

Deliverable 5.3 – Validation Report

Executive Summary

The PALOMERA deliverable 5.3 *Validation Report* is an overview of the validation process used within the project to manage the validation of the project's Key Exploitable Results (Knowledge Base, data analysis and recommendations) with a variety of relevant stakeholders across the diverse countries of the European Research Area and beyond. The validation exercises used several review and validation means (online annotation tools, review-a-thons, workshops and similar) and happened three times during the project. This deliverable reports the work carried out in all the validation exercises.

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- PALOMERA
- open access
- community consultation
- European Research Area

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¹ Retain as applicable.

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⁴ Use 2.0, 2.1, etc. if the version is updated after the EC rejection.



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Table of Acronyms

Acronyms	
ALLEA	European Federation of Academies of Sciences and Humanities
COARA	Coalition for Advancing Research Assessment
D#	Deliverable
DoA	Description of Actions
EHESS	École des hautes études en sciences sociales
ERA	European Research Area
EUA	European University Association
GA	Grant Agreement
KB	Knowledge Base
KER	Key Exploitable Result
M#	Month
OA	Open Access
OABT	OA Books Toolkit
ON-MERRIT	Observing and Negating Matthew Effects in Responsible Research & Innovation Transition
OPERAS-P	Open Scholarly Communication in the European Research Area for Social Sciences and Humanities - Plus
PALOMERA	Policy Alignment of Open Access Monographs in the European Research Area
PESTLE	Political, Economic, Social, Technological, Legal and Environmental Factors
PR	Peer Review
Q&A	Questions and Answers
RFO	Research Funding Organisation
RPO	Research Performing Organisation
SCOSS	Global Sustainability Coalition for Open Science Services
UNESCO	United Nations Educational, Scientific and Cultural Organisation
WG	Working Group
WP#	Work Package



1 Introduction

The PALOMERA project relied on an engagement-based methodology to ensure the stakeholders targeted for the communication and exploitation of the key project results are also tightly involved at all stages of the project. A detailed engagement strategy has been described in the *Dissemination, outreach, engagement, and exploitation plan*⁵ (D5.1).

As part of its engagement-based methodology, the project has developed a validation exercise approach for gathering feedback on the data collected within the Knowledge Base (KB) and the analysis thereof, as well as for designing and co-creating the recommendations. This approach will further guarantee the adoption of recommendations and increase alignment on Open Access (OA) book policies in Europe. The deliverable *D5.3 Validation Report* presents different validation strategies that have been used throughout the project. Validation strategies were thus a core part of the engagement process together with other engagement related methods used during the project such as surveys, the Funder Forum and similar.

As per the Grant Agreement (GA), the management of the validation process had a dedicated task within Work Package (WP) 5 activities and as such it had the aim to manage the validation of the project's Key Exploitable Results (KERs) with a variety of relevant stakeholders across the diverse countries of the European Research Area (ERA) and beyond. To this end, the task has set up a framework to review the outputs of:

- WP2 - Data collection and KB creation;
- WP3 - Analysis of the material within the political, economic, social, technological, legal and environmental factors framework (PESTLE);
- WP4 - Actionable and evidence-based recommendations on OA book policies and strategies.

The validation exercises used several review and validation means: online annotation tools, review-athons, workshops and similar. The dedicated task has also prepared the present deliverable as planned for Month (M) 15 that reported the work carried out until then as well as an updated version in M21 corresponding to the analysis of the KB in WP3, and a final update in M24, to include the validation of the recommendations and resources led by WP4. The data collection methodology is not part of this deliverable, it has however been described in detail by WP2 in the deliverable *D2.1 - Report on Compiling the Knowledge Base*⁶.

2 The Validation Approach

Validation was a core component of the PALOMERA methodology and should not be confused with other types of communication activities in the project, such as dissemination and engagement, that were part of the same WP (5).

- **Dissemination** is the mere act of making different stakeholders aware of the existence of a certain output. Dissemination is a one-way process.
- **Engagement** implies interaction with stakeholders. It is an iterative two-way process. However, engagement merely describes a process and can thus be used to attain or improve awareness, compliance, and support.

⁵ <https://zenodo.org/records/8385842>

⁶ <https://zenodo.org/records/10777132>



- **Validation** refers to a process and its result, by which an output is judged valid, i.e. proved true or correct in the judgement of key actors. Although the validation process, in the context of PALOMERA, reinforces the engagement-based methodology, the notion differs mainly from the other concepts mentioned earlier in that it implies a judgement. Validation can be obtained by different means and tools that can be distributed between methodological and social.
 - *Methodological validation* refers to the demonstration of the validity of an output based on pure consistency or against a list of predefined criteria.
 - *Social validation* requires an assessment by other stakeholders (who may use methodological validation as a validation technique, but not necessarily).

The type of validation which was concerned within the PALOMERA validation process is social validation and shouldn't be confused with review or quality assurance of the deliverables which is managed elsewhere in the project (*D1.2 - Quality and Risk Management Plan*⁷). The aim of validation as part of the PALOMERA methodology was to obtain a collective assessment from a diverse set of stakeholders on the outputs of the project regarding their validity.

The reasons why the project dedicated specific effort to obtain validation on its outputs by the representatives of different types of stakeholders are because (i) there is no common representation yet of the current situation of OA book policies in Europe and (ii) it aims to prepare the ground for future policy alignment, which requires a certain level of consensus (common representation) and legitimacy (policy alignment) across the board.

The aim of the validation exercises was certainly not to eliminate any form of disagreement amongst stakeholders, but to enable expression of disagreement based on an agreement on certain common representations.

It was important that the diverse stakeholders judge the project's outputs as valid enough to build their future policies upon them. This is how validation in the PALOMERA project was and is instrumental for the impact of the project and the exploitation of its KERs.

2.1 Stakeholders Involved

The types of stakeholders involved in the validation exercises may vary depending on the type of objects to be validated. The list of types of stakeholders and the identification of the stakeholders themselves is defined by the project's GA and D5.1⁸ as follows:

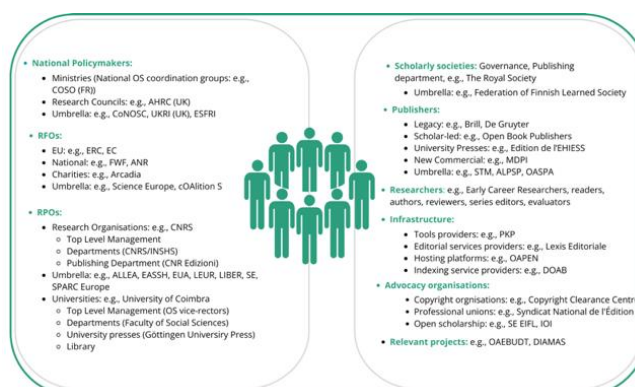


Figure 1 PALOMERA stakeholders as defined in the GA and D5.1

⁷ <https://zenodo.org/records/8189578>

⁸ <https://zenodo.org/records/8385842>

Among the different stakeholders involved in the validation process, the project's Advisory Board played an important role by providing feedback on the validation exercise methodology as well as suggesting relevant stakeholders to engage within the exercises.

2.2 Objects of the Validation Process

As already mentioned above, three KERs were identified as primary targets for the validation exercises:

- Data collection and KB creation;
- Analysis of the material within the PESTLE framework;
- Actionable and evidence-based recommendations on OA book policies and strategies.

In theory, other KERs of the project could have been submitted to validation, e.g. the Funder Forum and the policy development tool. However, their nature makes them difficult to submit to social validation, since the Funder Forum is one of the venues used to reach social validation, and the policy development tool will only exist as an outline. It was therefore decided not to submit them to validation in the context of the project.

2.3 Analysis of the KERs and Types of Validation Required

The validation process was presented in the Description of Activities (DoA) in a uniform manner, to be built from three different validation workshops that would take place at the end of the three project phases alongside a classic drafting process: first draft-comments-final version. At the start of the project, it appeared however that the methodology should be more complex and fine-tuned to the specific nature of the different KERs to be validated, thus requiring further analysis.

Different validation approaches have been consulted to find the best approach for all three validation exercises:

1. During the PALOMERA kick-off meeting in January 2023, the consortium members including the Advisory Board have been consulted on methods they deem appropriate for such a task. These have been gathered and revised during the planning phase of the validation approach.

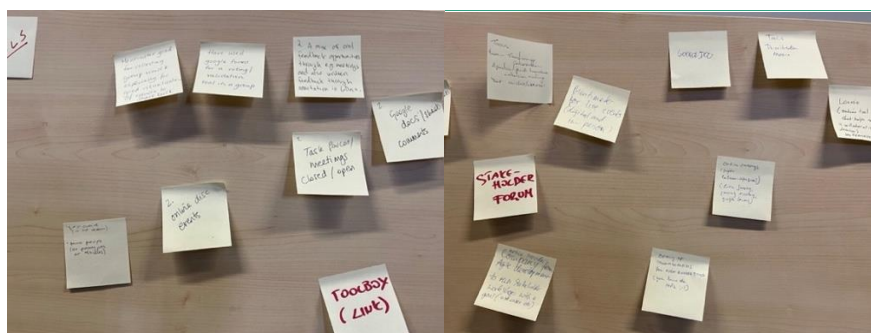


Figure 2 Some of the results from the kick-off meeting

2. Other existing processes have been researched and verified to understand if they can be applicable as validation methods, such as:

Name	Link
COARA agreement on research assessment	https://coara.eu

OPERAS-P future of scholarly communication workshop	https://operas.hypotheses.org/4512
UNESCO recommendation on Open Science	https://en.unesco.org/science-sustainable-future/open-science/recommendation
ScienceEurope briefing paper on OA monographs	https://www.scienceeurope.org/media/qk2b1cq4/se_bp_oa_books_092019.pdf
ALLEA e-humanities WG open consultation	https://allea.org/e-humanities/
SCOSS evaluation process	https://scoss.org/
ON-MERRIT recommendations on Open Research practices	https://royalsocietypublishing.org/doi/10.1098/rsos.221460#FN6R

Table 1 Examples of existing processes consulted for the validation exercises

The validation exercise for the first KER was completed with the publication of the first version of the *Validation Report* in Zenodo in M15, the second version in M21 marked the completion of the second validation exercise for KER2 while this M24 version contains the addition of the recommendations validation exercise results, indicating the completion of the overall process.

