
	Wim Van der Stelt
	Colleen Campbell
	Ralf Schimmer
	Kamran Naim
	Eric Archambault
	Roy Kaufman
	Krista Cox
	Megan Wacha
	Lorcan Dempsey

HSS & scientists	Aimee Nixon
	Concetta Seminara
	William Gunn
	Joan Lippincott
	Keith Yamamoto
	Annie Johnson
	Shira Eller
	Diane Scott-Lichter

Impact factors	Eric Brown
	Todd Carpenter
	Ali Andalibi
	Suzie Allard
	Patty Baskin
	Marilyn Billings
	Stephanie Orfano
	Brian Selzer

Patent lit
Joann Delenick
Donald Guy
Patrick Herron
Joyce Ogburn
Denise Stephens
Crispin Taylor
Larue Haak

Peer review
Lorena Barba
Ann Gabriel
Richard Price
Nancy Davenport
Mark Newton
Lacey Earle
Abel Packer

Institutional repositories
Dave Ross
Andrew Tein
Geraldine Clement-Stoneham
Michele Woods
Jake Orlowitz
Najko Jahn
Terri Fishel
Catherine Mitchell
William Simpson

Rogue & OA resources
Paul Peters
Tom Reller
Bryan Alexander
Hillary Corbett
Christopher Erdmann
Meg Oakley
Nancy Gwinn
Lars Bjørnshauge

Standards
Brianna Schofield
David Mellor
Michelle Gluck
Adrian Ho
Martin Kalfatovic
Howard Ratner
Emma Wilson

Tenure reform
Amy Jessen-Marshall
Holly Falk-Krzesinski
Cheryl Ball
Stacy Konikel
Sheree Crosby
Kim Barrett
Jessica Clemons

Underserved
Talmesha Richards
Bhanu Neupane
Williams Nwagwu
Sioux Cumming
Richard Gedye
Margaret Winker
Susan Murray
Helena Asamoah-Hassan

1. **Meeting locations**
2. **Meeting times**
3. **Stakeholder representation**
4. **Stakeholder group voting**
5. **Delegates by stakeholder group**

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1. Meeting Locations

All meeting locations on Wednesday and Thursday are at the Marvin Center on the GWU campus.

Stakeholder group	Wednesday 4/19	Thursday 4/20
Commercial publishers	Room 301	Room 301
Open knowledge groups and "born-open" publishers	Room 302	Room 302
Summit reps	No meeting	Room 307
Scholarly libraries and library groups	Room 308	Room 308
Scholarly communications and publishing industry experts	Room 309	Room 309
Scholarly societies and society publishers	Room 310	Room 310
Scholarly journal editors	Room 311	Room 311
Other universities and colleges	No meeting	Room 400
Broad faculty groups & education groups	Room 401	Room 401
Funders	No meeting	Room 402
Research universities	Room 403	Room 403
Active researchers and academic authors	No meeting	Room 404
Non-university research institutions	Room 405	Room 405
Government policy organizations	Room 407	Room 407
Scholarly research infrastructure groups	Room 413	Room 413
University and library publishers	Room 414	Room 414

Please also note that three meeting rooms have been reserved in the One Washington Circle hotel for Thursday night from 6-9 p.m.—the Meridian, Crescent, and Zenith rooms (which hold 65, 45, and 30 people respectively). These rooms are available on a first come, first served basis for any groups that want extra time and space to continue their discussions and/or prepare for Friday presentations.

2. Meeting Times

Day	Time	Workgroup Meeting
Wed April 19	3:30-5:30 PM	1
Thurs April 20	10:55-11:40 AM	2 (mix)
	11:45 A-12:15 PM	3 (mini)

3. Stakeholder representation

Article 4: Membership & representation [from draft OSI governance guidelines]

It is vital that the scholarly publishing stakeholder community works together to build OSI, and views this effort as a collective investment—of time, money, intellect, effort, and goodwill—in order to ensure that OSI develops in a sustainable manner, and is both representative of and responsive to this community. To this end, OSI membership guidelines are key:

4.1. **Quotas**. Because OSI aims to be a representative body, the OSI annual meetings will endeavor to include proportional representation from the stakeholder groups defined below (recognizing that OSI may in reality be unable to successfully recruit enough members from each group).

Stakeholder group (percent of OSI delegates)

Stakeholder group	Percent of OSI delegates	Summit reps (25)
1. Research universities	35% (of 20 reps from 1-13)	7
2. Commercial publishers	10%	2
3. Scholarly societies and society publishers	5%	1
4. Non-university research institutions and publishers	5%	1
5. Open knowledge groups and "born-open" publishers	5%	1
6. University presses and library publishers	5%	1
7. Government policy organizations	5%	1
8. Funders, public and private	5%	1
9. Scholarly libraries and library groups	5%	1
10. Broad faculty and education groups	5%	1
11. Tech industry	5%	1
12. Scholarly research infrastructure groups	5%	1
13. Other universities and colleges	5%	1
14. Scholarly communications and publishing industry experts	Up to 20 per meeting	1
15. Active researchers and academic authors	Up to 20 per meeting	1
16. Scholarly journal editors	Up to 10 per meeting	1
17. Journalists	Up to 10 per meeting	1
18. Elected officials	Up to 10 per meeting	1

a. **Election or appointment mechanism**. There is no formal mechanism for appointing members and delegates to OSI. Stakeholders are free to decide who their members should be in cases where clear stakeholder groups exist. Where such groups don't exist, the OSI program director with guidance from OSI members will attempt to identify the appropriate nominees, and these people are free to reassign their appointment to colleagues.
b. **Balance**. The OSI group will grow and change over time as more members are added, and as former members drop out. OSI management will monitor the composition of this group and report to OSI members on an annual basis. While this group balance may possibly have some affect on listserv conversations, it will not affect strategic decisions due to the bicameral structure of OSI as described herein (whereby both the full membership and the current summit group—which will maintain proportional representation—need to approve any changes in OSI's strategic direction originating from outside the OSI management structure).

4. Stakeholder group voting

Article 3: Authority [from draft OSI governance guidelines]

3.3. Deliberative structure. OSI members will utilize a G20 model for discussions and consensus-building to ensure that this effort doesn't seek out majority-rules solutions that can't be enforced (since OSI agreements are voluntary; see Article 6), but instead, actual consensus solutions that are built on common ground and can be widely implemented.

a. **Sherpas**. OSI workgroup members will serve as sherpas in this effort, thoroughly researching and preparing agreements for consideration by the OSI summit group.
b. **Summit group**. The OSI summit group will consider the agreements presented by workgroups, and then deliberate, revise as needed, and prepare policy statements for action to agencies and institutions (in a manner as yet to be determined; it is possible that the OSI group will also want to ratify these agreements by majority vote).
    1. **Summit representatives**. Members from each stakeholder group will be elected by OSI members to serve in the OSI summit group.
        i. **Numbers.** The summit group will consist of 25 OSI members. The number of members from each stakeholder group who are elected to serve as part of the summit group will be based on the quota percentages described in table 4.1 below. For instance, research universities will be entitled to seven summit representatives (35% of 20 from the "core" stakeholder groups of 1-13) while businesses will have one summit representative (5% of 20).
        ii. **Qualifications**. Candidates for representative must be OSI members at the time of voting.
        iii. **Voting**. OSI members from a given stakeholder group can vote only for their group's representatives. The OSI program director shall divide delegates into groups and will seek input about these assignments from the OSI members before voting occurs.
        iv. **Provisional group.** The first summit group representatives will be elected by their peers at OSI2017. This group will serve as OSI's provisional summit group until they decide on a permanent form for electing OSI summit reps.

Please note that the provisional summit group members you elect will meet on Thursday for at least one group meeting and will also present on Friday morning. At minimum, the one item on this group's agenda will be to revise and recommend for approval a draft version of the OSI governance guidelines (starting from the current draft). What this group decides to do beyond this agenda item is entirely up to the group.

5. Delegates by stakeholder group

The table below and on the following page lists OSI2017 delegates by stakeholder group. Delegates have self-assigned into these groups. For a complete list of OSI2017 delegates and their email addresses, see the directory section of this program. A complete list of the names and titles of all OSI delegates is also included in the directory. For a list of delegates by workgroup, please see the workgroup section of this program.

Active researchers & authors	Michael Zentner
	Joann Delenick
	Lorena Barba
Broad faculty & education groups	Brianna Schofield
	Amy Jessen-Marshall
	Talmesha Richards
Commercial publishers	Brad Fenwick
	Carrie Calder
	Caroline Sutton
	Wim Van der Stelt
	Aimee Nixon
	Concetta Seminara
	William Gunn
	Ann Gabriel
	Dave Ross
	Andrew Tein
	Paul Peters
	Tom Reller
	Holly Falk-Krzesinski
Government policy	Mangala Sharma
	Michele Woods
	Bhanu Neupane
Non-university research	Alex Kohls
	Colleen Campbell
	Ralf Schimmer
	Eric Brown
	Todd Carpenter
	Donald Guy
	Williams Nwagwu

Open knowledge groups	Louise Page
	Mary Yess
	Jason Steinhauer
	Kamran Naim
	Joan Lippincott
	Richard Price
	Jake Orlowitz
	David Mellor
	Cheryl Ball
	Stacy Konikel
	Sioux Cumming
Research universities	Geneva Henry
	Barbara DeFelice
	Keith Yamamoto
	Ali Andalibi
	Patrick Herron
	Joyce Ogburn
	Nancy Davenport
	Mark Newton
	Michelle Gluck
Scholcomm & publishing experts	John Dove
	Scott Plutchak
	Stephanie Westcott
	Rachael Samberg
	Eric Olson
	Eric Archambault
	Roy Kaufman
	Annie Johnson
	Suzie Allard
	Lacey Earle
	Najko Jahn
	Bryan Alexander
	Hillary Corbett
	Christopher Erdmann
	Adrian Ho
	Sheree Crosby
	Richard Gedye

Journal editors	Patty Baskin
	Abel Packer
	Kim Barrett
	Margaret Winker
	Susan Murray
Scholarly libraries & groups	Susan Haigh
	Barrett Matthews
	Leslie Reynolds
	Celeste Feather
	Christine Stamison
	Krista Cox
	Megan Wacha
	Lorcan Dempsey
	Shira Eller
	Marilyn Billings
	Stephanie Orfano
	Denise Stephens
	Terri Fishel
	Catherine Mitchell
	Meg Oakley
	Nancy Gwinn
	William Simpson
	Martin Kalfatovic
	Jessica Clemons
	Helena Asamoah-Hassan

Funders	Geraldine Clement-Stoneham
Other universities	Jason Schmitt
Infrastructure	Lars Bjørnshauge
	Laure Haak
	Howard Ratner
Scholarly societies	Michael Forster
	Karla Cosgriff
	Kris Bishop
	Diane Scott-Lichter
	Brian Selzer
	Crispin Taylor
	Emma Wilson
University & library publishers	John Warren
	Dan Morgan
	Nick Lindsay

1. **OSI2017 delegates**
2. **OSI membership**

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1. OSI2017 delegates

The following OSI delegates (listed here alphabetically by first name) confirmed they will be attending OSI2017. At the time of the printing of this program, not all delegates in this list have been assigned to a workgroup or stakeholder group and therefore aren't listed in these particular sections of the program.

OSI2017 delegate	Current title & institution	Email address
Abel Packer	Co-founder and director, SciELO	abel.packer@gmail.com
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William Gunn	Director of Scholarly Communications, Elsevier	William.Gunn@elsevier.com
William Simpson	Associate Librarian and Institutional Repository Librarian, University of Delaware	wsimpson@udel.edu
Williams Nwagwu	Head of Knowledge Management, Council for the Development of Social Science Research in Africa (CODESRIA)	Williams.NWAGWU@codesria.sn
Wim Van der Stelt	EVP Strategic Relations, SpringerNature	wim.vanderstelt@springernature.com

2. OSI membership

To the best of our knowledge, the following 380 individuals (listed alphabetically by first name) are currently members of OSI. These individuals belonged to OSI at some point in the last several years, and about half the delegates on this list attended OSI2016. Only five members out of 385 have requested to be removed from the list since the start of OSI, and one member is part of the listserv but not identified here by request (more may have dropped out on their own without notifying OSI; however, it's not likely that many have done this since the listserv currently contains 392 members and since we do often hear from a wide variety of delegates who follow the conversations in OSI but don't regularly contribute).

OSI delegate	Current title & institution
Aaron McCollough	Head, Scholarly Communication & Publishing, University of Illinois Library
Abel Packer	Co-founder and director, SciELO
Ada Emmett	Head of the Office of Scholarly Communication & Copyright, University of Kansas
Adam Huftalen	Senior Manager of Federal Government Affairs, Elsevier
Adrian Ho	Director of Digital Scholarship, University of Kentucky Libraries
Adyam Ghebre	Director of Outreach, Authorea
Agathe Gebert	Open Access Repository Manager at GESIS Leibniz-Institute for Social Sciences
Aimee Nixon	Head of Open Access Publishing, Emerald
Alberto Pepe	Co-founder, Authorea
Alex Wade	Principle Program Manager, Microsoft academic portals
Alexander Garcia Castro	Senior Research Officer, Universidad Politécnica de Madrid
Alexander Kohls	SCOAP3 Operation Manager, CERN
Ali Andalibi	Associate Dean of Research, Science, George Mason University
Alice Meadows	Director of Community Engagement and Support, ORCID
Alicia Wise	Director of Access and Policy, Elsevier
Alison Mudditt	Director, University of California Press
Amy Brand	Director, MIT Press
Amy Buckland	Chair, Research and Scholarly Environment committee, ACRL
Amy Jessen-Marshall	Vice President for Integrative Liberal Learning and the Global Commons, Association of American Colleges and Universities
Amy Nurnberger	Research Data Manager, Columbia University
Andrew Plume	Associate Director, Scientometrics & Market Analysis in Research & Academic Relations, Elsevier
Andrew Sallans	Partnerships and Collaborations Manger, Center for Open Science (COS)
Andrew Tein	Vice President, International Government Partnerships, Wiley
Angela Cochran	Associate Publisher, American Society of Civil Engineers
Ann Gabriel	Vice President Global Academic & Research Relations, Elsevier
Ann Michael	President, Delta Think
Ann Riley	President, ACRL
Ann Thornton	Vice Provost & University Librarian, Columbia University
Anne Kenney	University Librarian, Cornell University
Annie Johnson	Library Publishing and Scholarly Communications Specialist, Temple University
Anthony Watkinson	Principal Consultant CIBER Research
Arnie Grossblatt	College of Professional Studies, MPS publishing program, GWU
Audrey McCulloch	Chief Executive, ALPSP
Barbara DeFelice	Program Director, Scholarly Communication, Copyright, and Publishing, Dartmouth
Barbara Gordon	Executive Director, American Society for Biochemistry and Molecular Biology
Barrett Matthews	Copyright & Scholarly Agreements Specialist, GWU

Becky Clark	Director of Publishing, Library of Congress
Belinda Huang	Executive Director, National Postdoctoral Association
Betsy Wilson	Vice Provost for Digital Initiatives and Dean of University Libraries, University of Washington
Bev Acreman	Commercial Director, F1000
Bhanu Neupane	Program Manager, UNESCO
Bill Hubbard	Deputy Head Of Scholarly Communications Support, JISC
Bobby Schnabel	CEO, Association of Computing Machinery
Brad Fenwick	Senior Vice President, Elsevier
Brett Bobley	CIO, National Endowment for the Humanities
Brian Selzer	Assistant Director of Publications, American Public Health Association
Brianna Schofield	Executive Director, Authors Alliance
Brooks Hanson	Director, Publications, AGU
Bryan Alexander	President, Bryan Alexander Consulting
Bryan Vickery	Director, Cogent OA
Bryn Geffert	Librarian of the College, Amherst College
Carlos H. Brito Cruz	Science Director, SÃ£o Paulo Research Foundation (FAPESP)
Carol Hunter	Interim Vice Provost for University Libraries and University Librarian, UNC-Chapel Hill
Carol Mandel	Dean, Division of Libraries, New York University
Caroline Black	Associate Publishing Director, BioMed Central
Caroline Sutton	Head of Open Scholarship Development, Taylor & Francis
Carrie Calder	Director, Business Operations & Policy, Springer Nature
Catherine Mitchell	President, Library Publishing Coalition and Director, Access & Publishing Group, California Digital Library
Catherine Murray-Rust	Dean of Libraries & Vice Provost for Academic Effectiveness, Georgia Tech
Cathy Wojewodzki	Librarian & Scholarly Communication Officer, University of Delaware
Catriona MacCallum	Advocacy Director, PLOS
Celeste Feather	Senior Director of Licensing and Strategic Partnerships, Lyrasis
Cheryl Ball	Director, Digital Publishing Institute, West Virginia University
Chris Keene	Head of Library and Scholarly Futures, JISC
Christie Aschwanden	Lead Science Writer, FiveThirtyEight
Christina Drummond	Director of Strategic Initiatives, Educopia Institute
Christine Borgman	Distinguished Professor, UCLA
Christine Casey	Editor, *MMWR* Serials, US Public Health Service, Centers for Disease Control and Prevention (CDC)
Christine Stamison	Director, NorthEast Research Libraries Consortium (NERL)
Christopher Erdmann	Chief Strategist for Research Collaboration, NCSU Libraries
Christopher Thomas	Administrator, Defense Technical Information Center
Claire Blin	Director of Libraries, University of Pierre and Marie Curie
Claudia Holland	Head, Scholarly Communication and Copyright, GMU
Colleen Campbell	Director, OA2020 Partner Development, Max Planck Digital Library
Colleen Cook	Dean of Libraries, McGill University
Concetta Seminara	Editorial Director, Social Science & Humanities Journals, Routledge/Taylor & Francis
Crispin Taylor	CEO, American Society of Plant Biologists
Daisy Selematsela	Executive Director, Knowledge Management Corporate, National Research Foundation (South Africa)
Dan Cohen	Executive Director, Digital Public Library of America (DPLA)
Dan Morgan	Digital Science Publisher, University of California Press
Danny Kingsley	Head, Office of Scholarly Communication, University of Cambridge
Dave McColgin	UX Director, Artefact
Dave Ross	Executive Director, Open Access, SAGE Publishing
David Evans	Executive Director, National Science Teachers Association

David Hansen	Director of Copyright & Scholarly Communications, Duke
David Mellor	Project Manager, Journal and Funder Initiatives, Center for Open Science
David Wojick	Government policy analyst
Deborah Jakubs	University Librarian & Vice Provost for Library Affairs, Duke
Deborah Kahn	Publishing Director, Medicine and Open Access, *Taylor & Francis*
Debra Kurtz	CEO, DuraSpace
Dee Magnoni	Research Library Director, Los Alamos National Lab
Deni Auclair	CFO/Sr. Analyst at Delta Think
Denise Stephens	University Librarian, UC Santa Barbara
Diane Graves	Board member, EDUCAUSE; Assistant VP of Academic Affairs and University Librarian, Trinity University
Diane Scott-Lichter	Sr. Vice President, Publishing, American College of Physicians; Chair, AAP/PSP Executive Committee
Diane Sullenberger	Executive Editor, PNAS, National Academy of Sciences
Dick Wilder	Associate General Counsel, Gates Foundation
Donald Guy	Manager, Research Collaboration & Library Services, Sandia National Labs
Donna Scheeder	President, IFLA
Elizabeth Marincola	Former CEO, PLOS
Elizabteth Kirk	Associate Librarian for Information Resources, Dartmouth
Emily McElroy	Director, University of Nebraska Medical Center Library
Emma Wilson	Director of Publishing, Royal Society of Chemistry
Eric Archambault	President and CEO, 1science
Eric Brown	Division Leader, Explosive Science and Shock Physics, Los Alamos National Laboratory
Eric Massant	Senior Director, Government & Industry Affairs, RELX Group
Eric Olson	Outreach coordinator, PressForward Institute
Frances Pinter	Founder, Knowledge Unlatched
Franciso Valdes Ugalde	Mexico Director, FLACSO
Frank Sander	Director of the Max Planck Digital Library, Max-Planck-Society, Germany
Gail McMillan	Director of Scholarly Communication, Virginia Tech Libraries
Gary Evoniuk	Director of Publication Practices, GSK
Gary Miller	Associate Dean for Research, Rollins School of Public Health, Emory University
Gemma Hersh	OA leader, RELX
Geneva Henry	Dean of Libraries and Academic Innovation, George Washington University
Geoff Bilder	Director of Strategic Initiatvies, Crossref
Geraldine Clement-Stoneham	Knowledge and Information Manager, Medical Research Council, RCUK
Ginger Strader	Director, Smithsonian Scholarly Press
Glenorchy Campbell	Managing Director, BMJ North America
Grace Xiao	Co-Founder and President, Kynplex
Gregg Gordon	President, SSRN
Gregory Eow	Associate Director for Collections, MIT
H. Carton Rogers	Vice Provost for Libraries, University of Pennsylvania
Harriette Hemmasi	Dean of Libraries, Brown University
Helena Asamoah-Hassan	Executive Director, African Library and Information Associations (AfLIA)
Hillary Corbett	Director of Scholarly Communication & Digital Publishing, Northeastern University
Holly Falk-Krzesinski	Vice President for Strategic Alliances in Global Academic Relations, *Elsevier*
Howard Gadlin	Ombudsman, NIH
Howard Ratner	Executive Director, CHORUS
In McCann	Senior Manager, Corporate Information Management, Sandia National Labs
Ingrid Parent	University Librarian, University of British Columbia

