Canadian Scholarly Publishing Working Group
Final Report

JULY 2017

Working Group Member Organizations:

Association of Canadian University Presses
Canadian Association of Learned Journals
Canadian Association of Research Libraries
Canadian Research Knowledge Network
Érudit
Federation for the Humanities and Social Sciences
Ontario Council of University Libraries
Public Knowledge Project
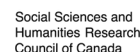**Social Sciences and Humanities Research Council of Canada**
Universities Canada

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Executive Summary

The Canadian Scholarly Publishing Working Group (CSPWG), a multi-stakeholder group populated by the Canadian Association of Research Libraries, met between July 2016 and May 2017. Representatives from university presses, research libraries, publishers, education and industry groups, a federal funding agency, and several researchers, all contributed to the group.

The first part of the report is an environmental scan that describes the Canadian scholarly publishing environment, summarizing both strengths and challenges of the current system.

The Working Group affirms that a sustainable Canadian scholarly publishing system will be characterized by the following principles:

- accountability to the academy
- supporting openness
- supporting high-quality publishing practices
- well-informed authors
- rich Canadian publishing opportunities
- building on strength
- flexible and adaptable.

Further to these principles, the report outlines a model framework for moving Canadian scholarly publishing toward a more sustainable future, while recognizing the diversity of funding models that support the current system. Due to the heterogeneity of Canadian scholarly publishing, several interrelated and mutually reinforcing initiatives are combined to constitute the framework. Efforts to support journals, monographs, and born-digital formats are each described separately. A sustainable future will include an array of business models; it will include a mix of traditional sales, marketing, and subscription activity for some, and fully open access and more experimental models for others where funding is available to finance high quality publishing without sales or subscriptions.

The framework outlines a number of significant initiatives now underway in the Canadian scholarly publishing landscape, or suggested as productive next steps.

Journals

- Expansion of the CRKN-Érudit partnership to transition additional social science and humanities journals to open access;
- Consultations to inform modifications to SSHRC's Aid to Scholarly Journals Program;

- Consolidation of efforts to support research libraries providing publishing services;
- Exploration of a proposed Journal Impact and Innovation Fund by the Canadian Association of Learned Journals.

Monographs

- Identification of opportunities for openness in monograph publishing, and their limits;
- Identification of considerations to adapt existing funding programs for scholarly monograph publishing;
- A project to collaboratively fund a modest number of open access Canadian scholarly books.

Born-Digital Scholarly Forms

- Increase the capacity of research libraries and interested publishers to support digital scholarship projects, including the critical issue of long-term preservation;
- Sharing of expertise across institutions and projects to improve support for digital scholarship projects;
- Increased connection of researchers with the storage and preservation infrastructure of the Canada's advanced research computing network.

Introduction

The Canadian Association of Research Libraries (CARL) convened the multi-stakeholder **Canadian Scholarly Publishing Working Group (CSPWG)** in July 2016 to establish a shared vision, principles and goals that will act as a framework for advanced, robust, sustainable, collaborative models for the Canadian dissemination of the scholarly record. Terms of reference are attached ([Appendix A](#)). Membership included (see [Appendix B](#)) representation from the Canadian scholarly journal publishing community, university presses, research libraries, the Social Sciences and Humanities Research Council (SSHRC), and researchers from a variety of disciplines. There is substantial shared interest in building a more robust and sustainable future for Canadian scholarly publishing. In several virtual meetings between August 2016 and April 2017, as well as an in-person working meeting in November 2016 in Ottawa, the group has built substantial goodwill to work together on strengthening Canadian scholarly publishing.

Survey of the Current Landscape

We are fortunate in Canada to be operating on a scale that is manageable, where a few strong, well-supported initiatives could reshape the scholarly publishing landscape in very positive ways toward a more sustainable future. We have an excellent basis for moving forward with support for publishing from funders such as the Canada Foundation for Innovation (CFI), the Social Sciences and Humanities Research Council (SSHRC), the Department of Canadian Heritage, and Canada Council for the Arts, among others. We can build on the solid foundation of excellent university presses, well-established independent journals, and world-class innovations such as the Public Knowledge Project (PKP), Érudit, and Canadian Science Publishing. Canadian research libraries are actively collaborating on innovations in scholarly publishing and have demonstrated their willingness to provide both practical and financial support for new models.

Despite this strong base, traditional economic models for Canadian scholarly publishing, both journals and monographs, have systemic sustainability issues due to a number of factors. Subscription and other revenue sources such as aggregator royalties are in some cases limited by a small reader base due to the size of the potential market. A lack of available resources for marketing can further exacerbate the market reach. There is a reliance on grant funding or subsidies and in-kind contributions, and limited professional development opportunities for editors and publishing personnel as well as a dependence on volunteerism. Although these issues are reflective of scholarly publishing in general, they are intensified by the unique features and relatively small scale of the Canadian environment.

The [2015 Tri-Agency Open Access Policy](#) and the [2016 Statement of Principles on Digital Data Management](#) have been important steps toward openness and toward encouraging data stewardship in the research process. Nonetheless, we acknowledge that Canada lacks clear national policies and sustained or transitional support for open scholarly publishing, as compared to Europe and other jurisdictions. Whereas the EU is actively funding open access and promoting a shared vision and agenda for open access, with links to both infrastructure and funding mechanisms,[1] the situation in Canada relative to open access is quite different. The Model Framework described later in this document outlines steps to move toward such integration in Canada.

Members of the group have shared information about a variety of open access programs currently underway in Canadian scholarly publishing, and considered gaps and barriers to increasing open models within the system. Several initiatives are under discussion, including the following:

- An expansion of the current partnership between Érudit and the Canadian Research Knowledge Network (CRKN)
  - This partnership builds a new relationship between journals and libraries, providing financial support to journals during the transition to open access.
- A proposal for a Canadian scholarly publishing cooperative
  - Such a cooperative would involve a Subscription Equivalent Transition strategy to support journals during the transition to open access.
- Open access monograph publishing underway at several university presses
  - Athabasca, Ottawa, Calgary, and others all have continuing open access programs.
- The establishment in 2007 of Athabasca University Press and in 2016 of Concordia University Press
  - Both were established from inception as fully open access presses.
- Examples of international disciplinary efforts to transition to open access
  - [SCOAP3](#) and [Libraria](#) are two examples of note.