2.3.1 KER1: KB Data Collection

As described in the DoA, the KB⁹ collects and stores qualitative and quantitative data about the landscape of OA book policies in Europe. The data has been collected through:

- Identification of key stakeholders;
- Collection of key documents;
- Surveying the stakeholders;
- Series of interviews.

At this level, the validity of the KB relates to its representativity and/or its completeness. While preparing the first validation exercise, we assumed that the KB is judged valid by the stakeholders if they think no important document, case or policy is missing. This implies three aspects:

1. **Engagement** with the widest possible diversity of stakeholders was required throughout the building of the KB. In this case, validation relied on the engagement with the scholarly community: everyone should consider that they had a chance to provide input to the KB. Engagement follows closely the data collection methodology, relying on the network of “national coordinators” from WP2 who were responsible for identifying national experts.
2. **The validation workshop** that took place in January 2024 was not an opportunity for the mentioned participants to review the methodology or the structure of the KB because it would then have come too late. The workshop was used as a means to (i) add more information to the KB, thus improving its representativity and completeness and to (ii) reflect upon the KB as a whole, preparing the ground for the analysis. It also asked participants to foresee the potential usage of the KB in their specific context.

⁹ <https://knowledgebase.oabooks-toolkit.org/collections/286862e4-f5e9-4eeb-950a-6b6fe84877bd>



3. The KB should be considered as a **living tool**, to be continuously updated and completed after its initial phase of development, during and after the project. It is dependent upon its further exploitation in the OA Books Toolkit (OABT) in general, but it is also intended to design a communication channel to manage voluntary contributions coming from unexpected parts of the scholarly community.

The First Validation Exercise Workshop

The validation exercise for KER1 (KB completeness and functionalities) took place in January 2024. Given the extensiveness of the points to be validated, a decision was made to split this event into four separate parts:

1. 17th January 2024 - One-hour Zoom meeting for the project members to present how the data has been collected and to give a live presentation of the KB functionalities as well as provide instructions to the participants on how they can provide their input.
2. Feedback gathering in between meetings via a Google form - To collect any suggestions on missing OA book policies, and potential improvements to the KB functionalities.
3. 24th January 2024 - Two-hour Zoom meeting to discuss the input received via the Google form in an open discussion and to also investigate potential uses to the KB by the participants via Zoom breakout groups.
4. Further feedback gathering after the final meeting via a Google form on additional KB uses the participants envision.

The participants of this validation exercise included all relevant stakeholder types: research funding organisations (RFOs), research performing organisations (RPOs), researchers, policymakers, publishers, and libraries. All together (excluding the project members) there were 34 participants, the feedback and notes were gathered anonymously. The countries represented by the participants were 17 in total across the ERA.

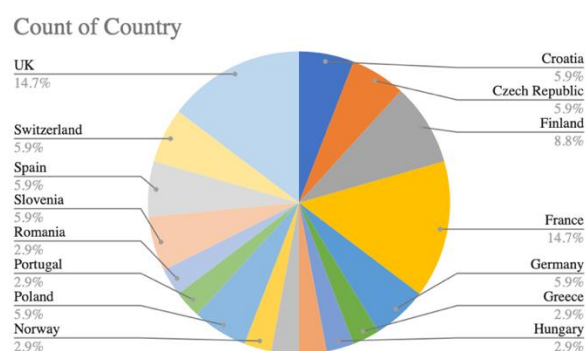


Figure 3 Country representation at the first validation exercise

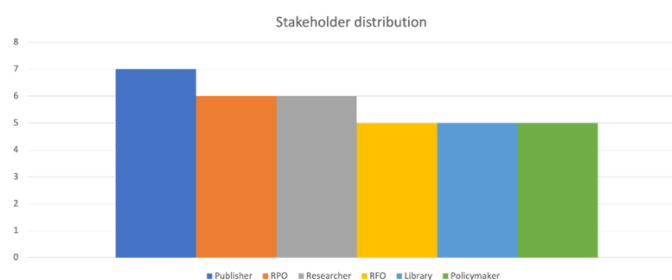


Figure 4 Stakeholder representation at the first validation exercise

The First Validation Exercise Results

OA Policies

The KB gathers over 600 documents related to OA book policies that resulted from the initial PALOMERA phase dedicated to the data collection. During the first validation exercise, the participants provided 18 answers including 27 missing policies, which indicates that the KB includes a good representation of the OA book policies landscape and that the data collection methodology has been successful. Additional links to groups of policies have been suggested, that were analysed by WP2 to understand if they are already included in the KB. A full overview can be found in the Appendix 4.1 table *Validation Exercise 17th-24th January: Responses to the First Validation Exercise Google Form for Missing OA Policies*.

It was also suggested that a methodology to keep the KB updated during and beyond the PALOMERA project needs to be established which has been discussed within the project and described in the last D5.1¹⁰ M24 update (as part of the exploitation plan).

KB Functionalities

In terms of the KB functionalities, the participants were asked which aspects would need some improvement using a multiple choice option as well as a free field to add other suggestions as per the below image.

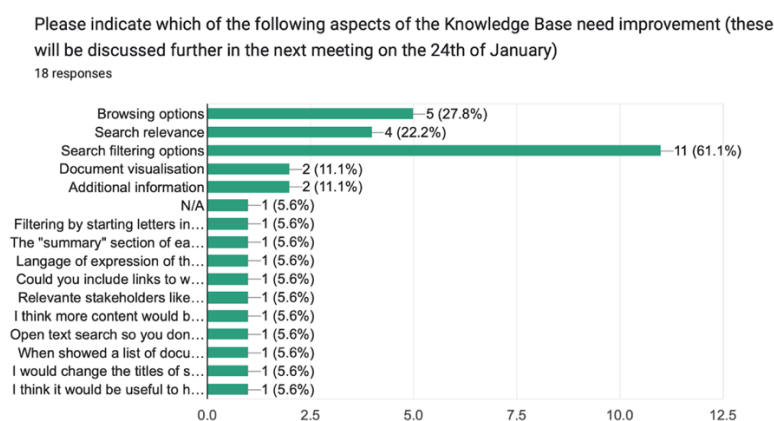


Figure 5 Responses to the Google Form on KB functionalities

The free text suggestions were additionally discussed during the second Zoom event and feedback was collected via Mentimeter. The full summary can be found in the Appendix 4.2 table *Validation Exercise 17th-24th January: Replies to the Google Form and Mentimeter Questions about KB Functionalities*, an example of answers collected can be seen below.

¹⁰ <https://zenodo.org/records/8385842>



What improvements are needed to the 'Browsing Options' functionality?			
Browse by Country	Browsing by stakeholder type (RFO, RPO, publisher...)	More clearly indicate the language of expression and the Country concerned	add more browsing filters (document types, affiliations) add more metadata attributes to describe a document
Publication year	Browse by Serving Purpose; for instance if the policy is linked with research assessment, publishing, metadata, etc.	Browse by stakeholder	Browsing by more granularity in type of policy document

Figure 6 Responses to the Mentimeter question about the KB functionalities

The input has been shared with OAPEN, as the partner in charge of the KB that had the technology to already introduce two requested changes: (i) filtering by stakeholder type and (ii) filtering by PESTLE category.

KB Use Cases

As part of the second Zoom meeting, the participants were asked to choose the stakeholder type breakout group that applies to them and within the group they considered specific use cases for the KB within their organisation and work. Other points that were discussed were any blockers to using the KB and additional improvements they could think of.

The input was gathered within Google Docs in each breakout group, and later collated into one single document to help further develop the PALOMERA exploitation plan and understand how each stakeholder group sees the use for the KB. The full input list per question and stakeholder type can be seen in the Appendix 4.3 table *Validation Exercise 17th-24th January: Responses from the Breakout Groups about KB Uses and Improvements Needed*, however, from a high-level perspective, the main messages were that the KB can help stakeholders:

- Inform organisational decision-making in the process of creating a policy;
- Build policies (internal and external);
- In the OA advocacy process;
- Understanding requirements from funders;
- Course/research writing;
- Understanding best practice when it comes to existing policies;
- Monitoring and benchmarking.

The detailed use cases have been described in the *D5.1¹¹* (as part of the exploitation plan).

The form shared after the validation exercise meeting on the 24th of January was open until the 15th of February and collected any last minute thoughts from the participants. There was only one response reaffirming a previous comment about the KB helping in the process of building internal and external policies.

2.3.2 KER2: KB Analysis

Since the beginning of the project, it was foreseen that the validation of the second KER of the project, the KB data analysis, will take a form similar to a scholarly publication. In that case, the most canonical validation method used in the scholarly community is **peer review** (PR). Therefore, three reviewers have been identified from different geographical locations (US, UK and France) and with a diverse background (university press, scientific communication and publishing) for an in person open PR

¹¹ <https://zenodo.org/records/8385842>

deemed to be a more efficient way to ensure external validation of the analysis. The exact methodology, structure and results are listed in the next paragraphs.