Ivan Oransky	Ivan Oransky, Vice President and Global Editorial Director, MedPage Today, and Co-Founder, Retraction Watch
Ivy Anderson	Director of Collections, California Digital Library
Jack Schultz	Director, Christopher Bond Life Sciences Center
Jake Orlowitz	Head of The Wikipedia Library, Wikimedia Foundation
James Butcher	Publishing Director, Nature Journals
James Duderstadt	Chair, Policy and Global Affairs Committee
James Hilton	University Librarian, Dean of Libraries, Vice provost for digital education and innovation, University of Michigan
James Mullins	Dean of Libraries, Purdue University
James Taylor	Deputy Executive Officer and Chief Operating Officer, American Physical Society
Jamie Vernon	Editor-in-Chief, American Scientist
Jane McAuliffe	Director, National and International Outreach
Jason Hoyt	CEO, PeerJ
Jason Schmitt	Associate Professor Communication & Media, Clarkson University
Jason Steinhauer	Director, Lepage Center for History in the Public Interest, Villanova University
Jean-Gabriel Bankier	President and CEO, bePress
Jeff Mackie-Mason	University Librarian and Chief Digital Scholarship Officer, UC Berkeley
Jeff Murray	Deputy Director in Family Health, Bill & Melinda Gates Foundation
Jeff Tsao	Distinguished Member of Technical Staff, Sandia
Jennifer Hansen	Senior Officer, Knowledge & Research Services at the Bill and Melinda Gates Foundation
Jennifer Howard	Former senior reporter, Chronicle of Higher Education
Jennifer Pesanelli	Deputy Executive Director of Operations and Director of Publication at FASEB
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Jessica Sebeok	Associate Vice President for Policy, Association of American Universities
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Jill Mortali	Director, Office of Sponsored Projects, Dartmouth College
Jim O'Donnell	University Librarian, ASU
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Joan Frye	Acting Deputy Office Head, Office of Integrative Activities, National Science Foundation
Joan Lippincott	Associate Executive Director, Coalition for Networked Information
Joann Delenick	Scientist, biocurator
Joanna Martin	CENDI Alternate, Office of Scientific and Technical Information (OSTI), US Department of Energy
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John Zenelis	Dean of Libraries and University Librarian, George Mason University
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Krista Cox	Director of Public Policy Initiatives, ARL
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Laura Helmuth	2016 president, National Association of Science Writers
Laura Lindenfeld Sher	Director, Alan Alda Center for Communicating Science
Laure Haak	Executive Director, ORCID
Laurie Goodman	Editor in Chief, GigaScience
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Lorena Barba	Associate Professor of Mechanical and Aerospace Engineering, GWU
Lorraine Haricombe	Vice Provost and Director, University of Texas Libraries
Louise Page	Publisher, PLOS
Maggie Johnson	Director of Education and University Relations, Google
Mangala Sharma	Program Director, Office of International Science and Engineering, National Science Foundation
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Margaret Winker	Secretary, World Association of Medical Editors
Mariette DiChristina	Editor-in-Chief, Scientific American
Marilyn Billings	Scholarly Communication & Special Initiatives Librarian, UMass Amherst
Mark Edington	Director, Amherst College Press, and Publisher, Lever Press
Mark Newton	Director of Digital Scholarship, Columbia University Libraries
Mark Parsons	Secretary General, Research Data Alliance

Mark Ware	Director, Mark Ware Consulting
Martin Hicks	Board member, Beilstein Institut
Martin Kalfatovic	Associate Director, Smithsonian Libraries
Martin Paul Eve	Professor of Literature, Technology and Publishing, University of London
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Martin Wybourne	Vice Provost for Research, Dartmouth College
Mary Augusta Thomas	Deputy Director, Smithsonian Libraries
Mary Ellen Davis	Executive Director, American Library Association
Mary Woolley	President, Research!America
Mary Yess	Deputy Executive Director & Chief Content Officer, The Electrochemical Society
Maryann Martone	Former Executive Director, Force 11
Matt Spitzer	Community Manager, Center for Open Science
Matthew Salter	Publisher, American Physical Society
Maura Marx	Deputy Director for Library Services, Institute of Museum and Library Services (IMLS)
Medha Devare	Data and Knowledge Manager, Consultative Group on International Agricultural Research (CGIAR)
Meg Buzzi	Director, Project OPUS, UCLA
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Melinda Kenneway	Executive Director, Kudos
Melissa Cragin	Staff Associate, National Science Foundation
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Michael Roy	Dean of the Library, Middlebury College
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Michael Wolfe	Executive Director, Authors Alliance
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Nancy Gwinn	Director, Smithsonian Institution Libraries
Nancy Rodnan	Senior Director, Publications American Society for Biochemistry and Molecular Biology
Nancy Weiss	General Counsel, US IMLS
Narda Jones	Legislative Counsel, US Senate
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Paul Ayris	Director of Library Services and CEO of UCL Press, University College of London, and Co-Chair of the League of European Research Universities (LERU) CIO Community
Paul Groth	Disruptive Technology Director, Elsevier Labs
Paul Murphy	Director of RAND Press
Paul Peters	CEO, Hindawi
Paul Royster	Coordinator of Scholarly Communications, University of Nebraska
Pedro Cote Baraibar	Communications Coordinator, FLACSO-Mexico
Peter Berkery	Executive Director, Association of American University Presses
Peter Brantley	Director of Online Strategy, University of California Davis Library
Peter Potter	Director, Publishing Strategy, Virginia Tech
Phil Carpenter	Executive Vice President, Research, Wiley
Phil Kim	Co-founder and COO, 20 Million Minds Foundation
Philip Bourne	Chair of Data Science, Director of the Data Science Institute (DSI) and Professor in the Department of Biomedical Engineering (BME), University of Virginia
Pippa Smart	Editor, "Learned Publishing" and publishing consultant
Pollyanne Frantz	Executive Director, Grants Resource Center
Prue Adler	Associate Executive Director, Federal Relations and Information Policy
Rachael Samberg	Scholarly Communication Officer, UC Berkeley
Rachel Burley	Publishing Director, Biomed Central and Springer Open
Rachel Dresbeck	Immediate Past President, National Organization of Research Development Professionals/Director, Research Development, Oregon Health & Science University
Ralf Schimmer	Head of Scientific Information Provision, Max Planck Digital Library
Ramesh Gaur	University Librarian, Jawaharlal Nehru University
Rebecca Kennison	Principal, K|N Consultants/Open Access Network
Remi Gaillard	Head of Collection Development Department, Universite Pierre et Marie Curie (UPMC)
Renaud Fabre	Director, Scientific and Technical Information Directorate (DIST)
Richard Gedye	Director of Outreach Programmes, STM and Publisher Coordinator, Research4Life
Richard Ovenden	Bodley's Librarian, Bodleian Libraries, University of Oxford
Richard Price	Founder and CEO, academia.edu
Richard Wellons	Program Manager, Grants Resource Center, AASCU
Richard Wilder	Bill & Melinda Gates Foundation, Associate General Counsel
Rick Anderson	Associate Dean for Collections & Scholarly Communication, J. Willard Marriott Library, University of Utah
Rikk Mulligan	Program Officer for Scholarly Publishing, Association of Research Libraries (ARL)
Rita Scheman	Director of Publicatons and Executive Editor, American Physiological Society
Rob Johnson	Director, Research Consulting
Robert Cartolano	Vice President for Digital Programs and Technology Services
Robert Kiley	Head of Digital Services, Wellcome Trust
Robert Miller	CEO and Executive Director, Lyrasis
Robin Champieux	Scholarly librarian and founder of ARCS
Robin Staffin	Director for Basic Research, US Department of Defense
Roger Schonfeld	Director, Library and Scholarly Communication Program, Ithaka S+R
Roxanne Missingham	University Librarian, Australian National University, and Deputy Chair, Australian Open Access Support Group (AOASG)
Roy Kaufman	Managing Director, New Ventures, CCC
Ryan Merkley	CEO, Creative Commons
Sally Rumsey	Head of Scholarly Communication and Research Data Management, Oxford
Salvatore Mele	Director of Open Access, CERN
Sam Burridge	Managing Director of Open Research, SpringerNature
Sarah Michalak	Associate Provost for University Libraries and University Librarian, University of North

	Carolina Chapel Hill (UNC)
Sarah Pritchard	Dean of Libraries, Northwestern University
Scott Delman	Director of publishing, ACM
Scott Plutchak	Director of Digital Data Curation Strategies, UAB
Scott Waugh	Executive Vice Chancellor and Provost, UCLA
Seth Denbo	Director of Scholarly Communication, American Historical Association
Sharon Farb	Associate University Librarian and Chief Content Strategist, UCLA
Sheree Crosby	VP of Global Marketing, Cabell's
Shira Eller	Art & Design Librarian, GWU
Sindy Escobar Alvarez	Senior Program Officer for Medical Research, Doris Duke Charitable Foundation
Sioux Cumming	Programme Manager Journals Online, INASP
Stacy Konikel	Director of Research and Education, Altmetric.com
Stephanie Diment	Director of Open Access, Wiley
Stephanie Fulton	Executive Director, Research Medical Library, Univ of Texas MD Anderson Cancer Center
Stephanie Orfano	Head of Scholarly Communications, University of Toronto
Stephanie Westcott	Research Assistant Professor, Roy Rosenzweig Center for History and New Media, George Mason University
Steve Fiore	Professor, University of Central Florida
Steve Sayre	Director of Publishing, Ecological Society of America
Steven Hall	Managing Director, IOP
Steven Hill	Head of Rearch Policy, Higher Education Funding Council for England (HEFCE)
Stuart Buck	Vice President of Research Integrity, John and Laura Arnold Foundation
Stuart Taylor	Publishing Director, The Royal Society
Susan Dentzer	Senior health policy advisor, RWJ Foundation and President and CEO of NEHI (Network for Excellence in Health Innovation)
Susan Fitzpatrick	President, James S. McDonnell Foundation
Susan Haigh	Executive Director, Canadian Associate of Research Libraries
Susan Murray	Director, African Journals Online
Susan Skomal	CEO, BioOne
Susan Veldsman	Director of Publishing, Academy of Science of South Africa
Suzie Allard	Associate Dean for Research and Director, Center for Information & Communication Studies, U of Tennessee
Talmesha Richards	Chief Academic and Diversity Officer, STEMConnector
Tee Guidotti	President, Sigma Xi
Terri Fishel	Library Director, Macalester College
Terry Ehling	Associate Director / Project MUSE (Johns Hopkins University Press)
Timothy Vollmer	Public Policy Manager, Creative Commons
Toby Green	Head of Publishing, OECD
Todd Carpenter	Executive Director, NISO
Tom Reller	Vice President Global Corporate Relations, Elsevier
Tony Peatfield	Director of Corporate Affairs, Medical Research Council, RCUK
Tony Roche	Publishing Director, Emerald Group Publishing Limited
Trevor Dawes	Vice Provost for Libraries and Museums, University of Delaware
Trevor Owens	Senior Program Officer, Institute of Museum and Library Services
Tyler Walters	Dean, University Libraries, Virginia Tech, and Director, Shared Access Research Ecosystem (SHARE)
Vickie Williams	CEO, Research Media
Vicky Gardner	Open Access Publisher, Taylor & Francis
Vicky Williams	CEO, Research Media
Victoria Reich	Executive Director LOCKSS Program, Stanford University
Vidya Krishnamurthy	Director of Communications, Hewlett Foundation

Virginia Barbour	Executive Director, Australasian Open Access Strategy Group
Vivian Siegel	Lecturer, MIT and Senior Editorial Advisor, Bio-protocol
Wayne Kaplan	Executive Vice President for Research, Technion - Israel Institute of Technology
Wendy Lougee	University Librarian, University of Minnesota
Will Schweitzer	Director, Product, American Association for the Advancement of Science/Science Family of Journals
William Gunn	Director of Scholarly Communications, Elsevier
William Simpson	Associate Librarian and Institutional Repository Librarian, University of Delaware
Williams Nwagwu	Head of Knowledge Management, Council for the Development of Social Science Research in Africa (CODESRIA)
Wim Van der Stelt	EVP Strategic Relations, SpringerNature
Winston Tabb	Dean of University Libraries & Museums
Wolfram Horstmann	University Librarian, University of Gottingen
Xiaolin Zhang	Director, National Science Library, Chinese Academy of Sciences (CAS)

OSI2017 shuttle bus schedule

The OSI2017 conference will provide shuttle bus service to local airports following the close of this event on Friday. If you need to reach the drivers, please contact Reston Limo at 703-478-0500.

Day	Departure time	Departure location	Destination	Notes
Fri 4/21	1:00 PM	Outside One Washington Circle hotel	Dulles airport	30-person shuttle bus
	1:00 PM	Outside One Washington Circle hotel	Reagan airport	30-person shuttle bus. Blue line metro (across the street) also runs to the airport.
Fri 4/21	2:30 PM	Outside One Washington Circle hotel	Dulles airport	20-person shuttle bus
	2:30 PM	Outside One Washington Circle hotel	Reagan airport	20-person shuttle bus. Blue line metro (across the street) also runs to the airport.

Parking & taxis

- **GWU campus parking:** https://www.gwu.edu/foggy-bottom-campus
- **One Washington Circle parking:** On-site parking is available for guests at $42/night
- **Taxi**: Orange cab, 202-832-0436

Key conference locations

Opening reception site and hotel for most OSI delegates	Main conference site, located about three blocks southeast of the One Washington Circle	Closing day site, located about one block northeast of the One Washington Circle
The One Washington Circle Hotel 1 Washington Circle NW Washington, DC 20037 Tel: 202-872-1680 www.thecirclehotel.com esimmons@modushotelsdc.com	George Washington University Marvin Center 800 21st Street NW (corner of 21st & H) Washington, DC 20052 www.gwu.edu	The Ritz-Carlton DC 1150 22nd Street NW Washington, DC 20037 Tel: 202-835-0500 www.ritzcarlton.com/ en/hotels/washington-dc/dc

Google maps

Campus wireless access

Select "GWconnect" from your list of available networks. Then open a web browser. You should be automatically redirected to the GWconnect page but if you aren't, try going to gwu.edu to trigger the redirection. On the GWconnect page, look for the "if you are a guest of the university" section. Click on "click here to request or reset credentials." Fill in the form accepting GW's terms of use. Click "register" to submit. You will receive an email with your temporary username and password. Enter these and log in. Campus wifi access is good for 72 hours.

Emergencies

Dial 911

One Washington Circle hotel

Elizabeth Simmons
esimmons@modushotelsdc.com
Tel: 202-872-1680

Buses and taxis

Reston Limo (conference buses): 703-478-0500
Orange cab taxi: 202-832-0436

Conference contact

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OSI2016-25

THE OPEN SCHOLARSHIP INITIATIVE

SUMMARY REPORT BY THE NATIONAL SCIENCE COMMUNICATION INSTITUTE, SEPTEMBER 2016

Pictured immediately above, the OSI2016 "Usage Dimensions of Open" Workgroup. From left to right: Lorcan Dempsey, VP Research, Online Computer Library Center (OCLC); Ginger Strader, Director, Smithsonian Institution Scholarly Press; William Gunn, Director of Scholarly Communications, Elsevier; Chris Erdmann, Director, Harvard-Smithsonian Astrophysics Library; Amy Nurnberger, Research Data Manager, Columbia University; Stephanie Fulton, Executive Director, Research Medical Library, MD Anderson; Dee Magnoni, Research Library Director, Los Alamos National Laboratory; Emily McElroy, Director, McGeogan Library of Medicine, University of Nebraska Medical Center; Eric Archambault, President and Founder, [illegible], Executive Officer and Director, National Science Board Office, National Science Foundation (NSF). Not pictured: Kevin Bradley, President, US Journals, Taylor & Francis Group; Robin Staffin, Director for Basic Research, US Department of Defense.

OSI2016-25
THE OPEN SCHOLARSHIP INITIATIVE

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Executive Summary

At first glance scholarly communication may not seem like an incredibly important issue. It's how we find out what's happening in research, which is of course vitally important to researchers, policymakers, journalists and the public. But the norms and practices of scholarly communication are also tightly interwoven with a broad ecosystem of other important issues such as academic promotion and tenure, research funding, copyright, economic development, and even the pace, nature and integrity of scientific discovery. So while we may not blink when Facebook and Twitter change to keep up with our world's rapidly evolving information expectations and practices, when scholarly communication is buffeted by these same forces the disruption that occurs is significant on many levels. How is scholarly communication holding up? What should its future look like? Are the solutions being adopting the right ones? Are we satisfied with the current pace and trajectory of open access, embargoes, peer review, digital preservation, data access, journal costs, impact tracking and institutional repositories?

Different stakeholder groups—universities, researchers, commercial publishers, funding organizations, scholarly societies, libraries, governments, open access advocates and so on—have focused on improving scholarly communication for many years now but generally as interest or industry groups and not as a broad stakeholder community. Because of the scope of impact of scholarly communication and because there are so many divergent perspectives on this issue—by stakeholder group, discipline, country and more—many have concluded that coming up with a broad, large-scale, collaborative, global approach to scholarly communication issues is vitally important, now more than ever, not just to protect the future health of research but also to ensure that the solutions we adopt today won't widen the information access gap that already exists between wealthy and developing regions of the world (and indeed that ideally, global efforts will help close this gap and help sustain a more equitable future for information access).

The Open Scholarship Initiative (OSI) was developed to address this need. **The objective of OSI is to build a new and robust framework for direct communication and cooperation among all nations and stakeholders in order to improve scholarly communication, beginning with scholarly publishing and the issues that surround it**—and to the extent possible to help usher in common understanding and achievable, sustainable solutions and the capacity to work toward these solutions together. To accomplish this, OSI, which has been developed in partnership between the National Science Communication Institute (nSCI) and the United Nations Educational, Scientific and Cultural Organization (UNESCO), has created a large community of high-level delegates from stakeholder groups around the world and convened this community in extended conversations, meetings and collaborative efforts—executive officers from key groups chosen to represent a cross-section of interests and opinions, authorized in most cases to speak on behalf of their institutions and in a position to reach agreements and push forward change.

The first meeting of this group happened this past April (OSI2016). Meetings are just one part of the overall OSI strategy, which consists of a continuous 10 year-long effort to expand perspectives, explore options, build partnerships with the many other groups who are also trying to affect change in these areas, research answers and fix problems, punctuated by annual meetings to build new bridges and dig more deeply into key issues. A central tenet of OSI's still-evolving program will be to help figure out how these different groups and voices can work effectively together to rapidly achieve common goals and actionable, sustainable solutions. Improving the

global reach of OSI will also be important in this effort: OSI is not yet to the point where it is truly global or inclusive process—more work remains to be done but this effort is off to a strong start.

Issue Overview and OSI's Role[i]

Publish or perish. That's all most people know about the world of scholarly publishing. Research happens and then researchers transmit their findings. The full extent of this process is referred to as scholarly communication—everything that happens between the lab and the newspapers, including how articles are written, reviewed, submitted for publication, published, reviewed by the press, and communicated to policy makers and the public, as well as all other research "dissemination" activities via marketing, speaking, conferences, social media, books and so on.