The Working Group has also discussed a range of formative ideas for new initiatives that could strengthen or transform the landscape. We conclude that there is not a single solution that will bring about changes in the scholarly publishing environment in Canada to ensure sustainability and address current challenges. Therefore, the Model Framework outlined by the group consists of a number of linked initiatives that could substantially strengthen the publishing environment for all involved and enhance sustainability.

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[1] See, for example, OPERAS http://operas.hypotheses.org/ and HIRMEOS http://cordis.europa.eu/project/rcn/206340_en.html

The economics of publishing scholarly monographs in Canada have also been considered, including recent studies on the cost of university press publishing. Both strengths and constraints of the current Canadian funding models for scholarly books have been discussed. As expected when bringing together a multi-stakeholder group representing a range of interests, there were a variety of opinions about the best way forward on some issues, including the extent to which open access is the most effective or exclusive pathway to building sustainability system-wide.

Scholarly Publishing as Research Infrastructure

The Working Group affirms that Canada needs a robust and sustainable scholarly publishing system that meets the needs of Canadian researchers. The infrastructure for research dissemination is an essential part of the research environment. Distribution of research needs to be considered as an essential component of the research process, alongside research itself, adding to our store of knowledge, enriching industry, government and the public, and providing the foundation for further knowledge production. We also recognize that scholarly publications act as a form of capital within the academic community. They function as a significant currency in the market of tenure, promotion, and research grants.

The recognition of Érudit as a Major Scientific Initiative by the Canada Foundation for Innovation (CFI), and the integration of PKP into Érudit's 2017-2022 CFI funding renewal constitute a major step toward the creation of an integrated service, offering tools for editorial management, publishing, distribution, and preservation of Canadian scholarly journals. By aligning technological developments, Érudit and PKP aim to build a common offer based on international standards and protocols ensuring visibility, discovery, interoperability and sustainability of content. It will be a significant development of the infrastructure for Canadian scholarly journals to see these technologies generally adopted by both linguistic communities in Canada and in widespread use across the country. While supporting independent journals and publishers, this development will make it possible to work collectively to leverage a shared platform with marketing, promotion, metadata and full-text services. In addition, the common projects aim to promote and underpin new research practices in social sciences and humanities (SSH) such as text mining, visualisation, and semantic enrichment.

The Canadian Scholarly Publishing Environment

Within Canada, scholarly publishing does not exist in a purely market-driven space. Internationally, however, Canadian journals must compete alongside titles from large for-profit multinational corporations, while for the most part, independent Canadian

publishers are not-for-profit, and often operating with very limited means. We are also currently facing the reality that journals from Canadian scholarly societies are sometimes drawn to major for-profit publishers, attracted by their well-developed infrastructure, extensive marketing reach, and guaranteed revenue, among other things. A coordinated national initiative and improved publishing infrastructure within Canada can provide an alternative and help to counter this trend.

Independent not-for-profit scholarly publishers in Canada have long been supported by funding programs from SSHRC, the Department of Canadian Heritage, the Canada Council for the Arts, and other sources. In the case of some university presses there is also financial support from parent institutions. Due to the size of the market, it is widely acknowledged that this support is necessary to sustain Canadian publishing. We agree that these investments are critical in order to share the outputs of Canadian scholarship within and beyond Canada, to preserve Canadian culture, education, and language, and to provide venues for publishing about Canada and Canadians. Without a healthy publishing infrastructure in Canada, there is a very real risk that research unique to Canada will go unpublished and remain invisible.

There is growing evidence that libraries represent an increasingly important part of the landscape. Libraries now host close to 300 scholarly journals at 36 universities across Canada. Of these, 43 academic journals (16 percent) have transitioned to open access from their earlier subscription state while hosted at libraries.[2] While there is a distinction to be made between the operations of established traditional publishers and these library-based publishing services that are often more rudimentary, this development certainly adds new possibilities for scholar-editors seeking publishing solutions.

The current Canadian scholarly publishing environment is further characterized by the diversity of scholarly journals produced, including a number of internationally ranked journals and several important niche journals. With less than 0.5% of the world's population, Canada's researchers produce 4.1% of the world's scholarly papers and nearly 5% of the world's most frequently cited papers. Canada ranks first in the G7 in the number of publications produced on a per capita basis.[3] Strong Canadian publishing outlets are needed to ensure that Canadian researchers have access to suitable venues to distribute the results of their research.

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[2] [J.Willinsky], "Modeling an Open Access Publishing Cooperative for Canadian Journals," 2016. https://docs.google.com/document/d/103YBNHpiCThjdgGQO149rJB-Xh-402ji1N35D7h_GhI/edit, in progress.

[3] V.Larivière, "On the Journal Publishing Landscape in Canada," unpublished presentation to Canadian Scholarly Publishing Working Group, Ottawa: Nov 7, 2016.

Canadian scholarly publishing includes some significant journal publishers, namely the University of Toronto Press and Canadian Science Publishing, with most independent Canadian journals concentrated in the social sciences and humanities. For this reason, solutions for Canadian scholarly publishing are likely to be designed with SSH journals in mind as the primary participants, and solutions must work within the ecosystem of those disciplines.