The Second Validation Exercise Workshop

The second validation exercise workshop took place on the 12th and 13th of June in-person at the office space of the École des hautes études en sciences sociales (EHESS), provided by OpenEdition, with the presence of project members: Niels Stern, Mikael Laakso, Pierre Mounier, and Ursula Rabar as well as three reviewers selected given their expansive experience within scholarly communication as per below:

- Charles Watkinson is Associate University Librarian, Publishing, and Director, University of Michigan Press, at the University of Michigan (US). The publishing division he leads is composed of three parts - University of Michigan Press (publisher of scholarly books, textbooks and trade books), Michigan Publishing Services (provider of production services, mainly to the University community but increasingly also to other institutes and publishers around the world), and Deep Blue repository and research data services (providing repository and research data services to the University of Michigan community, supporting the publication of open access versions of scholarly articles, book chapters, and other outputs).
- Chérifa Boukacem-Zeghmouri is a Professor of Information and Communication Sciences at Université Claude Bernard Lyon 1 (France). She draws on the theoretical framework of cultural and creative industries to produce research in which she examines how scientific communication among peers has been evolving, tending towards more open and collaborative models. Her main research interests center on the new ways in which scientific research is produced, how it circulates, how it is assessed and legitimated. Her publications have appeared in national and international journals. She has organized international scientific events and participated in the publication of two books.
- Janneke Adema (she/her) is a cultural and media theorist working in the fields of (book) publishing and digital culture. She is an Associate Professor in Digital Media at The Centre for Postdigital Cultures (Coventry University, UK) where she convenes the post-publishing research strand. She researches the future of scholarly communications and experimental forms of knowledge production, where her work incorporates processual and performative publishing, radical open access, post-publishing, scholarly poethics, media studies, book history, cultural studies, and critical theory. She supports a variety of scholar-led, not-for-profit publishing projects such as the Radical Open Access Collective, Open Humanities Press, and similar.



Figure 7 2nd validation exercise reviewers with WP3 Leader (photo taken by Ursula Rabar)

The validation workshop started on the 12th of June at 3 PM CEST, and ended on the 13th of June at 12.00 PM CEST (noon) with the following agenda:

Day 1 - 12th June

- 3 - 3.30 PM Introductions & why are we here today (Pierre Mounier + all)*
- 3.30 - 3.45 PM About PALOMERA presentation (Niels Stern)*
- 3.45 - 4.15 PM The PALOMERA data collection & analysis methodology (Mikael Laakso)*
- 4.15 - 4.45 PM Break*
- 4.45 - 5.45 PM Report part 1 + discussion (Mikael Laakso + all)*
- 5.45 - 6 PM Break*
- 6 - 7 PM Report part 2 + discussion (Mikael Laakso + all)*
- 7 PM Dinner*

Day 2 - 13th June

- 9 - 10 AM Report part 3 + discussion (Mikael Laakso + all)*
- 10 - 10.30 AM Break*
- 10.30 - 11.30 AM Report part 4 + discussion (Mikael Laakso + all)*
- 11.30 - 12 (noon) What is next for the analysis and how will this fit in the exploitation part + discussion (Mikael Laakso + all)*
- 12 - 12.30 Close of the event (Pierre Mounier)*

In preparation of the event, a draft of the deliverable *D.3.1. Report on analysis findings*¹² has been shared with all the participants and reviewers for reading beforehand and to make sure the discussions are fruitful. The event started with a short introduction on the PALOMERA project and the methodology overview for the data collection and analysis. This was followed by four discussion parts with focus on different aspect of the analysis process as well as results. The main presenter was Mikael Laakso, lead of WP3, supported by Niels Stern as the Scientific Coordinator, and Pierre Mounier as well as Ursula Rabar as the leads of WP5.

The notes were taken with the aid of the voice typing feature in Google Doc and by recording the discussions for internal purposes only, to help align the notes and fill in any gaps. The audio files were transcribed with the HappyScribe tool and checked manually for correctness.

¹² <https://zenodo.org/records/13827251>



Figure 8 Discussion during the 2nd validation exercise (photo taken by Ursula Rabar)

The Second Validation Exercise Results

Following the validation event in Paris, the notes were aligned with the audio recordings and analysed to collect the feedback. They were shared internally with WP3 and WP4 given that some discussion touched upon the work that was underway at the time for the recommendations. A high-level summary of the discussions with conclusions is listed below:

- PESTLE methodology used – Overall the participants agreed this methodology fits very well the purpose of the analysis. There were discussions around:
 - Where does governance at institutions fit within the different PESTLE categories and can this be added in a future further development
 - The PESTLE categories naming convention depending on which field is looking at the report which has given food for thought when it comes to how can this methodology be further adapted in a potential second project focusing on OA book policies
 - A glossary of terms and definition is needed in the report
 - How PALOMERA is helping bring consistency, transparency, naming the structure in an environment that is chaotic which will result in better equity of who is able to access funding or not
 - Extract into the recommendations the clarity needed for authors
 - Co-authorship and different fundings being combined
- Report in general – Overall the participants agreed the report was developed very soundly and were impressed by the information provided. The feedback on potential missing context was provided on:
 - How does the politics of PALOMERA fit into the analysis
 - Who is the report for – more context is needed
 - Since it contains just a snapshot of the landscape, there is a risk of not providing the full picture, however it is useful in the context of diachronic research. The visualisations and figures might need some more explaining to make the audience aware of this
 - More contexts about policies per country needed
 - More context about the book and journal comparisons is needed, especially in the visualisation part
- Policy development toolkit – This was supported as a logical next step for a future project, with comments such as:

- It needs to be linked to research on the OA book policy development lifecycle or process
- It should cater to the diversity of countries and stakeholders
- Policies and coding – The participants were impressed with the coding and the process to apply the 17 coding elements to all the documents in question, feedback was given related to:
 - Making sure there is compliance in the recommendations, requirements to be followed
 - Suggesting to make all policy documents public where they are not, given that it wasn't possible to find policies in some countries, it was unclear if they don't exist or if they are hidden/not publicly accessible
 - Will disciplines be added?
 - The 17 elements can already be used as the basis of what should a policy contain
 - As a recommendation to clarify what the policy applies to (what types of OA books, chapters...)
 - Information on licensing necessary in the recommendations
 - In the recommendations to be careful about wording on lists when it comes to limitations for the selection of publishers for compliance with the policy's requirements (e.g., national lists, Directory of OA Journals/Directory of OA Books)
 - In the recommendations to be careful about wordings related to funding, that is a missing part in many policies scanned for the analysis
 - The labels of 'high' 'low' coding should be reconsidered
- Policy recommendations the participants suggested should be included in the WP4 work:
 - Consider mandating depositing in a repository
 - Persistent identifiers need to be part of the recommendations
 - Good policies should be able to be replicated, include the right license
 - Required OA model should be specified
 - Communicate the policy in a way that it makes it easy to comply with
 - Potentially consider collection development policies for libraries
 - Publishers should be able to tell from the policy if there is funding behind it and how it can be applied
 - Identify organisations who can provide national infrastructure for OA books
 - The introduction to the document should address the 'alignment' context

2.3.3 KER3: Recommendations

The type of validation required for the recommendations was different since recommendations are in direct relation to policies, which implies that the relations of power between the different stakeholders in the scholarly community needed to be taken into consideration. It was based on three main factors:

- **Logical derivation:** The stakeholders should not be able to consider that the recommendations are the output of arbitrary decisions but are firmly grounded in the previous phases of the project, i.e. the representativity of the KB and the scientific soundness of the analysis. Recommendations should stand by themselves and not reflect the personality of their authors to avoid any accusation of bias.
- **Support from opinion leaders:** In order to be adopted as valid across the scholarly community, the recommendations should be supported by opinion leaders who should be identified and probably engaged early in the preparation process of the recommendations.
- **Anticipation of opposition:** Blockers preventing stakeholders from adopting the recommendations should be collected based on past experiences to anticipate potential opposition and prepare for the exploitation of the recommendations after the project ends.

The Third Validation Exercise Workshop

Given the complexity of this process, the recommendations validation was organised in five steps including email communication, online meetings and web form feedback gathering as per below:

1. Initial feedback gathering via email and workshop – The draft recommendations were shared with the LIBER Working Group¹³ on OA for their feedback during the period 31st May and 10th June 2024. Additionally, during the LIBER conference (2-4 July 2024) the recommendations were presented and discussed at one of the pre-conference workshops.
2. 2nd September validation exercise – One-hour Zoom meeting for the project members to present the draft recommendations to the participants while providing the process and context on how they were formulated. This was followed by a Q&A to address any questions on unclarities. After this, instructions were shared with the participants on how should the feedback be provided in anticipation of the next online meeting.
3. Feedback gathering in between meetings via a Google form.
4. 12th September validation exercise – Two-hour Zoom meeting to share the feedback gathered through the Google form and clarify any comment that was unclear to make sure the changes are implemented adequately. This was followed by Zoom break out groups dividing the participants by stakeholder type with the aim to discuss the most appropriate dissemination and communication strategies for the recommendations as well as who are the thought leaders they should be shared with. Additionally, a discussion took place based on the example of the UK REF¹⁴ policy to individuate lessons learned for policy uptake and potential blockers.
5. Further feedback gathering via email – The draft recommendations document was shared after the validation exercise comments were implemented with the subgroup on scholarly communication of the European University Association's¹⁵ (EUA) Expert Group on Open Science.

The participants of the validation exercise online event included: advocacy organisations, infrastructure providers and platforms, libraries, publication services providers, publishers, researchers, RFOs, and RPOs. All together (excluding the project members) there were 28 participants, the feedback and notes were gathered anonymously. The countries represented by the participants were 14 in total across the ERA and beyond.

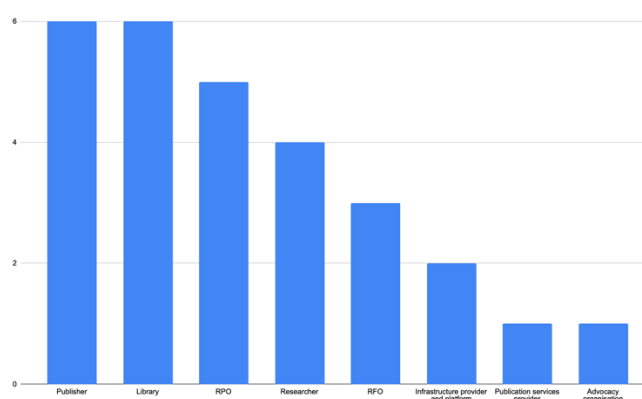


Figure 9 Stakeholder representation at the third validation exercise

¹³ <https://libereurope.eu/working-group/open-access-working-group/>

¹⁴ <https://2029.ref.ac.uk>

¹⁵ <https://www.eua.eu/our-work/topics/open-science.html>

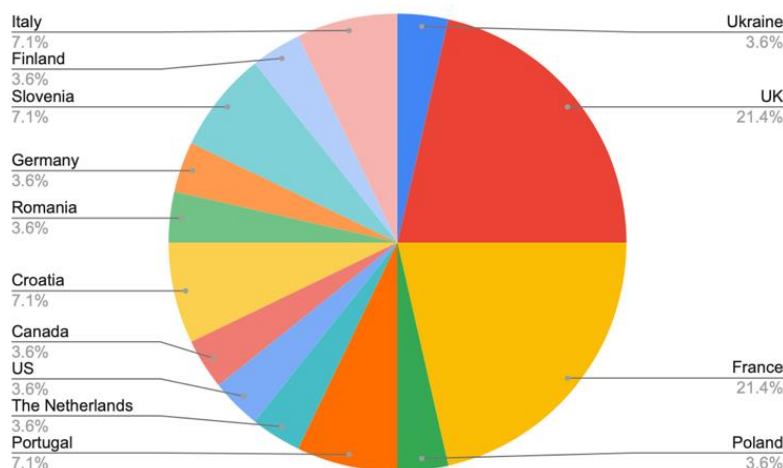


Figure 10 Country representation at the third validation exercise

Given that the project team was liaising with one individual for each of the working groups, it is not possible to provide the geographic and stakeholder types data reflecting feedback provided, however it is clear that they represented libraries as well as universities across Europe.

