

CRKN Statement on Alternative Publishing Models & Open Access

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INTRODUCTION

The open accessⁱ movement has had a major impact on scholarly communication over the past five years, and continues to grow in significance. In practical terms, open access seeks to make more content accessible to end users by shifting costs away from the users of content and finding alternative ways to finance the costs of production and dissemination. Open access also seeks to fuel creativity and innovation by reducing legal and technical barriers to the use and repurposing of content.

Within the research community internationally, there is increasing momentum towards an open access environment, backed by policy decisions by several granting organizations including the National Institutes of Health (NIH) in the US and the Canadian Institutes for Health Research (CIHR) in Canada, requiring grantees to deposit their published manuscripts in publicly-accessible repositories or to publish in open access journals.

Within the university community, there has been extensive discussion on open access, its implications for library collections and services, and the changing roles for all parties in the information chain. Alternative publishing modelsⁱⁱ, many of which have originated from the open access movement, are developing rapidly, and represent the desire for greater autonomy from conventional publishing as well as the wish to harness new capabilities of networked technologies. The current environment is characterized by experimentation – by researchers, authors, publishers, libraries, universities, and funders - with these new models.

The emergence of diverse alternative publishing models is particularly relevant to CRKN, given its mission to expand digital content for the academic research enterprise in Canada, undertaking large-scale content acquisition and licensing in order to build knowledge infrastructure and research capacity in Canada's universities.

PRINCIPLES

CRKN affirms that broad and enduring access to the materials and outputs of scholarly research is an integral component of Canada's research infrastructure, and vital to the progress of science, civil society and global well-being.

CRKN is committed to securing the broadest access to the world's knowledge for the benefit of its member universities and the communities they serve – researchers, students, staff and the public.

CRKN is committed to working within a framework that includes new models of scholarly publishing as well as content licensing, viewing these as complementary strategies that both contribute to the overarching goals of lowering barriers and maximizing access to the materials and outputs of research.

CRKN is committed to initiatives that are driven by the needs of our members.

CRKN is committed to open, transparent and ethical business practices with publishers and other partners, undertaking appropriate due diligence and stewardship with respect to the expenditure of public funds.

CRKN is committed to adding value to, rather than duplicating, the efforts of other organizations.

CRKN is committed to focused and pragmatic action, in order to gain experience and learn from challenges in this arena.

ACTIONS

1. Focus on Canadian research outputs and Canadian content

- 1.1. CRKN will open formal channels of discussion with Canadian publishers, content providers and research funders to explore how CRKN may be an active partner in helping transition to an open access environment.

Deliverables: development of a business plan in 2009 for pilot project(s)

- 1.2. CRKN will take an active role in maximizing access to Canadian research outputs and implementing granting council policies, by redoubling our efforts with publishers to ensure author rights to archive their peer-reviewed manuscripts in institutional or open access repositories.

Deliverable: formal provisions within CRKN procurement contracts, on timeline of license renewals.

2. Focus on roles as a national focal point for international open access initiatives

- 2.1. CRKN will act as a national focal point for international open access initiatives, where CRKN is uniquely positioned to play a coordination and/or financial management role on behalf of its members.

Deliverable: Participation in international initiative, 2009-2010.

3. Focus on advancing open access provisions within content licensing program

- 3.1. CRKN will promulgate model license and contractual agreements that provide for the broadest base of users and most expansive usage for the member community.
- 3.2. CRKN will negotiate aggressively for reduced licensing fees for content resources that have open choice (i.e. author pay) provisions.
- 3.3. CRKN will work with the researcher and publisher communities to explore tool development and support usage rights for text mining.

Deliverable: development of pilot project, 2009-2010

ⁱ A *Position statement by the Wellcome Trust in support of open access publishing* provided the following definition:

An open access publication is one that meets the following conditions:

1. The author(s) and copyright holder(s) grant(s) to all users a free, irrevocable, world-wide, perpetual (for the lifetime of the applicable copyright) right of access to, and a license to copy, use, distribute, perform and display the work publicly and to make and distribute derivative works in any digital medium for any reasonable purpose, subject to proper attribution of authorship, as well as the right to make small numbers of printed copies for their personal use.
2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in a suitable standard electronic format is deposited immediately upon initial publication in at least one online repository that is supported by an academic institution, scholarly society, government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, interoperability, and long-term archiving.

An open access publication is a property of individual works, not necessarily of journals or of publishers.

Community standards, rather than copyright law, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now.

ⁱⁱ John Willinsky, in *The Access Principle* (Cambridge, MIT Press, 2005, pp. 212-213) summarizes the following alternative publishing models:

- home pages maintained by an academic department
- e-print archive maintained by an institution (e.g. arXiv.org)
- author fees for article publishing (e.g. BioMed Central, Public Library of Science, Hindawi)
- journal subsidized by scholarly society, institution, or foundation (e.g. First Monday)
- dual mode journal publishing, i.e. online subsidized by print subscription (Journal of Post Graduate Medicine)
- delayed open access (embargo) with subscription for immediate access (e.g. New England Journal of Medicine)
- partial open access, i.e. selected articles (e.g. Lancet)
- per-capita, offered scholars in developing countries as a charitable contribution (e.g. HINARI)
- open access to indexing only, pay for full article (e.g. ScienceDirect)
- co-operative, member institutions (libraries, scholarly societies) contribute to support