Based on an analysis of data from Ulrich's Periodicals Directory about the number of journals produced per country, Canada ranks 15th in the world. Yet many of these are created and then cease—in fact, out of all journals started up in Canada since journal publishing began here, 20% have ceased—a slightly higher percentage than any other country in the world.[4] This fact highlights the volatility of the Canadian scholarly journal environment, and the fragility of some new journals. Independent Canadian journals are also vulnerable to aggressive approaches by predatory publishers that focus on generating profits rather than promoting scholarship and that often accept articles with little or no peer review or editing. We are aware that this activity is increasing in frequency, as predatory publishers become interested in acquiring established journals to improve the credibility of their imprint and exploit their reputations to increase their own revenue streams without an ongoing commitment to producing high quality scholarship.

At the same time, there is an increasing quantity of online scholarly publication in forms that do not fall readily into the categories of either the periodical or monograph. Some, such as those on social media platforms, are more informal. They reflect an expansion of modes of scholarly communication and networking that are not closely aligned with traditional forms, although they can constitute significant records of scholarly activity that prove to be important resources or sources of analysis. Others are formal, born-digital products of scholarly endeavour that often align quite closely with traditional forms in their production values, including in many cases the incorporation of some form of peer review into the editorial process. These emergent forms of scholarly dissemination currently stem from highly diverse contexts and platforms. As such, they tend to fall between the cracks of current publishing initiatives and funding policies, and require attention as an important component of the digital publishing landscape.

Strengths of the Current System

- A variety of strong players including established publishers, libraries, funders, and supporting societies
- The will to collaborate and experiment with new models, as evidenced by the CRKN-Érudit partnership, the CRKN-ACUP monograph purchasing model, the

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[4] Ibid

Érudit-PKP partnership, and the CALJ proposal for a journal innovation fund described below, for example

- Investment in infrastructure development by CFI; continuing support of platform and tool development, and research at Érudit
- A productive journal sector, with a strong record of journals started and sustained over time using a variety of revenue models, including sponsorships, grant funding, subscriptions, and other means
- A vibrant network of university presses
- Emergent digital scholarship being produced across the country, leading the way to future forms of publishing.

Weaknesses of the Current System

- Funding environment in which multiple agencies contribute to individual publishing funds without an overarching program
- Lack of detailed, standardized data about costs of publishing, specific to Canadian publishers
- Journals vulnerable to approaches from predatory publishers
- Absence of unifying national mandate and vision for open access with concomitant investment
- Many small independent publishers reliant on a single sustaining individual; long-term sustainability is threatened
- No dedicated program to explicitly address the publishing needs of digital scholarship

The principles and model framework detailed below strive to optimize and leverage the existing strengths of the Canadian scholarly publishing environment. Lack of action will exacerbate the weaknesses and move us toward a less sustainable future.

Principles for Sustainable Canadian Scholarly Publishing

The CSPWG affirms that a sustainable Canadian scholarly publishing system will be characterized by the following principles.

Accountability to the Academy

A sustainable scholarly publishing system is one in which the proceeds of Canadian publishing are fed back into the system to fuel growth and innovation. Revenues are returned to the publishing system and back into academic ventures, rather than into commercial profits and returns for private shareholders. There is transparency about the costs of publishing, with accountability back to the academic community.

Supporting Openness

The overarching goal of scholarly publishing is to ensure wide-reaching dissemination of research and scholarship. In order to make scholarly output widely available, open publication should be supported to the fullest extent possible. This openness should be achieved while retaining a focus on the dissemination of scholarship as a permanent record of research, and ensuring the ongoing viability of publishing entities. While all members of the working group agree on this principle, there was considerable difference of opinion as to the best way to achieve this openness to ensure that it will be truly sustainable.

Supporting High Quality Publishing Practices

Rigorous peer review is critical to the research mission and to ensuring the quality of published material. Canadian scholarly publishing outlets should continue to uphold the highest standards of quality in their selection and editorial processes. Moves to more open peer review and open science are important trends; these allow for new processes while still achieving the peer evaluation that is a hallmark of scholarly publishing.

Rigorous authoritative evaluation is equally important to producers of new forms of scholarship, although it sometimes takes a different form in place of traditional peer review.

Well Informed Authors

Well informed authors have a nuanced understanding of copyright and are aware of their options for retaining or transferring their rights at the time of publication. They make use of open licenses as appropriate to achieve widespread dissemination of their work, while always respecting publisher agreements. Publishers and authors collaborate to achieve the most effective distribution of scholarship.

Rich Canadian Publishing Opportunities

In order to preserve Canadian culture, education, and language, and to provide venues for publishing about Canada and Canadians, an array of made-in-Canada publishing options should be available. Canada needs strong outlets in both official languages that provide world-class venues for publishing the best of Canadian and international research, particularly in the humanities and social sciences.

Building on Strength

The solutions to create a more sustainable Canadian scholarly publishing system will be built upon the existing foundations. Longstanding and vibrant university presses, alongside innovations such as Canadian Science Publishing, Érudit, Open Journal Systems (OJS), Islandora, and others, will form the backbone of a stronger system for

the future. These made-in-Canada solutions can be knit together and strengthened to create a publishing network required by an intellectually and culturally vibrant and diverse small nation.

Flexible and Adaptable

As scholarship evolves and new scholarly forms emerge, the publishing apparatus must also evolve to ensure the widespread dissemination and long-term preservation of the outputs of scholarship. Durable scholarly journals and monographs are part of a sustainable future for Canadian publishing, but in the coming years, solutions that focus on new scholarly forms will prove to be equally important. New forms include, but are not limited to: interactive websites, digital editions and collections, research data, blogs, and databases. Ensuring the preservation of this new record of scholarship represents a considerable challenge that requires flexibility and innovation.

Model Framework for Sustainable Canadian Scholarly Publishing

Building on these principles, the CSPWG has developed a model framework outlining infrastructure development and selected initiatives that will move Canadian scholarly publishing toward a more sustainable future. The heterogeneity of Canadian publishing makes it difficult to find simple and single solutions. Our discussions have therefore led us to the conclusion that a workable framework will include a number of interrelated and mutually reinforcing initiatives and that the long-term solution for Canadian scholarly publishing will be iterative. Furthermore, the needs of journal publishers, monograph publishers, and those involved in publishing newer born-digital scholarly forms are all quite distinct. We have therefore divided the model framework and the related recommendations into three sections according to these formats.