Scholarly publishing is the capstone of this effort within academia—a modest but vital part of the scholarly communication spectrum related mostly to peer-reviewed journals in the sciences and monographs in the humanities. The core of this process (recognizing that many changes to it have happened over time) is an ancient and critical part of the scholarly communication process, steeped in history and arcanity, loaded with rules particular to each field, funding agency, and journal, and laced at the institutional level with incentives like promotion and tenure. This system is old and familiar, serves a purpose, and has broad buy-in from the research community, but it is changing—not necessarily quickly but energetically and in different directions. As a consequence it is probably fair to say that no one in academia is confident right now what the road ahead looks like for scholarly publishing. In addition, this commotion has caused a trickledown effect, feeding uncertainty about what kind of research we're valuing, publishing, and funding; about the reproducibility of research (is research working the way it should?); about why and how universities and research institutions should incentivize and recognize different types of research communication (and how these decisions affect promotion and tenure); about the impact of the Internet on best practices for research communication; about whether research is sufficiently accessible by the people worldwide who need to read it (a conversation limited not just to library budgets but to whether there is a basic human right to science knowledge that we need to acknowledge); and a host of other issues such as open access (making information immediately and freely available for use and reuse), peer review, embargoes, impact factors, data deposits, preservation, institutional repositories, access costs and much more.

Different stakeholder groups have worked on these and related issues for years but rarely together in a broad, large-scale collaborative and global way. There has been collaboration and agreement at the margins, but in terms of achieving broad or rapid movement stakeholders have been generally been working to advance solutions that meet their particular needs, and these solutions are neither all-encompassing nor collaborative across widely differing viewpoints, groups, regions and disciplines. And the end result, some would argue, has been less than optimal progress toward open, too many solutions that don't necessarily mesh well and a lingering air of distrust and acrimony between some stakeholder groups who are tired of fighting over their differences, even though they all care deeply about the future of scholarly communication writ large.

To many experts and observers, then, it has become apparent that if solutions to scholarly communication-related issues are going to emerge that are widely embraced, effective and sustainable—particularly at the global level where different countries often have vastly different outlooks on these issues—stakeholders will need to engage

directly, openly discuss their different ideas and perspectives, and figure out ways to knit together and build on work that has already been done and then fill in the gaps. Developing a broad, collaborative, global approach is seen as critical—now more than ever—to support the future of research (including evaluation and funding), and efforts to develop better global information access and equity. Arguably, even global economic development and public policy development will be affected by how the future of research publishing unfolds. For such an important issue and as in any multi-stakeholder environment—from environmental protection to medical research to international policy—mechanisms need to exist where representatives of different stakeholder groups can speak directly to one another so they can collaborate and coordinate on developing systems and policies that govern shared products, processes and resources. No single actor in a multi-stakeholder system like this can enact system-wide change unilaterally; a mechanism for collaborative action needs to exist but it doesn't currently exist in scholarly communication on a broad scale.

So if we are going to fix this system, what should it look like? Who should decide and why? The Open Scholarship Initiative (OSI) was designed to tackle the issues in scholarly communication (beginning with scholarly publishing) by bringing together high-level representatives (importantly, people with decision making authority) from all the key stakeholder groups to share perspectives. **The goal of OSI is to build a sustainable, robust framework for direct communication and cooperation among nations, universities, researchers, publishers, funding organizations, scholarly societies, libraries, policy makers, and other scholarly publishing stakeholders, in order to shape the future of scholarly communication, beginning with scholarly publishing and the issues that surround it, to support a climate for finding common understanding and workable solutions and to help this stakeholder community move toward these solutions together.** OSI was developed by the National Science Communication Institute (nSCI) in early 2015 in partnership with and funded in large part by the United Nations Educational, Scientific and Cultural Organization (UNESCO) and George Mason University, which also hosted the first annual OSI summit of global leaders earlier this year (in late April).

The first meeting of OSI delegates—dubbed OSI2016—was designed to address some very broad and foundational questions that underpin this effort. What do we mean by publishing for instance? Who should decide what is and isn't open? What is the moral-ethical case for open? By airing these different ideas and perspectives in a diverse environment filled with high-level decision makers, meeting delegates worked to find common ground on where to begin moving forward together. OSI2016 brought together 190 delegates from 12 countries, 15 stakeholder groups and 182 institutions to answer these questions—including high-level representatives from 50 major research universities, 35 scholarly publishers, 24 government policy organizations, 23 scholarly libraries and groups, 23 non-university research institutions, 17 open knowledge groups, eight faculty and education groups and more. Future meetings will be at least the same size or larger, and will include even more international representation.

OSI2016 was the first of ten planned annual meetings. Between meetings, other elements of OSI will continue to develop, including studies, pilot projects, partnership agreements and so on. Annual meetings will underpin this effort and will give delegates an important opportunity to meet and interact but the bulk of the substantive work of the broader OSI effort will continue year-round.

OSI by the numbers (see Annex 3 for details)

Delegates	Stakeholder distribution	Funding support ($169k)	Expenses ($169k)
• Individuals: 190* • Institutions: 184* • Countries: 12** • Stakeholder groups: 15 • Workgroups: 16 • Scholarships granted: 80 • Initiative partners: 3 • Sponsors: 13 *Most but not all of the key groups in scholarly publishing were represented. All groups were invited to attend and no one was deliberately excluded or omitted. **Most OSI2016 delegates were from the US and UK	• 50 research universities (25%) • 37 scholarly publishers (19%) • 24 government policy orgs (12%) • 23 scholarly libraries and groups (12%) • 23 non-university research institutions (12%) • 17 open knowledge groups (9%) • 14 other (scholcomm, journalists, politicians, funders) (7%) • 8 faculty & education groups (4%)	• Delegate registration fees, $58k (34%) • UNESCO, $48k (29%) • Other sponsors, $42.5k (25%) • Sloan Foundation, $20k (12%) • Private donations, $350 (0%)	• Meals (52%) • Transportation (12%) • Management fee (10%) • IT (8%) • Conference-related materials (7%) • Entertainment (7%) • Other hotel-related (2%) • Other admin (1%) • Credit card transaction fees (1%)

OSI2016 Outcomes

What did all these smart people accomplish at OSI2016? The dust is still settling but the biggest win may have been that this group came together at all, and with a shared sense of purpose that they could and should work together to help guide the future of scholarly communication and publishing. In a survey conducted shortly after the meeting we know there is a general sense among delegates right now of hope and enthusiasm, laced with uncertainty about what comes next and when. The word cloud below was created by participants, who were asked to list five words that best described this event to them.

The actionable outcomes from OSI2016 will flow from two sources: the OSI Action Plan (see summary in Annex 5), and the final papers that OSI2016 workgroups wrote together (available on the OSI website at osinitiative.org/2016-outputs). Workgroups were the central organizing feature of OSI2016. All 190 delegates were assigned to diverse workgroups of 10-12 delegates each and spent most of their conference time (in addition to pre-conference online conversations and studying; see Annex 1 for details) debating the answers to foundational questions in scholarly publishing like “What is open?” and “Who decides?”

We are modestly hopeful that some of the conclusions and recommendations developed by these groups will be usable starting points for conversation and might even eventually lead to real breakthroughs and progress.

Indeed, some of the proposals put forward by OSI2016 delegates are bold and insightful; others do a good job of capturing the complexity of the challenges ahead; still others concede that more study is needed. These are all complex questions requiring thoughtful and deliberate conversations. After receiving feedback from a wider stakeholder audience the OSI group will fine-tune at least some of these proposals into workable action plans—a process which is already underway.

The ideas in these papers can be grouped into two main categories: Overarching themes and specific recommendations. The overarching themes are helping inform the OSI group about where to focus next—where to find consensus and what issues are most fundamental to the success of reform efforts. These themes from OSI2016 can be characterized as follows:

1. **Acknowledging**: Scholarly communication is changing and this change presents opportunities and challenges.
2. **Describing**:
    - Some of the change that is happening involves *shaking up the current system to utilize publishing tools and approaches that may be better suited to an Internet-based information world*. But not all current and needed changes fall into this category. Indeed, some of the most needed changes do not.
3. **Doing (general guidelines for action)**:
    - We don't have a clear, coordinated action plan for improving open. What needs to happen today, tomorrow and the day after? Who are the actors, what are the mileposts, what are the likely impacts, and how do we measure success? (Note that these concerns don't necessary suggest that OSI itself should create and evaluate specific programs of work. Rather, this is a commentary on the need for OSI to identify what it can do and how it will operate, and then farther down the road, what kinds of synergies OSI can encourage.)
    - Some change will need to involve reforming the communications culture inside academia, where old publishing methods, measures and perceptions can drive author choices and be used as proxies for merit when evaluating grant awards and tenure decisions. And some will need to involve examining our own biases that publishing is a binary proposition involving either open or closed, subscription or APC-based, right or wrong. Open, impact, author choices, peer review and other key concepts all exhibit a range of values. Identifying non-binary measures for some of these values (as proposed by several workgroups) may be helpful insofar as allowing stakeholders to focus on improving areas most in need of change and comparing progress and best practices across disciplines, institutions, publishing approaches, funders and so on.
    - Any widespread change is going to require a widespread effort. There are simply too many stakeholders with different interests and perspectives who influence different decision points. No single stakeholder or group will be able to affect this kind of change unilaterally.
    - How do we make these reforms in response to the needs and concerns of authors rather than in spite of authors (authors are not a homogenous group with common interests or opinions, of course, but there was some sense among delegates that reform efforts could be better attuned to what authors needed)?
    - How do we make changes across disciplines (which have different needs) and that also effectively build on the efforts of the many stakeholders in this space?

- How do we reform the system without losing its benefits?
- How do we move from simply repairing dysfunction to creating a more ideal publishing world and reaping the benefits that such a world could provide in terms of participation, efficacy, efficiency, and discovery?
- Developing standards and norms would be helpful as we move forward, as well as answers to a number of key questions.

To the skeptic it may not seem significant that a large group of high level delegates agreed that change is happening, that the challenges are great, and that clear, coordinated action is needed. But to the optimist, the exact opposite is true: It is encouraging that publishers and policymakers, open advocates and skeptics, funders and library heads, scientists and humanities leaders all agree that the scholarly communication system needs to be repaired as a group and that we need a foundation for action. No groups are walking away from the table, and no one is threatening to force change on the other (indeed, 99% of OSI2016 delegates plan to stay involved in OSI conversations during 2016-17 and over half will attend the OSI2017 meeting).

Some of the key specific recommendations developed by the OSI2016 are listed below. Bear in mind that these recommendations came from high-level representatives of multi-stakeholder workgroups. They aren't just pie-in-the-sky proposals, but in many cases starting points for conversation that major publishers and research universities may be willing to stand behind:

Workgroup	Key action items
What is publishing 1	Explore disaggregating the current services provided by publishers (such as filtering, editing, dissemination, registration, and so on) and how current scholarly publishing stakeholders might be incentivized to embrace these changes.
What is publishing 2	Explore ways to change the publishing culture inside of academia, including systems of academic recognition and reward. Identify unmet author needs, and gaps in evidence and knowledge, develop disciplinary approaches, and use pilots rather than one-size-fits-all approaches.
What is open?	The scholarly community's current definition of "open" captures only some of the attributes of openness that exist across different publishing models and content types. We suggest that the different attributes of open exist along a broad spectrum and propose an alternative way of describing and evaluating openness based on four attributes: discoverable, accessible, reusable, and transparent. These four attributes of openness, taken together, form the draft "DART Framework for Open Access." This framework can be applied to both research artifacts as well as research processes.
Who decides?	1. Evaluation: Re-assess the criteria for academic tenure and promotion a. Fully consider OA publications on the same footing as all other outlets in research assessment b. Research and validate the use of altmetrics c. Reward greater openness 2. Incubation: Nurture alternative, community-driven publishing models 3. Transformation: Facilitate a "global flip" of research journals from subscription-based to OA.
Moral dimensions	In this transition period, we need to encourage a period of exploration and grace in the search for new models, while being prepared to judge such efforts by the highest moral standards. We must consider, for example, whether a particular invention maximizes the new digital affordances in order to increase universal access. We consider it our responsibility to make judgments about the morality of acts, artifacts, systems, and processes, but not on the morality of people and organizations.
Usage dimensions	1. Perform a landscape assessment of scholarly communication and workflow tools to categorize current best practices, standards and norms. 2. Create an issue brief concerning funder support of open access. OSI should identify conversations that

	are already happening in this area, looking for synergies and potential partnerships, and facilitate knowledge sharing in this area.
Evolving open 1	1. We need a better understanding of how the system works now. Specifically, we need a comprehensive study that shows in detail, country by country, how funding, tenure, and promotion decisions are made and the role of research outputs and activities within this decision making process. 2. As a community and at a high level, define an ideal future across all issues—peer review, impact factors, etc. 3. Ensure that any new impact system adopted be transparent.
Evolving open 2	1. We recommend that OSI commission the development of a comprehensive set of resources and messaging efforts, targeted to specific audiences, to increase the profile of open access across stakeholder groups. 2. We recommend that OSI appoint a Task Force to develop a strategy for the establishment of an open access venture fund, and deliver a report at OSI 2017. 3. We recommend that the topic of liberating subscription budgets (and the dissolution of "big deal" models) be a future OSI Working Group, with representation from both libraries and publishers. 4. We recommend that an OSI Working Group identify and seek ways to close gaps within the OA infrastructure, beyond STM journals (the lack of developed infrastructure beyond STM journals and the fragmentation and lack of interoperability of systems and processes.
Open impacts	Openness scores should be developed, as well as utilization and economic impact measures. Ideas are proposed for what would be included in the baselines of each such evaluation. More research is needed and proposed, perhaps as standing (ongoing) OSI efforts.
Participation	1. Cultural change 2. Consistent messaging 3. More and better open publications 4. Institutional commitments to scholcomm efforts (including adjusting incentive and reward systems) 5. Support more research into solutions and sticking points
Overload & underload	1. Increase information literacy efforts toward understanding the behavior of information systems and economies, which can in turn prepare students and scholars to make both more understandable to others. 2. Expand information literacy to include knowledge about the nature of computation and its control over what is accessible from and delivered to our devices. 3. To address the overabundance of information that causes overload, filtering systems are needed to identify, sort, select, and summarize relevant information. 4. To address the problem of underdelivery of or lack of access to information, known as information underload, remove widespread sociopolitical, technological, educational, geographic, and financial barriers. 5. Apply more open metadata, social media, digital tools and networked expertise to advance discovery. Better exposure and discovery options for scholarly products are still needed, as well as the means to understand and apply them. 6. Convert more content into a machine-shareable form and continue promoting openness through responsible curating, archiving and discovery of raw data. 7. Advocate for mandatory copyright exception for text mining and encourage publishers and vendors to remove obstructions to mining content.
Repositories & preservation	1. Clarify opportunities for UNESCO and WSIS to engage in this effort 2. Coordinate action among meta-organizations (e.g., COAR, CLIR/ DLF) 3. Raise funds for improved sustainability and stewardship through investments and endowments in repositories 4. Support aggregation driven by preservation concerns, such as: a. Electronic legal deposit (UK) b. Portico, Chronopolis, APTrust, and DuraSpace c. DPN, MetaArchive Cooperative, CLOCKSS 5. Build workflows and an ecosystem in order to ensure long-term access and preservation.
Peer review	1. Pre-publication peer review: o We encourage the use of preprint servers

	○ We also encourage the facilitation of a flexible, nonlinear process of peer review outside of and supplementing journal-based peer review 2. Traditional peer review: ○ We recommend that all disciplines work toward a culture of openness in peer review. ○ We encourage the exploration and addressing of the problems, real and perceived, with transparency in peer review. 3. Post-publication peer review: ○ We recommend the facilitation of post-publication review of traditionally reviewed publications. ○ We recommend experiments with crowd systems that incentivize broad, representative participation—for example, with a currency, rating, or credit system. ○ Any credits or ratings should be acknowledged by employers or funders of those doing the reviews as valid metrics in career progression. 4. Overall, more study, pilots and standards are recommended, as detailed in the report.
Embargoes	A project is proposed to study and reform the current embargo system. The stages of this project are as follows: 1. funder identification (already begun) and brief (drafted) 2. literature review (already begun) 3. case studies analysis 4. employing researcher(s) and surveying stakeholders 5. analysis of survey data and presentation at OSI 2017 (by the OSI 2016 Embargo Workgroup). The OSI Embargo Workgroup has prepared a set of draft survey questions and will analyze the survey data and present it to OSI 2017
Impact factors	1. DORA recommendations should be implemented. Future OSI workgroups should assess the initial response of research funders, especially in the biomedical field, to this proposed action and amend the following actions accordingly. 2. Create templates for universities / disciplines, to facilitate the development of appropriate tenure and promotion frameworks to implement DORA 3. Create an international metrics lab, learning from prior attempts to do this, and staffed with a coalition of groups already in this space (as identified in the report). 4. Share information about the JIF, metrics, their use and misuse, via a resource page on the OSI website and partnerships with institutions as identified in the report 5. Improve the validity of the JIF as one indicator of journal quality (OSI workgroups focused on indicators or impact factors should draft a list of improvements required to the JIF)
At-large	1. Promotion and tenure was discussed at some point in most, if not all, workgroups. Notably, there was no team expressly designated to tackling the question of promotion and tenure. There is recognition that while promotion and tenure is a key component of the publishing ecosystem, there is perhaps little that publishers themselves can do to influence the process. In this sense, OSI could conceivably work with other stakeholders throughout the academic system to express perspectives and positions on this evolution. 2. More focus on impact is another idea. The at-large committee's observations lend credence to the idea that a "spectrum of impact" measure might be developed by OSI to parallel the spectrum of open proposal. Specifically, a theme running as an undercurrent in many workgroup discussions was a greater need to focus on assessment of the value of research and scholarship. Notably, nearly all participants in the OSI2016 conference, and most stakeholders in the entire scholarly publishing ecosystem, have an interest and need to measure the impact of research and scholarship. 3. Improve composition and representation for OSI2017, begin focusing on action instead of ideas

Drawing from this summary, then, and from other conversations about the broad goals of OSI, we have concluded that OSI2017 and the OSI efforts between now and April of 2017 should focus on these key points:

1. Develop partnership agreements to work together to change the culture of communication inside academia (and as part of this effort, clarify messaging with regard to benefits and impacts of open).
2. Lay the groundwork for promotion and tenure reform (a framework agreement with stakeholder partners to disentangle the influence of journal publishing and make evaluation more transparent).
3. Pilot new spectrum measures for “open” and impact (see the reports from the “Open Impacts” and “What is Open?” workgroups). Also assess the routes by which such measures might come into common use and the lessons to be learned from previous attempts that have not been taken up.
4. Develop and recommend new tools to replace the journal impact factor.
5. Fund studies or pilots that will help:
    a. Identify which publishing services can/should be better handled by others (disaggregated).
    b. Assemble and supplement as needed an evidence base to better inform our policies regarding embargoes.
    c. Develop a stronger underpinning (economic modeling?) for the discussion surrounding the idea of pushing a global flip to open using APCs (e.g., how might this affect access in the global south?).
    d. Identify the economic impacts of open.
    e. Get a better understanding of how the system works now, and then identify scholarly publishing standards, norms, best practices, exit strategies, incentive systems, and a future ideal.
6. Identify which scholarly publishing stakeholders can work together on these and other efforts and how (multiple stakeholders require a convening power).
7. Develop new funding models such as a venture fund that can allow more support for joint efforts, or improve the flexibility of library budgets (e.g., by examining the efficiency of “big deals”).
8. Propose radical new repository interoperability and infrastructure solutions.
9. Develop a broader and clearer description of peer review that takes into account the different needs for different stages.

Some of the proposals not raised at OSI2016 but that might be included in OSI2017 (and beyond) include:

1. Focus more on patent literature, research reports, databases and other published information. OSI by design has a university-centric and journal-centric bias to the perspectives being considered. Patent literature, research reports, and databases are also important sources of research information—more so than journals in some disciplines (although these still reference journal articles). As with journal articles this information isn't always free or easy to find and is suffering from some of the same usability issues as journal articles.
2. Focus more on monographs and other long forms of publication (aside from journal articles).
3. Dig into the feasibility of the All-Scholarship Repository, a stand-alone effort that may align with the recommendations of the OSI2016 repositories workgroup. An early assessment of this effort was made by the original OSI working group in their February 2014 report.

At least a portion of the OSI2017 conference will focus on implementing OSI2016 proposals (or tracking the implementation of these proposals) and following through on progress, impacts and needed adjustments. A final determination about which proposals will be followed this year will be completed by the Fall of 2017. During 2016 OSI delegates may also look for quick wins that can help set the stage for more partnerships and efforts. See Annex 5 for more details.

