

**IMPLEMENTING OPEN ACCESS:
REPORT OF THE CARL-CRKN OPEN ACCESS WORKING GROUP**

October 19, 2012

EXECUTIVE SUMMARY

Open Access (OA) is a movement to provide unrestricted access to the results of research and scholarship and had its initial beginnings in the early nineties in the scientific research community, partly inspired by the growth of the Internet and changes in information technology. Recent developments include a growing momentum worldwide to establish national OA policies. **The stage has now been reached where the dialogue about public access to research output is about how to implement OA, not whether it should advance.**

In this report, the Open Access Working Group (OAWG), jointly created by CARL and CRKN, has focussed on what can be done to advance OA in the context of Canadian research and scholarly publishing, at the same time acknowledging the varying interests of the member organizations of CARL libraries and CRKN institutions. This report also challenges CARL and CRKN to continue their ground-breaking organizational collaboration to advance OA, begun with this working group.

Academic libraries have clearly demonstrated their support for OA publishing and have been among its major champions. Many libraries have ceased to be consumers, and have moved actively into production support roles for OA publishing by offering a range of scholarly communication services – OA author funds, OA initiative sponsors, local repositories, journal hosting, and other support. Research and academic libraries in Canada can be proud of their significant OA accomplishments.

During the past year, the OAWG realized that OA-related issues were appearing at an accelerated rate. Canada does not have a national body such as SPARC to provide a rapid response and support for OA policies and initiatives. The OAWG recognizes the importance of a working group to lead Canadian OA initiatives, to ensure awareness of national policies and jurisdictional parameters. A key recommendation is that CARL and CRKN undertake a coordinated joint effort and form an active working group to provide OA leadership in the external-to-library community and the library community. This group is not intended to replace or duplicate SPARC or other international bodies; it is intended to complement their initiatives and provide a focus for Canadian efforts. It is also envisioned this new group will be responsible for many of the other recommendations in the report.

The OAWG believes that advocacy in its fullest sense continues to be a key area requiring dedicated attention, both in the library and the research communities. There is a need for more systematic advocacy approaches coordinated at a national level rather than ad hoc, “one off” activities. Just as important, CARL and CRKN should engage with national research funding agencies – CFI, CIHR, NSERC, and SSHRC – to assist in the formulation and implementation of OA-related policies and procedures, with an emphasis on the potential role(s) for academic libraries. The OAWG saw a further opportunity for CARL and CRKN to advance OA strategies at the national level by interacting with faculty and researchers at their annual conferences and scholarly society meetings, and offering OA-related workshops, and other participation.

Notions of authorship and scholarly publishing are rapidly evolving in the digital age. There are new forms of presentation of scholarly output, new modes of interaction with scholarly works, new distribution models, and a growing trend toward models that encourage a free flow of information exchange through a variety of open access mechanisms. University promotion and tenure committees are struggling to evaluate the newer forms of scholarly communications they receive. Local institutional

activities must continue to be a focus for OA initiatives and libraries should expand their understanding of faculty perspectives and support experimentation in a range of OA and related “open” initiatives at the institutional level.

A collective challenge for CARL and CRKN members is the development of a strategy to address OA-related initiatives that can scale to the national level and beyond, especially when ongoing financial support is a key requirement. At the present time, the OAWG considered that an expedient approach at the national level is to identify a specific project or initiative that can secure a strong commitment from CARL and CRKN members, would establish procedures and potential funding models, and develop best practices that could be subsequently applied to other worthwhile initiatives.

The OAWG was asked to investigate and recommend practical ways to incorporate OA into license agreements, an area more specifically directed at CRKN. The OAWG has proposed some steps that are well suited to CRKN’s expertise in developing model license terms and negotiating with vendors. The intent is that these actions will ensure that the interests of libraries and their communities are well served by whatever forms OA takes shape in the commercial sector. A prerequisite for action is that CRKN members directly mandate CRKN to include OA as a priority in negotiations with vendors.

The OAWG developed the recommendations contained in this report to address the objectives provided in its Terms of Reference – to collaboratively advance the exploration and promotion of sustainable open access models as an element of a cost-effective scholarly content ecosystem in Canada. The OAWG also wanted to provide recommendations that could move from the exploratory phase to an implementation mode. The increasing pace of events during the past year has reinforced the need for action and quick responses.

We are approaching a critical juncture for open access initiatives across Canada and it is paramount that the interests of Canadian academic libraries and the communities they serve be well represented and supported in these endeavours. Libraries must be prepared to address and financially support OA sustainability in concert with funding agencies and partner institutions.

Recommendations

1. That CARL and CRKN continue with a CARL/CRKN OA group to build a coordinated OA strategy at the national level and respond in a timely manner to developments within a rapidly changing OA environment. This body should have an expanded mandate and timeframe to act on behalf of both CARL and CRKN on OA issues of importance to members. It is charged with implementing many of the recommendations that follow in the OAWG report, acting as a conduit to SPARC activities in Canada and responding quickly to developments in proactive ways.
2. That CARL and CRKN, through the group proposed in Recommendation 1, facilitate the building of a strong national community of OA practice, with effective links to regional groups and consortia, by supporting both in-person and virtual events and communications at the national level for librarians.
3. That CARL and CRKN, through the group proposed in Recommendation 1, engage with national research funding agencies – CFI, CIHR, NSERC, and SSHRC – to assist these groups in the formulation and implementation of OA-related policies and procedures, with an emphasis on the potential role(s) for academic libraries including:

- Support for institutional OA mandates;
- Assistance in preparation of OA and data management plans for research proposals; and
- Provision of infrastructure and tools such as institutional repositories to provide persistent access to scholarly output.

4. That CARL and CRKN through the group proposed in Recommendation 1 develop an OA-advocacy program that targets participation in selected annual conferences and scholarly society meetings of Canadian academics and researchers.

5. That CARL and CRKN member representatives (normally the library directors or their delegates) engage locally with administrators and faculty from all disciplines and academic rank to discuss issues of concern to them related to OA, including:

- How participation in OA initiatives is currently evaluated by their campuses, in relation to promotion and tenure, and current gaps in their ability to do this; and
- Obtaining their input regarding alternative metrics they may prefer to see adopted in the future concerning promotion and tenure evaluation for evolving forms of scholarship.

6. That CARL and CRKN member representatives (normally the library director or their delegates) encourage and support experimentation in a range of OA and related “open” initiatives at the institutional level. Member libraries could consider these examples: OA author funds; OA-related infrastructure; open textbook publishing models and other open education initiatives; and faculty-based publishing models. This experimentation is best undertaken collaboratively at the departmental or campus-wide level to ensure financial and infrastructure support.

7. That CARL and CRKN, through the group proposed in Recommendation 1, work with CFHSS, CALJ, and SSHRC to develop a national OA sustainability model for Canada’s humanities and social sciences journals published by the scholarly societies that are collectively represented by CFHSS and CALJ.

8. That CARL and CRKN through the group proposed in Recommendation 1, develop criteria to select annually at least one suitable OA initiative to be considered for financial and other support at the national level by the collective CARL and CRKN members.

9. That CRKN seek a mandate from its members to actively advance the use of OA publishing models, through its licensing activities. This can include engaging with commercial vendors to ensure:

- Transparency in publisher pricing for OA support, e.g. explicit information about the relationship between OA article processing charges and subscription costs;
- Incorporation of OA-related terms and conditions in licenses with commercial vendors, e.g. compliance with granting agency OA mandates, language on author rights, increased use of Creative Commons licenses for authors, and
- Negotiation of more favourable OA article processing charges with commercial vendors.

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1. Background

Open Access (OA) is a movement to provide unrestricted access to the results of research and scholarship and had its initial beginnings in the early nineties in the scientific research community, partly inspired by the growth of the Internet and changes in information technology. In the last decade, Open Access has been applied to all types of research outputs, recognized by institutions, government bodies and research funding agencies world-wide as a critical initiative¹, and the stage has now been reached where the dialogue about public access to research output is about how to implement OA, not whether it should advance.

The application of Open Access principles to research production is complex, and one can now speak of an Open Access ecosystem² with participants inhabiting a spectrum of disciplinary areas that possess distinctive publishing practices and traditions. This is overlaid by a matrix of other factors that include:

- Needs of developed and developing worlds;
- Systems for faculty and researcher recognition and tenure consideration;
- Copyright, intellectual property ownership, and publication permission issues;
- Funding models such as green vs. gold OA, and gratis vs. libre OA³;
- Local, national, international research infrastructures;
- Centralized vs. distributed publishing systems; and
- Open vs. proprietary software platforms.

In the commercial sector, publishers are introducing support models that effectively monetize OA publishing with the implementation of OA article fees for authors. On the other hand, many independent or community-based OA journals struggle to find viable sustainability options. All of this exists within the larger context of scholarly communications.