Finally, there remains a substantial difference of opinion among members of the Working Group about how a move toward open access should be pursued, and what the best course for this pursuit should be—including the question of whether current models of open access publishing are the sole or most effective paths toward supporting sustainable, high quality scholarly publishing in Canada. The importance of a full-cost accounting approach, and the value of supporting the viability of a hybrid market-based/publicly-funded scholarly publishing infrastructure have also been raised in the working group discussions. The Association of Canadian University Presses (ACUP) and the Canadian Association of Learned Journals (CALJ) have both

produced statements in response to this report that outline their positions on these issues in detail.[5]

Despite these differences, there are many points of agreement. We have concluded that initiatives are required across all formats to address simultaneously both the infrastructure needs and the business models that support scholarly publishing in Canada. One without the other will not strengthen the system overall. In all endeavours, gains made by one provider should be leveraged by being shared with others. Increasing transparency across the scholarly publishing ecosystem requires reciprocal information sharing: as journal and monograph publishers gather and share details of production costs, libraries and other stakeholders also commit to open and detailed discussion of budgetary levels, priorities and decisions. We seek to create a level playing field where those receiving support from government funders, professional associations, and industry groups are doing so to increase the standards and skill levels amongst editorial and production teams as broadly as possible and not just for their own advantage.

We have observed with interest the efforts, especially in Europe, to fund and implement integrated platforms for open access publishing that will provide service offerings for both library-hosted and platform-hosted journals and monographs. These include compliance with best practices in publishing, for example, ensuring that robust preservation strategies are in place, and that publishers include features for libraries and researchers that facilitate access, such as the provision of standards-compliant records and title lists. Such an integrated publishing platform would potentially benefit both monograph and journal publishing in Canada, and would include the ability to annotate digital texts, incorporate sophisticated usage and alternative metrics data, and support the comprehensive use of persistent identifiers such as DOI, ORCID, and Fundref.

Journals

The journal publishing environment in Canada is relatively mature. It has benefitted from past investments by funders, from innovation by publishers and providers, and is being advanced by significant large-scale collaborations. We recommend several initiatives to further strengthen scholarly journal publishing in Canada.

CRKN-Érudit Expansion
CRKN and Érudit have had agreements in 2008 and 2011 to distribute journal content on the Érudit platform to Canadian academic libraries. When it was time to renew in 2013, the situation was financially precarious with more than 60% of Érudit's revenues

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[5] See http://www.acup.ca/2017/07/04/acup-response-cspwg-final-report-en-et-fr/ and http://calj-acrs.ca/news/canadian-scholarly-publishing-working-group.

coming from Canadian libraries. Érudit and CRKN set up a partnership agreement with Canadian libraries instead of negotiating a traditional subscription arrangement. The goals were to establish an OA (open access) support fund for journals already in open access; to reallocate the subscription funds of commercialized journals to support their publishing activities during the transition to OA; lower the moving-wall from 24 to 12 months in 2017, in accordance with Tri-Agency policy on open access; and to further develop the model and find ways to sustainably convert scholarly journals to OA while still providing them with royalties.

Out of the 75 CRKN member libraries, 53 have joined in this partnership. The original agreement was renewed for two years in 2014 without any major changes to the financial structure, but introducing a closer collaboration with CRKN. An additional year has now been added with 53 libraries participating and 28 of these contributing to the OA support fund to transition additional journals to open access. In recognition of its innovative approach to promoting open access and exploring new models, this partnership is the winner of the 2017 Association of Library Collections and Technical Services Outstanding Collaboration Citation from the American Library Association.

A sustainability plan for 2018 and beyond is now needed for this successful partnership. To continue into the future it must develop a suitable pricing strategy, and offer incentives for libraries to participate—for example, through inclusion in the governance process. It must deal with the financial diversity of journals by allowing journals to opt in or not, or to opt out after a predetermined timeframe. It must further investigate the socio-economic situation of journals by pursuing the work started with the report *Shaping a Collective Future: An investigation into Canadian Scholarly Journal's Socio- Economic Reality and an Outlook on the Partnership Model for Open Access*[6]. It must have an effective governance structure, and it must prevent free riding by requiring participants to sign a partnership agreement for a significant period of time, with renewal modalities included, or find a simple way to annually renew the financial engagement of libraries in the partnership.

The extension and development of this agreement will help to solidify a significant plank in the integrated infrastructure needed for publishing and distributing independent SSH journals in Canada. The recent investment by CFI in Érudit and in the Érudit/PKP collaboration will allow the development of new tools and increased capacity on the platform. However, it should be noted that CFI funds are provided to build infrastructure that supports research activities. No Canadian fund currently allocates support for the building of infrastructure that serves dissemination activities.

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[6] E.Paquin, "Shaping a Collective Future: An Investigation into Canadian Scholarly Journals' Socio-Economic Reality and an Outlook on the Partnership Model for Open Access," 2017. Retrieved from http://www.erudit.org/public/documents/Canadian_Journals_Socio-Economic_Study.pdf

Aid to Scholarly Journals Program – SSHRC

SSHRC has provided financial support to Canadian scholarly journals since 1979. The current funding opportunity, entitled "Aid to Scholarly Journals" (ASJ) was launched in 2008 with the goal "to increase dissemination, access to, and readership for, original research results in the social sciences and humanities, through Canadian scholarly journals," and to assist journals as they seek to take advantage of advances in digital technologies.[7]

During the current granting cycle, 2014-2017, the program distributed $10.2 million to 144 journals, with an average grant of $70,000 per journal. Granting operates on a 3-year cycle, and in 2017 an additional fourth year was added to current grants in order to allow SSHRC adequate time to reflect on the numerous initiatives underway and to consult with journals and other stakeholders prior to making any revisions to the funding opportunity. The program has been invaluable in supporting Canadian SSH journals, with a significant proportion of journal revenue coming from grants according to the *Shaping the Collective Future* survey of Canadian journals.[8] Currently, the maximum award per journal is $30,000 per year and the success rate is close to 70%.