There were 11 individual answers to the Google web form collecting feedback in between the two meetings. A full overview of the answers grouped by the section of the recommendations document draft they are referring to, is available in Appendix 4.4 *Validation Exercise 2nd-12th September: Responses to the Third Validation Exercise Google Form for OA Book Policy Feedback*.

The Third Validation Exercise Results

While the full Google form feedback can be seen in the Appendix mentioned above (4.4), overall the comments focused on:

- Document structure and how the readability can be improved;
- Clarifications in the introduction needed about the definition of OA books the recommendations are focusing on;
- Expressions of support of the various recommendations;
- Questions and comments within the various recommendations groups that indicated further drafting was needed on some;
- Suggestions on language improvements;
- Need for examples to clarify what is meant in some recommendations.

Overall, the participants expressed support for the drafted recommendations with minimal changes needed. They showed interest in helping with the dissemination and communication about the final version.

As part of the second Zoom meeting, the participants were asked to choose the stakeholder type breakout group that applies to them and within the group they considered specific questions on communication strategy, implementation and blockers. The input was gathered within Google Docs in each breakout group, and later collated into one single document to help further develop the PALOMERA exploitation plan. The full input list per question and stakeholder type can be seen in the Appendix 4.5 *Validation Exercise 2nd-12th September: Responses from the Breakout Groups about Communication and Dissemination*, however, from a high-level communication and dissemination perspective, the main messages were that it would help stakeholders to have:

- A shorter version of the recommendations document;

- Making a clear division in the shorter version between the different recommendation groups;
- A translation of the short or long version into other languages.

This was mostly addressed by providing the short booklet¹⁶ showcased on the PALOMERA pages complementing the full report. While translation was not predicted within the PALOMERA project timeline, and capacity wise wasn't possible, it will be explored in a further project if the opportunity arises.

3 Conclusion

The deliverable *Validation Report* presented above showed that different validation processes had to be applied all along the duration of the PALOMERA project and adapted to their different objects. The validation exercise approach was a vital part of the project to ensure the stakeholders have the chance to review and assess the outputs which guaranteed a better engagement, alignment and uptake of the final recommendations and resources published as part of the OABT hosted on OAPEN's website.

¹⁶ <https://operas-eu.org/projects/palomera/results/recommendations-for-open-access-academic-book-policies/>



4 Appendix

The tables below showcase all the anonymous answers collected during the relevant validation exercise events and have been taken verbatim for transparency purposes, however, any obvious spelling errors have been corrected for readability only.

4.1 Validation Exercise 17th-24th January: Responses to the First Validation Exercise Google Form for Missing OA Policies

Title of the document(s)	Link to the document(s)	Short description of the content of the document(s)	Why are these documents important to be included in the Knowledge Base?
1. (Finland) National Open Science Coordination - Version 2.0 Draft policy for monographs and edited works 2. Risk analysis on the policy for monographs and edited works	Version 2.0 Draft policy for monographs and edited works: https://docs.google.com/document/d/1pT-hGLhY9fIcishQYt9rqDrdZMe1UGFs/edit?usp=drive_link&ouid=100249722835872705166&rtfpof=true&sd=true Risk analysis on the policy for monographs and edited works: https://docs.google.com/document/d/1hGyZR3LrDbeiEI2pcCuTkJLMSk18QWXA/edit?usp=drive_link&ouid=100249722835872705166&rtfpof=true&sd=true	The most recent draft of the policy for monographs and edited volumes, still under consideration	The knowledge base includes version 1.0, but version 2.0 is the most recent version of the policy. Further, the risk analysis is an important supporting document
Position statement sull'accesso aperto ai risultati della ricerca scientifica in Italia / Position statement on Open Access to research outputs in Italy	https://www.cnr.it/sites/default/files/public/media/servizi/open-access/Position_statement_OA_en.pdf	One of the first statements by heavy actors in Italy	Historical relevance, at least



Policy istituzionale sull'accesso aperto (Open Access) ai prodotti della letteratura scientifica CNR + Policy gestionale sull'accesso aperto (Open Access) ai prodotti della letteratura scientifica CNR	https://sibi.cnr.it/pubbli-care-open-access/come-pubblicare-oa/politiche-cnr/	OA policy of the Italian Research Council	To document the OS policies of major research organisations
List of OA/OS policies in Italy	https://open-science.it/article?rp=138101	The documents are not exhaustive but pretty complete list of OA/OS policy/regulation documents of universities and research centres in Italy	The institutions listed in this page do not seem to appear in the KB. Universities and research centres are minor but relevant actors and a rich KB should give access also to minor documents
Dichiarazione di Messina 2004 / Messina Roadmap 2014-2018	https://it.wikisource.org/wiki/Dichiarazione_di_Messina https://decennale.unime.it/?page_id=1766	First Italian OA statement in 2004 / Decennial statement 2014	1. Historical steps in the development of OA in Italy 2. Picture of Pierre on the decennial home page (see above)
See below	See below	Institutional policies for Swiss institutions, especially those of Universities of Applied Sciences and of Teacher Education are missing. The Swiss National Science Foundation's (SNSF, national research funder) OA book policy is missing	In the case of Switzerland, the Knowledge Base gives a good overview of the institutional policies of some German-speaking Universities. If comprehensiveness on a national level is intended, I have the following remarks: It does not cover French-speaking Switzerland or Universities of Applied Sciences or of Teacher Education - which would be needed to avoid a bias in the



			dataset regarding Switzerland. Furthermore, the SNSF funds BPCs and has thus a policy on OA books, which should be added. Lastly, two (Swiss) publisher policies are included which is helpful, but would require a more comprehensive overview of Swiss publishers.
<p>CONVOCATORIA DEL PROCEDIMIENTO DE CONCESIÓN DE AYUDAS POR LA FUNDACIÓN ESPAÑOLA PARA LA CIENCIA Y LA TECNOLOGÍA F.S.P., EN RÉGIMEN DE CONCURRENCIA COMPETITIVA, PARA EL FOMENTO DE LA INVESTIGACIÓN CIENTÍFICA DE EXCELENCIA: MARÍA DE GUZMÁN 2023</p> <p>CONVOCATORIA SELLO DE CALIDAD EN EDICIÓN ACADÉMICA (CEA-APQ).</p> <p>CONVOCATORIA DE EVALUACIÓN DE COLECCIONES 2024</p> <p>CONVOCATORIA SELLO DE CALIDAD EN</p>	<p>https://convocatoriamariadeguzman.fecyt.es/Publico/Bases/___Recursos/Convocatoria_MdG_2023.pdf</p> <p>https://coleccionessell1702993934.pdf</p> <p>https://monografias.sell1702993934.pdf</p> <p>https://coleccionessell1702993934.pdf</p> <p>https://monografias.sell1702993934.pdf</p> <p>https://coleccionessell1702993934.pdf</p> <p>https://monografias.sell1702993934.pdf</p>	<p>The first document: This call is the first funding instrument launched after the publication of the National Strategy for Open Science ENCA and contains the bases and conditions for the funding of interoperable open science infrastructures, including publication services.</p> <p>The second and third documents are the calls for the quality seal of academic publishing referring to both collections of monographs and monographs.</p>	<p>The first document is important to be included as it provides funding for the first time to academic publishing services in the framework of open science.</p> <p>The second and third documents are important because monographs and monograph collections are evaluated for the award of a national seal of quality.</p>



EDICIÓN ACADÉMICA (CEA-APQ). CONVOCATORIA DE EVALUACIÓN DE MONOGRAFÍAS 2023			
Charte Science ouverte de Sorbonne-Université Brochure Science ouverte à l'université Paris-Saclay	https://www.cnrs.fr/sites/default/files/press_info/2019-11/Plaquette_ScienceOuverte.pdf https://www.sorbonne-universite.fr/sites/default/files/media/2020-12/HRS4R-charte-OA.pdf https://www.universite-paris-saclay.fr/sites/default/files/2022-06/brochure-science-ouverte.pdf	This Roadmap gives full information regarding CNRS and OpenScience (2019). This Charter describes Open Access Policy and Best Practices of Sorbonne University regarding Open Science (2020). This document describes the OpenScience Policy of Paris Saclay University (2022)	Important documents in France regarding this subject
White Rose University Press's Open Access policy; Bloomsbury's Open Access Policy	https://www.bloomsbury.com/uk/discover/bloomsbury-academic/open-access/publishing-open-access/chrome-extension://efaidnbmnnnibpcapjpcgiclfndmkaj/https://www.bloomsbury.com/media/uk1p0pyo/boa_flyer_web.pdf	White Rose University Press is an open access publisher of academic journals and books, run jointly by the Universities of Leeds, Sheffield and York. It would be interesting to have details of how they publish open access books, in which subject areas, and how this is funded etc. I have linked to a page and a document which describe open access publishing at Bloomsbury Academic.	They are important to include in order for the Knowledge Base to give a comprehensive overview of the open access books publishing landscape. I am particularly surprised that when I looked through the policy documents for the UK (using the browse the repository by subject search function) I didn't see any documents from Bloomsbury, as they are doing interesting things as an open access academic books publisher, especially the Bloomsbury Open Collections collective action model.