The Future of OSI

While the rough outlines are beginning to take shape, precisely what OSI will look like going forward has yet to be determined. However, OSI2016 was an important step forward in this evolution. It is commendable that this stakeholder community has started to engage in this process.

This first event was made possible by financial support from 12 organizations plus delegate fees (which provided the largest portion of support). Continuing to grow the funding base for this effort will be a key focus in the coming years in order to ensure that we have sufficient people and resources in place to make things happen.

A fully-funded OSI program may require an annual budget of several millions of dollars. How much budget expenditure is warranted is a matter of perspective. Are there other projects that could create more benefit than OSI for the same expenditure? Is this expenditure worth the investment of time and money for stakeholders? In the sense that OSI is the only effort focusing on building a broad, international coalition of stakeholder groups to pursue reform together, then there really is no cost comparator. And in terms of the cost outlay, a few million dollars annually is small compared to the size of the scholarly publishing ecosystem, particularly when all the tangential costs and impacts for the wide variety of stakeholder groups are considered. Investing a modest amount in OSI annually (considered across the entire stakeholder investment in scholarly publishing and without judgment as to who should contribute or how much—only that all stakeholders should ideally participate) holds the potential to improve the scholarly communication landscape for everyone by:

- Achieving open goals faster and on a more predictable trajectory by bringing all stakeholders to the same side of the table to push together toward their common goals (while continuing to work out their differences on tangential issues),
- Creating multiple platforms for working on scholarly communication improvements together as a broad stakeholder community (these platforms will expand as OSI's ability to collaborate and communicate increases),
- Increasing the efficiency and effectiveness of stakeholders by facilitating the development of a common roadmap of goals, policies, and standards in scholarly communication, and
- In the end, increasing the amount of science information available to the world and the number of people who can access this information.

As for the future structure of OSI, the specific governance framework is currently being considered by the full OSI delegate group, within this general deliberative framework:

1. **The goal of OSI is to create a global collaborative framework for improving scholarly publishing and to oversee this effort as an architect of change**—not as a proponent of particular solutions, but as a neutral arbiter entrusted to help the various stakeholders in this conversation find common ground and develop and implement workable, sustainable solutions that can help rapidly advance the core values of open scholarship, and then spread these solutions and fine-tune them, all within a 10-year period of time. The specific steps that the global stakeholder community will follow toward this end will evolve as the scholarly publishing environment evolves and the structure and capabilities of the OSI organization become clearer.

2. **The National Science Communication Institute will ensure the long-term durability of the OSI effort and its products and assets for at least the next 10 years**, barring any other management arrangements that OSI delegates choose to construct. It is vital that the scholarly publishing stakeholder community works together to build OSI, and views this effort as a collective investment—of time, money, intellect, effort and goodwill—in order to ensure that OSI develops in a sustainable manner and is both representative of and responsive to this community.
3. **Because OSI aims to be a representative body it is also vital that stakeholders have an opportunity to decide who their representatives to this effort should be**—at least in cases where a clear stakeholder group exists (which is not the case for most groups). For OSI2016, these representatives were selected by the conference organizing committee. For OSI2017, the full OSI delegate group will vote on the proposed stakeholder group structure. The proposed structure for OSI2017 is described in the table to the right.

Stakeholder group	% of delegates
1. Research universities	25%
2. Scholarly publishers	20%
3. Non-university research institutions	10%
4. Government policy organizations	10%
5. Open knowledge groups	10%
6. Scholarly library groups	5%
7. Broad faculty and education groups	5%
8. Businesses	5%
9. Scholarly communications experts	5%
10. Journalists	2%
11. Politicians	2%
12. Funders (public and private)	2%
13. Industry analysts	Up to 20 per conference

4. **Structurally, OSI shall (until or unless the OSI delegate group chooses otherwise) be a loose assemblage of delegates**—some appointed, some volunteering, but all sharing a common characteristic of being high-level professionals committed to helping move this effort forward. There is no management structure within OSI and no hierarchy—everyone has an equal voice and equal influence. Sponsors and partners in this effort receive no special privileges or consideration in terms of agenda items or favorable decisions—only increased visibility from posters, logos and such, and in the case of university partners, opportunities to showcase work and involve faculty, staff and students.
5. **Supporting OSI through sponsorships, participation and other means, means agreeing to help push forward the OSI process and consider engaging in partnerships and agreements as they become available over time.** There are no legally-binding expectations involved in participating in, advocating for, or otherwise supporting OSI, either at the individual or the institutional level.

In addition to ratifying this understanding of the purpose and structure of OSI, over the next few months in 2016, the OSI delegate group will also:

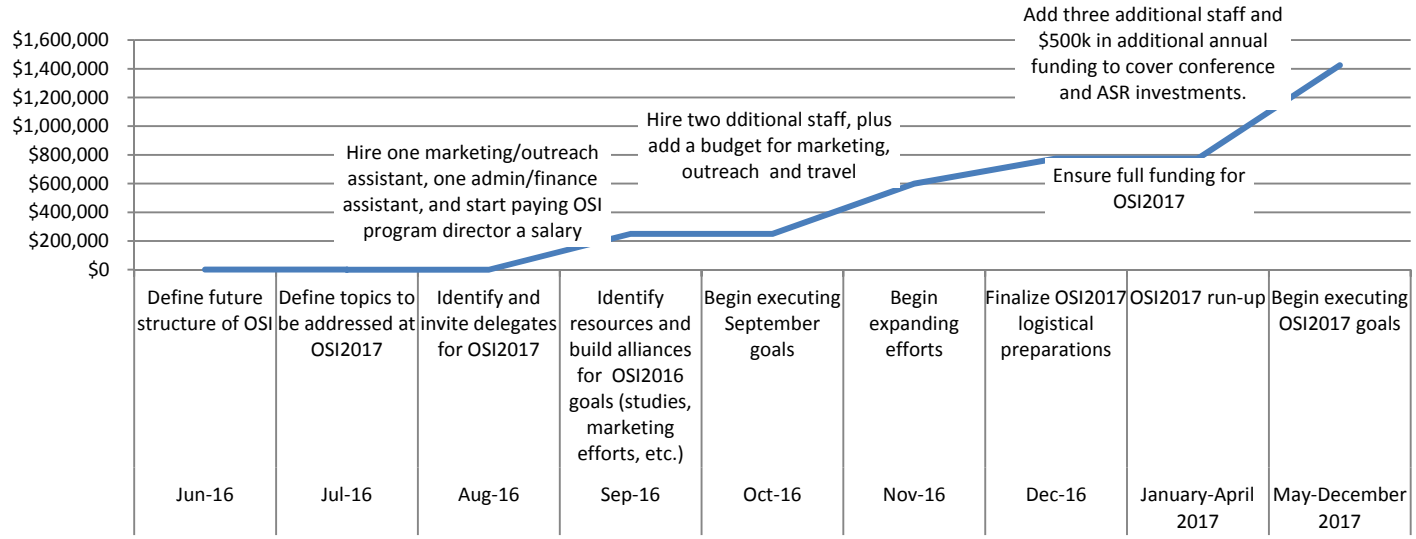
1. Review, circulate, and comment on the OSI2016 workgroup papers and OSI2016 final report
2. Develop a meeting agenda for OSI2017
3. Develop and approve a constitution and plenary structure for OSI
4. Complete delegate recruitment for OSI2017. Around 50% of OSI2016 delegates are returning to OSI2017, which will help in terms of passing the torch to the next group, following through on ideas and initiatives, and continuing to nurture important relationships.

Short-Term Financial Needs

The OSI2016 conference was made possible by financial support from 12 sponsoring institutions plus delegate fees (of $500 each; see Annex section for details). Delegate fees provided the largest portion of support. A similar formula will be tried again for the 2017 conference, but it's unlikely that delegate fees will total more due to pushback from the OSI audience regarding the current fee levels. Apart from conference funding, OSI itself—the ongoing effort of which the annual conferences are a subset—is operating as a volunteer-run project of the National Science Communication Institute (nSCI). Given the significance of this effort and the momentum it has built, it is important to disperse ownership of this effort and to establish a financial foundation for it in the following priority:

1. Ensure that nSCI receives some sort of reasonable fee to ensure its continued oversight of this effort
2. Relieve some of the fundraising stress from the annual OSI conferences by providing a firmer financial foundation for these events (the base cost of each conference is about $175k/yr)
3. Enhance the ability of OSI to carry out its mandate by funding around 6-8 OSI staff positions as follows:
    a. Marketing/outreach specialist: Duties include identifying and reaching out to new delegates, community-building, web management for OSI and related sites as they develop, developing OSI tiger team materials, and helping manage conferences
    b. Finance specialist: Duties include developing and overseeing a robust fundraising effort, including applying for private and government grants, and identifying and building other sources of long-term support. Also manages books for OSI and OSI conferences.
    c. Programming specialist: Duties include creating and managing solutions needed for all web-based efforts and products.
    d. Research specialist: Duties include managing all research projects needed for OSI and conducting, coordinating or assisting in this research as needed.
    e. Project specialist: Duties include coordinating and overseeing all sub-projects being pursued by OSI (such as, for instance, tenure reform and peer review reform).
    f. Admin specialist: Duties include general support for all other specialists as needed, including email, web development, conference management, research and outreach.
4. Fully loaded with staff, travel (including many more travel scholarships in order to make it possible for more international delegates to attend) and other costs (such as the materials needed for outreach work), the total annual budget for the OSI program would reach about $1.4 million. Additional growth beyond this level would depend on how much funding OSI is able to raise from other sources (which we will pursue aggressively), how much progress the effort will be making (the needs will ramp up as the goals draw nearer), and how heavily involved OSI becomes in actually executing the details of proposals such as building new databases and conducting research (as opposed to contracting out this work or serving as a locus point for the work being done by other stakeholder groups).

Ideal OSI short-term budget growth (excluding conference sponsorship funding)



Long-Term Financial Needs

Depending on whether or not OSI takes off and how deeply it becomes involved in executing the details of workgroup proposals (as noted above), the OSI budget may plateau at about $1.425 million annually for the next ten years, or it may continue to grow. Our bias would be toward growing in order to ensure that we have sufficient people and resources in place to make things happen (for instance, realistically this program will need several project managers and not just one). Success will breed success, whereas failing to follow through on ambitious plans and high expectations will reinforce the sense that fixing scholarly publishing is impossible and funding for this effort will dry up, along with interest and participation. The pressure will need to be kept on in order for this effort to work.

Long-term, it's entirely possible that if ambitious projects like the All-Scholarship Repository (or ASR; see Annex section) became part of the OSI mandate because OSI delegates were calling for these actions to happen, then OSI would end up needing dozens of staff members and a budget of many millions of dollars annually. The same is true if many studies are required as a prerequisite to action. That said, as mentioned above, millions annually is a drop in the bucket compared to the size of the scholarly publishing market. A comparatively modest investment in this effort will yield a strong return on investment to all stakeholder groups as well as to the public purse and to research in general.

About nSCI

The National Science Communication Institute (nSCI) is the parent body of OSI. The goal of nSCI is to change the culture of communication *inside* science. Other nSCI projects related to OSI include the All-Scholarship Repository (ASR), the Science Communication Network and the Science Communication PhD program. Funding for OSI and these other efforts flows through nSCI with no overhead. nSCI is a 501c3 tax-exempt nonprofit charity registered in Washington State (EIN 27-4690007). For more information about nSCI, please visit nationalscience.org.

Annex 1: OSI2016 Workgroup Questions

Each of these questions was addressed by diverse 10-12 person teams. Some teams were more diverse than others due to last-minute shifts in attendance, but overall, the conference was balanced by design to represent a broad swath of perspectives in scholarly publishing.

WHAT IS PUBLISHING?

What do we mean by publishing in today's world? What should be the goals of scholarly publishing? What are the ideals to which scholarly publishing should aspire? What roles might scholarly publishers have in the future? What scenarios exist where publishers continue to play a vital role but information moves more freely? What impact might these reforms have on the health of publishers? Scholarly societies? Science research? Why?

WHAT IS OPEN?

There is a broad difference of opinion among the many stakeholders in scholarly publishing about how to precisely define open access publishing. Are "open access" and "open data" what we mean by open? Does "open" mean anything else? Does it mean "to make available," or "to make freely available in a particular format?" Is a clearer definition needed (or maybe just better education on the current definition)? Why or why not? At present, some stakeholders see public access as being an acceptable stopping point in the move toward open access. Others see "open" as requiring free and immediate access, with articles being available in CC-BY format. The range of opinions between these extremes is vast. How should these differences be decided? Who should decide? Is it possible to make binding recommendations (and how)? Is consensus necessary? What are the consequences of a lack of consensus?

WHO DECIDES?

Tied to this question of who should decide the future of open access, who should have the power to make changes to scholarly publishing practices? Do these powers flow from publishers, institutions, tenure committees, funding agencies, authors, or all of the above? All of the above? None of the above? What are the pros, cons, and consequences of different institutions and interest groups developing and implementing their own solutions (even the one-off variety)? Is federal oversight needed? Global coordination (through an organization like UNESCO)?

WHAT ARE THE MORAL DIMENSIONS OF OPEN?

Does society have a moral imperative to share knowledge freely, immediately, and without copyright restriction? A legal imperative? Why or why not? What about research funded by governments? Corporations? Cancer research? For that matter, is our current mechanism for funding scholarly publishing just or unjust? What other models are there? What are the pros and cons of these models? What is the likelihood of change?

WHAT ARE THE USAGE DIMENSIONS OF OPEN?

What are the usage-related challenges currently faced by open efforts? For instance, open data is intriguing in principle, but in reality, making underlying data open can be problematic, conflicting with the need for research secrecy (whether driven by the desire to be first to publish, or the desire of funders to hold onto data to protect future discovery potential), the potential for misinterpretation by other researchers, and so on. Publishing clinical trial data in open formats is also intriguing but would run afoul of many current consent agreements, particularly older consents. Open access is similarly challenged in some instances by a conflict between which version of papers is allowed appear in open repositories. What is the value of archiving non-final versions? What are the range of issues here, what are the perspectives, and what might be some possible solutions?

EVOLVING OPEN SOLUTIONS

Are the scholarly publishing tools we're using today still the right ones? Is the monograph still the best format in the humanities? Is the journal article still best in STM? These products can be difficult to produce and edit, nearly impenetrable to read, and—as in the case of clinical research information—they aren't necessarily the best-suited formats for capturing every piece of necessary information (like protocols and datasets in medical research) and showing how this information is all connected to other scholarship. What other formats and options are being considered or used? What are the prospects of change? How about the stakeholder universe itself? How are roles, responsibilities and expectations changing (and where might they end up)? Are we "settling" on half-measures or on the best possible solutions?

OPEN IMPACTS

How fast is open access growing? Is this fast enough? Why or why not? What are the impacts of currently evolving open systems? For instance, are overall costs being reduced for scholarly libraries? Is global access to scholarly information increasing? What about in the Global South? What is the impact in this region of increasing adoption of the author-pays system? What pressures is the move to open placing on institutions and systems and what are the costs/benefits?

PARTICIPATION IN THE CURRENT SYSTEM

Do researchers and scientists participate in the current system of scholarly publishing because they like it, they need it, they don't have a choice in the matter, or they don't really care one way or another? What perceptions, considerations and incentives do academicians have for staying the course (like impact factors and tenure points), and what are their pressures and incentives for changing direction (like lowering publishing charges)?

INFORMATION OVERLOAD & UNDERLOAD

Information underload occurs when we don't have access to the information we need (for a variety of reasons, including cost)—researchers based at smaller institutions and in the global periphery, policymakers, and the general public, particularly with regard to medical research. Overload occurs when we can access everything but are simply overwhelmed by the torrent of information available (not all of which is equally valuable). Are these issues two sides of the same coin? In both cases, how can we work together to figure out how to get people the information they need? Can we? How widespread are these issues? What are the economic and research consequences of information underload and overload?

PRESERVATION, REPOSITORIES & MANDATES

Are we satisfied with the current state of global knowledge preservation? What are the current preservation methods? Who are the actors? Is this system satisfactory? What role do institutional repositories play in this process? What does the future hold for these repositories (taking into account linking efforts, publishing company concerns about revenue declines, widespread dark archiving practices, and so on)? Would new mandates help (or do we simply need to tighten existing mandates so they actually compel authors to do certain things)? And how do versions of record figure into all of this—that is, how do archiving policies (with regard to differences between pre-journal and post-journal versions) affect knowledge accuracy and transfer?

PEER REVIEW

Managing the peer review process is one of the major attractions and benefits of the current publisher-driven publishing environment. Would it be possible to maintain peer review in different system—perhaps one where peer review happens at the institutional level, or in an online-review environment? How? What is really needed from peer review, what are the reform options (and what do we already know about the options that have been tried)?

EMBARGOS

In an information system where so much information is destined for subscription journals, the assumption has been that embargos allow publishers time to recoup their investments, and also allow the press time to prepare news articles about research. Is this assumption warranted? Why or why not? Is the public interest being served by embargos? What about by embargos on federally-funded research? Are there any facts or options that haven't yet been considered to address the concerns animating the embargo solution?

IMPACT FACTORS

Tracking the metrics of a more open publishing world will be key to selling "open" and encouraging broader adoption of open solutions. Will more openness mean lower impact, though (for whatever reason—less visibility, less readability, less press, etc.)? Why or why not? Perhaps more fundamentally, how useful are impact factors anyway? What are they really tracking, and what do they mean? What are the pros and cons of our current reliance on these measures? Would faculty be satisfied with an alternative system as long as it is recognized as reflecting meaningfully on the quality of their scholarship? What might such an alternative system look like?

Annex 2: The All-Scholarship Repository[ii]

A variety of important initiatives are happening worldwide to integrate existing warehouses of academic knowledge (most commonly known as institutional repositories, or IRs). The main issue with integration is that research repositories are built to a wide variety of specifications, utilize a wide range of technologies, and are generally incomplete (in terms of the information they contain, the recency of their information, and the degree to which this information is accurately and completely notated). Tied to the issue of integration, the ability to "hook" into different repositories and pull out information is limited and mostly results in portals that simply provide links to articles instead of full-text resources that are truly integrated.

The prospects of improving repositories are questionable: University repositories are generally not well funded and therefore may not offer a wide range of services, including metadata support or review. There also aren't adequate incentives for depositing into repositories (and/or, there is apathy, a lack of awareness, confusion, and even disincentives in some cases). Goodwill appears to be the primary motivator at present (as the survey data bears out; see Annex 6). Therefore, the success of integrative efforts depends on the use and development of institutional efforts, as well as the ability to integrate these disparate systems into a single, usable system. It may be worth considering whether a better approach is to simply work toward building a single repository, perhaps with robust distributed capabilities to allow for continued institutional, community and discipline-level "ownership" and management of information.

The current state of institutional repositories is tangled, and yet worldwide there are a number of worthy efforts trying to come to grips with the issues and solutions. Quoted here is a portion of what Richard Poynder wrote about the effort to network research repositories in May 2014 interview of Kathleen Shearer, executive director of the Confederation of Open Access Repositories (source: http://bit.ly/164kjDl):

> "In October 1999 a group of people met in New Mexico to discuss ways in which the growing number of "eprint archives" could cooperate.
>
> Dubbed the Santa Fe Convention, the meeting was a response to a new trend: researchers had begun to create subject-based electronic archives so that they could share their research papers with one another over the Internet. Early examples were arXiv, CogPrints and RePEc.
>
> The thinking behind the meeting was that if these distributed archives were made interoperable they would not only be more useful to the communities that created them, but they could "contribute to the creation of a more effective scholarly communication mechanism."
>
> With this end in mind it was decided to launch the Open Archives Initiative (OAI) and to develop a new machine-based protocol for sharing metadata. This would enable third party providers to harvest the metadata in scholarly archives and build new services on top of them. Critically, by aggregating the metadata these services would be able to provide a single search interface to enable scholars interrogate the complete universe of eprint archives as if a single archive. Thus was born the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH). An early example of a metadata harvester was OAIster.

Explaining the logic of what they were doing in D-Lib Magazine in 2000, Santa Fe meeting organizers Herbert Van de Sompel and Carl Lagoze wrote, “The reason for launching the Open Archives initiative is the belief that interoperability among archives is key to increasing their impact and establishing them as viable alternatives to the existing scholarly communication model.”

As an example of the kind of alternative model they had in mind Van de Sompel and Lagoze cited a recent proposal that had been made by three Caltech researchers.