There have been significant changes in the scholarly publishing environment since the ASJ was launched in 2008. At that time, one of SSHRC's primary concerns was to encourage and facilitate the transition from print to electronic format as a precondition to moving toward more openly accessible distribution. While a number of SSHRC-funded journals maintain a print version, all SSHRC-funded journals are now available electronically. In addition, approximately 60% of SSHRC funded journals are now either fully open access or open access after an embargo period of varying length.

On May 1, 2015 the Tri-Agency Open Access Policy on Publications came into effect. It states that grant recipients are required to make any peer-reviewed publications arising from Agency-supported research freely accessible within 12 months of publication (a number of compliance routes are acceptable). With respect to the ASJ, SSHRC's goal going forward would be to ensure that SSHRC-funded researchers who publish in SSHRC-funded journals are able to comply with the policy so that access to journal content is made available as openly as possible within the shortest possible time.

How to revise the funding opportunity to achieve this goal, while remaining cognizant of issues of financial viability, will be the subject of SSHRC's consultations in 2017. At

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[7] http://www.sshrc-crsh.gc.ca/funding-financement/programs-programmes/scholarly_journals-revues_savantes-eng.aspx

[8] E.Paquin.

the same time, any changes must take into consideration and avoid duplication with other initiatives currently underway in the scholarly publishing sector.

Library as Publishing Service
Research libraries have emerged as significant players in the scholarly publishing landscape. The array of services they now offer include open scholarship platforms such as digital repositories and data repositories, as well as journal hosting. Library-hosted journals now thrive in significant numbers. There are several hundred active titles currently publishing across Canada, with most using OJS and bepress platforms.

Based on research undertaken by John Willinsky and PKP in 2016, 36 research libraries in Canada are already hosting the publishing and management sites of 270 journals (this figure does not include an additional 48 student journals). Among library-hosted journals, 49 (18%) are subscription journals and 178 (66%) were born open access. 40 of these journals currently receive funding from SSHRC's Aid to Scholarly Journals funding opportunity, which speaks to the significance of these journals to Canadian research.

The most significant feature of library hosting and related support is that 43 (16%) of these journals appear to have transitioned to open access from their earlier subscription state, judging from their pre-1995 start date. Equally encouraging is the fact that hosted subscription-based journals have relatively low institutional subscription fees –from $20 to $480– with all but five of the 49 subscription journals offering readers open access after an embargo period ranging from six months to five years. This suggests that library-based publishing services can be a key component in a more comprehensive national sustainability strategy that provides cost-effective publishing support for Canadian journals while also advancing a more viable open access publishing model.[9]

Journal Impact and Innovation Fund
The Canadian Association of Learned Journals (CALJ) is developing a proposal for the creation of a Journal Impact and Innovation Fund (JIIF) to invest in Canadian scholarly journals to assist them in increasing their scholarly quality and reader effectiveness through innovation. The fund is intended initially for social sciences and humanities journals and is envisioned to complement and build on the support given by such agencies as SSHRC. The investment in innovation is intended to incentivize journals to emphasize reader engagement through peer evaluation, author revision, and curation and presentation by an expanded group of professionals with competencies in the modern journal publishing environment. Recipients would share non-competitive findings and methodologies, building a base of knowledge for others to use.

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[9] [J.Willinsky].

The specific goals of JIIF would be to:

1. increase reader share by means of cost-effective, quality competitive, Canadian journal publishing that attracts good research
2. ensure global reach to primary markets (researchers worldwide)
3. enhance public engagement with social science and humanities research by means of audience appropriate presentation; and
4. maximize return on Canada's research investment by extending support to the communication stage of Canadian research and scholarship, much of which focuses on Canadian realities.

Some of the areas where Canadian journals could adopt existing tools or undertake development with the support from JIIF include:

- multimedia expression, text, sound, images still and moving, requiring a more diverse set of journal staff professionals to ensure both quality and effectiveness;
- production in multiple forms for various audiences and for various devices;
- interaction with dynamic data and hence enhanced understanding;
- emerging models of interactive research collaboration and agile publication;
- maximization of discoverability through the use of metadata;
- immediate accessibility to relevant citations;
- immediate accessibility to professional CVs of authors;
- tracking extent and nature of usage and derivative usage;
- serving researchers likely to be interested in content (based on their searching and other online activities).

CALJ is currently consulting with members and investigating possible funding sources for JIIF, as well as an administration model. If CALJ is successful in identifying sources of funding to support the JIIF and it can be administered without adding to the administrative burden of publishers, it has the potential to add substantial value to Canadian scholarly journal publishing.

Monographs

Recent studies have provided useful data on the challenges and costs of university press publishing of scholarly monographs.[10] In light of this data, the Working Group considered ways to balance long-term fiscal sustainability supporting the production of the highest quality Canadian scholarship while encouraging movement toward increasing openness in monograph publishing.

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[10] See, for example, N.Maron et al, "The Costs of Publishing Monographs: Toward a Transparent Methodology," Ithaka S&R, 2016. https://doi.org/10.18665/ sr.276785

Determining Opportunities for Openness and Their Limits
There have been important collaborations between Canadian university presses and university libraries in recent years, such as the CRKN-ACUP offer described earlier in this report. In such arrangements, financial realities and existing business models present challenges for increasing open access publishing of academic books. A strength of our current monograph publishing infrastructure is its hybrid structure, tightly balancing market and non-market revenues to distribute financial risk and rewards among stakeholders. These include: funders such as the Department of Canadian Heritage (most notably Canada Book Fund and Livres Canada Books), the Canada Council for the Arts, the Tri-Council agencies (through project funding), and the Canadian Federation for the Humanities and Social Sciences (through the Award to Scholarly Publications Program); scholarly publishers operating on a variety of business models, all of which engage with a level of cost recovery; university press home institutions, who provide a range of support to the publishers bearing their name; and, a wide range of domestic and international markets for both print and electronic content. Increasing openness without a careful consideration of impacts across the multiple, integrated practices of both market and symbolic exchange could destabilize the ability of Canadian university presses to generate sufficient long term revenue, and thus jeopardize the base of a sustainable scholarly publishing infrastructure for Canadian scholarship.