O RCAAP e a evolução do Acesso Aberto em Portugal	https://repositorium.sdum.uminho.pt/handle/1822/27919	This chapter aims to present the genesis and evolution of the project “Scientific Open Access Repository of Portugal” (RCAAP). The first part contains a brief description of the evolution of open access in Portugal, the initial objectives, services offered and the evolution of the RCAAP project. The second part presents several indicators from RCAAP that attest its evolution and increasing visibility and recognition, both nationally, or internationally, and highlights some of the main goals achieved. Finally we present some perspectives for future work to be carried out during the year 2013/2014 and the main challenges expected in the medium/long term.	This book chapter tells the story of OA in Portugal.
Norwegian strategy for scholarly publishing after 2024	https://www.openscience.no/media/3775/download?inline?inline	This is a national strategy that summarizes the changes observed in the international publishing landscape and provides recommendations on how to move towards a desired future publishing landscape. It is currently only in Norwegian but with an executive summary in English. The whole report will be translated into English.	Part of the report deals with open access to academic books



Strategi for vitenskapelig publisering etter 2024	https://www.openscience.no/media/3775/download?inline	"Strategy for Scientific Publishing after 2024" introduces a vision of a future publishing landscape where all researchers have equal access to read and publish publicly funded research openly and without delay in reputable, quality-assured, and researcher-controlled publication channels. The costs associated with publishing should be reasonably proportionate to the publisher's work. To guide towards a desired publishing landscape, the report provides concrete recommendations for researchers, research-performing institutions, research funders, and authorities.	In addition to the vision for (open access) publishing generally in Norway, there is a chapter on open access to books.
La Science Ouverte à l'Université de Lorraine : bilan des actions entreprises et enjeux pour l'avenir	https://hal.univ-lorraine.fr/hal-03554958	Document presenting, in 2022, the achievements of the university in terms of open science projects and presenting the goals for the next 5 years.	Some of the achievements and goals explicitly relate to open access scholarly books.
1. Publish OA home page 2. Open access policy - EPA 3. HRB Policy on Open Access and Unrestricted Access to Published Research (Open Access) 4. Open access to research - Marino Institute of Education 5. Open Access Policy - TU Dublin	1. https://publishoa.ie.moodlecloud.com/ 2. www.epa.ie/our-services/research/epa-research-2030/strategies-and-policies/open-access-policy/ 3. www.hrb.ie/fileadmin/1_Non-plugin_related_files/RSF_files/Policies_and_principles/Grant_Policy	1. Website of the NORF-funded project aimed at transitioning publishers of journals and books to diamond OA 2. OA policy of Ireland's Environment Protection Agency 3. Ireland's Health Research Board's Policy on Open Access 4. OA policy of the Marino Institute of	1. Publish OA home page - this project is funded by the Irish Government through NORF and aims to transition Irish publishers of journals and books to OA 2. Ireland's EPA is a significant funder of OA in Ireland 3. Ireland's HRB is a funder and a publisher in Ireland



<p>6. Open Access Policy - Munster Technological University</p> <p>7. Irish Humanities Alliance Position Paper: Open Access and the Humanities [More may be forthcoming following a request to network]</p>	<p>es/HRB_Policy_on_Open_Access.pdf</p> <p>4. www.mie.ie/en/about-us/quality_assurance/policies_and_procedures/research/9_-open-access-to-research-policy-jan-2023_docx.pdf</p> <p>5. https://arrow.tudublin.ie/open_access_policy.pdf</p> <p>6. www.mtu.ie/media/mtu-website/governance/policies-and-publications/academic-council-policies-and-regulations/research-innovation-and-postgraduate-study/Open_Access_Policy.pdf</p> <p>7. www.irishhumanities.com/assets/Uploads/IH_A-Position-Paper-on-Open-Access-.pdf</p>	<p>Education, a higher-education institution, based in Dublin.</p> <p>5. The Open Access Policy of TU Dublin, a technological university with campuses across Dublin</p> <p>6. The OA policy of MTU, a technological university with campuses in Cork and Tralee, Co. Kerry</p> <p>7. A position paper drafted by the Irish Humanities Alliance, a joint initiative of humanities researchers within higher education and research institutions including universities across the island of Ireland and the Royal Irish Academy</p>	<p>4. Higher-education institution (HEI) policy - key stakeholders as authors, advisors and library publishers</p> <p>5. HEI policy - key stakeholders as authors, advisors and library publishers</p> <p>6. HEI policy - key stakeholders as authors, advisors and library publishers</p> <p>7. Humanities scholars are key stakeholders in book publishing in Ireland</p>
<p>Open Science Recommendations/Mandates from ERC (not the correct title)</p>	<p>https://erc.europa.eu/manage-your-project/open-science</p>	<p>OA policy for ERC project grants</p>	<p>ERC is setting standards for Europe</p>
<p>Strategy for Open Science at the Babes-Bolyai University</p>	<p>https://cercetare.ubbcluj.ro/wp-content/uploads/2024/01/OpenScienceStrategyUBB_total.pdf</p>	<p>Updated final version, in English, of a Romanian-language draft document already existing in the KB. Describes the general strategy towards Open Science at the university and includes as objective a transition towards Diamond Access for</p>	<p>The previous, Romanian-language, version in the KB was a preliminary version drafted by the Working group of the Babes-Bolyai University, prior to adoption by the legislative forum - the university's Senate</p>



		<p>all electronic publications, including books. This document has been approved by the Senate and can now be listed with the Babes-Bolyai University as author, rather than just the Working group for Open Science. The updated version of the Romanian text is also available, at https://cercetare.ubbcluj.ro/wp-content/uploads/2023/11/Strategie_Stiinta_De_schisa_UBB-ro.pdf. Hungarian and German translations are expected in the near future.</p>	
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4.2 Validation Exercise 17th-24th January: Replies to the Google Form and Mentimeter Questions about KB Functionalities

Responses from Google Form	Responses from Mentimeter
N/A	Browse by Country
Search relevance, Search filtering options	Browsing by stakeholder type (RFO, RPO, publisher...)
Search filtering options, Filtering by starting letters in author view gives strange results	More clearly indicate the language of expression and the country concerned
Search filtering options	Add more browsing filters (document types, affiliations), Add more metadata attributes to describe a document
Search filtering options	Publication year
Search filtering options, the "summary" section of each entry gives a good overview of the document and is supplemented by notes of research team. I would double check not to publish notes that have the character of value judgements on the concerned document.	Browse by Serving Purpose; for instance if the policy is linked with research assessment, publishing, metadata, etc.

Browsing options, Search relevance, Search filtering options, Document visualisation	Browse by stakeholder
Browsing options, Search filtering options, Language of expression of the document could appear more clearly. Country too (with some little flags or pictos?)	Browsing by more granularity in type of policy document
Search filtering options, Additional information, Could you include links to website pages detailing open access policies, as well as downloadable policy documents? A search by language function would also be useful, so users of the Knowledge Base could search for documents written in their first language. We also thought that a 'suggested documents' function might improve the user experience, where a panel at the bottom of the screen or pop-up could appear when you have clicked on a document, suggesting other relevant or similar documents you might be interested in.	Browsing by country
Relevant stakeholders like European Commission, Plan-S, COARA	Indicator of whether policy mentions books or not
Browsing options, Search filtering options	Browsing by stakeholder type
I think more content would be needed	Make it easier to identify national vs institutional vs international policies. Also general OA vs books-only. Also binding vs white book.
Browsing options, Search relevance, Search filtering options	Add a button regarding "monographs" or "periodical" policy (it's worth tracking it)
Open text search so you don't have to know the first word of the document name. E.g. a search for "politique" would result in both "Politique Open Access de BELSPO" and "Décret visant à l'établissement d'une politique de libre accès aux publications scientifiques". Ideally also all documents that have politique in the description.	I miss an index of what we are going to find, this could be in a menu on the left side of the page indicating the three types of documents
When shown a list of documents, it would be helpful to have the possibility of sorting them out by date + some facets (type of document; type of stakeholder...)	Country (full names)
Document visualisation, I would change the titles of some of the documents listed under Ireland	By type of policies (monographs only, journals, or general documents)



Search relevance, Additional information, I think it would be useful to have an attribute for each document about the stakeholder (i.e. policymaker, funder, library, university, Publisher)	By country should be a separate category, not under keyword
Browsing options, Search filtering options	Browsing by stakeholder type and/ or by granularity of document: open access policies or specifically open access for monographs
	Need more categories - e.g. institutional policies, policy briefs, government policies, humanities, sciences, metadata, bibliodiversity
	Date of the document should be mentioned
	Language
	Sometimes the title is listed as an institution.
	The search by subject also contains results by country. I would propose to separate it and put a search by country
	I have detected a problem with author disambiguation
	Can something be added for documents where 'No thumbnail available'?
	Clarity on what is searched (only metadata, which metadata, full text...)
	Sorting out the kind of policy regarding data, preprints, archive, books and periodical (VOR)
	It would be good if you could combine search and filter functionality (search just within one filter)
	Could European/national/local policy be an additional filter?
	Filtering through facets would be useful once a set of documents appears on the screen (either through browsing or using search engine)
	It might be useful to combine the filters with the browsing section of the base
	Filter by language of the policy document