Recent developments indicate that OA is capturing wide attention. In early 2012, the measures in the proposed U.S. Research Works Act (RWA)⁴ to prohibit OA mandates for federal funding agencies sparked several strong reactions – a petition⁵ to boycott Elsevier journals, followed by the White House Open Access online petition⁶. The prompt and critical response to large commercial publisher support for the RWA resulted in many of them, Elsevier included, retracting initial support for the bill. The CARL Board issued a statement encouraging individuals to sign the White House petition. The RWA quickly disappeared from active political agendas.

¹ Swan, Alma. Policy Guidelines for the Development and Promotion of Open Access. UNESCO, 2012.
<http://unesdoc.unesco.org/images/0021/002158/215863e.pdf>

² Ecosystem: A biological system composed of all the organisms found in a particular physical environment, interacting with it and with each other. (Oxford English Dictionary)

³ Gratis OA content is only free of price barriers while libre OA content is free of price barriers and at least some permission barriers, allowing for broader use of the material. <http://www.earlham.edu/~peters/fos/newsletter/08-02-08.htm>, SPARC Open Access Newsletter, #124. Peter Suber provides an excellent overview of these, and other key OA concepts: <http://www.earlham.edu/~peters/fos/overview.htm>

⁴ http://en.wikipedia.org/wiki/Research_Works_Act

⁵ <http://thecostofknowledge.com/>

⁶ <https://www.whitehouse.gov/petitions!/petition/require-free-access-over-internet-scientific-journal-articles-arising-taxpayer-funded-research/wDX82FLQ>

In June 2012, the Report of the Working Group on Expanding Access to Published Research Findings⁷ was released in Great Britain. The report, popularly known as the Finch Report, resulted in controversy with its preference for the gold OA model over the green OA model. Gold OA is based on the traditional journal article publication model with costs covered by article processing charges, advertising revenue, and other subsidies. The green OA model stresses self-deposit and use of an institutional repository. Within a month, the British government announced⁸ it was accepting and implementing the major recommendations of the Finch Report. A wide range of responses from national agencies like JISC and other groups has contributed to the ongoing discussion around the efficacy of various OA strategies, much of it noting that a governmental mandate of either model may be premature.

There is also growing momentum worldwide to establish national open access policies. Notable examples include developments in Australia, Europe, and the UK. Australia, for instance, has emerged as a leader in national collaboration to commit to open global access to research outputs. Collaborative national infrastructure has been developed to support this commitment. The partnership includes major research universities, the National Library of Australia, and APAC (the Australian Partnership for Advanced Computing) with the aim to create the systems required for managing data and information in a research environment and to increase the capability of Australian researchers to do so.

The European Commission, the UK Open Access Implementation Group and Research Councils UK (RCUK) are also working collaboratively towards the promotion of policy driven open access to research outputs. These entities have just released reports outlining progress and opportunities in the promotion of national based open access mandates.⁹

Libraries have clearly demonstrated their support for OA publishing and have been one of its major champions. For libraries, OA is viewed as having the potential to reduce their sole reliance on a scholarly publishing marketplace where prices and license terms are largely determined by commercial publishers, including large scholarly society publishers, and also impacted by currency fluctuations and

⁷ <http://www.researchinfonet.org/publish/finch/>

⁸ <http://news.bis.gov.uk/Press-Releases/Government-to-open-up-publicly-funded-research-67d1d.aspx>

⁹ European Commission. [National Open Access and Preservation Policies in Europe. http://ec.europa.eu/research/science-society/document_library/pdf_06/open-access-report-2011_en.pdf](http://ec.europa.eu/research/science-society/document_library/pdf_06/open-access-report-2011_en.pdf). This report gives an overview of how open access is developing in the European Research Area. It is based on a survey conducted via the European Research Area Committee. It shows that open access is backed by a growing number of universities, research centres and funding agencies across Europe, and it highlights the dynamic growth of open access. It also underlines, however, that national initiatives and practices are still fragmented, thus preventing the European Union from realising its full research and innovation potential.

The UK Open Access Implementation Group has published the Finch Report: <http://open-access.org.uk/aims>. The report concludes that the best interests of UK higher education, research and innovation, and of the UK economy and society, are best served by a move to open access to the published outputs from the UK public science base."

Research Councils UK (RCUK) and the Higher Education Funding Council for England (HEFCE) have developed the following statement to set out the principles of how they will work together to ensure greater open access to published research:

"Research Councils UK and HEFCE have a shared commitment to maintaining and improving the capacity of the UK research base to undertake research activity of world leading quality, and to ensuring that significant outputs from this activity are made available as widely as possible both within and beyond the research community. Open access to published research supports this commitment and, if widely implemented, can benefit the research base, higher education, and the UK economy and society more broadly. To achieve this, open access needs to be implemented with clear licensing agreements, sustainable business models, and working with the grain of established research cultures and practices. HEFCE and the Research Councils will work together and with other interested bodies to support a managed transition to open access over the medium term, and welcome the work of the UK Open Access Implementation Group in support of this aim." David Willetts, Minister for Universities and Science announced the commitment in a speech to the Association of British Science Writers on 24 May 2011. More information is available here.: http://www.rcuk.ac.uk/media/news/2011news/Pages/110525_1.aspx

inflation. Discussion about funding of OA has not so far addressed the fact of declining collections budgets vs. the increase in research publications, and indeed at present one might predict that OA will require another funding stream. Given government reductions in education funding, concerns about research funding support, and commercial scholarly publishers' speed at developing monetized OA opportunities, libraries should not be overly optimistic about OA's potential to provide short-term budget relief. The opportunity to diversify scholarly publishing and explore new ways of distributing research results, as well as the rightness of OA, are still sufficient reasons for libraries to continue their championship role.

It is also important to acknowledge the changing role of libraries in OA. Many libraries have ceased to be just consumers, and have moved proactively into production support roles for OA publishing by offering a range of scholarly communication services – OA author funds, OA initiative sponsors, local repositories, journal hosting, and other support. These envision a larger scholarly communications service and support role to researchers.

2. Introduction

The focus in this report is on the role that Canadian academic and research libraries can play in advancing OA and ways in which libraries can leverage the expertise and support already being provided for OA and related scholarly communications services. The Open Access Working Group (OAWG), jointly established by CRKN and CARL, focussed on what could be done to advance OA to best support Canadian research and scholarly publishing, and to recognize the varying interests of the member libraries and institutions of CARL and CRKN. Although the primary audience for this report may be CARL and CRKN members, the OAWG hopes that this report will also be useful to a wider audience of Canadian researchers, administrators, and funders, whose mission includes advancement of Canadian research and scholarship.

Libraries are trusted organizations on campus, and need to be active contributors at the national level, as well as the institutional level, to the OA discussion. They are considered by many as an appropriate agency to lead support and advocacy efforts for OA. Indeed it is critical that libraries assert a role in this; it is a means of maintaining and extending awareness in the research and funding communities of the continuing importance that libraries play in ensuring access to scholarly information.

CARL and CRKN are national Canadian organizations. CARL members are the 32 larger research libraries in Canada, and CARL's mission is to "enhance the capacity of member libraries to partner in research and higher education, seeking effective and sustainable scholarly communication, and public policy encouraging of research and broad access to scholarly information."¹⁰ CRKN members are also Association of Universities and Colleges of Canada (AUCC) institutions (currently 75), and CRKN is "dedicated to expanding digital content for the academic research enterprise in Canada, mainly through large-scale content acquisition and licensing initiatives."¹¹ OA has major implications for both research and teaching activities and it is important that all CARL and CRKN members are full participants in OA-related initiatives. The formation of the OAWG was a direct consequence of CARL's and CRKN's respective strategic plans that both referenced the growth of OA.

¹⁰ <http://carl-abrc.ca/en.html?lng=1>

¹¹ <http://www.crkn.ca/about>

CARL is committed to the principle of Open Access as a means of broadening access to scholarly materials, and has signed the Budapest Declaration on Open Access and the Berlin Declaration. CARL has already assembled a comprehensive array of OA-related advocacy and related resources, including an OA Advocacy Toolkit¹² as part of its Scholarly Communications program. These provide an excellent overview of the topic and support local initiatives.

CRKN has a strong track record of dealing with commercial vendors on behalf of its membership, and its model license has provided a basis for ensuring that license terms and costs reflect the collective interests of Canada's academic libraries. Engagement in OA is a direct result of its primary interest in expanding digital scholarly content for Canadian libraries. CRKN used a portion of the funds from the CFI Digital Content Initiative project to digitize unique historical content from the University of Toronto and the University of Alberta which is accessible to all on the Internet Archive site. Since 2007, sessions at CRKN Annual General Meetings on OA and alternative publishing models have engaged members on the role CRKN could play in advancing OA. CRKN has also been involved in OA initiatives such as SCOAP3. In 2009, CRKN signed an "expression of interest" in support of SCOAP3; the project is now reaching the implementation phase. For 2012 license negotiations, CRKN has begun to collect information on OA vendor practices.

