

2nd SCOAP³ Tender Working Group

DRAFT Terms of Reference

I. Preamble

SCOAP³, the Sponsoring Consortium for Open Access Publishing in Particle Physics, is composed of partners from 44 countries (“Partners”). The Partners are represented by “Representatives” who signed a Memorandum of Understanding (“MoU”), defining the objective of the initiative and the governance structure of SCOAP³. The Governing Council (“GC”) is the decision-making body of SCOAP³ and is responsible for its overall governance. The GC appoints the members of the SCOAP³ Executive Committee (“ExCo”), which oversees the operations of the initiative. Furthermore, the GC can appoint any additional committees or working groups as deemed necessary.

CERN is the Host Organization of SCOAP³ and ensures its operation. MoUs are signed between the Representatives and CERN. CERN is the legal entity entering into contracts with the publishers for the benefit of SCOAP³. In this role, CERN also appoints one additional member to the ExCo and the GC.

SCOAP³ aims to convert all research articles in High-Energy Physics (“HEP”) to Open Access. During its first six years, in two phases (2014-2016 and 2017-2019), SCOAP³ made over 30'000 articles openly accessible. During the course of its extended third phase (2020-2024), SCOAP³ will support the publication of around 7'000 articles per year, in 11 journals by 11 publishers, representing roughly 90% of the discipline's output.

The initial procurement process in 2011-2012 resulted in contracts for the first phase (2014-2016) and terms were finalized for the APS joining the initiative in 2018. Following that CERN, for the benefit of SCOAP³, re-negotiated contracts with publishers throughout each extension of the operations.

During the October 2019 meeting of the GC, the GC tasked ExCo to form a “SCOAP³ Tender Working Group” (STWG) to work with the CERN Procurement team, in consultation with the Governing Council, on the preparation of a procurement process in order to award contracts for a possible SCOAP³ Phase 4.

Pursuant to the established terms of reference of the group approved by the GC, the STWG was formulated in January 2020 and worked to devise a strategic procurement scenario beyond 2022, based on an extensive analysis of the major factors influencing a potential new tender. In

execution of its mandate and in light of the economic uncertainty caused by the COVID-19 pandemic, the STWG recommended that the most beneficial procurement strategy for the SCOAP3 partnership would be to maintain the scope of the initiative (in terms of journals/publishing services, procurement conditions and annual budget) by arranging a two-year extension of Phase 3 under existing terms (i.e. until December 2024). Motions relating to the extension of SCOAP3 were unanimously approved by the Governing Council in its meeting in October 2020.

Recognizing the importance of developing a new procurement process for a potential 4th Phase of SCOAP3, the GC tasks the ExCo to form a second SCOAP3 Tender Working Group who will work with the CERN Procurement team and in consultation with the Governing Council, to establish the conditions of a future tender for SCOAP3.

The purpose of these Terms of Reference is to define the functioning details of the 2nd SCOAP³ Tender Working Group (2STWG).

II. Goal

The 2STWG shall develop a strategy for the procurement process for the 4th Phase of SCOAP³, beyond 2024 and in particular shall consider the following points:

- Future scope of the initiative and the corresponding procurement
- Budgetary implications of the proposal and related fundraising challenges
- Open Access conditions, publishing services and deliverables
- Possible pricing models and contractual arrangements
- Scoring and ranking of potential bidders' offers for services

The 2STWG will consider these points within the context of the mission of SCOAP³^[*], in particular the interests of the HEP scientific community. The 2STWG will pay particular attention to the rapidly evolving Open Access environment with various publishing models as well as national and institutional transformational arrangements. The 2STWG will work in close collaboration with the CERN Procurement Service which upholds the CERN Procurement Rules under which any process shall take place.

III. Membership and appointment process

The 2STWG shall comprise up to twelve members including:

1. the entire membership of ExCo;
2. the chairperson of the GC;
3. members affiliated with any SCOAP³ Partner;

Members as in point (3) above will be appointed by ExCo by the end 2021, following a call for volunteers to be shared with SCOAP³ Representatives. Expertise which will be valuable to this work will be: knowledge of the changing Open Access landscape as well as the evolution of scientific publishing overall, experience in publisher (Open Access) negotiations, and an understanding of HEP as a discipline and its communication practices and needs;

CERN shall support the operation of the 2STWG through the SCOAP³ Consortium and Operations Manager, and shall provide access to relevant expertise in its other Services, in particular the Procurement Service, the Legal Service and the Scientific Information Service.

IV. Terms of Reference

The 2STWG shall, in partnership with the relevant CERN services:

- Q1 2022 (during the first quarter of 2022) - create a roadmap for the preparation of the next phase of SCOAP³, and develop a workplan and calendar to discharge its mandate;
- Q2 2022 - narrow options on the future scope of the initiative, and the publishing services and Open Access conditions to be procured;
- Q3 2022 - create strategic procurement scenarios, accompanied by corresponding budgetary/fundraising considerations, as well as tactical assessment against the Open Access landscape;
- Q4 2022, prepare final strategic recommendations for Governing Council approval, including options for a procurement implementation and corresponding operational timetables;
- Q1-Q3 2023, work with the CERN procurement team on the implementation of the agreed procurement process;
- assume other responsibilities as may be delegated by the GC as part of the purpose established in the preamble.

V. Meetings

The 2STWG:

- shall be convened and chaired by one of its members, who shall be elected as Chairperson;
- meet regularly (more frequently than monthly) remotely and at least once, possibly up to three times, in-person;
- shall invite relevant CERN staff or external advisors for advice, as arranged by the SCOAP³ Consortium and Operations Manager.

VI. Financial and Administrative Policies:

- As per all the volunteer service to SCOAP³, service on 2STWG is non-remunerative;
- Participants, through their institutions, will cover all expenses related to travel to face-to-face meetings as well as all other expenses incurred through participation to their service.

[*] "A global consortium to convert Particle Physics articles in high-quality journals to Open Access, at no burden for authors, mostly re-using existing funds"