4.3 Validation Exercise 17th-24th January: Responses from the Breakout Groups about KB Uses and Improvements Needed

Stakeholder type	Question	Answer
Publisher	What kind of things would be helpful to you in a Knowledge Base if we have room to further adapt it?	<p>Publication year is important to filter the documents</p> <p>National funding availability filtering</p> <p>Funding policies that apply to authors only and funding policies that apply to publishers only (they are different from RFO policies) - define the targets of the funding</p> <p>Does it say on the website if we can search in other languages? - this needs to be clarified</p> <p>About PALOMERA, collection, community - not clear to someone that is new to this project or Knowledge Base</p> <p>Versioning option</p> <p>To show if a policy specifically mentions books/monographs or not</p>
	How do you imagine you could use the Knowledge Base in your organisation or activity? Please provide concrete use cases.	<p>Used for national coordination groups</p> <p>Advocating change - different funding schemes have different criteria, some stimulate OA more than others. Use this as a good example when taking to governance agencies</p> <p>Looking at what other publishers do and how they define their OA policies</p> <p>Setting off OA policies - what is the standard phrase we can use for example in licences, identifying standard text in specific areas in OA policies. To be able to advise publishers.</p> <p>Look at mandates from funders, we want to look at what specifically they require - criteria, specifications on what is needed</p>
	Are there any blockers that would prevent your organisation from using the Knowledge Base?	<p>Language barrier - multilingualism makes it difficult to understand every policy.</p> <p>Plug-ins for automated translation, and abstracts in English could maybe help.</p> <p>Some titles are translated and some are not - better consistency. The summary should include whether a policy addresses books or not so that we know if it makes sense to translate it for our needs or not.</p> <p>Does it say on the website if we can search in other languages? - this needs to be clarified</p>



Libraries	What kind of things would be helpful to you in a Knowledge Base if we have room to further adapt it?	<p>A lot of diversity in the KB, so maybe enhance the metadata (language, etc). Could the providers/authors help with the metadata, by being clear about e.g. what is the policy about? What areas are in scope. For recommendation → PALOMERA (classification and standardisation) → policy development tool/policy generator What is an open monograph policy about? Defining the book (monograph, textbook etc) - crossover books (definition). For education and/or for education/research. As librarian most interested in institutional policies and strategies, difficult to find the relevant information. Standardisation of policies would be useful. Excerpts are good but not consistent everywhere. Small language issues to be considered (Hungary as an example, maybe as a subgroup/subtask)</p>
	How do you imagine you could use the Knowledge Base in your organisation or activity? Please provide concrete use cases.	<p>As part of a national licence consortium policy could be shared with local publishers as part of potential support. To be used within collective bodies, consortia etc. The KB is an evidence base that can be referred to showing to stakeholders that your efforts are not coming out of nothing. To help in designing or improving the institutional policy about monographs.</p>
	Are there any blockers that would prevent your organisation from using the Knowledge Base?	/
RPOs / Researchers	What kind of things would be helpful to you in a Knowledge Base if we have room to further adapt it?	<p>It is useful to have everything in one place. Searching in neighbouring countries was very interesting, but not everything was in English, which was an obstacle. Browsing by subject or open text search would be advantageous. A vast enrichment, multilingual corpus/collection, extracting terminology between different linguistic communities. Functionality where you can separate documents national vs institutional, what other people implement, there are a lot of documents but when it comes to who</p>

		<p>takes actions they actually don't do much. - more actionable documents. Include the video or any type of visualization/infographic of how to use it or what to expect there.</p>
	How do you imagine you could use the Knowledge Base in your organisation or activity? Please provide concrete use cases.	<p>For course/curriculum creation For writing a paper regarding open science, as a brief overview. As a convincing argument in a discussion for developing policy or for strategic decisions to make.</p>
	Are there any blockers that would prevent your organisation from using the Knowledge Base?	<p>Not for all, not many people come across it. It is relevant for researchers, but how to reach those that might use it - promotion to the broader public.</p>
Policymakers / RFOs	What kind of things would be helpful to you in a Knowledge Base if we have room to further adapt it?	<p>Data visualisation functionality (dashboard) + extraction in Excel file? on a map ? by categories ? to have a better representation per country. How many have a policy? → to give an overview at ERA level. Important to make a distinction between OA/OS in general, and focus on OA books. Interesting to see the granularity of policies in different countries. Export searches into Excel to share with others Difference to be made between policies linked or not with funding → earmark “stipulations” (mandates ?) policies</p>
	How do you imagine you could use the Knowledge Base in your organisation or activity? Please provide concrete use cases.	<p>When elaborating policy → benchmark; Understand the state of the art → read the policies to check what the others are doing. But it is important to understand the national contexts: important to be able to contextualise a single policy piece against others for the same country. (how does it compare, work with others, and with other pieces of the national framework, how many are there, etc) Monitoring of OA policy → framework and instantiation of this framework (in terms of results) Impact → Could be also a basis to support further exchanges between institutions → on best practices, etc. Would like to know better the policies from other funders is it for books, BPCs</p>

		or infra. Measures to support OA nationally and to what extent?
	Are there any blockers that would prevent your organisation from using the Knowledge Base?	Not updated. Obsolescence. And lack of connection with other initiatives.

4.4 Validation Exercise 2nd-12th September: Responses to the Third Validation Exercise Google Form for OA Book Policy Feedback

Section	Comment	Stakeholder that provided the comments
Introduction	<p>Comment on the introduction (section 1): I think the argumentation for the relevance/importance of OA books needs to be stronger/more convincing. Statements I heard in the past: "OA books are a niche" / "OA books are completely irrelevant in certain disciplines" / "mainly relevant in AHSS disciplines (Arts, Humanities and Social Sciences) --> but only 10% of funds go to AHSS" --> What does the collected evidence (cf. third paragraph on this page) show? Is this actually the case?</p> <p>This is a comment on the introduction: the recommendations should be considered by stakeholders with an interest for open access in general - it has to be clear that this is an essential path for open science, books are not secondary in science publishing.</p>	<p>RPOs Infrastructure providers and platforms Academic libraries University presses / Institutional publishers</p>
General recommendation #1	<p>Quality indicators</p> <p>General recommendation in order for people to better refer to the recommendations after the publication of this document, I would suggest using a unique numbering system, e.g.: Recommendation #1.1 Recommendation #1.2 Recommendation #1.3</p> <p>I would suggest to integrate the general recommendations into the stakeholder-specific recommendations. When screening the document for the first time, I directly jumped to the specific recommendations wondering why certain (obvious) recommendations seemed to be missing before finding them in the general recommendations. This may bring about some</p>	<p>Researchers / Scholars RPOs Infrastructure providers and platforms Academic libraries University presses / Institutional publishers Small to medium commercial publishers RFOs Scholarly / Learned societies</p>

	<p>duplications, however, the benefit would be that every stakeholder finds the relevant recommendations in one section.</p> <p>In addition, the general recommendations contain (too) many references to specific recommendations making the text difficult to read.</p> <p>"OA policies should explicitly address OA academic books, since these represent a research output type that not only has its own specificities in terms of content, form, and length, but also functions as the most important output type in many research cultures that produce, evaluate and read them"</p> <p>--> Is this truly the case? ("most important output type in many research cultures...") --> maybe considering to highlight the recently increased importance of OA books (i.e. highlighting the trend/tendency)</p> <p>* ...a clear definition of the type of books..." --> what is meant by "type of books"? --> maybe adding "(e.g. ...)" to explain</p> <p>Making requirements explicit will be helpful for researchers and support staff as there are specific considerations for books that will need to be addressed by policies.</p> <p>This is good, as a lot of OA policies are really just for journals and don't really cover books.</p> <p>Delete last §</p> <p>Yes, OA policies should include discussion of OA for academic books. In respect of whether OA should be mandated for OA books, the British Academy believes that OA should only be mandated by a funder where the funder provides sustainable support for that OA.</p>	
General recommendation #2	<p>What do you mean by types of books? Do policies discriminate types of articles, for instance?</p> <p>Topic specific</p> <p>Language should be simple but also clear and direct - too often policies can be open to interpretation as the detail is figured out after policies are written.</p>	<p>RPOs</p> <p>University presses / Institutional publishers</p> <p>Researchers / Scholars</p> <p>Academic libraries</p> <p>RFOs</p> <p>Scholarly / Learned societies</p>



	Yes, there should be clarity in OA policies for academic books, in particular in respect of which books are in/out of scope - a main cause of confusion and anxiety amongst authors.	
General recommendation #3	<p>Reproducibility of research</p> <p>Agree</p> <p>Yes, awareness about OA for academic books should be raised, particularly to reduce confusion and anxiety among authors and RPO administrators (and also librarians and publishers).</p>	<p>Researchers / Scholars</p> <p>Academic libraries</p> <p>RFOs</p> <p>Scholarly / Learned societies</p>
General recommendation #4	<p>This is crucial. If recommendations are displayed hierarchically, it should be number 2.</p> <p>It shouldn't be the case that BPCs are arbitrary and vary without justification. It's true to say that they vary a lot between publishers, maybe focus on that?</p> <p>The last sentence is weak, maybe delete it</p> <p>Open data if possible</p> <p>The problem with diamond models for many institutions is that they don't get a direct return on investment. The sector should seek more centrally funded models rather than relying on altruistic funding from libraries.</p> <p>I think that a definition of BPC would be needed. Because it is much more subtle for books than it is for articles (e.g. lab contributions under other names, even for non-OA books).</p> <p>Yes. BPCs may continue to have a role, but many (most?) humanities and social sciences authors will not have access to funding sources for them. Collective funding models should definitely be explored and developed.</p>	<p>RPOs</p> <p>University presses / Institutional publishers</p> <p>Small to medium commercial publishers</p> <p>Researchers / Scholars</p> <p>Academic libraries</p> <p>RFOs</p> <p>Scholarly / Learned societies</p>
General recommendation #5	<p>Dashboard for data sharing</p> <p>Yes. Dialogue and collaboration across all relevant stakeholders are essential if effective collective funding models are to be successfully developed.</p>	<p>Researchers / Scholars</p> <p>RFOs</p> <p>Scholarly / Learned societies</p>
Common recommendation #1	<p>My doubt about recommendation 3.1 is that it may be interpreted by decision makers and researchers in a utilitarian way.</p> <p>For example, I do a lot of reviews (perhaps done poorly or in the view of review mills) because my institution rewards numbers.</p> <p>The argument is not trivial because the temptation</p>	<p>RPOs</p> <p>University presses / Institutional publishers</p> <p>Small to medium commercial publishers</p> <p>Infrastructure providers and platforms</p>