Today eprint archives are more commonly known as open access repositories, and while OAI-PMH remains the standard for exposing repository metadata, the nature, scope and function of scholarly archives has broadened somewhat. As well as subject repositories like arXiv and PubMed Central, for instance, there are now thousands of institutional repositories. Importantly, these repositories have become the primary mechanism for providing green open access—i.e., making publicly-funded research papers freely available on the Internet. Currently OpenDOAR lists over 3,600 OA repositories.

WORK IN PROGRESS

Fifteen years later, however, the task embarked upon at Santa Fe still remains a work in progress. Not only has it proved hugely difficult to persuade many researchers to make use of repositories, but the full potential of networking them has yet to be realized, not least because many repositories do not attach complete and consistent metadata to the items posted in them, or they only provide the metadata for a document, not the document itself. As a consequence, locating and accessing content in OA repositories remains a hit and miss affair, and while many researchers now turn to Google and Google Scholar when looking for research papers, Google Scholar has not been as receptive to indexing repository collections as OA advocates had hoped.”

GLOBAL PROGRESS

According to Shearer, “There are numerous national and thematic repository networks around the world, which link repositories with each other. These have evolved based on unique requirements and mandates; are at different stages of development; and reflect varying levels of integration. Some national networks, such as in the UK, Portugal, Argentina, and Spain, are very cohesive and have a number of robust services supporting their repositories. Others are less developed and unified, and revolve more around a community of practice for repository managers. Broadly speaking, repository networks can be characterized as having one or more of the following aspects: community of practice, adoption of common standards for metadata and vocabularies, centralized harvester, catch-all repositories for orphan publications, and other value added services. In addition to national and thematic networks, regional repository networks are being developed to connect repositories across national boundaries.”

The La Referencia repository network in nine countries at present (Argentina, Brazil, Chile, Colombia, Ecuador, and Mexico, Peru, Venezuela and El Salvador) harvests from national nodes that in turn are harvesting from institutional repositories. “The initiative,” says Shearer, “began as a project funded by the Inter-American Development Bank (IDB) and is now managed by CLARA, the organization that manages the high-speed network in Latin America.” OpenAIRE is a project funded by the EC to develop repository infrastructures in the EU. OpenAIRE aggregates the

research output of EC-funded projects and makes them available through a centralized portal. Shearer notes that "OpenAIRE-compliant repositories adopt common guidelines so that content can be aggregated into the central portal. OpenAIRE, with renewed funding from the EC, will soon begin to develop other value added services such as text mining and reporting tools, which enable users to better use the content and track funded research outputs." China is also investing in the development of institutional repositories and sees these as the main route toward open access, as opposed to gold OA.

US PROGRESS[1]

The US is taking several different approaches to this challenge:

- CHORUS—the Clearinghouse for the Open Research of the United States—is a private enterprise run by CHOR, Inc, a 501c3 nonprofit. According to their website at chorusaccess.org, CHORUS "leverages widely used technology to facilitate a simple compliance process, optimized search and dashboard services, and multi-party archiving and preservation capabilities." It is intended to be "interoperable with other public-access delivery solutions, agency search portals, publisher platforms, and scholarly repositories and archives." CHORUS points users to the best available version of articles on the publishers' publication sites. The open programming and interface is intended to encouraging innovators to develop new tools and functionality "that further support public access and facilitates text/data mining on funded research."
- PAGES—the Department of Energy's Public Access Gateway for Energy and Science—is the DOE portal that makes scholarly scientific publications resulting from DOE research funding publicly accessible and searchable at no charge to users. Launched in August 2014 in response to the February 2013 OSTP memorandum, PAGES offers free public access to the best available full-text version of DOE-affiliated scholarly publications after an "administrative interval" of 12 months. According to their website at osti.gov/pages/search.jsp, "DOE PAGES^{Beta} contains an initial collection of journal articles and accepted manuscripts as a demonstration of its functionality and eventual expanded content. Over the next year, additional metadata and links to articles and accepted manuscripts will be added as they are submitted to OSTI, with anticipated annual growth of 20,000-30,000 publicly-accessible articles and manuscripts. When DOE PAGES moves beyond the "beta" period, it will offer distributed full-text access to all DOE-affiliated accepted manuscripts or articles after an administrative interval of 12 months."
- SHARE—the "Shared Access Resource Ecosystem"—is a university-centric solution being developed by the Association of American Universities, the Association of Public and Land-grant Universities, and the Association of Research Libraries, working with the Center for Open Science as development partner. According to a June 2013 briefing paper (http://www.arl.org/storage/documents/publications/share-proposal-07june13.pdf), "SHARE envisions that universities will collaborate with the Federal Government and others to host cross-institutional digital repositories of public access research publications that meet federal requirements for public availability and preservation. SHARE will have a central metadata

[1] As noted, this annex is taken from the Open Science Initiative report of February 2014. Progress outside the US was not discussed at length in this report, and in fact there may be considerably less federated activity happening in the US than in several other countries. In the UK, for instance, CORE (https://core.ac.uk/) has aggregated 36 million OA articles. Research Data Australia (https://researchdata.ands.org.au/) links out to 63,000 data sets in Australia alone. The European Open Science Agenda (http://ec.europa.eu/research/openscience/pdf/draft_european_open_science_agenda.pdf#view=fit&pagemode=none) has several projects tackling this area. The Lens (https://www.lens.org/lens/) opens up the information held in patents (98 million and counting).

aggregator and will also release event metadata. According to the July 2014 SHARE newsletter, in June "the team began evaluation of content, API, and harvesting options from ClinicalTrials.gov, the Department of Energy's (DOE) SciTech, ImpactStory, CrossRef, the National Library of Medicine's PubMed Central, and the Public Library of Science (PLoS). Development of initial code libraries and parsing of content began on ClincialTrials.gov, DOE SciTech, and ImpactStory. In addition to these initial content streams, the team built a scraping integration API called "scrapi," which will be used to manage the incoming content from many sources."

- DPLA: Although not focused on scholarly publishing, the Digital Public Library of America has put together a collaborative model that might work well for combining institutional repositories of scholarly works. This model combines a central website with distributed ownership, allowing libraries across the country to update and maintain materials while also making these materials accessible both through the DPLA website (dp.la) and through regional service hubs.

ISSUES WITH CURRENT EFFORTS

All of these systems—PAGES, OpenAIRE, and others—are just portals and aren't designed to include the full text of articles (or additional research documents). And the success of all of these efforts will depend on the continued development and integration of institutional and commercial repositories. PAGES, for instance, will incorporate publisher-supplied metadata from CHORUS and link to publicly-accessible content.

The reason PAGES chose this route instead of the ASR route, according to Mel DeSart, head of the engineering library at the University of Washington, dates back to the February 2013 OSTP directive encouraging the development of "a strategy for leveraging existing archives, where appropriate, and fostering public/private partnerships with scientific journals relevant to the agency's research." OSTP was also looking for solutions that encourage public-private collaboration to:

- maximize the potential for interoperability between public and private platforms and creative reuse to enhance value to all stakeholders,
- avoid unnecessary duplication of existing mechanisms,
- maximize the impact of the Federal research investment, and
- otherwise assist with implementation of the agency plan.

A single, integrated platform is, in essence, what the OSTP intended to accomplish, agrees William Gunn. "They wanted to expand PubMed Central to PubFed Central. This broke apart due to interagency politics and now each agency is to come up with their own plan. They're overdue to submit their plans and so far only NIH and DOE are close, with DOE leaning towards CHORUS and various other agencies working on their own solutions."

What are the keys to making these systems work as hoped? According to David Wojick, "The key as far as PAGES is concerned will be providing good metadata that accurately identifies the funders of the research being reported on. This metadata is turning out to be surprisingly difficult to get from the authors, even for the publishers. PAGES also needs the publication date in order to apply the mandated embargo period. Acceptance per se is not enough. Linking to publishers and IRs on a grand scale is pretty complex."

The biggest problem with SHARE, writes Wojick, is that they are simply going to harvest whatever metadata each repository provides, "so it is not clear how much true integration we will get. They are just beginning to address that issue."

TO BUILD…

So what might a single, connected, all-scholarship repository accomplish? One way to approach this question is to explain what the currently disconnected system cannot accomplish. Without a common platform or interoperability framework, digital fragmentation will continue to make information access worse and worse. Imagine the Internet without common standards—using computers that don't talk to each other, don't use a common language, and yet are supposed to work together to create a robust, dynamic, and usable pool of global knowledge.

This communications dysfunction is real and immediate in science. It demands not just creating a pie-in-the-sky future, but getting a handle on the information we have right now. Take HIV/AIDS research. No single database of research exists—nothing that ties together 30 years of research studies, data, protocols, and ideas. There are silos of databases, each with their own unique data headers, but there is no standard between them (one is under development), no effort that ties all of this work together (a small trial effort is struggling for funding), and no agreement among research institutions and networks to do this on a grand scale—not even an archive of all HIV/AIDS research papers that ties everything together and helps modern researchers look back and see what's been done already and what was learned.

Even if the sole purpose of an ASR effort was to improve how we spend our increasingly scarce research dollars, we can posit that building a single, interoperable repository will save billions of dollars and vastly improve research efficiency and effectiveness.

And that's not even considering what it will do for discovery. Or considering fields outside of HIV/AIDS research.

What would happen to institutional repositories and efforts like SHARE, CHORUS, PAGES, and other if a new, massive ASR was funded? Probably nothing, at least for years and years. It will take a village to pull this off, from institutions to current repository players to publishers and government agencies. This enterprise will take at least a decade to build but support will grow over time (and with it, funding and discovery). As it grows, the incentives will become the elephant in the room. For reasons of visibility, discoverability, access, sustainability, reputation, ease of use, and so on, the reasons for using this system will be obvious and the reasons for not using it will sound irresponsible.

Also, a hundred new actors will enter this space—far more than there are now—and the competition this creates will drive innovation. Specifically, there doesn't need to be just one ASR. In fact, says Glenn Hampson, the executive director of nSCI, "for reasons of sustainability, access, innovation, security, preservation, and more, there should be many, and these should be shared, linked, archived, and replicated. The first ASR should be shared with Elsevier, so Elsevier can put its own spin on the information architecture and attract users based on how well it does in this regard. The same goes for AAAS and anyone else who wants to take this data and run with it. The first ASR would be the primary, common repository, but not the sole interface. Every institution and research organization should be able to get into this system and clean up its files, add links, add profiles, add new

metadata, create colloquial summaries of the research that can understood by outsiders, add databases, create connections to other research and researchers, do real-time test-comparisons of data (already being done through systems designed by LabKey in Seattle), and much more."

The right balance of carrots and sticks is needed moving forward. Writes Dee Magnoni, research library director at the Los Alamos National Laboratory, a new all-scholarship system built from the ground up can include all the incentives needed to encourage participation—"the emerging ability to feed profiles with repository content, altmetrics, ORCID and VIVO info, etc. can go a long way to building incentives."

…OR NOT TO BUILD?

On the other hand, do we need to design a new system in order to have true interoperability between repositories? That's the big question right now. Some say yes, others say no—at least not yet. It's possible, for instance, that we can accomplish the same end-goals of an ASR by simply improving participation in existing institutional repositories (maybe through a massive sustained outreach campaign, suggests William Gunn). Or by continuing to build systems to interface with the repositories that researchers already use. "There are millions of researchers on Mendeley," for instance, says Gunn, and "many hundreds of thousands … have up to date publication records on their profiles, suggesting one option is to leverage this work already done (and the hundreds of thousands in ORCID, for example), to fetch the publications automatically. Mendeley and ORCID have APIs & repos have deposit interfaces."

Therefore, not everyone is convinced that re-inventing the wheel (yet again) is the best way to approach this issue. Writes Richard Poynder, "While I like the idea of an 'all-scholarship repository,' I do wonder how practical it is. The OA movement has been promising a distributed network offering something like that for over a decade. Yet thirteen years after the OAI-PMH protocol was created to facilitate interoperability between repositories I do not believe an effective network has yet to be created, not least because repositories do not implement metadata properly. So I suspect the task is far from trivial, both in terms of the technical and metadata work needed to build the infrastructure and because of the consequent cost, both the cost of setting it up and of maintaining it. And for so long as researchers continue to go to traditional publishers to publish their work any such network is going to be in competition with those publishers, who have a number of advantages."

Indeed, Eric Van de Velde suggests that the objections to making any attempt at some version of an all-scholarship repository (either centralized or distributed) can be grouped like this:

- In the absence of strong OA pressures from the scholarly discipline (as for HEP and ArXiv), local repositories are likely to be best to obtain the maximum content. Moreover, they distribute the costs and efforts.
- Thus far, standardization of local-repository practices and metadata has not succeeded.
- The problems with metadata together with the limitations of OAI-PMH have made the federated approach a complete mess in terms of discovering/searching/managing/measuring Green OA scholarship.
- The metadata approach is fundamentally flawed for the long term.

- Repositories completely open up full text and all data. A more complete argument on this here: The Metadata Bubble (http://scitechsociety.blogspot.com/2014/10/the-metadata-bubble.html)
- Institutions should be more open to having complete collections harvested by other institutions/services and collected into super-repositories.

CONCLUSION

There are many inside and outside the current OSI group who are interested in continuing this initiative to explore a single repository approach. We all recognize that institutional repositories are an important—perhaps even central—issue in the OA conversation, and therefore, are calling it out here for further investigation and effort.

ASR and the science communication infrastructure

The All Scholarship Repository (ASR) would replace the thousands of government and institutional repositories currently in use with one ultra-high functioning repository---a single Amazon for all things research---and would also simplify the flow of research information. All information---not necessarily in research paper format but in all kinds of reporting formats---would simply be deposited into ASR and picked up from there by publishers and other researchers. This information dump would be analogous to simply filing information on a computer, but in an organized and standardized way. Identifying the most salient information and developing it for audiences would be a separate process left mostly to publishers, researchers, and research communication teams, who would troll this massive database for content.

In this sort of information ecosystem, new opportunities and challenges would emerge for publishers as more and more innovation and competition developed around identifying and developing the best content from the ASR for audiences and also developing the most compelling interfaces that provide the most value for audiences. Some public interfaces would certainly be free, but competitive new interfaces supported by ad and subscription revenue would also likely emerge. In addition to providing premium content (e.g., peer reviewed, formatted and edited, supplemented by interactive databases and research connection services, etc.) these publishers would have a strong, valuable and viable presence in the research publishing world, but they would not be gateways to the raw information itself. Much like Internet news today, anyone would be able to find out anything, but the most consumed and trusted information would still be curated, fact-checked, and come from reliable sources.

The core database for ASR would be structured like the Digital Public Library of America, where every institution, publisher, discipline, subject and author would be able to design their own user interface drawing from the same common information base. Every institution would be able to adjust content permissions as needed for now, but the long-term aim would be to figure out how to release more and more existing repository content to the public over time, and to enhance existing content with data and other value (such as commentary, "impact" ratings, research connections, researcher databases and more).

In order for ASR to reach its full potential, it would need to be surrounded by a new communications capacity in research institutions. Otherwise, the task of publishing data to the ASR and maintaining this resource would be untenable. These research communication teams would bear the primary responsibility for maintaining ASR and over time, and might also eventually perform functions such as standardizing data prior to publishing, connecting research, and liaising with publishers, policymakers, educators and the public, thereby relieving researchers of these communication responsibilities (many of which are new) and also improving participation in and sustainability of these important functions (over time, the ASR team itself will also develop these capacities, especially to assist communication teams with their work).

Once ASR becomes fully functioning, it would be a deep resource for researchers and publishers. With a massive, connected database of research information, new disciplines and industries would emerge to try to connect the dots. "Peering" experts would be needed---a new class of scientists would look for and develop connections within and between research---as well as experts who would take on the heady task of standardizing data within and between fields.

ASR would eliminate a host of bottlenecks in the current scholarly publishing system, and simultaneously address a number of contentious and even seemingly intractable cultural issues, all while keeping existing stakeholders at the table, and also spurring discovery and innovation as researchers from institutions, business, and the public begin digging through and connecting research in ways that have never been possible before.

Annex 3: OSI2016 Sponsors & Budget

INCOME	Amount	Percent
Institutional support and commitments		
UNESCO	$48,000	28.4%
Alfred P. Sloan Foundation	$20,000	11.8%
Elsevier	$7,500	4.4%
PressForward Institute (via Sloan)	$5,500	3.3%
Nature Publishing Group	$5,000	3.0%
George Mason University	$4,500	2.7%
Wiley	$7,500	4.4%
Laura & John Arnold Foundation	$5,000	3.0%
Sage Publications	$5,000	3.0%
Copyright Clearance Center	$2,000	1.2%
ResearchMedia	$500	0.3%
Participant fees (@ $500 ea)	$58,000	34.4%
Private donations	$350	0.2%
Total income	**$168,850**	**100.0%**

EXPENSES	Amount	Percent
PayPal transaction fees (@19.80 each)	$2,297	1.4%
Transportation		
Buses and shuttles	$16,964	10.0%
Parking passes (40 @ $20/day x 2 days)	$1,600	0.9%
Campus-related		
Catering (3 meals + breaks) x 2 days	$44,048	26.1%
IT and poster board services	$1,350	0.8%
Musicians	$1,000	0.6%
Thursday night entertainment	$9,500	5.6%
Award (plaque) for GMU	$200	0.1%
Hotel-related		
Catering minimum	$37,304	22.1%
Booking shortfall penalty	$9,590	5.7%
IT services, sound, lights	$11,000	6.5%
Live-stream video (through GMU)	$1,500	0.9%
Management fee (nSCI)*	$21,000	12.4%
Program director's travel and lodging bill	$1,547	0.9%
Signage (est)		
Name tags (to be printed by GMU)	$200	0.1%
Misc extras (yard signs, OSI welcome)	$1,000	0.6%
Misc printing (pens, jackets, folders, etc.)	$8,750	5.2%
Total expenses	**$168,850**	**100.0%**

Annex 4: OSI2016 Delegate List

- Aaron McCollough, Head, Scholarly Communication and Publishing Unit, University of Illinois Library
- Adam Huftalen, Senior Manager of Federal Government Affairs, RELX Group
- Adyam Ghebre, Director of Outreach, Authorea
- Agathe Gebert, Open Access Repository Manager, GESIS-Leibniz-Institute for the Social Sciences
- Ali Andalibi, Associate Dean of Research, George Mason University
- Alicia Wise, Director of Access and Policy, Elsevier
- Alison Mudditt, Director, University of California Press
- Amy Brand, Director, MIT Press
- Amy Nurnberger, Research Data Manager, Columbia University
- Andrew Tein, Vice President, Global Government Affairs, Wiley
- Angela Cochran, Director of Journals, American Society of Civil Engineers (ASCE)
- Ann Gabriel, Vice President, Academic & Research Relations, Elsevier
- Ann Riley, President, Association of College and Research Libraries (ACRL)
- Audrey McColloch, Chief Executive, Association of Learned and Professional Society Publishers (ALPSP)
- Barbara DeFelice, Program Director for Scholarly Communication, Copyright and Publishing, Dartmouth College
- Becky Clark, Director of Publishing, Library of Congress
- Bev Acreman, Commercial Director, F1000
- Bhanu Neupane, Program Specialist, Communication and Information Sector, UNESCO
- Bill Priedhorsky, Science Resource Office Director, Los Alamos National Laboratory
- Brett Bobley, CIO, National Endowment for the Humanities (NEH)
- Brooks Hanson, Director of Publications, American Geophysical Union
- Bryan Alexander, higher education publishing consultant and futurist
- Caroline Black, Editorial Director, BioMed Central (SpringerNature)
- Catherine Murray-Rust, Dean of Libraries & Vice Provost for Academic Effectiveness, Georgia Tech
- Catriona MacCallum, Acting Advocacy Director, PLOS
- Cheryl Ball, Director, Digital Publishing Institute, West Virginia University
- Chris Bourg, Director, MIT Libraries
- Chris Erdmann, Director, Harvard-Smithsonian Astrophysics Library
- Christina Drummond, Director of Strategic Initiatives, Educopia Institute
- Christopher Thomas, Administrator, Defense Technical Information Center (DTIC), US Department of Defense
- Claudia Holland, Head of Scholarly Communication and Copyright, George Mason University
- Colleen Cook, Dean of Libraries, McGill University
- Concetta Seminara, Editorial Director, US Social Science & Humanities Journals Program, Routledge/Taylor & Francis
- Crispin Taylor, Executive Director, American Society of Plant Biologists
- Danny Kingsley, Head of the Office of Scholarly Communication, Cambridge University
- Dave McColgin, User Experience Director, Artefact