As institutions and libraries are experiencing pressures on their acquisitions budgets, university presses are also facing increasing costs of labour and production. While printing costs may be decreasing for a subset of titles, the establishment and maintenance of rapidly evolving digital production and distribution streams have significantly outpaced savings. Sustainability requires establishing a balance between these pressures, a balance that has been provided to date through the mechanism of the market. Significantly reducing or eliminating costs on the customer side through open access will not eliminate those costs—they represent the value of the editorial development, design, production, distribution and discoverability through robust marketing of excellent scholarship. In a model of increased openness, those costs will need to be borne by another part of the system: the business models of scholarly publishers cannot support it. The continued presence of an established, integrated, and professionally managed infrastructure for publishing long form scholarship in Canada is at stake.

The Funding Context for Book Publishing
The matrix of funding programs supporting scholarly publishing is complex. It involves often competing metrics of evaluation in pursuit of the shared goal of the broadest dissemination of Canadian research and intellectual expression. In pragmatic terms, scholarly publishers balance accountability to this range of priorities in order to meet the challenge of producing books that meet the needs of a diverse readership of students, scholars and general readers in multiple contexts, formats and languages.

Each of these programs play a necessary role in maintaining the diversity of output of Canadian university presses—and thus Canadian scholarship and cultural thought—and its reach into diverse markets. Funding agencies must understandably refine their mandates in order to meet evolving policy objectives and respond to changes in the publishing environment. During this process, however, there is a risk of gaps developing in the funding environment if definitions of literary, non-literary, and scholarly writing become increasingly restricted in policy.

Allowing publishers to make the most appropriate publishing decisions, and maintain market flexibility is necessary. A coordinated national funding approach must take into account the full costs of the dissemination of scholarship to the widest possible audiences, within and beyond the academic community, in order to leverage the full scholarly and cultural impact potential of the initial investment in research.

Consortial Market-based Solutions
Members of the Working Group agree that we share a common goal to provide widespread access to high quality Canadian long-form scholarship. Members of the group acknowledge that without large-scale, ongoing investment, a hybrid system of market and non-market based approaches to sustainability will be necessary to support robust monograph publishing. An established market-based model exists in the consortial arrangement begun with the CRKN-ACUP backlist sale. This has developed into further frontlist sales with the Ontario Council of University Libraries (OCUL) and then been offered to libraries through CRKN. The original CRKN project was made possible by funding from a 2007 Canada Foundation for Innovation award to CRKN, with contributions from other stakeholders.

In order to preserve important revenue streams from non-library markets such as textbook adoptions, large-scale e-book purchasing programs to date have included significant restrictions on access to titles that might be adopted for course use. In the absence of a significant investment in either open textbook production or cost renegotiation, publishers will need to continue such restrictions. While publishers recognize there is room for negotiation and refinement of this model, particularly around the issue of balancing digital rights management and pricing, it provides an option for continuing a sustainable exchange. It endeavors to provide a stable expectation of revenue for presses, while offering discounted costs to participating libraries.

An alternative or complementary market-based experiment to the Canadian Knowledge Unlatched experiment described in the following section would be to invest a similar amount in a small library-supported consortial sale. A similar $300,000 investment to that proposed below, for example, would enable a substantial purchase for small libraries. This would allow those institutions under considerable budgetary pressure to have access to the full content of the CRKN-ACUP list, substantially

increasing access to this material across the Canadian scholarly community at an affordable rate.

Canadian Knowledge Unlatched Pilot Project
The Working Group has noted with interest the successes—and limitations—of a number of initiatives to fund open access monographs. A potential pilot project in this arena would be a modest scale instance of [Knowledge Unlatched](#) (KU) adapted for a Canadian context. While there are many details to be worked out about such a project, we have sketched out the possible structure of an initial pilot. Selecting from a publisher-nominated list, the project would "unlatch" (release in open access) a limited number of front list titles from Canadian university presses in a given year. The pilot would endeavor to keep costs at approximately $15,000 per title.

Selection of the titles would have to be timed so that both publishers and libraries would know these titles were to be released as open access well in advance of marketing, production, and distribution cycles.

The advantages of such a pilot project include:

- full open access to a selection of high quality, new Canadian scholarly monographs
- an opportunity for evidence-gathering about OA books driving sales of print and enhanced e-copies
- test of the level of support for OA book publishing from libraries and other potential funders
- an opportunity for model-shift experimentation for publishers that have not had financial support to try OA titles
- stability and predictability of revenues for participating publishers on accepted titles.

Potential weaknesses include:

- scalability of costs, and the need for continuing funding, either on a crowd-sourcing basis (KU model) or from an external funding body
- the project would unlatch a comparatively small percentage of the annual total frontlist of Canadian university presses.

Working out the details of such a pilot project is beyond the scope of the Working Group in the time available. A targeted implementation group should be populated to govern such a pilot for 2018, including representatives from libraries and university presses, including both OA and traditional model presses. Moving forward with such a pilot would require investment additional to the existing funding envelope supporting scholarly publishing: an initial investment of $150,000 per year, for example, with the remaining half to be matched by libraries for a project total of $300,000 over an initial two years, would enable publication of 20 fully open access titles. This project

would allow us to gather more substantial data to determine the feasibility of a larger scale, long term, model transition for monograph publishing.

