

## **STM proposal for amendments to Council Decisions establishing the specific programme Implementing 'Horizon2020 – the Framework Programme for Research and Innovation (2014-2020)'**

**Rapporteur: Maria da Graça Carvalho**

The International Association of Scientific, Technical and Medical Publishers ("STM") is the leading global trade association for academic and professional publishers. It has over 110 members in 27 countries who each year collectively publish nearly 66% of all journal articles worldwide and tens of thousands of monographs and reference works. STM members include learned societies, university presses, private companies, new starts and established players

EU-based STM publishers publish 49% of all research articles worldwide (STM's members originate approximately 2/3 thereof), employing 36,000 staff directly and another 10-20,000 indirectly, and make a €3b contribution to the EU's balance of trade. STM publishers have actively embraced the opportunities of the digital environment, starting with journal content and other "native" digital products such as software, data and databases, as well as other digital tools.

STM follows with great interest the discussions and hearing held recently by the ITRE Committee in the European Parliament. Considering the demand to improve and in particular to specify the current wording STM is proposing the following amendments (**in red bold**): We are also offering some broader suggestions about Horizon2020 that we hope will prove helpful as the drafting process continues to unfold (see Annex 1).

### **1) Complete proposal (page 21; 35;59 (twice), page 75)**

Include "**sustainable**" with the term Open Access

Rationale: Publishers are committed to the widest possible dissemination of and access to the content they publish. We support all sustainable access models that ensure the integrity and permanence of the scholarly record and recommend the EC include sustainability as a key criterion for any access model in Horizon 2020.

### **2) Page 21, 1.5 Communication and dissemination.**

**Page 35, 4.1.3 Development, deployment and operation of ICT-based e-Infrastructures**

**Page 59, 2.5 Specific implementation actions**

**Page 72, 5.2.2 Provide knowledge and tools for effective decision making and public engagement**

**Page 75, 5.5 Developing comprehensive and sustained global environment observation and information systems**

**Page 80, 6.2.3 Ensuring societal engagement in research and innovation**

Replace "research results" and "results of publicly funded research" with "**articles that describe, analyze and interpret research**"

Page 21:

.....disseminate and communicate results on a continent wide scale to enhance their impact. Horizon 2020 will therefore include, under all of its specific objectives, dedicated support to dissemination (including through **sustainable** open access to **articles that describe, analyze and interpret research**, communication and dialogue actions, with a strong emphasis on communicating results to end-users, citizens, civil.....

Page 35:

The aim is to achieve by 2020 a single and open European space for online research where researchers enjoy leading-edge, ubiquitous and reliable services for networking and computing, and seamless and **sustainable** open access to e-Science environments and global data resources.....

Page 59:

....The impact and dissemination of **articles that describe, analyze and interpret research** will be actively supported through specific actions on communication, knowledge exchange and the involvement of various actors all along the projects. Implementation will combine a wide range of activities, including substantial demonstration and pilot activities. Easy and **sustainable** open access to **articles that describe, analyze and interpret** and best practices will be fostered, where appropriate via databases.....

Page 72:

.....Innovative ways will be developed to increase policy coherence, resolve trade-offs and manage conflicting interests, and improve public awareness **of articles that describe, analyze and interpret research** and the participation of citizens in decision-making.

Page 75:

Free, open and unrestricted access to interoperable data and information will be encouraged, as well as the effective storage, management and dissemination of **articles that describe, analyze and interpret research**.

Page 80:

..... In order to improve knowledge circulation within the scientific community and the wider public, the accessibility and use of the **articles that describe, analyze and interpret research** will be further developed.....

Rationale: Peer-reviewed scholarly articles that report, describe, explain, analyze or comment on research funded by the EC do not "result from" such research. Research and publication are different creative acts and functions like certifying quality control; improving accessibility; ensuring integrity, reliability, and provenance; enabling discovery; promoting global dissemination and collaboration; standardizing outputs; and preserving the scholarly record for future generations are not funded by or otherwise attributable to the Commission. Instead, such articles and publications are literary works that are subject to the rights of copyright ownership that belong to their authors or their authors' licensees, which are typically the publishers who

have provided significant added-value to the work through extensive pre-publication processes that include peer review.

### **Annex 1: STM Comments on Horizon2020**

Publishers are committed to the widest possible dissemination of and access to the content they publish. We support any and all sustainable models of access that ensure the integrity and permanence of the scholarly record. Such options include 'gold' open access, whereby publication is funded by an article publishing charge paid by the author or another sponsor, a subscription-based journal, or any one of a number of hybrid publishing options. Most publishers now offer open access options and publish open access journals, and work closely with funders, institutions and governments to facilitate these developments. Gold open access provides one approach toward our shared goal of expanding access to peer-reviewed scientific works and maximizing the value and reuse of the results of scientific research.

The next Framework Programme Horizon2020 should therefore offer the possibility to all researchers to make use of this sustainable business model during and after the project duration. STM does not support unfunded mandates that constrain scholarly authors or affect the sustainability of the publishing enterprise.

We believe that authors should be able to publish in the journal of their choice, where publication will have the greatest potential to advance their field. Institutions and funders have a key role to play in ensuring that public access policies allow for funding of peer reviewed publication and publishing services in whatever journal that an author chooses. Because our authors are the beneficiaries of EU research funding we believe that stakeholders should be consulted and have the opportunity to provide input during the drafting process of the grant agreement ensuring that no unrealizable burden is imposed to the beneficiaries. Terms and conditions in the grant agreement should therefore reflect and respect what is common sustainable business practise in the market. Publishers look forward to working with all stakeholders to achieve this goal and to advance scholarly communication

Den Hague, April 22<sup>nd</sup>, 2012

Respectfully submitted:



STM  
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