- David Ross, Executive Director for Open Access, SAGE Publications
- Deborah Stine, Professor of the Practice, Engineering and Public Policy, Carnegie Mellon University
- Dee Magnoni, Research Library Director, Los Alamos National Laboratory
- Denise Stephens, University Librarian, University of California Santa Barbara
- Diane Graves, Assistant Vice President for Information Resources and University Librarian, Trinity University
- Dick Wilder, Associate General Counsel, Bill & Melinda Gates Foundation
- Donna Scheeder, President, International Federation of Library Associations and Institutions (IFLA)
- Elizabeth Kirk, Associate Librarian for Information Resources, Dartmouth College
- Emily McElroy, Director, McGoogan Library of Medicine, University of Nebraska Medical Center
- Éric Archambault, President and Founder, Science-Metrix
- Eric Massant, Senior Director of Government and Industry Affairs, RELX Group
- Frances Pinter, CEO, Manchester University Press and Founder of Knowledge Unlatched
- Francisco Valdés Ugalde, Director General, Latin American Faculty of Social Sciences (FLACSO) in Mexico
- Frank Sander, Director, Max Planck Digital Library, Max Planck Society
- Gail McMillan, Director of Scholarly Communication, Virginia Tech
- Gary Evoniuk, Director of Publication Practices, GlaxsoSmithKline (GSK)
- Geoffrey Bilder, Director of Strategic Initiatives, CrossRef
- Ginger Strader, Director, Smithsonian Institution Scholarly Press
- Glenorchy Campbell, Managing Director, British Medical Journal (BMJ) North America
- Grace Xiao, Co-Founder and President, Kynplex
- Gregg Gordon, President, Social Science Research Network (SSRN)
- Harriette Hemmasi, University Librarian, Brown University
- Ivan Oransky, Vice President and Global Editorial Director, MedPage Today, and Co-Founder, Retraction Watch
- Ivy Anderson, Interim Executive Director and Director of Collections, California Digital Library (CDL)
- J. Roberto F. Arruda, Special Advisor to the Scientific Director, São Paulo Research Foundation (FAPESP)
- Jack Schultz, Director, Christopher S. Bond Life Science Center, University of Missouri
- Jake Orlowitz, Head of The Wikipedia Library
- James Butcher, Publishing Director, Nature Journals
- James Hilton, University Librarian and Dean of Libraries, Vice Provost for Digital Education and Innovation, University of Michigan
- Jamie Vernon, Director of Science Communications and Publications at Sigma Xi and Editor-in-Chief, American Scientist
- Jane McAuliffe, Director, National and International Outreach, Library of Congress
- Jason Hoyt, CEO, PeerJ
- Jean-Gabriel Bankier, President, bepress
- Jeff Mackie-Mason, Dean of Libraries, University of California Berkeley
- Jeff Tsao, Distinguished Member of the Technical Staff, Sandia National Laboratories
- Jennifer Howard, Senior Reporter, Chronicle of Higher Education

- Jennifer Pesanelli, Deputy Executive Director for Operations and Director of Publications, Federation of American Societies for Experimental Biology (FASEB)
- Jessica Sebeok, Associate Vice President for Policy, Association of American Universities (AAU)
- Joan Lippincott, Associate Executive Director, Coalition for Networked Information (CNI)
- John Dove, library and publishing consultant
- John Inglis, Executive Director and Publisher, Cold Spring Harbor Laboratory Press and Co-Founder, bioRxiv
- John Vaughn, Senior Fellow, American Association of Universities (AAU)
- John Warren, Head, Mason Publishing Group, George Mason University
- John Willinsky, open access pioneer, PKP founder, and professor, Stanford University
- John Zenelis, Dean of Libraries and University Librarian, George Mason University
- Joshua Nicholson, CEO and Co-Founder, The Winnower
- Joyce Backus, Associate Director for Library Operations, National Library of Medicine, National Institutes of Health
- Joyce Ogburn, Dean of Libraries, Appalachian State
- Judy Luther, President, Informed Strategies
- Julie Hannaford, Deputy Chief Librarian, University of Toronto
- Kamran Naim, Lead Researcher, Open Access Cooperative Study
- Karin Trainer, University Librarian, Princeton University
- Karina Ansolabehere, human rights and democracy expert, FLACSO-Mexico
- Kathleen Fitzpatrick, Director of Scholarly Communication, Modern Language Association (MLA)
- Kathleen Keane, Director, Johns Hopkins University Press
- Kathleen Shearer, Executive Director, Confederation of Open Access Repositories (COAR)
- Keith Webster, Dean of Libraries, Carnegie Mellon University
- Kevin Bradley, President, US Journals, Taylor & Francis Group
- Kevin Davies, Vice President for Business Development, American Chemical Society, and Publisher, C&EN
- Kim Barrett, Dean of the Graduate Division, University of California San Diego (UCSD)
- Laura Helmuth, Incoming President, National Association of Science Writers (NASW)
- Laurie Goodman, Editor-in-Chief, GigaScience
- Lee Cheng Ean, University Librarian, National University of Singapore
- Lisa Macklin, Director, Scholarly Communications Office, Emory University
- Lisa Spiro, Executive Director of Digital Scholarship Services, Rice University
- Lorcan Dempsey, VP Research, Online Computer Library Center (OCLC)
- Marilyn Billings, Scholarly Communication & Special Initiatives Librarian, University of Massachusetts
- Mark Parsons, Secretary General, Research Data Alliance
- Mark Ware, Director, Mark Ware Consulting
- Martin Kalfatovic, Associate Director, Digital Program and Initiatives, Smithsonian Libraries
- Mary Augusta Thomas, Deputy Director, Smithsonian Libraries
- Mary Ellen Davis, Executive Director, Association of College and Research Libraries (ACRL)
- Mary Woolley, President, Research!America
- Maryann Martone, Director of Biosciences, Hypothes.is, and President, FORCE11

- Matt Spitzer, Community Manger, Center for Open Science (COS)
- Matthew Salter, Publisher, American Physical Society
- Medha Devare, Data and Knowledge Manager, Consultative Group on International Agricultural Research (CGIAR)
- Meg Buzzi, Director, Opus Program, UCLA
- Mel DeSart, Head, Engineering Library, University of Washington
- Melanie Dolechek, Executive Director, Society for Scholarly Publishing (SSP)
- Melinda Kenneway, Executive Director, Kudos
- Meredith Morovati, Executive Director, Dryad
- Micah Vandegrift, Digital Scholarship Coordinator, Florida State University
- Michael Van Woert, Executive Officer and Director, National Science Board Office, National Science Foundation (NSF)
- Michael Wolfe, Executive Director, Authors Alliance
- Mike Taylor, Software Engineer, Index Data and Research Associate, University of Bristol
- Nancy Davenport, University Librarian, American University
- Nancy Gwinn, Director, Smithsonian Libraries
- Nancy Rodnan, Senior Director of Publications, American Society for Biochemistry and Molecular Biology (ASBMB)
- Natalia Manola, Director, OpenAIRE
- Neil Jacobs, Head of Scholarly Communication Support, UK Joint Information Systems Committee (JISC)
- Neil Thakur, Special Assistant to the Deputy Director for Extramural Research, NIH, and program manager for the NIH Public Access Policy
- Norbert Lossau, Vice President, University of Göttingen
- Pablo Gentili, Executive Secretary, Latin American Council of Social Sciences (CLACSO) and Director, Latin American Faculty of Social Sciences (FLACSO) in Brazil
- Patrick Herron, Senior Research Scientist, Information Science + Studies, Duke University
- Paul Murphy, Director, RAND Press
- Paul Peters, CEO, Hindawi Publishing
- Paul Royster, Coordinator of Scholarly Communications, UNL Libraries
- Peter Berkery, Executive Director, American Association of University Presses (AAUP)
- Peter Potter, Director of Publishing Strategy, Virginia Tech
- Pollyanne Frantz, Executive Director, Grants Resource Center, American Association of State Colleges and Universities (AASCU)
- Rachel Dresbeck, President, National Organization of Research Development Professionals (NORDP) and Director of Research Development and Communications, Oregon Health and Science University
- Ralf Schmimer, Head of Scientific Information Provision, Max Planck Digital Library, Max Planck Society
- Rebecca Kennison, Principal, K|N Consultants
- Remi Gaillard, Head of Collection Management Department, University of Pierre and Marie Curie
- Renaud Fabre, Director, Scientific and Technical Information Directorate (DIST), French National Centre for Scientific Research (CNRS)
- Richard Gedye, Executive Council Chair, Research4Life and Director of Outreach Programs, International Association of STM Publishers

- Richard Ovenden, Bodley's Librarian, Bodleian Libraries, University of Oxford
- Richard Price, Founder and CEO, Academia.edu
- Rick Anderson, Associate Dean of Libraries at the University of Utah and President-Elect, Society for Scholarly Publishing (SSP)
- Rikk Mulligan, Program Officer for Scholarly Publishing, Association of Research Libraries (ARL)
- Rita Scheman, Publications Director, American Physiological Society
- Robert Cartolano, Vice President for Digital Programs and Technology Services, Columbia University
- Robert Kiley, Head of Digital Services, Wellcome Library
- Robert Schnabel, CEO, Association of Computing Machinery
- Robin Champieux, Scholarly Communication Librarian, Oregon Health & Science University (OHSU)
- Robin Staffin, Director for Basic Research, US Department of Defense
- Roy Kaufman, Managing Director, New Ventures, Copyright Clearance Center
- Ryan Merkley, CEO, Creative Commons
- Salvatore Mele, Head of Open Access, European Organization for Nuclear Research (CERN)
- Sarah Michalak, Associate Provost for University Libraries and University Librarian, University of North Carolina Chapel Hill (UNC)
- Sarah Pritchard, Dean of Libraries, Northwestern University
- Scott Montgomery, author, Chicago Guide to Communicating Science (2nd ed.)
- Scott Plutchak, Director of Digital Data Curation Strategies, University of Alabama at Birmingham
- Seth Denbo, Director of Scholarly Communication and Digital Initiatives, American Historical Association
- Sharon Farb, Associate University Librarian for Collection Management and Scholarly Communication, UCLA
- Sindy Escobar-Alvarez, Senior Program Officer, Doris Duke Charitable Foundation Medical Research Program
- Sioux Cumming, Program Manager, Online Journals, International Network for the Availability of Scientific Publications (INASP)
- Stephanie Fulton, Executive Director, Research Medical Library, MD Anderson
- Steve Fiore, President, Interdisciplinary Network for Group Research (INGRoup)
- Steven Hall, Managing Director, IOP Publishing
- Steven Hill, Head of Research Policy, Higher Education Funding Council for England (HEFCE)
- Stuart Taylor, Publishing Director, The Royal Society
- Susan Gibbons, Deputy Provost, Libraries & Scholarly Communication, Yale University
- Susan Haigh, Executive Director, Canadian Association of Research Libraries
- Susan Skomal, President/CEO, BioOne
- Susan Veldsman, Director, Scholarly Publishing Unit, Academy of Science of South Africa (ASSAf)
- Tee Guidotti, President-Elect, Sigma Xi
- Terry Ehling, Associate Director, Content Acquisition and Publisher Relations, Project MUSE, Johns Hopkins University Press
- Todd Carpenter, Executive Director, National Information Standards Organization (NISO)
- Tony Peatfield, Director of Corporate Affairs, Medical Research Council, Research Councils UK (RCUK)
- Tony Roche, Publishing Director, Emerald Publishing Group
- Trevor Owens, Senior Program Officer, Institute of Museum and Library Services (IMLS)

- Vivian Siegel, Director of Education and Training, Global Biological Standards Institute, Vanderbilt University
- Will Schweitzer, Director of Product Development, AAAS/Science
- William Gunn, Director of Scholarly Communications, Elsevier
- Wim van der Stelt, Executive Vice President, Projects Open Research, Springer Nature

Annex 5: OSI FAQS

Why is collaboration needed? What proof is there that collaboration will succeed?	On the one hand, it's clear to many people who have followed the changes happening is scholarly publishing over the years that much tension and uncertainty currently exists. To this, OSI delegate Rick Anderson noted in a recent OSI listserv conversation that "All of us have an imperfect understanding of 'the bigger picture,' and we should…try hard both to listen to and to learn from the perspectives of those who spend most of their time working in a different part of the system than we do." Having a forum where issues can be discussed that reach across stakeholder groups is critical, as it is with many other societal concerns. Imagine OSI's approach to improving scholarly publishing as being akin to auto manufacturers needing to establish common standards, or environmental regulators working toward common goals with a wide variety of stakeholders in the private sector, state and local governments, and federal and international governments. In scholarly publishing, a variety of independent stakeholders are independently working to create a similar class of products that should ideally be interoperable and that have significance to society---the production of knowledge of consequence to medical research, industry, environmental protection, and so on, using public money in most cases. This information isn't entertainment, nor is the type of information we're likely to easily find in newspapers or online (without access privileges), but research that we've invested in, that we monitor, and from which we increasingly expect to receive a return on investment. And in the production of this good, we have no universal guidelines---no coordinating body that says how it will be done, where it will be stored and preserved, how it can (or can't) be used, and so on. Ensuring that this process has reasonable guidelines that protect the benefits owed to society is the best way to protect the outputs from this system. So to create these guidelines---or at least to begin having this conversation---we need to create some kind of working group, some kind of representative body or forum that can work toward developing a system of joint responsibility for its proper care and development.
How will the OSI model yield results?	OSI will work together to solve difficult problems of mutual interest. Exactly how this will happen is still being discussed (the exact projects that OSI will tackle, for instance, and the governance structure OSI will follow). Something like this has never been tried before in scholarly publishing, though, so the honest answer to the question of how this model will yield results is "we don't know yet." At minimum, however, this effort is a catalyst, and the collateral benefits of this engagement may end up being just as important if not more so than the engagement itself. Whether through the specific efforts of OSI or through the better stakeholder interaction that OSI can help catalyze, better communication between stakeholders might result in tangible achievements such as clarifying author rights and publisher policies, promoting more transparency with regard to publication evaluation in tenure and promotion practices, strengthening

	institutional repository practices, evolving peer review, or all of the above. In a system that is so interwoven and where so many actors have significant influence over policy, funding and implementation decisions, having a forum where the decision makers in these groups can communicate---or at minimum, can be made aware of the different perspectives they need to consider---can only benefit.
What is the return on investment in OSI and the relative advantage of the approach it proposes?	Comparing the cost-benefit of OSI's approach with other ways of expanding open access is specious on two counts. First, OSI's approach is intended to redress a clear deficiency in the scholarly publishing ecosystem---specifically, the lack of broad, high-level communication and engagement between stakeholder groups. As far as we're aware, there aren't any other programs designed to do exactly this. While it would be fair to ask how the money spent on this approach might compare with, say, spending the same amount on establishing a new open access journal, this question is like asking how spending money to improve water quality affects spending on air quality programs. There's clearly a connection insofar as both spending programs relate to health, and insofar as budget resources aren't infinite and we need to set priorities and make tradeoffs, but the goals of these two programs are different. Second, OSI's approach is not focused on improving open access, but on improving open scholarship write large. "Open access" is a specific condition of open scholarship and does not involve issues like tenure reform and peer review reform. These tangential issues are all connected and are all part of the broad reform efforts being pursued by OSI.
What role will OSI will have in this space and how will it fill this role?	OSI's role is to bring the many stakeholder groups in scholarly communication together in conversation with a broad goal of finding common ground and coming up with workable solutions. Everything that happens as a result of this communication is win---even the conversation itself. That these groups are agreeing to communicate at all---OSI2016 was just a first step---shows that there is broad acceptance of the merit of this general approach, but the exact mechanisms for what comes next and how have yet to be considered and approved by the full OSI assembly. Importantly, it would be wrong to perceive that OSI is trying to supplant or surpass existing reform efforts. Indeed, one of the goals expressed by several OSI2016 workgroups was to try to integrate OSI quickly into the fabric of existing stakeholder groups to figure out how this effort can add value. It may be that OSI should try to coordinate joint actions across groups; or maybe simply connect groups through a common forum; or maybe attract partnerships through action on specific issues like tenure reform will be the best approach; or have different approaches for different issues. These conversations are ongoing and more detail is expected by the Fall of 2016. The common denominator in all of these possible approaches is that the goal of OSI is to help make significant improvements scholarly communications quickly---not to help eventually nudge along marginal change, but to help make broad, significant, sustainable change in a reasonably short period of time.
What is the governance structure of OSI?	OSI is a group of scholarly publishing stakeholder representatives who are working together to improve scholarly publishing. To-date, this group has just been a loose assembly of delegates. Going forward, a governance structure will be needed. A

	institutional repository practices, evolving peer review, or all of the above. In a system that is so interwoven and where so many actors have significant influence over policy, funding and implementation decisions, having a forum where the decision makers in these groups can communicate---or at minimum, can be made aware of the different perspectives they need to consider---can only benefit.
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What is the governance structure of OSI?	OSI is a group of scholarly publishing stakeholder representatives who are working together to improve scholarly publishing. To-date, this group has just been a loose assembly of delegates. Going forward, a governance structure will be needed. A

	proposal for such a structure is currently being vetted by the OSI delegate group. Once approved, this information will be posted on the OSI website.
What is OSI's budget?	At present, OSI's budget is the conference budget, as detailed in the annex section of this report. Support for this conference comes from delegates and from a wide variety of sponsors. Going forward, we hope to raise more money to also support staff salaries, studies, outreach, solutions development, and other items as needed.
What is nSCI's role?	OSI is a project created and currently managed by nSCI in partnership with the United Nations Educational, Scientific and Cultural Organization (UNESCO).
What is nSCI?	The National Science Communication Institute (nSCI) is a 501c3 non-profit charity registered in Washington State. For more information, please visit the nSCI website at www.nationalscience.org.
What are the proposed workgroups for OSI2017?	OSI2017 workgroups are currently being decided by the OSI delegate group. This information will be finalized soon and posted on the OSI website.
What are the specific action plans for OSI?	This, too, is currently being decided by the OSI delegate group. Of immediate concern is enrolling delegates for OSI2017. This meeting will be held in Washington DC from April 18-21, 2017. We expect that 200-250 delegates will attend, with about half of these delegates returning from OSI2016.

Annex 6: OSI Action Plan (Excerpts from August 2016 Draft)

Step	Description	Timeline	Status
1	Publish OSI2016 outcomes	Spring and summer 2016	Done
2	Outreach	Summer 2016	Step 1 done, step 2 pending
3	Start inviting delegates to OSI2017	Summer 2016	Step 1 done, other steps pending
4	Quick wins	October 2016	Pending
5	OSI2017 workgroups and focus areas	Fall 2016	Pending
6	OSI2017 meeting schedule	Winter 2016	Pending

Step 1: Publish OSI2016 outcomes

1. Finalize the OSI2016 workgroup papers and publish these online.

Step 2: Outreach (Summer 2016)

1. Circulate the OSI2016 papers and summary for comment and feedback.
2. Circulate the official OSI2016 summary report to a variety of stakeholder audiences, and encourage these audiences to share this summary with their institutions and networks for feedback/comment.

Step 3: Start inviting delegates to OSI2017 (Summer 2016)

3. Determine which audiences and individuals we still need to include.
    a. Approve the stakeholder quota system proposed in the table below. (Note: As of September 2016 this structure is being slightly modified and may end up including around 17 groups.)

Stakeholder group	% of delegates
14. Research universities	23%
15. Scholarly publishers	19%
16. Non-university research institutions	10%
17. Government policy organizations	10%
18. Open knowledge groups	10%
19. Funders (public and private)	5%
20. Scholarly library groups	5%
21. Broad faculty and education groups	5%
22. Businesses	5%
23. Scholarly communications experts	5%
24. Journalists	2%
25. Politicians	2%
26. Industry analysts	Up to 20 per meeting
27. Authors	Up to 20 per meeting

Step 4: Quick wins (by October 1)

1. Develop OSI governance guidelines for review and approval by the full delegate group.
2. Once 2017 focus points are identified, reach out to stakeholder groups to develop partnerships to move forward on these points

Step 5: OSI2017 workgroups and focus areas (Fall 2016)

OSI2017 workgroups will be formed early so they can begin working—leading various aspects of research or planning, making connections, and/or serving as an advisory board for admin work done by OSI. Workgroups report out to the full delegate assembly at OSI2017. Workgroups will be designed around the following tracks:

Track	Description	Needed	Delegates (250)	Notes
1. Follow-up	Follow up ideas and recommendations drawn from OSI2016 papers, notes and conversations.	To the extent we can start working on these plans now, we will.	Groups of 10-12 delegates	
2. Common threads	What are the common themes that run through a number of presentations?		Groups of 10-12 delegates	
3. New issues	What are the other foundational and emerging issues that weren't covered at the previous meeting?		Groups of 10-12 delegates	For instance, global south, Sci-Hub
4. Streams	What are the specific needs and goals for specific streams?		Groups of 10-12 delegates	Possible streams: HSS, STM, authors, scientists
5. Plenary	OSI2017 will have more opportunities for full-group conversation, and also debating broad agreements.	Between now and OSI2017, the structure and function of this body will need to be prescribed (and approved by the full OSI membership).	One group of 30 elected to an upper body as OSI reps; others are delegates.	The full plenary can also give delegates more opportunity to discuss other full-group issues
6. At-large	Observing and also helping facilitate groups as needed.		About 25	This group will also meet to discuss common themes and recommendations.