Born-digital scholarly forms

Digital scholarship has enabled a proliferation of new and emerging forms, to the point where formal publications now represent a small fraction of what is published online. These include interactive websites, games, e-literature, non-linear long-form works, virtual reality experiences, software, prototypes, and others. Furthermore, in the digital environment it is not just the final product that represents the output of this scholarship. For the purposes of this report, we have set aside questions surrounding presentation and preservation of the interim products of digital scholarship; only the final scholarly product of such projects is considered in this section. However, we recognize that one of the strengths of the digital medium is that outputs do not need to be frozen into fixed form, as with print. Even the culminating products of a research project may be published in forms that allow for continuous updating and provide the foundation for ongoing research, which increases the complexity of identifying, managing, and sustaining them. Some of them are custom products arising from bespoke development, while others use established digital tools such as Omeka, Islandora, Hydra, or Scalar. Many use innovative forms of scholarly evaluation in place of traditional blind peer review.

There are a number of characteristics that unite many such products. They are often created as part of a grant-funded research project. Many are hosted in university libraries, and many are developed in collaboration with digital humanities or digital scholarship centres, often housed in libraries. Funding structures in Canada to support scholarly publishing have not evolved to consider the needs of these new forms adequately. Modes of publication and dissemination are changing rapidly as a result of technical change, and many new forms of publication are one-off experiments with new possibilities for dissemination. Such experiments offer valuable insights into the possibilities of digital publication when unyoked from traditional print models, frequently innovating through grant funding in ways that can benefit the publishing ecology as a whole by demonstrating the value of new interfaces, information design, and affordances. Supporting such endeavours is thus crucial to a healthy publishing environment.

We are now also seeing an abundance of emerging alternative publishing approaches that may blend more traditional forms with newer forms. Some of these hybrid outlets may include services developed on top of institutional repositories, overlay journals, tiered formality of publishing so that undergraduate students can publish their work, and increased integration of publications and the underlying datasets or accompanying supplementary files such as software code, video, or audio files, to name a few. Increasing the capacity of all research libraries and interested publishers to support sophisticated digital scholarship projects and support the emerging

scholarly products over the long term is critical to fostering the emergence of this new area of publishing and ensuring its contribution to the overall health of the publishing ecology in Canada. An important first step is ensuring that scholars have access in the early stages of their projects to information about the choices that confront them with respect to digital publication and the importance of data and metadata standards to ensuring the flexibility, interoperability, and preservability of their digital outputs. In many cases, the process of publication will be vastly simplified and improved by using existing publishing infrastructures. Research libraries, as the frequent hosts of non-traditional scholarly publications, are the natural partners in this process, and should provide consultation to both researchers and university presses on the available options. However, given that not all libraries can provide equal support for all infrastructure solutions, care must be taken to ensure that libraries and publishers not steer scholars only toward the platforms with which they are most familiar.

We see an opportunity here to engage in a collaborative effort to develop common consultation tools that would aid libraries in providing information on the full range of options available and help point scholars to external resources. This might in turn provide the foundation for developing a means of improving and sharing access to technical expertise that would allow libraries to support publication in infrastructures outside their own software stacks, either at another library that provides hosting services in another platform or in an environment such as Compute Canada's advanced research computing network.

Given limitations on resources, working toward sharing expertise in digital publishing platforms among libraries, publishers, Compute Canada, and the scholarly community, as well as seeking ways of breaking down silos in the use and maintenance of the required infrastructure, will be crucial to providing researchers with the full breadth of choices available. Connecting researchers with the storage capacity and preservation infrastructure of the Compute Canada nodes across the country will be an important component of this process for projects with server or storage needs. Compute Canada offers consultation and support for advanced research computing in the humanities as well as the sciences, and many innovative born-digital publications fall into this category. Many SSH researchers are not aware that such capacity exists or that they are eligible to benefit by storing data and other scholarly products on this network. For projects requiring significant development resources, researchers should be aware that CFI and CANARIE, as well as SSHRC, make funding available to support new forms of scholarly dissemination.

Concerns about long-term preservation of this scholarship are profound.[11] Their very innovation increases the challenges with respect to maintenance and sustainability. Building toward a more sustainable future for these scholarly products will involve activating researchers early in their projects to map out a preservation strategy for the final product and for data sets. Because the products themselves are varied, the infrastructure required for sustainability is not as clear as it is for more traditional scholarly formats discussed above. Even if data is stored in standard forms, preserving interfaces constitutes a major challenge. Code that requires compilation also presents significant obstacles when it comes to attempting to preserve functionality. It is hoped that the [Leadership Council on Digital Research Infrastructure](#) and the work of the [Portage Network](#) will contribute to strategies for archiving new forms of publication.

Continuing to Collaborate

Members of the Working Group have benefitted from our work together. In a short time we have each increased our understanding of the scholarly publishing environment in Canada, reaching across divides created by format, by roles, by discipline, and other factors. We have begun to find significant common ground but there is much work still to be done. A continuing national Roundtable on Scholarly Publishing, populated by representatives of constituent groups and representative researchers, and with broad representation, would be a useful way to continue the conversation. In the short term, several of the specific initiatives outlined above could be most efficiently advanced by focused, short-term task groups convened specifically to implement those ideas.

The scholarly publishing system is complex and evolving, and any reforms will be iterative as we adapt to changing technological and human systems. Many of the separate but closely related initiatives currently underway can be integrated into a model framework that will move Canadian scholarly publishing toward a bright and resilient future.