	<p>to count is strong, and it is easily to implement. From the perspective of a decision maker if I decide to count reviews and edited works of OA academic books I have done my duty to open science, but what might be the effects? That's why I was asking for examples that I am seldom able to bring because I believe it is difficult to have balanced policies that prevent adaptive behavior</p> <p>What I mean is that such a recommendation in the hands of policy makers is dangerous because they will surely seek the easy way out (to count). Therefore, it would be important to find examples of appropriate recognition</p> <p>Impact for books is also measured with Altmetric scores and citations, usage etc</p> <p>These recommendations miss the prominent role of the paper book.</p> <p>Comment on section 3: Suggestion for easier readability: This section could be shifted to section 4.4 (with references to it in sections 4.1, 4.2 and 4.3). "Libraries" would be section 4.5, "Researchers" would be section 4.6 and so on.</p> <p>Agreed</p> <p>I would definitely prefer having a continuous numbering between all three sections of recommendation. Otherwise it will rapidly become confusing.</p> <p>It should be made clear that OA publication does not represent a "lesser" form of publication for academic books.</p>	<p>Academic libraries RFOs Scholarly / Learned societies</p>
Common recommendation #2	<p>I would not include particular examples in a Recommendation.</p> <p>It's good that sustainable funding is discussed here</p> <p>Why mention the Germany case?</p> <p>Agreed</p> <p>I have the feeling that the level of the laboratory is missing here. Whereas it is often a crucial contributor to the funding of (open) research books. And it does so below the radar of the RPO's institutional level. Some kind of institutional consolidation regarding funding</p>	<p>RPOs University presses / Institutional publishers Small to medium commercial publishers Academic libraries RFOs Scholarly / Learned societies</p>

	<p>would help in this regard (link with recommendation #3 of this section).</p> <p>Yes, appropriate funding to support OA for academic books needs to be provided.</p> <p>Whether that can funding can simply be provided as an element of a research grant system is questionable. Many academic books (e.g. in the humanities) may arise from no research grant at all. O they may arise from small grant funding (such as a British Academy Small Research Grant of up to £10,000), and in that context supporting OA dissemination would be require a disproportionately large amount of additional provision to be made available.</p> <p>OA funding to support shared infrastructure can play a useful role. But it is inescapable that OA funding also needs to be provided to support the actual dissemination processing of books (ultimately paying for people's time).</p> <p>Bibliodiversity is obviously desirable. The impact of some OA policies is to concentrate publication in the hands of some large publishers.</p>	
Common recommendation #3	<p>Transparency of costs is quite reasonable, but there might be commercial considerations here too.</p> <p>Cost monitoring: including benefits</p> <p>Monitoring the impact of OA policies is desirable; so too is evaluating the cost-effectiveness of the policies. But this should not be onerous. (One of the concerns about extending OA to academic books is that it may increase the administrative burdens for RPOs.) And unnecessarily punitive sanctions should be avoided.</p>	<p>University presses / Institutional publishers Small to medium commercial publishers RFOs Scholarly / Learned societies</p>
Common recommendation #4	<p>We suggest cc by sa, so that an author who reuses a work can grant his re-users the same rights he enjoyed to reuse the work.</p> <p>The rights retention part is likely to cause conflict with publishers, if it's for books without funding for OA.</p> <p>Institutional rights retention policy doesn't meet consensus.</p> <p>Policies shouldn't be reliant on institutions having rights retention policies - some institutions are too</p>	<p>RPOs University presses / Institutional publishers Small to medium commercial publishers Academic libraries RFOs Scholarly / Learned societies</p>



	<p>small to implement these policies and mustn't be put at a disadvantage.</p> <p>Bold move to recommend CC-BY for all OA books. In France at least, the majority of open books is distributed under more restrictive CC licenses. And sometimes for very good reasons. These other CC licenses should also be acknowledged in the recommendation in my opinion.</p> <p>Awareness of Creative Commons licenses should be promoted. The British Academy is keen that authors' concerns about any improper distortion of their work are addressed (particularly where sensitive evidence is being published), and therefore favours use of the -ND element (while recognising that this is perhaps more of a blunt tool than is ideal).</p> <p>Rights retention policies (RRPs) can be useful in ensuring that authors have reserved the rights needed to comply with any RFO OA mandates. However, some RPOs are now aggressively asserting RRP with their own stipulations (e.g. immediate OA for AAMs in the RPO's repository), in ways that risk cutting across the delicately negotiated cross-sector collaboration proposed in General recommendation #5.</p>	
Common recommendation #5	<p>Are we admitting that there will always be an embargo period?</p> <p>The bit about RFOs, RPOs and policymakers demanding access to OA books that have been published with their funds is confusing, as OA books should be available to anyone and everyone.</p> <p>"underlying infrastructures are open", like using Gdocs? The last sentence is out of the subject of the recommendation. This recommendation is too big, it contains too much items and ends recommending full OA for any books.</p> <p>Agreed</p> <p>Yes, the promotion and adoption of appropriate technical requirements should be encouraged.</p>	<p>RPOs</p> <p>University presses / Institutional publishers</p> <p>Small to medium commercial publishers</p> <p>Academic libraries</p> <p>RFOs</p> <p>Scholarly / Learned societies</p>
Public and Private Research Funding Organisations (RFOs) recommendations group	<p>#Time frame: I'm not sure what added value/what significance this assessment of the time frame has. You might want to consider dropping it. [applies to all recommendations with a time frame]</p>	<p>RPOs</p> <p>Infrastructure providers and platforms</p> <p>Academic libraries</p> <p>University presses / Institutional publishers</p>



	<p>The legal level part here could be contentious, if funders are asking authors to retain their rights, but they're not providing funding for OA. But the funding flexibility recommendation is good (Recommendation 2)</p> <p>1st recommendation should be money & investment</p> <p>Recommendation #1. RFOs should play an important role in contributing to cross-sector dialogue, in particular about collaborative funding models.</p> <p>Yes, RFOs should be sensitive to authors' preference for the CC BY-ND license.</p> <p>Recommendation #2. Yes, RFO schemes to support OA should appropriately take account of the time lag between the end of the grant period and final publication of an academic book output. But, as discussed under Common recommendation #2, not all RFOs may have the resources to be able to provide additional funding to support OA dissemination of outputs from their grant-funded research.</p>	<p>Small to medium commercial publishers RFOs Scholarly / Learned societies</p>
Research Performing Organisations (RPOs) recommendations group	<p>This regards the introduction: I'm not sure if they are so different in terms of content and structure. It's more a formal difference, regarding ways of publication. But research in itself does not differ from what is done to write an article. Peer review procedures for books can sometimes be dependent on publishers rules. Or is this considering just academic publishers?</p> <p>The awareness raising part is good, because we do get authors who don't know much about OA.</p> <p>In so far as RPOs operate libraries, they should ensure that those libraries are authorised and resourced to be able to collaborate effectively in collective OA funding models (e.g. subscribe to open).</p>	<p>RPOs University presses / Institutional publishers RFOs Scholarly / Learned societies</p>
National Policymakers recommendations group	<p>The recommendation for national policymakers to consider funding an alternative academic publishing system or platform rather than funding individual outputs is essential because it would be a great alternative that could easily align all the stakeholders.</p> <p>Good to see that funding mechanisms are mentioned here</p>	<p>RPOs University presses / Institutional publishers Small to medium commercial publishers RFOs Scholarly / Learned societies</p>

	<p>yes for reco #3, " funding an alternative academic.."</p> <p>Recommendation #1. Yes, national policymakers should consult all stakeholders, and promote dialogue and collaboration across all of them, to establish OA policies for academic books that are underpinned by appropriate resourcing.</p> <p>Recommendation #3. Yes, OA strategies and policies for academic books must be made possible through adequate resource being made available to those stakeholders - including RFOs, RPOs and libraries - that will effectively implement those strategies and policies.</p> <p>Funding may be provided for OA infrastructure, but it also does need to be made available to support ongoing mechanisms that finance OA books themselves (including Diamond OA mechanisms).</p> <p>Because of the complexity involved in Recommendation #3 it perhaps inevitability has to be "medium term", but initiating it should be regarded as urgent.</p>	
Libraries recommendations group	<p>I find it hard to see libraries with the financial capacity to provide such support.</p> <p>Very pleased to see in Recommendation 5 that libraries are encouraged to financially support OA, as their involvement is crucial to the success of the various collective funding models that are springing up for OA books.</p> <p>Recommendation #1. Libraries should promote OA academic books within their own institution's in order to secure authority and resource to participate in collaborative OA funding models (so that library spend on OA academic books is not regarded as a fringe "extra").</p> <p>Recommendation #5. Yes, following from the above, libraries can play a crucial role in supporting OA publication of academic books through collection development budgets, and through repurposing current spend towards OA books.</p> <p>"Libraries should consider financially supporting OA academic books written by researchers at the library's institution" - the issue here is that often libraries are supporting non-BPC models but the books are not being written by researchers at their</p>	<p>RPOs</p> <p>University presses / Institutional publishers</p> <p>RFOs</p> <p>Scholarly / Learned societies</p> <p>Academic libraries</p>



	<p>institutions. The only way currently to guarantee direct return on investment is via payment of a BPC. This is one of the reasons why Trailblazers was set up in the UK by Salford, Liverpool and Lancaster uni libraries and Liverpool University Press - being able to offer a tangible benefit to our institutions has been really important.</p>	
<p>Researchers recommendations group</p>	<p>I don't know if it is necessary to specify those types of researchers (in the introduction). The recommendation that Researchers should prioritise publishing with a publisher that follows the Diamond publishing model can be a problem due to a limited number of publishers that offer this model.</p> <p>It may turn inadequate to list tools and resources in a Recommendation, they sometimes change or maybe are discontinued.</p> <p>Good to see in Recommendation 2 that they are encouraged to include costs for publishing OA in funding applications. But, again the rights retention mention is more controversial.</p> <p>"The material and findings collected from the PALOMERA survey results show that authors are concerned about the quality and reputation of OA academic books, but at the same time are not very familiar with OA book publishing." --> Maybe this information could also be mentioned in the introduction (chapter 1) in order to justify why this recommendation document is important and how it could help to further increase the relevance of OA books.</p> <p>"Understand the publishing process" - libraries could also benefit from this and it would enable us to be able to better support our researchers. In terms of resources there are still very limited options for authors wanting to publish OA without payment of a BPC - how many fully OA diamond publishers are there? How does any author ensure they are included in initiatives such as S2O?</p> <p>Yes, all the recommendations.</p>	<p>RPOs University presses / Institutional publishers Infrastructure providers and platforms Academic libraries RFOs Scholarly / Learned societies</p>
<p>Scholarly Societies recommendations group</p>	<p>Please clarify the second part of the sentence (starting Scholarly societies): ... or related disciplines such as the arts and sciences. (what are sciences in this context?)</p> <p>It's good to see recognition that there are differences between subject areas</p>	<p>University presses / Institutional publishers RFOs Scholarly / Learned societies</p>