In its work, the OAWG grounded its discussions in the Canadian context of scholarly communications, notwithstanding the fact that Canadian researchers traverse institutional, national and international milieus in their research, teaching, publishing and other academic activities. They are based in a Canadian environment for their primary support and funding. Their publishing interests are particularly complex and intersect in various ways. They may work closely with local colleagues and graduate students, rely upon funding from national granting agencies, and then seek to publish their results in high impact international publications. Scientists depend most heavily upon international, non-Canadian publishers.¹³ Significant areas of Humanities and Social Sciences (HSS) work more in the Canadian context in the publication venues for their work. The publishing base in Canada is relatively small, and largely supported by universities, funding agencies and related initiatives such as the CFI-funded Synergies. Thus, in OA activities, the Group recognized that purely Canadian initiatives and participation in international developments were both important.

The OAWG was jointly established by CARL and CRKN to collaboratively advance the exploration and promotion of sustainable open access models as an element of a cost-effective scholarly content ecosystem in Canada. The Terms of Reference identified three major assignments:

1. Consider Canadian past successes, challenges and future opportunities for stimulating the advancement of open access models that expand the dissemination of scholarly research and reduce financial pressures on libraries and researchers.
2. Consider the CARL and CRKN expertise relevant to strategies for advancing open access and develop future scenarios for leveraging that expertise.

¹² <http://carl-abrc.ca/en/scholarly-communications/carl-open-access-advocacy-toolkit.html>

¹³ A notable Canadian exception is the NRC Research Press that briefly made its publications OA for the .ca domain with the help of DSP funding. The Press is now an "not for profit" corporation independent of government, Canadian Science Publishing and the OA subsidy ceased. The major client in Canada is currently CRKN.

3. Investigate and recommend practical ways to incorporate open access into content agreements, including development of model licensing enabling timely deposit of published articles in open access repositories.

Most of the recommendations in this report focus on actions that require a level of collaboration or advocacy that can only be successfully undertaken at the national level, and require an expertise that is already present in CARL and/or CRKN. This national focus is not intended to ignore or diminish OA activities already underway and supported at the local institutional level. It is the national level that requires attention in order to ensure that these local initiatives continue to thrive.

The OAWG was sensitized, through faculty focus group discussion, to the importance of local institutional and departmental practices, especially with respect to promotion and tenure policies, and their influence on faculty perceptions and support for OA. Discussions with faculty and funding agencies also highlighted the differing perspectives on OA across disciplines, which speaks to the importance of tailoring OA support accordingly.

The OAWG initially included OA to research data in its discussions, since this is a pressing and important question,¹⁴ but determined that the time-limited nature of the OAWG assignment, and the recognition of the separate and deeply complex issues that relate to research data curation and access required this to be set aside. Similarly, related topics such as retrospective conversion and digital preservation were deemed out of scope. Instead, the OAWG has focused on scholarly publishing, particularly peer-reviewed journal literature, as well as web-based initiatives which share research results, exemplified by the *Internet Shakespeare Editions for All*¹⁵ as well as OA monographs.

OA developments continued apace in the last year, and, believing that these are still times of experimentation for OA, the OAWG would like to encourage this spirit in Canadian libraries. For example, the OAWG believes it is appropriate to investigate both gold and green avenues of OA publication. The OAWG also flagged the two developing fields below as of particular interest and challenge for follow-up activities among individual Canadian libraries.

Altmetrics, or alternative metrics, as a basis for assessing the use and impact of scholarly publishing and other outputs, are generating considerable discussion and interest. They incorporate data from social media and other non-traditional sources and often focus on article-level usage measures. They are challenging established measures and have potentially major implications for measuring the impact of research output. They also have particular relevance for OA publishing and the development of alternative funding and support models.

Open Access Credibility has emerged recently as many new publishers have appeared with an array of OA journals utilizing an article processing charge model. A number employ indiscriminate communication campaigns to encourage researchers to publish with them, and the validity of their peer review processes, editorial boards and other publication practices are being questioned. This has led to the compilation of a list of “predatory open access publishers”¹⁶ that advises authors and others to avoid certain publishers and titles. A number of Canadian-based publishers appear on this list.

¹⁴ See for example, Shearer, Kathleen. Comprehensive Brief on Open Access to Publications and Research Data for the Federal Granting Agencies. 2011. <http://www.science.gc.ca/2360F10C-5A7D-4E88-911E-787C201A9F23/OpenAccess.pdf>

¹⁵ <http://internetshakespeare.uvic.ca/Foyer/makingwaves/index.html>

¹⁶ <http://scholarlyoa.com/publishers/>

The risk is that these publishers may generate a widespread negative reaction to the entire OA publishing sector and make it more difficult for credible OA titles to be successfully launched. The Directory of Open Access Journals (DOAJ) does apply various qualitative criteria¹⁷ before including a title in their database, but it is not sufficiently granular to provide a more precise qualitative assessment. The Open Access Scholarly Publishers Association has not as yet tackled this issue.

The issue of publisher credibility and journal quality is not unique to OA publishing ventures, and the scale of this problem is difficult to assess. At this point, librarians need to inform themselves and work with campus authors to understand how best to discriminate among OA publishers. Librarians and national organizations can also work with OA publishers to ensure full transparency in pricing models.

3. Successful Canadian Open Access Initiatives

Research and academic libraries in Canada can be proud of their significant OA accomplishments so far. Many CARL and CRKN libraries already provide infrastructure, tools and services that encourage uptake of Open Access practices among their local communities of researchers. Successful OA initiatives described below have been strongly supported by libraries.

Open Access University Policies

Open Access mandates have been passed at some Canadian universities, often with active library support. Athabasca University Academic Council approved a voluntary OA policy in November, 2006.¹⁸ In April 2010, Concordia University passed a university-wide Senate Resolution on Open Access, requesting all faculty and students to upload their creative and research outputs to Spectrum, Concordia's institutional repository. Other Canadian institutions have followed suit either at the institutional, or departmental level, and the numbers are expected to increase.

Research Publications Support

A recent survey of Canadian academic libraries shows high rates of participation in journal hosting: "55% of the 33 respondents were already providing hosting services and related support and another 24% were considering the provision of such services."¹⁹ These are higher than comparative rates reported in a similar US study,²⁰ a difference that can be explained in part by the significant Canadian Foundation for Innovation (CFI) funding provided to the Synergies project for the development of a national infrastructure to transform Canadian scholarly publishing from a print to digital environment.²¹

The Centre for Scholarly Communication at the University of Calgary is representative of the substantial initiatives underway at local sites. The Centre brings together a full suite of publishing services to support research, with "a broad view of the creation, evaluation, dissemination, and preservation of the

¹⁷ <http://www.doaj.org/doi?func=loadTempl&templ=about&uiLanguage=en>

¹⁸ <http://www2.athabascau.ca/secretariat/policy/research/openaccess.htm>

¹⁹ Morrison, Heather & Owen, Brian. PowerPoint presentation "Open Access Journals Support in Canada" at Canadian Association of Learned Journals session, Congress 2010 of the Humanities and Social Sciences (Montreal, Que. June 2010)

²⁰ Hahn, Karla. Research library publishing services: new options for university publishing, March 2008. 44% of the 80 responding ARL libraries already providing services; another 21% were in the planning stage.

²¹ <http://www.synergiescanada.org/>

research output of the academy.”²² The Centre is engaged in sustainable electronic publishing solutions, Open Access avenues, disseminating digital collections in multiple formats, fostering partnerships and discussing trends and ideas, and digital collections and long-term preservation solutions.

Scholarly Communication Coordination

A number of our libraries have already hired or are in the process of hiring librarians whose responsibilities primarily relate to scholarly communication, open access and copyright. This trend is currently being investigated in a study by Jane Burpee (University of Guelph) and Leila Fernandez (York University), supported by a 2011 CARL Research Grant.

Carleton University, among others, has a Scholarly Communications Committee, chaired by the University Librarian, as well as a blog to support its initiatives, and provide other information about scholarly communications to the university community.²³

Institutional Repositories

Fifty Canadian universities, with institutional repositories which support the deposit and exposure of research publications, are listed in OpenDOAR (Directory of Open Access Repositories). Over 80% of CARL members have implemented an institutional repository (IR) for their campus.²⁴ CARL has been a strong advocate of IRs since 2003 and has encouraged their development at member institutions. From 2003 until 2011, CARL supported a national IR harvesting “proof of concept” project with 23 participating libraries, to test and confirm the content in their local IRs was correctly exposed for harvesting and exposure in a variety of third party services such as Google Scholar.

Institutional repositories are a growing component of the scholarly communication life cycle, and their development is important to the viability of Green OA endeavours. Preliminary results from a project being conducted by the Confederation of Open Access Repositories (COAR),²⁵ of which CARL is a founding member, suggests that successful strategies for populating repositories with content are those that, for example, connect repositories with research assessment activities, and provide automated tools and staff support to assist in article deposits.