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[11] See, for example: C. Lynch, "Updating the Agenda for Academic Libraries and Scholarly Communications," *C&RL*, January 19, 2017, https://doi.org/10.5860/crl.78.2.16577. N.Maron & S.Pickle, *Sustaining the Digital Humanities: Host Institution Support beyond the Start-up Phase*, New York: Ithaka S&R, 2014, http://www.sr.ithaka.org/publications/sustaining-the-digital-humanities/; and the *DH Curation Guide,* http://guide.dhcuration.org/about/,

Appendix A: Terms of Reference

Nurturing Canadian Scholarly Publishing: A Working Group on Sustainable Collaborative Models

Purpose

Scholars, research funders, libraries, academic institutions and a growing number of scholarly publishers share a common goal of enabling research results to be widely distributed and openly accessible, internationally, in public high quality publishing venues at the lowest possible costs. This working group will bring together those stakeholders to establish a shared vision, principles, and goals that will act as a framework for advanced, robust, sustainable, collaborative models for the Canadian dissemination of the scholarly record. New journal and article publishing models will be explored along with their related research data, as well as monographs and new forms of scholarship. In addition, funding scenarios for new models will be discussed and assessed for feasibility. The outcomes will inform the development and reinforcement of platforms in the Canadian research landscape as a key component of a larger knowledge mobilization strategy.

Name
Canadian Scholarly Publishing Working Group

Activities (to include but not limited to the following):
1. Consider the opportunities of recent developments in the scholarly communications landscape, drawing on studies and documents of stakeholder groups.
2. Follow closely and consider the experiences of current initiatives such as the Érudit-PKP partnership.
3. Ensure engagement of stakeholder communities to inform working group deliverables.
4. Establish a vision and core set of principles that will advance Canadian publishing and meet stakeholder needs.
5. Propose initial goals for the development and reinforcement of publishing services or platforms.
6. Discuss and provide observations on organizational and financial model options, drawing from existing entities and exploring new possibilities.
7. Compile findings into a framework to inform and advance strategic planning and investments in emerging Canadian publishing services and platforms.

Outcomes
- A set of sustainable collaborative scholarly publishing model principles.
- A collaborative scholarly publishing model framework including goals and potential business models for publishing services or platforms.

Working Relationships
This initiative is separate from but complements and maintains a close working relationship with several current initiatives, including the Portage Network, a Canadian repositories meeting to be convened by CARL in Fall 2016, the CRKN-Érudit partnership, the Érudit-PKP partnership, and CARL's emerging roadmap for advancing scholarly communications. The

Chair of the working group will report on its activities to CARL's Advancing Research Committee and to other stakeholder organizations as requested, and may submit written recommendations on behalf of the group to participating organizations.

Minutes and reports of the working group are not confidential unless determined so by the group.

Membership

- Gwen Bird, Canadian Association of Research Libraries (Chair)
- Clare Appavoo, Canadian Research Knowledge Network
- Josée Dallaire, Canadian Federation for the Humanities and Social Sciences
- Alan Darnell, OCUL/Scholars Portal
- Suzanne Kettley, Canadian Association of Learned Journals
- Joy Kirchner, Canadian Association of Research Libraries' Advancing Research Committee
- Lara Mainville, Association of Canadian University Presses
- Claire Millington, Universities Canada
- Tanja Niemann, Érudit
- Brian Owen, Public Knowledge Project
- Tim Wilson, Social Sciences and Humanities Research Council

Researchers representing the sciences, social sciences and humanities

- Susan Brown, Canada Research Chair in Collaborative Digital Scholarship and Professor of English, University of Guelph
- Nicholas Kevlahan, Professor of Mathematics, McMaster University
- Vincent Larivière, Canada Research Chair on the Transformations of Scholarly Communication and Associate Professor of Information Science at the École de bibliothéconomie et des sciences de l'information, Université de Montréal

Secretariat and Chair

The Chair's role is to provide facilitative leadership, ensuring that all members have opportunities to engage actively and provide their organizations' perspectives in the group's activities. CARL will provide administrative support such as meeting organization and minutes, and a member of the CARL Board will chair the committee.

Budget

Some participating stakeholders (Érudit, PKP) have offered to support working group activities with cash or in-kind support; details to be determined.

Timeframe

The working group will convene in July 2016, deliver a progress report by November 1, 2016, and conclude no later than April 1, 2017.

Appendix B: Participating Organizations

The Association of Canadian University Presses (ACUP) is the voice of scholarly publishing in Canada, facilitating the broad distribution of excellent scholarship in Canada and internationally.

The Canadian Association of Learned Journals is a national not-for-profit organization who works to strengthen both individual journals and the independent journal community as a whole.

The Canadian Association of Research Libraries (CARL) includes Canada's 29 largest university research libraries and two federal institutions. Enhancing research and higher education is at the heart of our mission. CARL promotes effective and sustainable scholarly communication, and public policy that enables broad access to scholarly information.

The Canadian Research Knowledge Network (CRKN) is a partnership of 75 Canadian universities, dedicated to expanding digital content for the academic research enterprise in Canada. Through the coordinated leadership of librarians, researchers, and administrators, CRKN undertakes large-scale content acquisition and licensing initiatives in order to build knowledge infrastructure and research and teaching capacity among Canadian universities.

Érudit is a Canadian interuniversity consortium that works in partnership with libraries and scholarly publishers toward the digital dissemination of research outcomes. Érudit offers centralized access through its platform to high quality content.

The Federation for the Humanities and Social Sciences promotes research and teaching for the advancement of an inclusive, democratic and prosperous society. With a membership now comprising over 160 universities, colleges and scholarly associations, the Federation represents a diverse community of 91,000 researchers and graduate students across Canada.

The Ontario Council of University Libraries (OCUL) is a consortium of Ontario's 21 university libraries. Its strength lies in its commitment to work together to maximize collective expertise and resources. OCUL enhances information services in Ontario and beyond through collective purchasing and shared digital information infrastructure, collaborative planning, advocacy, assessment, research, partnerships, communications, and professional development.

The Public Knowledge Project is a non-profit research initiative of Simon Fraser University and Stanford University that is focused on making the results of publicly funded research freely available through open access policies, and on developing strategies for making this possible through open source software development, publishing services, professional capacity building, and community participation.

The Social Sciences and Humanities Research Council of Canada (SSHRC) is the federal research funding agency that promotes and supports postsecondary-based research and research training in the humanities and social sciences.

Universities Canada is the voice of Canada's universities at home and abroad, representing the interests of 97 Canadian public and private not-for-profit universities.