	<p>Recommendation #5. Yes, scholarly societies should play an important role in drawing attention to the specific requirements of OA book publication in their disciplines. They should contribute to cross-sector dialogue to identify what resource for OA dissemination currently exists, and to advocate for any additional provision that is necessary.</p>	
Open Infrastructure Providers recommendations group	<p>It could be useful to define the time frames: short, medium, long term. I'm not sure if OIPs should take the lead on the alignment of terminology. I feel that taxonomies are more connected with libraries. Recommendation 6 is not clearly stated. It is about monitoring what?</p> <p>Recommendation #1: "In order to encourage the free flow of open metadata about OA academic books and OA book policies, open infrastructure providers should begin to collaborate more strategically."</p> <p>--> Does this suggest that, for instance, the various activities at national/European level should be synchronised to ensure interoperability? (e.g. via the European Open Science Cloud) --> maybe one sentence to specify what is meant by "should begin to collaborate more strategically" would increase understanding.</p> <p>Recommendation #2: "Evidence" --> As "Evidence" is only provided in chapters 4.7 and 4.8 I would consider using foot notes instead. Otherwise the impression could arise that there is no evidence for all the other recommendations.</p> <p>Recommendation #5: Evidence: "National libraries report: Use of open access status is still not common in National Library metadata f Belgian presentation at the Funders Forum." --> sentence incomplete</p>	<p>RPOs University presses / Institutional publishers Infrastructure providers and platforms Academic libraries</p>
Publishers recommendations group	<p>Please consider addressing the use of AI in text writing and data mining (at least). There is a new EU framework (https://digital-strategy.ec.europa.eu/en/policies/regulatory-framework-ai) and regulations (https://eur-lex.europa.eu/eli/reg/2024/1689/oj) on the use of AI, please consult them.</p> <p>This all sounds reasonable</p>	<p>University presses / Institutional publishers Small to medium commercial publishers RFOs Scholarly / Learned societies</p>

	Why put them in last position? Why this is the only time that the word "enthusiasm" is used?	
	Yes, all the recommendations.	

4.5 Validation Exercise 2nd-12th September: Responses from the Breakout Groups about Communication and Dissemination

Stakeholder type	Question	Answer
Publisher / Infrastructure Providers	What are the communication and engagement actions to take to support the adoption of the recommendations within the target stakeholder group? Who are the key players that we should target to support this effort?	<p>Awareness-raising with small to medium presses around policy recommendations – the details are often not well known.</p> <p>Communicating the components that should be on a publishers' website in a very structured way. Could there be a best-practice matrix for a publisher to check off what they've done or haven't done?</p> <p>Our example https://publications.fr/page/131/science-ouverte</p> <p>Publishers would welcome guidance/self-assessment tool</p> <p>This is passive dissemination – you have to go to the publishers' websites to find it out – is there a way to send this information out? E.g. Onyx standard that would require the relevant fields to be 'required' in Onyx. (But: see 'blocker' section about metadata.)</p>
	Can you imagine concrete examples to start implementing this strategy as our next steps?	Answers provided in first reply.
	Are there any challenges that your stakeholder group would face in the adoption of the recommendations?	<p>Extra burdens: Not as much flexible money. There is pressure on publisher finances already, so anything that's an extra burden and requires extra staff time will be felt as a problem. E.g. adding extra metadata may be burdensome.</p> <p>The length of policy documentation can be a problem. If it needs hundreds of pages of documentation, it might need to be streamlined somewhat.</p>

		<p>Depositing in repositories:</p> <p>Legal deposit: different countries have different practices; national libraries have different processes.</p> <ul style="list-style-type: none"> • E.g. the Library of Congress has no category in their form for an OA category, and you <i>have</i> to provide print copies of works, not digital. And if POD, you can't just send it from the printer – it has to come to the publisher, have a form appended, be sent to Library of Congress. This is a v. burdensome process! Could national libraries help (as the British Library has begun to do)? • Finnish library has a slick process for print books but it is more difficult for digital publications (which they actually prefer!) So they are not incentivising what they claim to want. <p>Distribution to many different platforms is burdensome.</p> <p>There is no consensus about policies – some publishers don't agree with policy mandates. Important not to impose OA on smaller publishers – it is one way among other ways to publish. Diversity in publishing.</p> <p>Paper books are still important, physical dissemination is still important. The culture is still based around physical books. This can also be a blocker on the author side – authors are used to paper copies, they appreciate royalties.</p> <p>It was also raised that scholars in certain disciplines, namely history, were considered to need significant guidance around whether a book would be a scholarly book or a trade book as there is often a crossover/public interest in such works and the culture of publication may thus vary. This is perceived as a barrier to</p>
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		<p>active engagement in open access publishing.</p> <p>Publishers are always at the end of the queue – even at the end of this document! The framing is important: publishers add value and this needs to be recognised, not seen as an inconvenience.</p>
Learned Societies / Researchers	<p>What are the communication and engagement actions to take to support the adoption of the recommendations within the target stakeholder group? Who are the key players that we should target to support this effort?</p>	<p>Make it public, and spread it wisely and widely. It should be very visible, general strategy should be disseminated in every possible way</p> <p>Researchers should think about the strategy of communication by learning/training, make the researchers know the recommendations. In the group opinion, it is hard for researchers to publishing in OA</p> <p>Work with research centres and library</p> <p>Educate researchers about what they are signing away</p> <p>Reach the policymakers as researchers, and those who are dealing with the finances. There is always a question of the funding</p>
	<p>Can you imagine concrete examples to start implementing this strategy as our next steps?</p>	<p>Contact (reach) the centres (departments or so) to spread the information about the recommendations</p> <p>Make the language more prominent – tell about the benefits for researchers (show the cases)</p>
	<p>Are there any challenges that your stakeholder group would face in the adoption of the recommendations?</p>	<p>The lack of knowledge about: their rights (copyrights etc.), about OA, about publication processes</p> <p>Assessment procedures (process) are too “heavy” = institutional blockers</p> <p>Lack of funding</p>
Libraries / RPOs	<p>What are the communication and engagement actions to take to support the adoption of the recommendations within the target stakeholder group? Who</p>	<p>Address umbrella orgs:</p> <ul style="list-style-type: none"> • Sience Europe



	<p>are the key players that we should target to support this effort?</p>	<ul style="list-style-type: none"> • The German Science and Humanities Council (https://www.wissenschaftsrat.de/EN/About_us) • German Council for Scientific Information Infrastructures (https://rfii.de/en/the-council/), <p>EIFL partner National library consortia (https://www.eifl.net/where-we-work) asking them to also share with national rectors councils and national OA/open science policy making bodies where they exist</p> <p>JISC (UK)</p> <p>Couperin consortium (FR) : in France lack of mechanisms to support books that could be easily used by consortium libraries</p>
	<p>Can you imagine concrete examples to start implementing this strategy as our next steps?</p>	<p>Idea to provide figures to raise interest to support the recs. Particularly to highlight gaps.</p> <p>And show concretely the relevance of books for some disciplines. Quotes from scientists</p> <p>But difficult to have the correct numbers for books (compared to articles).</p>
	<p>Are there any challenges that your stakeholder group would face in the adoption of the recommendations?</p>	<p>Lack of reusable materials ; rec on metadata : lack of resources in the university for the metadata ; lack of awareness about metadata</p> <p>Lack of options in terms of publishers : raise awareness</p> <p>Potential answer : not relevant in my disciplines. → think that it is only for SSH.</p> <p>→ concrete action : do a mythbuster about that (social media)</p> <p>In libraries : lack of financial resources to support open → slow uptake because of</p>



		<p>lack of awareness about existing intermediary such as OBC</p> <p>Lack of trust about quality → DOAB</p>
Policymakers / RFOs	<p>What communication and engagement actions do you think could support the adoption of the recommendations within the target stakeholder group? Who are the key players that we should target to support this effort?</p>	<p>How has engaged collab has been enabled across sectors. Cross sector dialogue the most important. An opportunity for a big conversation.</p> <ul style="list-style-type: none"> • Actions: <ul style="list-style-type: none"> ○ A shopping list ○ Not just communicating recs ▪ Commission think pieces that draw attention to the Recs and highlight opportunities for a bigger conversation ▪ Cross-sector dialogue. <ul style="list-style-type: none"> • Scholarly kitchen article to start discussions • Convening cross-sector conversations! Think outside the box • Engage beyond own narrow interests • No discussion about technical details ▪ National players need to take on role of promoting this - to find ways to promote dialogue after PALOMERA ▪ Discuss directly with research funders to see how the recs could be integrated/adopted in national policies ○ Key players: <ul style="list-style-type: none"> ▪ All relevant stakeholders ▪ National policymakers, like UKRI ▪ Research funders
	<p>Can you imagine concrete examples to start implementing this strategy as our next steps?</p>	<p>Convene the actors to begin big discussions</p> <p>OABN to facilitate as an example</p>



	<p>Are there any challenges that your stakeholder group would face in the adoption of the recommendations?</p>	<p>“Too difficult conversation”, “not for us”</p> <p>Engagement with researchers</p> <p>How do they fit with current policy?</p> <p>How it is funded can only be discussed on an international level</p> <p>Everyone needs to collaborate on funding models to make OA progress. How can existing resource be repurposed? Nationally and internationally. How can that be translated internationally?</p>
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