COAR is currently focussing on long-term, sustainable approaches to improve deposit rates in repositories, including:

- content gathering workflows to populate repositories over time;
- staffing, operational plans, or campus partnerships that have led to better article manuscript deposit rates;
- automated processes for content gathering; and
- other long-term operations that result in higher article deposit levels.

²² University of Calgary Centre for Scholarly Communication

<http://wcmprod2.ucalgary.ca/scholarlycommunication/files/scholarlycommunication/CSC.pdf>

²³ <http://www.library.carleton.ca/about/projects/scholarly-communications>

²⁴ <http://carl-abrc.ca/en/scholarly-communications/canadian-institutional-repositories.html>

²⁵ COAR (<http://www.coar-repositories.org/>), launched in 2009, represents 90 institutions worldwide in Europe, Latin America, Asia, and North America. Its mission: “to enhance greater visibility and application of research outputs through global networks of Open Access digital repositories.”

Building a critical mass of deposited research articles remains a challenge; many institutions are using a multi-faceted strategy to actively recruit content. Institutional OA mandates alone are not sufficient to guarantee high deposit rates. There needs to be a significant level of support from researchers for the importance of depositing content. Content recruitment by libraries is resource intensive, and involves staff time and expertise to realize the full potential of repositories, which often include a wide range of content including data and digitized collections.²⁶

Open Access Publishing Platform Support

The CFI-funded Synergies initiative has already spurred the development of the required technology infrastructure -- a national portal; centralized publishing services and support (Érudit); and distributed publishing platforms (PKP's Open Journal Systems). As of July 2012, 207 Canadian HSS journals (collectively representing 129,319 articles) have been included in Synergies. Content -- 54,158 theses and 1647 conference proceedings -- from Canadian university IRs has also been harvested by Synergies.²⁷

The Public Knowledge Project (PKP), a partnership of Simon Fraser University Library, the School of Education at Stanford University, and others,²⁸ has been a key player in the Canadian open access community since 1998. PKP provides the leading open source software, Open Journal Systems (OJS), for journal publication support. Over 14,000 journals worldwide use OJS, many of which are openly accessible. OJS is freely available to "journals worldwide for the purpose of making open access publishing a viable option for more journals, as open access can increase a journal's readership as well as its contribution to the public good on a global scale."²⁹

The Érudit Digital Production Software and Distribution Platform is a not-for-profit digital publishing consortium funded by three Quebec institutions: the Université de Montréal, the Université Laval, and the Université du Québec à Montréal.³⁰ Érudit aggregates content and both distributes it and (partially) commercializes it to institutional clients. It is the only Canadian consortium that currently sells Canadian content to Canadian universities through CRKN and to international institutions through subscriptions. Érudit currently includes 87 peer-reviewed scholarly journals, twenty cultural magazines (showcasing intellectuals and artists from Quebec and the rest of Canada), theses, proceedings, and repositories for other material such as gray literature.

Participation in international OA Initiatives

CARL as well as at least nineteen Canadian libraries are members of the Scholarly Publishing & Academic Resources Coalition (SPARC),³¹ an important international OA advocacy association. The Budapest and

²⁶ Confederation of Open Access Repositories, *Preliminary Report - Sustainable Best Practices for Populating Repositories* [accessed on July 24, 2012] <http://www.coar-repositories.org/working-groups/repository-content/preliminary-report-sustainable-best-practices-for-populating-repositories/>

²⁷ <http://www.synergiescanada.org/>

²⁸ As part of PKP's sustainability initiative, the partners' roster has expanded recently and now includes the California Digital Library, Ontario Council of University Libraries, the University of British Columbia Libraries, and the University of Pittsburgh Library.

²⁹ Public Knowledge Project, Open Journal Systems <http://pkp.sfu.ca/?q=ojs>

³⁰ <http://www.erudit.org/apropos/info.html?lang=fr>

³¹ <http://www.arl.org/sparc/>

Berlin Declarations are international initiatives to recognize OA.³² CARL, Canadian Library Association (CLA), la Conférence des recteurs et des principaux des universités du Québec (CREPUQ), as well as universities including Athabasca, Calgary, Montréal, and Laval have signed the Budapest Declaration. The Berlin Declaration has been signed by CARL and CLA, as well as by Concordia University and Université du Québec à Montréal.

CARL has also been an active participant in the Confederation of Open Access Repositories (COAR). Kathleen Shearer, Research Associate for CARL, is currently the chair of COAR's Repository Content Working Group. In June, 2012, the University of Toronto also became a member of COAR with the intention of participating on the Repository Interoperability Working Group.

Concordia University was the first Canadian member of SPARC's Coalition of Open Access Policy Institutions (COAPI). COAPI "was formed to share information and experiences and to illuminate opportunities for moving faculty-led open access forward at member institutions and advocating for open access nationally and internationally."³³

The Directory of Open Access Journals (DOAJ) plays a key role in providing access and visibility to open access journals. It receives support from the Ontario Council of University Libraries (OCUL) and nine other Canadian libraries.

Author Funds

Canadian libraries are leaders in the provision of author funding for OA publication. As of June 2012, six of the 27 North American libraries with author funds were in Canada.³⁴ These libraries have established formal funds to cover article processing charges (APCs) for open access publishing. Others are developing these funds, or provide support to authors publishing in OA venues. Canadian libraries have also joined the Compact on Open Access Publishing Equity (COPE)³⁵ that advocates for institutional support of OA business models.

4. Sustaining Canadian Library OA Leadership

During the past year, the OAWG realized that OA-related issues were appearing at an accelerated rate with a number of especially high-profile international examples mentioned above. Internationally, groups like SPARC and its geographic affiliates in Europe and Japan provide a mechanism to identify, track, and, when appropriate, mobilize a collective community response. CARL is a member, as are many university library members of CARL. CARL and "Canada" have seats on the SPARC Steering Committee. CARL and SPARC have collaborated on several initiatives over the years. Canada does not have an equivalent national body and relies to a large extent on SPARC to provide resources and direction.

The OAWG recognizes the importance of a group to advance Canadian OA initiatives at the national level and is mindful of national policies and related jurisdictional parameters. Collectively, CARL and CRKN already represent 75 academic libraries based in AUCC member institutions. CRKN's working

³² <http://www.soros.org/openaccess>, <http://oa.mpg.de/berlin-prozess/berliner-erklarung/>

³³ <http://www.arl.org/sparc/about/COAPI/>

³⁴ Eckman, Chuck. "Campus based Open Access Funds: A Clearer Path." Power Point presentation at SPARC Forum (June 2012).

³⁵ <http://oacompact.org>.

relationship with the four regional consortia -- CAUL, CREPUQ, OCUL, and COPPUL -- for national license negotiations also extends this reach to many other post-secondary institutions and their libraries. The previously acknowledged strengths of these two national organizations -- CARL's lobbying and advocacy initiatives and CRKN's extensive track record in negotiating effective license agreements with commercial vendors -- collectively provide the comprehensive expertise that must be assembled for such an initiative.

The OAWG agrees that the creation of a new national entity or SPARC-like agency is not necessary. Instead, an expanded mandate and extended timeframe for an OAWG-like group is needed, that would continue the collaborative CARL-CRKN initiative and build on the expertise and resources already resident in the collective membership of both groups. This pragmatic approach minimizes the financial and other resource commitments for CARL-CRKN members while also ensuring the development of a proactive and collaborative OA strategy at the national level.

It is important that this group implement a "rapid response" strategy for addressing OA issues as they arise, and be equipped to track OA news and able to organize timely responses. Additionally, the new group would establish direct links and coordinate activities with other key national groups such as the CLA and the regional university library consortia. The OAWG's limited assignment precludes its assuming such a role.

Recommendation 1: *That CARL and CRKN continue with a CARL/CRKN OA group to build a coordinated OA strategy at the national level and respond in a timely manner to developments within a rapidly changing OA environment. This body should have an expanded mandate and timeframe to act on behalf of both CARL and CRKN on OA issues of importance to members. It is charged with implementing many of the recommendations that follow in the OAWG report, acting as a conduit to SPARC activities in Canada and responding quickly to developments in proactive ways.*

The OAWG has proposed draft Terms of Reference for this new group (see Appendix 1). Members of this OA initiative group could be drawn from senior management groups and librarians with scholarly communication responsibilities at participating libraries. The proposed group will require funding and operational support from CARL and CRKN to ensure that it can draw directly and quickly on the expertise and established relationships of the two parent groups.

5. OA Advocacy among Canadian Libraries

Canadian academic libraries can be proud of their accomplishments to date. The OAWG believes that these accomplishments can be advanced through advocacy strategies in the library and research community. Advocacy strategies focus on two things: "creating an evidence base for the benefits of Open Access, and making the case to policymakers, funders and research managers."³⁶ OA activities are sufficiently advanced at Canadian institutions that advocacy is not just about increasing awareness, but more about developing and supporting action plans to advance an appropriate OA agenda. This will require involvement from all stakeholders in the research community. Academic librarians should continue to take a leading role in promoting Open Access and in raising awareness of pressing scholarly communication issues. Advocacy targets include but are not necessarily limited to:

³⁶ Alma Swan, Policy guidelines for the development and promotion of open access, UNESCO, Communication and Information Sector, 2012, p. 42

- Policymakers including research funders/university administrators/public policymakers;
- Researchers and faculty associations;
- Students at all levels and their national associations; and
- Canadian based commercial and scholarly society publishers and their national associations.