With these tracks in mind, and combined with outcomes for the OSI2016 reports, there would tentatively be 22 workgroups at OSI2017 as follows (noting that this number may change):

Track #	Track description	Workgroup #	Workgroup description
1	Follow-up	1a	Dig deeper in the question of developing new spectrum measures for open
		1b	Dig deeper into the question of developing new spectrum measures for open impact
		2	Dig deeper into the question of developing and recommending new tools to replace the journal impact factor (and recommend possible actions between now and the next meeting)
		3a	Conduct more research (even studies or pilots to the extent possible) that will help identify which publishing services can/should be better handled by others (disaggregated)
		3b	Conduct more research (even studies or pilots to the extent possible) that will help create an evidence base to answer the question of whether subscription revenue is negatively affected by removing post-publication embargoes
		3c	Conduct more research (even studies or pilots to the extent possible) that will help answer the questions of whether a global flip using APC's is the right model to pursue (given concerns about how this might affect access in the global south)

		3d	Conduct more research (even studies or pilots to the extent possible) that will help identify the economic impacts of open
		3e	Conduct more research (even studies or pilots to the extent possible) that will help us develop a better understanding of how the system works now, and then identify scholarly publishing **standards, norms, best practices**, exit strategies, incentive systems, and a future ideal
		4	Identify which scholarly publishing stakeholders can work together on these and other efforts, and how (multiple stakeholders require a convening power)
		5	Develop new funding models, such as a venture fund that can allow more support for joint efforts, or improve the flexibility of library budgets (e.g., by examining the efficiency of "big deals")
		6	Propose radical new repository interoperability and infrastructure solutions
		7	Develop a broader and clearer description of peer review that takes into account the different needs for different stages
		8	Continue exploring solutions to overload/underload (specific to research)
2	Common threads	9	Develop partnership agreements to work together to change the culture of communication inside academia (and as part of this effort, clarify messaging with regard to benefits and impacts of open)
		10	Lay the groundwork for promotion and tenure reform (a framework agreement with stakeholder partners to examine the feedback loop influence of journal publishing in promotion and tenure decisions and make these evaluations broader, more transparent, and less reliant on impact measures)
3	New issues	11	The global south, the global diversity of scholarly communication, and the different issues, challenges and opportunities in underserved regions of the world
		12	Sci-Hub and other rogue solutions (impacts, future)
		13	Patent literature, research reports, databases and other published information. The majority of journal articles come from inside universities even though the majority of researchers are outside universities—so OSI by design has a university-centric and journal-centric bias to the perspectives being considered. Patent literature, research reports, and databases are also important sources of research information—more so than journals in some disciplines (although these still reference journal articles). As with journal articles, this information isn't always free or easy to find and is suffering from some of the same usability issues as journal articles.
4	Streams	14	What are the unique needs and concerns of HSS scholars in this conversation and what can we do to help?
		15	What are the unique needs and concerns of scientists in this conversation and what can we do to help?
5	Plenary	16	
6	At-large	17	

Notes:

[i] This section substantially duplicates the content of an article written by the author of this summary, Glenn Hampson, for the June 15, 2016 issue of *International Innovation* magazine, online at http://bit.ly/291o9z0. This content is reprinted here with permission. For a deeper background on the OSI project's origins and rationale, you may also be interested in reading the original OSI paper (also written by Hampson) at http://bit.ly/1DJwRLT.

[ii] This section is from Annex 4 of the original OSI paper (as noted above). Open Science Initiative Working Group, Mapping the Future of Scholarly Publishing (Seattle: National Science Communication Institute, April 2015). The OSI2016 Repositories Workgroup produced a paper which validates this perspective and solution, online at http://osinitiative.org/osi-reports/osi2016-reports/report-from-the-repositories-preservation-workgroup/. Those who follow this topic closely will note that the description of the ASR environment provided in this section is now two years out of date and doesn't reflect the full extent of the repository efforts currently underway in the US, Europe, and elsewhere, although still today, none of these efforts have the same approach as ASR.

Annex 3: 2016 Financials

Due to the OSI conferences, nSCI raised enough funding in 2016 to require filing a full tax return with the IRS instead of just a postcard summary as in past years. This return is included here, along with receipts from Washington state filings. nSCI'S financial statements (unaudited) are included following the state filing receipts.

Here are a few important notes regarding nSCI's 2016 tax filings:

- According to sites like the Foundation Center, corporate contributions made for events like OSI can (should) be considered corporate contributions to nSCI since these contributions support the general programs and goals of nSCI and no special treatment (beyond mention in the conference program and speech) is expected or required in return---i.e., this is not a quid pro quo.
- The contributions made by UNESCO and publicly supported foundations like Sloan have a different public support status than contributions made by Elsevier et al---these need to be manually separated (since they're all grouped together in QuickBooks)
- Registration fees made for OSI (by individual conference delegates) are considered "other income"
- Only corporate/foundation contributors (as well as individual contributors to nSCI) are listed in part B (since registration fees are considered "other income"). Note: Individual contributions (about $300 worth) were left off of the 2016 filing. Listing contributions of less than $1,000 is not required. Also, since nSCI passes the 33% public support test, only amounts greater than $5,000 need to be listed in Part B (for 2016, all corporate contributions of $2,000 and up were listed).
- The executive director's compensation for managing OSI---while currently logged in QuickBooks as being OSI-related---needs to be reported as "executive compensation" for tax purposes (any 1099 payment or salaries made to the CEO or board members are reportable).

As an authorized officer of the National Science Communication Institute and legally on behalf of the Institute, I hereby attest that the information contained in this section is true and accurate to the best of my ability.

Signed,

Glenn Hampson
Executive Director
National Science Communication Institute
Seattle, Washington

On this date, August 28, 2017

Form **990-EZ**

Short Form
Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

► **Do not enter social security numbers on this form as it may be made public.**

► **Information about Form 990-EZ and its instructions is at *www.irs.gov/form990*.**

OMB No. 1545-1150

2016

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

A For the 2016 calendar year, or tax year beginning 01/01 , 2016, and ending 12/31 , 20 16

B Check if applicable:
- ☐ Address change
- ☐ Name change
- ☐ Initial return
- ☐ Final return/terminated
- ☐ Amended return
- ☐ Application pending

C Name of organization
National Science Communication Institute

Number and street (or P.O. box, if mail is not delivered to street address) | Room/suite
2320 N 137th Street

City or town, state or province, country, and ZIP or foreign postal code
Seattle, WA, 98133

D Employer identification number
27-4690007

E Telephone number
206-417-3607

F Group Exemption Number ►

G Accounting Method: ☐ Cash ☑ Accrual Other (specify) ►

H Check ► ☐ if the organization is **not** required to attach Schedule B (Form 990, 990-EZ, or 990-PF).

I **Website:** ► www.nationalscience.org

J **Tax-exempt status** (check only one) — ☑ 501(c)(3) ☐ 501(c) ( ) ◄ (insert no.) ☐ 4947(a)(1) or ☐ 527

K Form of organization: ☑ Corporation ☐ Trust ☐ Association ☐ Other

L Add lines 5b, 6c, and 7b to line 9 to determine gross receipts. If gross receipts are $200,000 or more, or if total assets (Part II, column (B) below) are $500,000 or more, file Form 990 instead of Form 990-EZ . . . . . ► $ 178,909

Part I Revenue, Expenses, and Changes in Net Assets or Fund Balances (see the instructions for Part I)

Check if the organization used Schedule O to respond to any question in this Part I . . . . . ☑

Revenue	1	Contributions, gifts, grants, and similar amounts received		1	147,500
	2	Program service revenue including government fees and contracts		2	31,409
	3	Membership dues and assessments		3	0
	4	Investment income		4	0
	5a	Gross amount from sale of assets other than inventory	5a 0		
	b	Less: cost or other basis and sales expenses	5b 0		
	c	Gain or (loss) from sale of assets other than inventory (Subtract line 5b from line 5a)		5c	0
	6	Gaming and fundraising events			
	a	Gross income from gaming (attach Schedule G if greater than $15,000)	6a 0		
	b	Gross income from fundraising events (not including $ 0 of contributions from fundraising events reported on line 1) (attach Schedule G if the sum of such gross income and contributions exceeds $15,000)	6b 0		
	c	Less: direct expenses from gaming and fundraising events	6c 0		
	d	Net income or (loss) from gaming and fundraising events (add lines 6a and 6b and subtract line 6c)		6d	0
	7a	Gross sales of inventory, less returns and allowances	7a 0		
	b	Less: cost of goods sold	7b 0		
	c	Gross profit or (loss) from sales of inventory (Subtract line 7b from line 7a)		7c	0
	8	Other revenue (describe in Schedule O)		8	0
	9	**Total revenue.** Add lines 1, 2, 3, 4, 5c, 6d, 7c, and 8 ►		9	178,909
Expenses	10	Grants and similar amounts paid (list in Schedule O)		10	100
	11	Benefits paid to or for members		11	0
	12	Salaries, other compensation, and employee benefits		12	29,750
	13	Professional fees and other payments to independent contractors		13	0
	14	Occupancy, rent, utilities, and maintenance		14	3,148
	15	Printing, publications, postage, and shipping		15	0
	16	Other expenses (describe in Schedule O)		16	145,911
	17	**Total expenses.** Add lines 10 through 16 ►		17	178,909
Net Assets	18	Excess or (deficit) for the year (Subtract line 17 from line 9)		18	0
	19	Net assets or fund balances at beginning of year (from line 27, column (A)) (must agree with end-of-year figure reported on prior year's return)		19	33,570
	20	Other changes in net assets or fund balances (explain in Schedule O)		20	16,311
	21	Net assets or fund balances at end of year. Combine lines 18 through 20 ►		21	49,881

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Part II **Balance Sheets** (see the instructions for Part II)

Check if the organization used Schedule O to respond to any question in this Part II . . . . . ☐

		(A) Beginning of year		(B) End of year
22	Cash, savings, and investments	33,570	22	49,881
23	Land and buildings	0	23	0
24	Other assets (describe in Schedule O)	0	24	0
25	**Total assets**	33,570	25	49,881
26	**Total liabilities** (describe in Schedule O)	0	26	0
27	**Net assets or fund balances** (line 27 of column (B) **must** agree with line 21)	33,570	27	49,881

Part III **Statement of Program Service Accomplishments** (see the instructions for Part III)

Check if the organization used Schedule O to respond to any question in this Part III . . ☐

What is the organization's primary exempt purpose? See Schedule O, Statement 1

Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. In a clear and concise manner, describe the services provided, the number of persons benefited, and other relevant information for each program title.

Expenses (Required for section 501(c)(3) and 501(c)(4) organizations; optional for others.)

28	During 2015 and into 2016, nSCI prepared for and hosted an international meeting of a multi-stakeholder group whose goal is to lay the groundwork for reforming scholarly communications (OSI2016). During 2016 (Continued on Schedule O, Statement 2) (Grants $ 178,909) If this amount includes foreign grants, check here ▶ ☐	28a	157,053
29	(Grants $) If this amount includes foreign grants, check here ▶ ☐	29a	
30	(Grants $) If this amount includes foreign grants, check here ▶ ☐	30a	
31	Other program services (describe in Schedule O) (Grants $ 0) If this amount includes foreign grants, check here ▶ ☐	31a	0
32	**Total program service expenses** (add lines 28a through 31a) ▶	32	157,053

Part IV **List of Officers, Directors, Trustees, and Key Employees** (list each one even if not compensated—see the instructions for Part IV)

Check if the organization used Schedule O to respond to any question in this Part IV . . . . . ☐

(a) Name and title	(b) Average hours per week devoted to position	(c) Reportable compensation (Forms W-2/1099-MISC) (if not paid, enter -0-)	(d) Health benefits, contributions to employee benefit plans, and deferred compensation	(e) Estimated amount of other compensation
Glenn Hampson Executive Director & board chair	50	29,750	0	0
Nissim Ezekiel Board vice chair	0	0	0	0
Jeff Hoch Board member	1	0	0	0
Drienna Holman Board member	0	0	0	0
Eric Olson Board member	10	0	0	0
Dee Magnoni Board member	3	0	0	0
Joyce Ogburn Board member	3	0	0	0
Lauren Carroll Board member	0	0	0	0
Marissa Konstadt Board member	0	0	0	0
Michael Hampson Board member	0	0	0	0

Part V **Other Information** (Note the Schedule A and personal benefit contract statement requirements in the instructions for Part V) Check if the organization used Schedule O to respond to any question in this Part V . . ☐

			Yes	No
33	Did the organization engage in any significant activity not previously reported to the IRS? If "Yes," provide a detailed description of each activity in Schedule O	33		✓
34	Were any significant changes made to the organizing or governing documents? If "Yes," attach a conformed copy of the amended documents if they reflect a change to the organization's name. Otherwise, explain the change on Schedule O (see instructions)	34		✓
35a	Did the organization have unrelated business gross income of $1,000 or more during the year from business activities (such as those reported on lines 2, 6a, and 7a, among others)?	35a		✓
b	If "Yes," to line 35a, has the organization filed a Form 990-T for the year? *If "No," provide an explanation in Schedule O*	35b		
c	Was the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization subject to section 6033(e) notice, reporting, and proxy tax requirements during the year? If "Yes," complete Schedule C, Part III	35c		✓
36	Did the organization undergo a liquidation, dissolution, termination, or significant disposition of net assets during the year? If "Yes," complete applicable parts of Schedule N	36		✓
37a	Enter amount of political expenditures, direct or indirect, as described in the instructions ▶ 37a 0			
b	Did the organization file **Form 1120-POL** for this year?	37b		✓
38a	Did the organization borrow from, or make any loans to, any officer, director, trustee, or key employee **or** were any such loans made in a prior year and still outstanding at the end of the tax year covered by this return?	38a		✓
b	If "Yes," complete Schedule L, Part II and enter the total amount involved 38b			
39	Section 501(c)(7) organizations. Enter:			
a	Initiation fees and capital contributions included on line 9 39a			
b	Gross receipts, included on line 9, for public use of club facilities 39b			
40a	Section 501(c)(3) organizations. Enter amount of tax imposed on the organization during the year under: section 4911 ▶ 0 ; section 4912 ▶ 0 ; section 4955 ▶ 0			
b	Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in any section 4958 excess benefit transaction during the year, or did it engage in an excess benefit transaction in a prior year that has not been reported on any of its prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I	40b		✓
c	Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Enter amount of tax imposed on organization managers or disqualified persons during the year under sections 4912, 4955, and 4958 ▶ 0			
d	Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Enter amount of tax on line 40c reimbursed by the organization ▶ 0			
e	All organizations. At any time during the tax year, was the organization a party to a prohibited tax shelter transaction? If "Yes," complete Form 8886-T	40e		✓
41	List the states with which a copy of this return is filed ▶			
42a	The organization's books are in care of ▶ Glenn Hampson Telephone no. ▶ 206-417-3607			
	Located at ▶ 2320 N 137th Street, Seattle, WA 98133 ZIP + 4 ▶ 98133			
b	At any time during the calendar year, did the organization have an interest in or a signature or other authority over a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	42b		✓
	If "Yes," enter the name of the foreign country: ▶			
	See the instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).			
c	At any time during the calendar year, did the organization maintain an office outside the United States?	42c		✓
	If "Yes," enter the name of the foreign country: ▶			
43	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-EZ in lieu of **Form 1041**—Check here ▶ ☐ and enter the amount of tax-exempt interest received or accrued during the tax year ▶ 43			

			Yes	No
44a	Did the organization maintain any donor advised funds during the year? If "Yes," Form 990 must be completed instead of Form 990-EZ	44a		✓
b	Did the organization operate one or more hospital facilities during the year? If "Yes," Form 990 must be completed instead of Form 990-EZ	44b		✓
c	Did the organization receive any payments for indoor tanning services during the year?	44c		✓
d	If "Yes" to line 44c, has the organization filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O*	44d		
45a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	45a		✓
b	Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," Form 990 and Schedule R may need to be completed instead of Form 990-EZ (see instructions)	45b		✓

			Yes	No
46	Did the organization engage, directly or indirectly, in political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I	46		✓

Part VI Section 501(c)(3) organizations only

All section 501(c)(3) organizations must answer questions 47–49b and 52, and complete the tables for lines 50 and 51.

Check if the organization used Schedule O to respond to any question in this Part VI ☐

			Yes	No
47	Did the organization engage in lobbying activities or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II	47		✓
48	Is the organization a school as described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E	48		✓
49a	Did the organization make any transfers to an exempt non-charitable related organization?	49a		✓
b	If "Yes," was the related organization a section 527 organization?	49b		

50 Complete this table for the organization's five highest compensated employees (other than officers, directors, trustees, and key employees) who each received more than $100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and title of each employee	(b) Average hours per week devoted to position	(c) Reportable compensation (Forms W-2/1099-MISC)	(d) Health benefits, contributions to employee benefit plans, and deferred compensation	(e) Estimated amount of other compensation
None				

f Total number of other employees paid over $100,000 ▶

51 Complete this table for the organization's five highest compensated independent contractors who each received more than $100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and business address of each independent contractor	(b) Type of service	(c) Compensation
None		

d Total number of other independent contractors each receiving over $100,000 ▶

52 Did the organization complete Schedule A? **Note:** All section 501(c)(3) organizations must attach a completed Schedule A ▶ ☑ Yes ☐ No

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here

Signature of officer — Date

Glenn Hampson, Executive Director
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
Firm's name ▶			Firm's EIN ▶	
Firm's address ▶			Phone no.	

May the IRS discuss this return with the preparer shown above? See instructions ▶ ☐ Yes ☐ No

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990*.

OMB No. 1545-0047

2016

Open to Public Inspection

Name of the organization	Employer identification number
National Science Communication Institute	27-4690007

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**

2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)

3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**

4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:

5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)

6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**

7 ☑ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

8 ☐ A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)

9 ☐ An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university:

10 ☐ An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)

11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**

12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.

a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**

b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**

c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**

d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**

e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations . . . . . .

g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1–10 above (see instructions))	(iv) Is the organization listed in your governing document? Yes	(iv) No	(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
(A)						
(B)						
(C)						
(D)						
(E)						
Total						

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Part II **Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	300	150	200	5,500	147,500	153,650
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf	0	0	0	0	0	0
3 The value of services or facilities furnished by a governmental unit to the organization without charge	0	0	0	0	0	0
4 **Total.** Add lines 1 through 3	300	150	200	5,500	147,500	153,650
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						47,500
6 **Public support.** Subtract line 5 from line 4						106,150

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
7 Amounts from line 4	300	150	200	5,500	147,500	153,650
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	0	0	0	0	0	0
9 Net income from unrelated business activities, whether or not the business is regularly carried on	0	0	0	0	0	0
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)	0	4,997	0	36,500	31,409	72,906
11 **Total support.** Add lines 7 through 10						226,556
12 Gross receipts from related activities, etc. (see instructions)					12	227,415

13 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ▶ ☑

Section C. Computation of Public Support Percentage

14	Public support percentage for 2016 (line 6, column (f) divided by line 11, column (f))	14	%
15	Public support percentage from 2015 Schedule A, Part II, line 14	15	%

16a **33 1/3% support test—2016.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

b **33 1/3% support test—2015.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

17a **10%-facts-and-circumstances test—2016.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

b **10%-facts-and-circumstances test—2015.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶ ☐

Part III **Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 **Public support.** (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 **Total support.** (Add lines 9, 10c, 11, and 12.)						