Early-career faculty and graduate students are concerned with gaining recognition among peers, and promotion and tenure questions impact their choice of publishing venues. “Culture change is taking root in the young scientists of today”³⁷ and this group is receptive to the general notion of openness, including ways in which research results can be more efficiently disseminated.

At some institutions, librarians see undergraduates as a target audience for open access advocacy efforts, since these students are aware of the costs of their education and resources needed. Librarians should include, in their vision of what comprises undergraduate education, awareness and engagement with issues related to open access, public access, creators’ rights, and fundamental questions about the economics of academic publishing.³⁸ Including undergraduates in outreach initiatives fosters a holistic approach and helps to “create a culture of sharing that will [positively] impact the scholarly landscape in the future.”³⁹

There are at least 30 Canadian undergraduate and graduate student journals using OJS software and included in the Synergies national platform. The BC Synergies node provided assistance to the Student Journal Editors Association in their establishment of a resources website.⁴⁰ Writing, reviewing, and publishing articles reporting on research is a critical part of a successful academic career. Although difficult to extrapolate accurate figures, even a conservative estimate would suggest that hundreds of Canadian graduate students are developing academic writing and publishing skills through their direct participation in these journals.

Activities during Open Access Week, celebrated internationally in October, are commonplace at many Canadian academic libraries. Important as this annual event remains, libraries can take advantage of other venues and opportunities at local, regional and international levels. Staff can incorporate OA values into the culture of the organization through library exhibits (virtual and physical), blogs, Twitter accounts, and marketing tools to showcase open access resources, and draw attention to current developments.

Members of academic libraries within Canada are deeply involved in a robust range of scholarly communication initiatives that include support of OA. Due to the geographic distance between institutions, these programs have developed in relative isolation. The OAWG has paid attention to establishing communication strategies among Canadian colleagues. It recognizes the need for the development of a community of practice to foster the ability of librarians to more readily share with one another their successes, their lessons learned and their challenges. In this way, Canadian efforts can be more sustainable.

³⁷ Swan, p. 42.

³⁸ Stephanie Davis-Kahl, Engaging undergraduates in scholarly communication, *College & Research Libraries News*, Vol. 73, No. 4, April 2012, p. 212.

³⁹ Davis-Kahl, p. 212.

⁴⁰ <http://studenteditors.org/>

The OAWG's efforts in this area have resulted in three events which brought librarians and others together to discuss scholarly communication and open access. The first was the successful bid for the ACRL Scholarly Communications Roadshow held May 25, 2012 at the University of Toronto.⁴¹ A total of 63 participants, representing 18 institutions across Canada attended. Discussion was wide-ranging, covering new modes of scholarly publishing, economic issues, copyright and openness as a principle. At the conclusion of the day, participants were encouraged to continue the dialogue by various means.

A second event was the CARL-sponsored workshop at the Canadian Library Association (CLA) Conference (Ottawa, June 2, 2012), on the topic of "Building a Community of Practice for Scholarly Communication: Open Access Advocacy among Canadian Research Library Practitioners." This session reflected that librarians wish to be more engaged in OA issues, and need to increase their understanding of the complexity of OA, if they are to take a leadership role.

The third event was a half-day forum at the Canadian Federation of Humanities and Social Sciences (CFHSS) annual Congress meeting (Waterloo, June 1, 2012), dedicated to exploring the development of a community of practice related to OA, discussed later in this Report.

The OAWG believes that advocacy is a key area requiring dedicated attention, and that organizations such as CLA, CFHSS, ACFAS, and Congrès des milieux documentaires provide venues for OA advocacy efforts. There is also a need for more systematic advocacy approaches that are coordinated at a national level rather than ad hoc, "one off" activities. OA issues are complex and are best addressed in a manner that is based on local institutional requirements while providing a larger national and international context. Efforts in this area can be enhanced if librarians are given opportunities to work together. Similarly, librarians should be encouraged to see themselves as leaders in OA and engage proactively with researchers as part of their advocacy efforts.

Recommendation 2: *That CARL and CRKN, through the group proposed in Recommendation 1, facilitate the building of a strong national community of OA practice, with effective links to regional groups and consortia, by supporting both in-person and virtual events and communications at the national level for librarians.*

6. OA Advocacy among Researchers

CARL and CRKN are not the only national agencies attempting to refine OA strategies. The national research funding agencies – CFI, the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC), and the Social Sciences and Humanities Research Council (SSHRC) – have nascent OA policies in place to varying degrees. They range from CIHR's requirement that research papers be made freely accessible within six months of publication⁴² to SSHRC's general support in principle for OA.⁴³ In recent discussions with representatives from these funding agencies, the OAWG has learned that they have established a multi-agency working group to determine how to best harmonize OA policies and procedures across their respective funding programs with a tentative target date of 2013. It is important for the university library community to remain engaged in the discussions of this group.

⁴¹ <http://guides.library.utoronto.ca/roadshow> This event also received funding from CARL.

⁴² <http://www.cihr-irsc.gc.ca/e/32005.html>

⁴³ http://www.sshrc-crsh.gc.ca/about-au_sujet/policies-politiques/open_access-libre_acces/index-eng.aspx

Similarly, the Canadian Federation for the Humanities and Social Sciences (CFHSS) is actively considering how it can best support OA - both as part of a national agenda and in concert with their 81 scholarly associations and over 85,000 scholars, students and practitioners.⁴⁴ All of these groups are very interested in working with other national agencies that collectively represent key stakeholders such as academic libraries.

Recommendation 3: That CARL and CRKN, through the group proposed in Recommendation 1, engage with national research funding agencies – CFI, CIHR, NSERC, and SSHRC – to assist these groups in the formulation and implementation of OA-related policies and procedures, with an emphasis on the potential role(s) for academic libraries including:

- Support for institutional OA mandates;
- Assistance in preparation of OA and data management plans for research proposals; and
- Provision of infrastructure and tools such as institutional repositories to provide persistent access to scholarly output.

The discussions that the OAWG had with the funding agencies working group opened the door for CARL and CRKN members to engage further, and it is important that this dialogue continue as the federal granting agencies develop OA policies and procedures.

The OAWG saw a further opportunity for CARL and CRKN to advance OA strategies by directly interacting with faculty and researchers at their annual conferences and scholarly society meetings and offering OA-related workshops, and participation in panel presentations. These events would lend themselves to a more discipline-specific focus on OA issues and activities. The community of practice activities described in the preceding section could be a basis for these events, along with participants who have matching disciplinary and subject area knowledge. CARL and CRKN could establish contacts with appropriate scholarly societies and other academic groups, and coordinate and facilitate participation at these events.

Recommendation 4: That CARL and CRKN through the group proposed in Recommendation 1, develop an OA-advocacy program that targets participation in selected annual conferences and scholarly society meetings of Canadian academics and researchers.

OA also intersects with other major topics and issues of interest to CARL and CRKN members. In Canada, copyright legislation and the recent agreement between Access Copyright and AUCC are two related topics with major implications for CARL/CRKN members and OA. It is important that OA is taken into consideration when CARL and CRKN are involved in advocacy and lobbying efforts on these related issues.

Discussions with faculty indicate that individual faculty publishing decisions are influenced *locally* by their colleagues and by university policies, particularly for new faculty working to achieve tenure process, and *internationally* by the need to publish in the reputable, high impact journals in their discipline.

University promotion and tenure committees are struggling to evaluate the newer forms of scholarly communications that they are encountering in tenure and promotion files. Tracking new forms of

⁴⁴ <http://fedcan.ca/en/issues/open-access>

scholarship includes investigating how these models are used in promotion and tenure committees. Libraries have already established their credibility with respect to OA and should use this to expand their understanding of faculty perspectives and explore ways to provide support for these publication and tenure processes.

Recommendation 5: *That CARL and CRKN member representatives (normally the library directors or their delegates) engage locally with administrators and faculty from all disciplines and academic rank to discuss issues of concern to them related to OA, including:*

- *How participation in OA initiatives is currently evaluated on their campuses, in relation to promotion and tenure, and current gaps in their ability to do this; and*
- *Obtaining their input regarding alternative metrics they may prefer in the future concerning promotion and tenure evaluation for evolving forms of scholarship.*

7. Supporting OA Initiatives at the Institutional Level

Scholars, publishers, libraries and foundations around the world are piloting new business models in an effort to establish sustainable economic models for scholarly publishing. Developing and/or proposing sustainable support models is a key aspect of the way in which libraries can demonstrate their continuing centrality to academic life on their campuses in the 21st century. Opportunities exist for research organizations (including libraries) to set up funding streams to support open access publishing. Today's continuing uncertain economic climate adds urgency to creating and sustaining alternative publishing and dissemination models, as university incomes decline or remain static, with similar effects on library collection budgets.

As the earlier section on Canadian library OA initiatives indicated, Canadian libraries provide important support for OA through local activities that support the development of both content and tools or infrastructure. This includes metadata aggregators, journal publishing platforms, institutional repositories, etc. These initiatives could be supported through developing criteria for recognition, and sharing information about local initiatives.

Library budgets that, since the emergence of digital journals and subscription databases in the late 1990s, have been directed in large part towards the licensing of electronic content could also support investment in open access options available to researchers "in keeping with the public research dissemination mission of the university."⁴⁵ Such investments in open access, including author funds, should be considered as part of a transitional strategy that serves to empower institutions with greater knowledge in their negotiations with publishers. While helping to balance the tension between keeping academic publishing a viable (and even profitable) venture, and guaranteeing the broadest access to the research literature in the most cost-efficient means possible, institutional OA author funds encourage experimentation among authors and publishers alike,⁴⁶ providing necessary support for the gold model of OA.

Author funds present a great opportunity for librarians to discuss one-on-one with researchers, for example, the scale of library investment in scholarly publications. As Eckman and Weil observe,

⁴⁵ Charles D. Eckman and Beth T. Weil, *Institutional Open Access Funds: Now is the Time*, *PLoS Biology*, Volume 8, Issue 1, May 2010.

⁴⁶ Eckman and Weil

The purpose is not to change their choice of publisher, but rather to increase their awareness of options and implications for access and sustainable budgeting in the long term. Fostering this awareness is critical since part of the dysfunction of the current scholarly communication landscape is that the authors are shielded (through the institutional subscription model) from the economic impact of their micro-economic choices.⁴⁷

At the same time, notions of authorship and scholarly publishing are rapidly evolving in the digital age. New models of scholarship are emerging in every discipline that include new forms of presenting scholarly output, new modes of interaction with scholarly works, new distribution models, and a growing trend to encouraging a free flow of information exchange through a variety of open access mechanisms. The ARL-sponsored Ithaka study on new publication models indicates that many of these new faculty-based publishing models are proliferating without library knowledge or support.⁴⁸ As scholarship models change, libraries are clearly in danger of finding themselves outside of important emerging arenas, and, at the same time, depriving our faculty of the kinds of expertise and support services that libraries can offer (e.g. findability expertise, preservation services, and scholarly models expertise).

Many of the new scholarly publishing models have progressed from “proof of concept” or project based initiatives to addressing operational and sustainability requirements. The commercial sector has been successful in monetizing OA publishing through article processing charges, advertising, and other revenue generating activities, but the faculty-based publishing models are often very niche-specific and do not have the same potential or experience for revenue generation. Many continue to rely on grant funding or have undertaken sponsorship campaigns targeted specifically at libraries. Four Canadian-based examples are:

- *Classiques des sciences sociales* hosted at UQAC (Université du Québec à Chicoutimi);⁴⁹
- *Internet Shakespeare Editions* at the University of Victoria;⁵⁰
- *Knowledge for All* at University of Prince Edward Island;⁵¹ and the
- Public Knowledge Project at Simon Fraser University.⁵²

Experimentation fosters necessary dialogue between researchers, publishers, librarians, administrators and funders. The time is ripe for experimentation and large-scale adoption of institutional OA funds and models. The question also bears asking whether the leap from institutional to consortial OA funds might be possible - something that may add to the scalability of OA initiatives. An ongoing economic crisis is a time when institutions should question the “extensive financial and human resource investments” the subscription model imposes to the exclusion of all non-authorized researchers, and through complex licensing and legal obligations.⁵³

⁴⁷ Eckman and Weil

⁴⁸ Maron, Nancy L. and K. Kirby Smith. Current Models of Digital Scholarly Communication – Results of an Investigation Conducted by Ithaka for the Association of Research Libraries : <http://www.arl.org/bm~doc/current-models-report.pdf>

⁴⁹ <http://classiques.uqac.ca/>

⁵⁰ <http://internetshakespeare.uvic.ca/Foyer/makingwaves/index.html>

⁵¹ <http://www.k4all.ca/donate>

⁵² <http://pkp.sfu.ca/sponsorship-program>

⁵³ Eckman and Weil

Recommendation 6: *That CARL and CRKN member representatives (normally the library director or their delegates) encourage and support experimentation in a range of OA and related “open” initiatives at the institutional level. Member libraries could consider these examples: OA author funds; OA-related infrastructure; open textbook publishing models and other open education initiatives; and faculty-based publishing models. This experimentation is best undertaken collaboratively at the departmental or campus-wide level to ensure financial and infrastructure support.*

8. Supporting OA Initiatives at the National Level

A collective challenge for CARL and CRKN members is the development of a strategy to address OA-related initiatives that scale to the national level and beyond, especially when ongoing financial support is a key requirement. Neither CARL nor CRKN have funds that could be readily deployed in this area without extensive consultation among members and a subsequent financial commitment from them. This task is made more difficult in the absence of proven financial models for the growing number of new OA initiatives that often do not reside comfortably within the parameters of collections budgets, either at the local or consortial level.

CARL and CRKN members are to be commended for their willingness to support various OA-related initiatives at the national and international levels. Canadian libraries are active participants in OA advocacy groups. Similarly, Canadian libraries are providing financial support through memberships and sponsorships for OA-related initiatives such as DOAJ and PKP. However, what is missing is a more coordinated and strategic approach to collectively supporting OA initiatives of significant national importance in Canada.

At the present time, the OAWG believes the most expedient approach at the national level is to identify a specific project or initiative that is likely to secure a strong commitment from CARL and CRKN members, could establish procedures and potential funding models, and develop best practices that could be applied to other worthwhile initiatives.

The OAWG believes the timing is suitable to explore a specific OA-sustainability initiative at the national level that could involve joint collaborative undertakings among CARL, CRKN, CFHSS and the federal research funding agencies. As part of its annual Congress meeting agenda, the Canadian Federation of Humanities and Social Sciences (CFHSS) held a half-day session on June 1, 2012, to explore the development of a community of practice related to OA. It was well attended by over 60 participants including representatives from the Canadian scholarly publishing sector, scholarly societies, libraries, the federal research funding agencies, and several OA-related projects. The session confirmed there is an increased understanding of, and interest in supporting OA, although it also highlighted reluctance on the part of many Canadian HSS journals in undertaking the transition from a traditional print-based subscription publishing model to an OA publishing model. The emerging budget models for OA journals -- article processing charges, advertising revenue -- seem unlikely to be sufficient or appropriate for most of these smaller Canadian scholarly societies.

Many representatives from potential resources that might support HSS journals, including funding sources, were present at the CFHSS event. CFHSS collectively represents 81 Canadian scholarly societies in the humanities and social sciences including the Canadian Association of Learned Journals (CALJ). CALJ represents many of the Canadian humanities and social sciences journals, many who have adopted or are considering an OA publishing model. CALJ has also been developing proposals such as the

Canadian Journals Consortium⁵⁴ to provide sustainable funding for potential participants, and is especially interested in working with CRKN and Canadian academic libraries.

Funding agencies like SSHRC already provide \$1.8 million annually in funding to Canadian HSS journals (an unparalleled program anywhere in the world); and CARL-CRKN libraries are responsible for extensive collections budgets, not to mention extensive investments in scholarly communications services such as journal hosting. There should be a way to combine these resources and reallocate funding in a manner that would migrate Canada's HSS journals to full OA, while also establishing a national OA sustainability model -- one that is community based and potentially provides an alternative to the emerging article processing charge model of the commercial sector.

Recommendation 7: *That CARL and CRKN, through the group proposed in Recommendation 1, work with CFHSS, CALJ, and SSHRC to develop a national OA sustainability model for Canada's humanities and social sciences journals published by the scholarly societies that are collectively represented by CFHSS and CALJ.*

Such an initiative, which could well begin as a pilot project, recognizes that Canadian HSS journals have to be supported within a Canadian context, that they are often published on small budgets, and that they require sustainability models that are scalable for the resources that Canadian universities, libraries, and funding agencies can muster. Other potential Canadian collaborators could include established publishing services like Érudit and proposed initiatives such as the Canadian Journals Consortium. This is also an opportunity for CRKN to discuss with its members whether they would support Canadian OA publishing in this way, and for CARL to further engage in Canadian scholarly publishing discussions.

This recommendation focuses on the humanities and social sciences because the science, technology and medicine disciplines are comparatively further ahead. HSS disciplines face particular challenges given their traditional focus on print-based output, particularly monographs. Additionally, many HSS journals still retain business models that rely heavily on revenue from subscriptions. The lack of a sustainable OA-based business model is the impediment, and intended to be addressed here.