14 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here** ▶ ☐

Section C. Computation of Public Support Percentage

15	Public support percentage for 2016 (line 8, column (f) divided by line 13, column (f))	15	%
16	Public support percentage from 2015 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17	Investment income percentage for **2016** (line 10c, column (f) divided by line 13, column (f))	17	%
18	Investment income percentage from **2015** Schedule A, Part III, line 17	18	%

19a **33 1/3% support tests—2016.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

b **33 1/3% support tests—2015.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶ ☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶ ☐

Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

			Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? *If "No," describe in* ***Part VI*** *how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.*	1		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *how the organization determined that the supported organization was described in section 509(a)(1) or (2).*	2		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? *If "Yes," answer (b) and (c) below.*	3a		
b	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? *If "Yes," describe in* ***Part VI*** *when and how the organization made the determination.*	3b		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? *If "Yes," explain in* ***Part VI*** *what controls the organization put in place to ensure such use.*	3c		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? *If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.*	4a		
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? *If "Yes," describe in* ***Part VI*** *how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.*	4b		
c	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? *If "Yes," explain in* ***Part VI*** *what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.*	4c		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? *If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in* ***Part VI****, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).*	5a		
b	**Type I or Type II only.** Was any added or substituted supported organization part of a class already designated in the organization's organizing document?	5b		
c	**Substitutions only.** Was the substitution the result of an event beyond the organization's control?	5c		
6	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? *If "Yes," provide detail in* ***Part VI.***	6		
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).*	7		
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? *If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).*	8		
9a	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? *If "Yes," provide detail in* ***Part VI.***	9a		
b	Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? *If "Yes," provide detail in* ***Part VI.***	9b		
c	Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? *If "Yes," provide detail in* ***Part VI.***	9c		
10a	Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? *If "Yes," answer 10b below.*	10a		
b	Did the organization have any excess business holdings in the tax year? *(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)*	10b		

Part IV Supporting Organizations *(continued)*

			Yes	No
11	Has the organization accepted a gift or contribution from any of the following persons?			
a	A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	11a		
b	A family member of a person described in (a) above?	11b		
c	A 35% controlled entity of a person described in (a) or (b) above? *If "Yes" to a, b, or c, provide detail in* ***Part VI.***	11c		

Section B. Type I Supporting Organizations

			Yes	No
1	Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? *If "No," describe in* ***Part VI*** *how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.*	1		
2	Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? *If "Yes," explain in* ***Part VI*** *how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.*	2		

Section C. Type II Supporting Organizations

			Yes	No
1	Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? *If "No," describe in* ***Part VI*** *how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).*	1		

Section D. All Type III Supporting Organizations

			Yes	No
1	Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1		
2	Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? *If "No," explain in* ***Part VI*** *how the organization maintained a close and continuous working relationship with the supported organization(s).*	2		
3	By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? *If "Yes," describe in* ***Part VI*** *the role the organization's supported organizations played in this regard.*	3		

Section E. Type III Functionally Integrated Supporting Organizations

1 *Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (****see instructions****).*

a ☐ The organization satisfied the Activities Test. *Complete* ***line 2*** *below.*

b ☐ The organization is the parent of each of its supported organizations. *Complete* ***line 3*** *below.*

c ☐ The organization supported a governmental entity. *Describe in* ***Part VI*** *how you supported a government entity (see instructions).*

			Yes	No
2	Activities Test. ***Answer (a) and (b) below.***			
a	Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? *If "Yes," then in* ***Part VI identify those supported organizations and explain*** *how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.*	2a		
b	Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? *If "Yes," explain in* ***Part VI*** *the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.*	2b		
3	Parent of Supported Organizations. ***Answer (a) and (b) below.***			
a	Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? *Provide details in* ***Part VI.***	3a		
b	Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? *If "Yes," describe in* ***Part VI*** *the role played by the organization in this regard.*	3b		

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1 Net short-term capital gain	**1**		
2 Recoveries of prior-year distributions	**2**		
3 Other gross income (see instructions)	**3**		
4 Add lines 1 through 3.	**4**		
5 Depreciation and depletion	**5**		
6 Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	**6**		
7 Other expenses (see instructions)	**7**		
8 Adjusted Net Income (subtract lines 5, 6, and 7 from line 4).	**8**		

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1 Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):			
a Average monthly value of securities	**1a**		
b Average monthly cash balances	**1b**		
c Fair market value of other non-exempt-use assets	**1c**		
d Total (add lines 1a, 1b, and 1c)	**1d**		
e Discount claimed for blockage or other factors (explain in detail in **Part VI**):			
2 Acquisition indebtedness applicable to non-exempt-use assets	**2**		
3 Subtract line 2 from line 1d.	**3**		
4 Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	**4**		
5 Net value of non-exempt-use assets (subtract line 4 from line 3)	**5**		
6 Multiply line 5 by .035.	**6**		
7 Recoveries of prior-year distributions	**7**		
8 Minimum Asset Amount (add line 7 to line 6)	**8**		

Section C - Distributable Amount			Current Year
1 Adjusted net income for prior year (from Section A, line 8, Column A)	**1**		
2 Enter 85% of line 1.	**2**		
3 Minimum asset amount for prior year (from Section B, line 8, Column A)	**3**		
4 Enter greater of line 2 or line 3.	**4**		
5 Income tax imposed in prior year	**5**		
6 Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	**6**		

7 ☐ Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).

Part V **Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations** *(continued)*

Section D - Distributions		Current Year
1	Amounts paid to supported organizations to accomplish exempt purposes	
2	Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3	Administrative expenses paid to accomplish exempt purposes of supported organizations	
4	Amounts paid to acquire exempt-use assets	
5	Qualified set-aside amounts (prior IRS approval required)	
6	Other distributions (describe in **Part VI**). See instructions.	
7	**Total annual distributions.** Add lines 1 through 6.	
8	Distributions to attentive supported organizations to which the organization is responsive (provide details in **Part VI**). See instructions.	
9	Distributable amount for 2016 from Section C, line 6	
10	Line 8 amount divided by Line 9 amount	

Section E - Distribution Allocations (see instructions)		(i) Excess Distributions	(ii) Underdistributions Pre-2016	(iii) Distributable Amount for 2016
1	Distributable amount for 2016 from Section C, line 6			
2	Underdistributions, if any, for years prior to 2016 (reasonable cause required—explain in Part VI). See instructions.			
3	Excess distributions carryover, if any, to 2016:			
a				
b				
c	From 2013			
d	From 2014			
e	From 2015			
f	**Total** of lines 3a through e			
g	Applied to underdistributions of prior years			
h	Applied to 2016 distributable amount			
i	Carryover from 2011 not applied (see instructions)			
j	Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4	Distributions for 2016 from Section D, line 7: $			
a	Applied to underdistributions of prior years			
b	Applied to 2016 distributable amount			
c	Remainder. Subtract lines 4a and 4b from 4.			
5	Remaining underdistributions for years prior to 2016, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI. See instructions.			
6	Remaining underdistributions for 2016. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI. See instructions.			
7	**Excess distributions carryover to 2017**. Add lines 3j and 4c.			
8	Breakdown of line 7:			
a				
b	Excess from 2013 . . .			
c	Excess from 2014 . . .			
d	Excess from 2015 . . .			
e	Excess from 2016 . . .			

Part VI **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Schedule A, Part II, Line 10 - Conference fees paid by delegates

SCHEDULE O
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.

► Attach to Form 990 or 990-EZ.

► Information about Schedule O (Form 990 or 990-EZ) and its instructions is at *www.irs.gov/form990.*

OMB No. 1545-0047

2016

Open to Public Inspection

Name of the organization

National Science Communication Institute

Employer identification number

27-4690007

Form 990-EZ, Part I, Line 10 - $100 to science communication conference

Form 990-EZ, Part I, Line 16 - nSCI's main program for 2016 was the 2016 meeting of the Open Scholarship Initiative (OSI2016). The total revenue for this program was roughly equal to the total expenses, listed as "other expenses" below (and including items such as hotel fees, catering, bus transportation, meeting room rental, programs, and so on). A detailed budget breakdown is available in the OSI2016 report, available on the OSI website at osinitiative.org. Technically, program service expenses for OSI2016 totaled $157,053, but for purposes of this filing, some of the amount paid to the nSCI executive director in his capacity as OSI program director is included in this figure but not in the $145k figure below (since there is a separate line in this section for ED pay).

Form 990-EZ, Part I, Line 20 - This bank balance increase is due to funds raised for OSI2017. Fundraising for this program commenced in about September of 2016 and continued through April 2017. The bulk of these revenues as well as the entirety of the OSI2017 expenditures will be described in next year's return.

Primary Exempt Purpose

Primary Exempt Purpose

nSCI's mission is to improve the communication that happens inside science.

First Program Service Accomplishments Description

Description

and into 2017, nSCI did the same in preparing for the next annual meeting of this group (OSI2017). Between meetings, nSCI is also responsible for coordinating the ongoing work and communications of this group.

*** Form 990 Online Filers: Please fax completed and signed form to 866-699-3916 or email a scanned PDF copy of the signed form to SignatureForms@Form990.org

Form **8453-EO**

Department of the Treasury
Internal Revenue Service

Exempt Organization Declaration and Signature for Electronic Filing

For calendar year 2016, or tax year beginning 01/01, 2016, and ending 12/31, 20 16

For use with Forms 990, 990-EZ, 990-PF, 1120-POL, and 8868

OMB No. 1545-1879

2016

Name of exempt organization	Employer identification number
National Science Communication Institute	27-4690007

Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the type of return being filed with Form 8453-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a, 2a, 3a, 4a,** or **5a** below and the amount on that line of the return being filed with this form was blank, then leave line **1b, 2b, 3b, 4b,** or **5b,** whichever is applicable, blank (do not enter -0-). If you entered -0- on the return, then enter -0- on the applicable line below. **Do not** complete more than one line in Part I.

1a	**Form 990** check here ▶ ☐	b	**Total revenue,** if any (Form 990, Part VIII, column (A), line 12) . .	1b
2a	**Form 990-EZ** check here ▶ ☑	b	**Total revenue,** if any (Form 990-EZ, line 9)	2b 178,909
3a	**Form 1120-POL** check here ▶ ☐	b	**Total tax** (Form 1120-POL, line 22).	3b
4a	**Form 990-PF** check here ▶ ☐	b	**Tax based on investment income** (Form 990-PF, Part VI, line 5)	4b
5a	**Form 8868** check here ▶ ☐	b	**Balance due** (Form 8868, line 3c)	5b

Part II Declaration of Officer

6 ☐ I authorize the U.S. Treasury and its designated Financial Agent to initiate an Automated Clearing House (ACH) electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment.

☐ If a copy of this return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I certify that I executed the electronic disclosure consent contained within this return allowing disclosure by the IRS of this Form 990/990-EZ/990-PF (as specifically identified in Part I above) to the selected state agency(ies).

Under penalties of perjury, I declare that I am an officer of the above named organization and that I have examined a copy of the organization's 2016 electronic return and accompanying schedules and statements, and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS **(a)** an acknowledgement of receipt or reason for rejection of the transmission, **(b)** the reason for any delay in processing the return or refund, and **(c)** the date of any refund.

Sign Here ▶ Signature of officer | 5/8/17 Date | ▶ Glenn Hampson, Executive Director Title

Part III Declaration of Electronic Return Originator (ERO) and Paid Preparer (see instructions)

I declare that I have reviewed the above organization's return and that the entries on Form 8453-EO are complete and correct to the best of my knowledge. If I am only a collector, I am not responsible for reviewing the return and only declare that this form accurately reflects the data on the return. The organization officer will have signed this form before I submit the return. I will give the officer a copy of all forms and information to be filed with the IRS, and have followed all other requirements in Pub. 4163, Modernized e-File (MeF) Information for Authorized IRS *e-file* Providers for Business Returns. If I am also the Paid Preparer, under penalties of perjury I declare that I have examined the above organization's return and accompanying schedules and statements, and to the best of my knowledge and belief, they are true, correct, and complete. This Paid Preparer declaration is based on all information of which I have any knowledge.

ERO's Use Only					
ERO's signature ▶		Date	Check if also paid preparer ☐	Check if self-employed ☐	ERO's SSN or PTIN
Firm's name (or yours if self-employed), address, and ZIP code ▶					EIN / Phone no.

Under penalties of perjury, I declare that I have examined the above return and accompanying schedules and statements, and to the best of my knowledge and belief, they are true, correct, and complete. Declaration of preparer is based on all information of which the preparer has any knowledge.

Paid Preparer Use Only					
Print/Type preparer's name	Preparer's signature	Date	Check if self-employed ☐	PTIN	
Firm's name ▶			Firm's EIN ▶		
Firm's address ▶			Phone no.		

For Privacy Act and Paperwork Reduction Act Notice, see back of form. Cat. No. 36606Q Form **8453-EO** (2016)

Schedule B
(Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

► **Attach to Form 990, Form 990-EZ, or Form 990-PF.**
► **Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at *www.irs.gov/form990*.**

OMB No. 1545-0047

2016

Name of the organization	**Employer identification number**
National Science Communication Institute	27-4690007

Organization type (check one):

Filers of:	**Section:**
Form 990 or 990-EZ	☑ 501(c)(3) (enter number) organization
	☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	☐ 527 political organization
Form 990-PF	☐ 501(c)(3) exempt private foundation
	☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation
	☐ 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

☑ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling $5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3 % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than $1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling $5,000 or more during the year . . . . . ► $ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization	Employer identification number
National Science Communication Institute	27-4690007

Part I **Contributors** (See instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	UNESCO 2 United Nations Plaza New York, NY, 10017	$ 48,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
2	Elsevier 1600 John F Kennedy Blvd Philadelphia, PA, 19103	$ 27,500	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
3	Doris Duke Charitable Foundation 650 5th Ave New York, NY, 10019	$ 25,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
4	Alfred P Sloan Foundation 630 5th Avenue New York, NY, 10111	$ 20,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
5	Nature Publishing Group 225 Bush Street San Francisco, CA, 94104	$ 7,500	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
6	John Wiley Publishing 111 River Street Hoboken, NJ, 07030	$ 7,500	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization	Employer identification number
National Science Communication Institute	27-4690007

Part I **Contributors** (See instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	Laura and John Arnold Foundation 2800 Post Oak Blvd Houston, TX, 77056	$ 5,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
8	Sage Publications 2455 Teller Road Thousand Oaks, CA, 91320	$ 5,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
9	Copyright Clearance Center 222 Rosewood Drive Danvers, MA, 01923	$ 2,000	Person ☑ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization	Employer identification number
National Science Communication Institute	27-4690007

Part II **Noncash Property** (See instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions)	(d) Date received
		$	

Name of organization	Employer identification number
National Science Communication Institute	27-4690007

Part III ***Exclusively*** **religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than $1,000 for the year from any one contributor.** Complete columns **(a)** through **(e) and** the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **$1,000 or less** for the year. (Enter this information once. See instructions.) ► $

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

Washington Secretary of State
KIM WYMAN

James M. Dolliver Building
801 Capitol Way South
PO Box 40234
Olympia WA 98504-0234
360.725.0377

Nonprofit Corporation Annual Report

Form Submission Information

Business Name NATIONAL SCIENCE COMMUNICATION INSTITUTE

UBI 603081988

Transaction Submitted Date 1/28/2016

Tracking ID 3169115

Validation ID 3096129-001

Document Type Annual Report

Corporation Type Non-Profit Corporation

Date of Incorporation 1/28/2011

Fee $10.00

Place of Business Address 2320 N 137th ST
SEATTLE, WA 98133

Registered Agent Information

Name Glenn Hampson

Address 2320 N 137th ST
SEATTLE, WA 98133

Email ghampson@nationalscience.org

Mailing Address
WA

Governing Person Information

Name President Glenn Hampson

Address 2320 N 137th Street
SEATTLE, WA 98133

Name Secretary Drienna Holman

Address 2320 N 137th Street
SEATTLE, WA 98133

Name Vice President Nissim Ezekiel

Address 1221 Elliston Rd
LAS VEGAS, NV 89135

Purpose

The mission of the National Science Communication Institute is to improve the nature of the communication that happens inside science.

Signed By

Name President Glenn Hampson

Address 2320 N 137th Street
SEATTLE, WA 98133

Submitter Name Glenn Hampson

Submitter Email ghampson@nationalscience.org

Cost

$10.00

National Science Communication Institute
Statement of Financial Income and Expense
January through December 2016

	TOTAL
Ordinary Income/Expense	
Income	
43400 · Direct Public Support	
43450 · Individ, Business Contributions	398.26
Total 43400 · Direct Public Support	398.26
49000 · Special Events Income	
49010 · Special Events Contributions	178,909.12
49000 · Special Events Income - Other	-1,000.00
Total 49000 · Special Events Income	177,909.12
Total Income	178,307.38
Gross Profit	178,307.38
Expense	
0015 · PayPal Expenses	897.35
60300 · Awards and Grants	
60320 · Cash Awards and Grants	100.00
60340 · Specific Assist to Individuals	600.00
Total 60300 · Awards and Grants	700.00
60900 · Business Expenses	
60920 · Business Registration Fees	167.00
60940 · Taxes - Not UBIT	110.98
Total 60900 · Business Expenses	277.98
62100 · Contract Services	
62110 · Accounting Fees	174.55
62100 · Contract Services - Other	126.00
Total 62100 · Contract Services	300.55
65000 · Operations	
65060 · Web templates & hosting fees	972.32
Total 65000 · Operations	972.32
68300 · Travel and Meetings	
68310 · Conference, Convention, Meeting	157,053.24
68320 · Travel	1,397.20
Total 68300 · Travel and Meetings	158,450.44
Total Expense	161,598.64
Net Ordinary Income	16,708.74
Net Income	**16,708.74**

National Science Communication Institute
Statement of Functional Expenses (990)
January through December 2016

	Jan - Dec 16	
32000 · Unrestricted Net Assets		16,586.96
0015 · PayPal Expenses		897.35
60300 · Awards and Grants		
60320 · Cash Awards and Grants	100.00	
60340 · Specific Assist to Individuals	600.00	
Total 60300 · Awards and Grants		700.00
60900 · Business Expenses		
60920 · Business Registration Fees	167.00	
60940 · Taxes - Not UBIT	110.98	
Total 60900 · Business Expenses		277.98
62100 · Contract Services		
62110 · Accounting Fees	174.55	
62100 · Contract Services - Other	126.00	
Total 62100 · Contract Services		300.55
65000 · Operations		
65060 · Web templates & hosting fees	972.32	
Total 65000 · Operations		972.32
68300 · Travel and Meetings		
68310 · Conference, Convention, Meeting	157,053.24	
68320 · Travel	1,397.20	
Total 68300 · Travel and Meetings		158,450.44
TOTAL		**178,185.60**

National Science Communication Institute
Balance Sheet
As of December 31, 2016

	Dec 31, 16
ASSETS	
Current Assets	
Checking/Savings	
0002 · nSCI	51,022.26
Total Checking/Savings	51,022.26
Total Current Assets	51,022.26
TOTAL ASSETS	**51,022.26**
LIABILITIES & EQUITY	
Equity	
30000 · Opening Balance Equity	115.83
32000 · Unrestricted Net Assets	32,520.74
33000 · Temp. loans from G. Hampson	1,676.95
Net Income	16,708.74
Total Equity	51,022.26
TOTAL LIABILITIES & EQUITY	**51,022.26**

National Science Communication Institute
Profit & Loss
January through December 2016

	Jan - Dec 16
Ordinary Income/Expense	
Income	
43400 · Direct Public Support	
43450 · Individ, Business Contributions	398.26
Total 43400 · Direct Public Support	398.26
49000 · Special Events Income	
49010 · Special Events Contributions	178,909.12
49000 · Special Events Income - Other	-1,000.00
Total 49000 · Special Events Income	177,909.12
Total Income	178,307.38
Gross Profit	178,307.38
Expense	
0015 · PayPal Expenses	897.35
60300 · Awards and Grants	
60320 · Cash Awards and Grants	100.00
60340 · Specific Assist to Individuals	600.00
Total 60300 · Awards and Grants	700.00
60900 · Business Expenses	
60920 · Business Registration Fees	167.00
60940 · Taxes - Not UBIT	110.98
Total 60900 · Business Expenses	277.98
62100 · Contract Services	
62110 · Accounting Fees	174.55
62100 · Contract Services - Other	126.00
Total 62100 · Contract Services	300.55
65000 · Operations	
65060 · Web templates & hosting fees	972.32
Total 65000 · Operations	972.32
68300 · Travel and Meetings	
68310 · Conference, Convention, Meeting	157,053.24
68320 · Travel	1,397.20
Total 68300 · Travel and Meetings	158,450.44
Total Expense	161,598.64
Net Ordinary Income	16,708.74
Net Income	**16,708.74**