The OAWG is aware that there are many demands on library budgets and often very limited capacity to support new initiatives. However, this must be counter-balanced by the need to invest in OA if we agree it is a necessary and beneficial objective for scholarly publishing. Therefore, the recommendation proposes a specific initiative that is strategic, national in scope, and has considerable potential for collaborative cost-sharing not just among libraries but with other key agencies.

The OAWG also felt it important to maintain momentum on the ongoing identification and support of strategic national OA initiatives. Without a commitment of this nature, it is unlikely that community-based models for OA support can emerge. The commercial sector has already demonstrated the ability to monetize OA support models, but it is unreasonable to expect that they will address all of the sustainability requirements of a very complex OA ecosystem. Neither is it the most desirable outcome for the research community, nor for libraries and other funding agencies which may be expected to finance these OA models.

⁵⁴ http://www.calj-acrs.ca/docs/express1.4_en.pdf

In addition to the specific initiative identified in Recommendation 7, it is likely that other opportunities will emerge. Some of the current activities described in this report, such as COAR's work to identify sustainability strategies for institutional repositories, may generate suitable initiatives for consideration by CARL and CRKN for national support. Part of the challenge for CARL and CRKN will be to identify funding to support these opportunities. The following criteria could provide a starting point to select at least one national OA-related initiative annually for collective support by CARL and CRKN members:

- has adopted an OA publishing model, including re-purposable content, and/or open source software license;
- based primarily or completely in Canada;
- affiliated with at least one CARL/CRKN member library/institution;
- in transition from project/start-up mode to operational mode;
- possesses content or infrastructure of interest to libraries/wider community;
- not eligible for other research funding sources;
- limited prospects or is inappropriate for commercialization; and
- deliverables that are scalable in the Canadian context.

Recommendation 8: That CARL and CRKN through the group proposed in Recommendation 1, develop criteria to select annually at least one suitable OA initiative to be considered for financial and other support at the national level by the collective CARL and CRKN members.

9. CRKN and OA

The OAWG was asked to investigate and recommend practical ways to incorporate OA into content agreements, an area more specifically relevant to CRKN. The reality is that many publishers are no longer resisting OA, but responding positively and developing models to monetize OA publishing. CRKN's expertise in developing model license terms and negotiating with vendors can be used to ensure that the interests of libraries and their academic communities are well-served by whatever forms in which OA takes shape in the commercial sector.

Currently, CRKN members support CRKN work to negotiate, acquire, and coordinate the acquisition of electronic resources, working at a national level. If CRKN is to engage in supporting and developing OA terms with vendors, its members will need to provide tangible commitments to advancing OA. It will be important that CRKN, in its strategic planning, seek member support for active engagement in defined OA activities, since this commitment differs from the services typically funded by CRKN members. Other library consortia are engaging in discussion about how best to advance OA support, and it is reasonable that CRKN should participate. Pending this member commitment, CRKN has begun and should continue in its license negotiations to support and advance OA.

At the international level, CRKN's negotiating experience makes it well suited to encourage vendors to increase their OA support and to ensure it is done in a manner that is affordable for member libraries. Introducing language into licensing agreements related to open access (e.g. confirming permission for self-archiving) would be an initiative possible for CRKN.

The COAR Open Access Agreements and Licenses Task Force results can be used as a pathfinder for CRKN initiatives, as its function is to "monitor, evaluate, and promote the implementation of effective

open access agreements and licenses in order to improve access to research papers globally.”⁵⁵ Other groups have also developed useful resources⁵⁶ for licensing language.

Recommendation 9: *That CRKN seek a mandate from its members to actively advance the use of OA publishing models, through its licensing activities. This can include engaging with commercial vendors to ensure:*

- *Transparency in publisher pricing for OA support, e.g. explicit information about the relationship between OA article processing charges and subscription costs;*
- *Incorporation of OA-related terms and conditions in licenses with commercial vendors, e.g. compliance with granting agency OA mandates, language on author rights, increased use of Creative Commons licenses for authors, and*
- *Negotiation of more favourable OA article processing charges with commercial vendors.*

10. Conclusion

The OAWG developed the recommendations contained in this report to address the objectives provided in its Terms of Reference – to collaboratively advance the exploration and promotion of sustainable open access models as an element of a cost-effective scholarly content ecosystem in Canada. The OAWG also wanted to provide recommendations that could move from the exploratory phase to increased experimentation and ultimately an implementation mode. The need to respond quickly has been reinforced by the increasing pace of events during the past year, as documented elsewhere in this report.

It is increasingly apparent that the open access movement has achieved critical mass in capturing the attention of not just the academic community but also the highest levels of government and national funding agencies. In Canada, the Tri-Council funding agencies are actively reviewing how they can harmonize and make operational their respective open access policies. We are approaching a critical juncture for open access initiatives across Canada and it is paramount that the interests of Canadian academic libraries and the communities they serve be well represented and supported in these endeavours. Libraries must be prepared to address and financially support OA sustainability in concert with funding agencies and partner institutions.

In this context, the OAWG believes the first recommendation on the continuation of a joint CARL/CRKN group to ensure the pursuit of proactive OA strategies at the national level is a critical one. It provides a mechanism for implementing many of the other recommendations in this report, all of which are intended to advance open access both nationally and locally across Canada. It can also work directly with other key stakeholders at the national level such as the funding agencies, other governmental bodies, and scholarly societies.

The OAWG has been extremely impressed by the many programs and accomplishments of Canadian academic libraries in the OA arena. Local programs and services are flourishing and it is possible to point to Canadian initiatives that have achieved a national and international impact in advancing OA. We

⁵⁵ <http://www.coar-repositories.org/working-groups/repository-content/licenses-task-force/>. CARL’s representative on COAR is Kathleen Shearer, who co-presented a paper on “Licensing Revisited: Open Access Clauses in Practice” at the LIBER Conference, Tartu, Estonia, June 2012.

⁵⁶ For ARL licensing language, see discussion at Author Rights Model Licensing Language resource blog: <http://authorrights.wordpress.com>, or the NESLI license, which also includes language.

possess the collective expertise, resources and vision to help make OA a reality for the Canadian post-secondary environment.

Appendix 1: CARL-CRKN Joint Open Access Initiative: Draft Terms of Reference

CARL-CRKN Joint Open Access Initiative Terms of Reference

Background:

This collaborative initiative between CARL and CRKN originated to address shared interests in Open Access, as is noted in their strategic plans. In 2011, CARL and CRKN established a Joint Open Access Working Group and this Initiative is a key recommendation in the Group's report. The Initiative is critical to the coordination of Canadian Open Access contributions among CARL and CRKN members, and for the provision of leadership and direction in OA activity that reflect the interests of CARL and CRKN members.

Objective:

Provides coordinated Canadian leadership within a rapidly changing OA environment for issues of interest to CARL and CRKN members.

Responds to changes in OA actively, ensuring quick response to and participation in national and international developments that arise from activities among associations, governments, research agencies, and publishers.

Surveys members, and receives input from CARL and CRKN, to ensure that it operates in members' best interests.

Actions:

Implements recommendations indicated in the OAWG Report.

Establishes direct links with other Canadian library groups, including CLA and the regional consortia, around OA activities.

Works with SPARC through the CARL rep on the SPARC Board to advance OA initiatives, of value to CRKN and CARL members.

Develops means to track and promote OA progress in Canada. This could be done by identifying and publicizing best practices for OA, or working with the Canadian community of OA advocates to develop benchmarks for local OA achievements, using existing information networks where possible.

Communicates and collaborates with granting agencies, other Canadian organizations and agencies, and individual OA projects that may arise, either in Canada or internationally, with the aim of ensuring that OA developments reflect member interests.

Reviews national OA endeavours worldwide to determine applicability and implementation possibilities in the Canadian context.

Membership:

Part-time Officer (secondment or paid position)

4-6 librarians appointed jointly by the CARL SCC and CRKN Board, from CARL and CRKN members, senior administrators or librarians who work in the area of scholarly communications, open access, or who have considerable expertise in these areas.

CARL representative on SPARC Board.

CRKN Board Member.

Librarian members should be chosen to reflect a balance within the diversity of members in CARL and CRKN, reflective of regional and organizational affiliations.

Adjunct members may be appointed by Group as needed for specific projects.

Appointment Process:

Members, including the Officer, are appointed jointly by the CARL SCC and CRKN Board.

Chair of the Group is selected by the Group, annually reviewed.

Project Officer is advertised new position, with a home base at CARL or CRKN, or, in the event of a secondment, at the home institution.

Lines of Accountability and Communication:

Takes direction from and acts on behalf of the CARL SCC and the CRKN Board.

The Chair reports on activities to each organization.

CARL and CRKN Executive Directors and the President of CARL and the Chair of the CRKN Executive Committee are entitled to participate in the activities of the Group, but do not vote.

At the discretion of the Group, and in consultation with the Executive Directors, other CARL and CRKN staff may participate in meetings and serve as resource personnel, as required.

Minutes and reports of the Group are not confidential.

Financial and Administrative Policies:

The Officer is a part-time remunerated position.

Travel and meetings expenses for Group members are reimbursed according to the policies of CARL and CRKN.

Members of the Group comply with CARL and CRKN Board-approved governance and organizational policies, including code of conduct and conflict of interest policies.

Financial and operational support is provided by CARL and CRKN.

Timeframe:

The Initiative is to be funded for a three year period, with a review in the third year to determine its continuing role.

Members are appointed for 2 or 3 year terms.

Appendix 2: Timeline of CARL-CRKN Open Access Working Group

May 2011: Tom Hickerson (University of Calgary, and CARL President) and Martha Whitehead (Queen's University) spearheaded the creation of the joint CARL/CRKN Open Access Working Group. Brian Owen (Associate University Librarian - Systems and Processing, Simon Fraser University Library) agreed to Chair the Working Group. The Board of Directors of the Canadian Association of Research Libraries (CARL) and the Board of Directors of the Canadian Research Knowledge Network (CRKN) drafted and finalized the Terms of Reference for the Joint CARL / CRKN Open Access Working Group (OAWG).

July / August 2011: CRKN and CARL approached individuals from institutions across the country to serve on the OAWG, and they are:

Brian Owen (Chair) – Simon Fraser University
Jonathan Blay – Dalhousie University (Departments of Pharmacology, Pathology and Biology)
Maureen Clapperton – HEC, U de Montréal
Jocelyn Godolphin – Concordia University
Julie Hannaford – University of Toronto
Joy Kirchner – University of British Columbia
Andrew Waller – University of Calgary
Monica Ward – CRKN
Diego Argáez (Secretary) – CARL

Since it began its mandate, the OAWG held frequent teleconferences to scope out the assignment given to it: namely to highlight Canada's achievements in open access over the last decade, and to propose strategies to promote further uptake and operationalization of OA practices and business models.

October 2011: Brian Owen led a well-attended session, held during the 2011 CRKN Fall General Meeting, to elicit feedback on the Working Group's mandate. Bringing together expertise of various librarians well-versed in matters pertaining to collection development, content licence negotiation, and open access, under the auspices of CARL and CRKN was deemed a timely initiative.

The members of the group flagged the following five areas to help flesh out the material that would eventually form the final report and recommendations: strategies; advocacy; institutional practices; policies and copyright; funding and sustainability.

March 2012: In order to obtain additional critical feedback from researchers' point of view, the OAWG convened a small focus group teleconference. Researchers from various universities participated:

Elena Razlogova, Department of History, Concordia University
Bob Gibbs, Director, Jackman Humanities Institute, University of Toronto
Wyeth Wasserman, Department of Medical Genetics, University of British Columbia
Delia Dumitrica, Department of Communication and Culture, University of Calgary
Tanis Fenton, Department of Community Health Services, University of Calgary
Cory Toth, Hotchkiss Brain Institute, University of Calgary
John Willinsky, Director, Public Knowledge Project & Khosla Family Professor of Education, Stanford University

They all agreed the OAWG's work was a timely and important initiative. Two key comments emerged from the conversation: at the national level the support from the federal research granting agencies is critically important to fostering OA in Canada, and librarians must continue to provide support and information tailored to different faculty groups.

May / June 2012: The Working Group confirmed that there are overlapping as well as complementary interests and roles between librarians and research funders when it held a conference call with the Tri-Council working group that is working on creating a harmonized open access policy:

NSERC: Monique Zaloum (Working Group Chair), Senior Policy Advisor, Policy and International Relations Division

SSHRC: Sylvie Paquette, Manager, Policy and International Affairs

CIHR: Kiera Keown, Senior Advisor, Knowledge Translation Branch

CFI (observer): Philippe-Olivier Giroux, Programs Officer, Leaders Opportunity Fund

SSHRC: Thérèse de Groote, Senior Policy Advisor

The working group helped plan three well-attended advocacy sessions about open access: the ACRL Scholarly Communication Road Show hosted by the University of Toronto Library, a session co-hosted by the CFHSS and OAWG during Congress in Waterloo representing various stakeholder communities (funding agencies, researchers, libraries, publishers, etc.), and a session targeted to academic librarians at the Canadian Library Association annual conference in Ottawa.

July / August 2012: two review rounds undertaken: the first invited a small number of reviewers:

Gerald Beasley, University Librarian, Concordia University

Donna Bourne-Tyson, University Librarian, Dalhousie University

Deb de Bruijn, Executive Director, Canadian Research Knowledge Network

Margaret Grove, University Librarian, Brock University

Margaret Haines, University Librarian, Carleton University

Chuck Eckman, University Librarian & Dean of Library Services, Simon Fraser University

Martha Whitehead, University Librarian, Queen's University

Brent Roe, Executive Director, Canadian Association of Research Libraries

The second involved the CARL Scholarly Communications Committee and CRKN's BOD. The feedback from these review rounds informed numerous revisions.

September 2012: The Joint CARL / CRKN Open Access Working Group submitted its report & recommendations to both boards of directors at CARL and CRKN.

Appendix 3: CARL-CRKN Open Access Working Group: Terms of Reference

CARL-CRKN Joint Open Access Working Group Terms of Reference and Mode of Operation

Approved:

CRKN Board of Directors, April 1, 2011

CARL Board of Directors May, 3, 2011

Background

Interest in and momentum toward open access to the results of publicly-funded research is evident in numerous ways in Canada and internationally: university mandates, institutional repositories, granting agency policies, funding programs for authors who publish in open access journals, disciplinary archives and open access publishing by Canadian journals and academic presses. Public access to research findings has the potential to stimulate economic development and benefit Canadians broadly. Open access is a shared interest of CARL and CRKN, with both organizations identifying objectives and actions within their current strategic plans:

CARL Strategic Plan 2010-2012

CARL will encourage the archiving of articles in digital repositories by researchers and will promote the adoption of open access mandates at universities and the national funding councils. It will investigate and promote sustainable business models for open access scholarly publishing.

CRKN Strategic Plan 2010-2012

CRKN will work collaboratively with content creators and publishers on best practices, new access/economic models, and alternative publishing models for provision of expanded and diversified digital content.

Objective

The objective of the Open Access Working Group (OAWG) is to collaboratively advance the exploration and promotion of sustainable open access models as an element of a cost-effective scholarly content ecosystem in Canada.

Actions

1. Consider Canadian past successes, challenges and future opportunities for stimulating the advancement of open access models that expand the dissemination of scholarly research and reduce financial pressures on libraries and researchers.
2. Consider the CARL and CRKN expertise relevant to strategies for advancing open access and develop future scenarios for leveraging that expertise.
3. Investigate and recommend practical ways to incorporate open access into content agreements, including development of model licensing enabling timely deposit of published articles in open access repositories.

Membership

- 6 librarians appointed jointly by the CARL Scholarly Communication Committee (SCC) and the CRKN Board, from the CARL and CRKN membership, who offer expertise in open access initiatives and diversity in region and size of institution, one of whom serves on the CRKN Negotiations Resource Team. At least three of the members will be from CARL member libraries, and at least one will be from a CRKN member institution that does not have a CARL member library.
- 1 non-librarian holding an academic appointment at a Canadian University, appointed jointly by CRKN and CARL, and whose participation will be jointly supported.
- To facilitate the working group's reporting to CARL and CRKN, the chair will be a member of both organizations.

The CARL and CRKN Executive Directors and the President of CARL and the Chair of the CRKN Executive Committee are entitled to participate in all meetings of the OAWG, but do not have votes. At the discretion of the OAWG Chair and in consultation with the Executive Directors, other CARL and CRKN staff may participate in meetings and serve as resource personnel, as required.

Appointment Process

- The members, including the Chair, are appointed jointly by the CARL SCC and the CRKN Board.

Lines of Accountability and Communication

- The OAWG is accountable to the CARL SCC and the CRKN Board.
- The Chair of the OAWG reports on its activities to each organization and submits written recommendations as appropriate.
- Minutes and reports of the OAWG are not confidential unless determined so by the OAWG.

Financial and Administrative Policies

- Service on the OAWG is non-remunerative.
Travel and meeting expenses for OAWG members are reimbursed according to the policies of CARL and CRKN.
- Members of the OAWG comply with CARL and CRKN Board-approved governance and organizational policies, including code of conduct and conflict of interest policies.
- Insofar as it may be feasible, discussions of the OAWG will be conducted by teleconference.

Timeframe

- The OAWG will commence in June 2011, following the Spring CARL and CRKN Board meetings.
- A draft report with recommendations will be presented to and discussed by the CRKN Board and the CARL SCC in May-June 2012.
- The amended report and recommendations will be presented to the CARL and CRKN Boards July-August 2012.
- A final report will be distributed to CRKN and CARL members before the CRKN Annual General Meeting in September 2012