Report on Scholarly Communications at CAUL-CBUA Institutions

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Table of Contents

A) Executive Summary
B) Summary of Recommendations
C) Results of the CAUL-CBUA Schol Comm Inventory
D) The Environment
E) Open Access Author's Funds
F) Options for Regional Research Repository Development
G) Regional Options for Open Journal Systems
H) Open Text Books
I) Regional Research Data Repository
J) Canadian Context
K) Bibliography
Appendix 1: Survey Questionnaire
Appendix 2: UNB Journal Hosting Service Level Agreement (SLA)
Appendix 3: Crossref Agreement and Membership Form

A) Executive Summary

This report was prepared for the Directors of the Council of Atlantic University Libraries/Conseil des bibliothèques universitaires de l'Atlantique by the CAUL/CBUA Scholarly Communications Committee. This report has several objectives:

i) To provide CAUL/CBUA members with an overview of current scholarly communications activities at CAUL/CBUA institutions. Section C of this report (Results of the CAUL-CBUA Scholarly Communications Inventory) presents the overview of the results of our Scholarly Communications Inventory, in which we set out to assess the services and support for scholarly communications currently offered at each CAUL-CBUA institution.

ii) To familiarize CAUL/CBUA members with new trends in scholarly communications and open access publishing.

iii) To provide CAUL/CBUA members with practical information that can help them to implement and further develop scholarly communications services at their institutions.

iv) To provide sufficient information to allow CAUL/CBUA directors to consider and prioritize opportunities for collaborative regional Open Access initiatives.

The committee asks that the CAUL/CBUA directors accept this report, share it within their libraries and on the CAUL/CBUA website, and consider the recommendations contained herein. The committee recognizes that not all institutions will immediately adopt all recommendations. It is not our intention to impose top-down policy, but rather to present a series of alternative courses of action from which interested institutions can create a roadmap. The committee has tried especially to identify opportunities that allow us to collaborate around our existing strengths and to share knowledge and infrastructure as we move forward. As this is a broad and quickly-evolving field, it would be useful to gain some sense of priorities from the CAUL/CBUA directors. Which of these areas are priorities for the consortium? Where should the Scholarly Communications Committee put our immediate efforts? Which of the initiatives are considered less important?

B) Summary of Recommendations and Best Practices

Open Access Author's Funds

Recommendation: That each CAUL/CBUA university establish an OA author's fund so that faculty publishing options are not limited by an inability to pay Author Processing Charges (APCs).

Recommendation: That CAUL/CBUA institutions harmonize our OA fund policies in order to establish regional best practices and offer equitable access to researchers in all of the Atlantic Provinces.

Recommendation: That CAUL/CBUA institutions enter into OA memberships with OA publishers who receive high numbers of faculty submissions.

Recommendation: That CAUL/CBUA, in a cooperative effort between the Scholarly Communications Committee and the Digital Licensing Coordinator, identify consortial opportunities to support Gold Open Access.

Best Practice: That OA author's funds should be open to all faculty, students, and staff at the university.

Best Practice: That CAUL/CBUA institutions set an upper limit on the annual amount that each researcher can claim under the Open Access author's fund.

Best Practice: That CAUL/CBUA institutions establish a maximum amount that will be funded per article.

Best Practice: That the library submits a copy of each funded article to the university's research repository for long term access and preservation.

Best Practice: That OA author's funds cover articles in 'Gold' OA journals that meet the following criteria:

- Journal content must be peer-reviewed.
- Journal does not charge subscription fees for any of its content. All articles are immediately available online at no cost to the reader.
- Author retains copyright over his or her work. (e.g. The journal uses Creative Commons licensing or similar.)

Best Practice: That CAUL/CBUA institutions collaboratively create and maintain a guide to help academic authors evaluate journal quality.

Best Practice: That researchers with no other funding source to cover APCs be given priority over those with research funding available for this purpose.

Open Access Repositories

Recommendation: That each CAUL/CBUA library should identify a repository option that will allow institutional researchers to meet funding agency mandates.

Recommendation: That CAUL/CBUA explore a cross-repository search service for the Atlantic Region building on the work already done by CARL.

Recommendation: That open access repository managers should work closely with the CAUL/CBUA Digital Preservation Committee to ensure that long term preservation plans are in place for our institutional collections.

Best Practice: That future development of CAUL/CBUA IR projects should take advantage of technologies to provide services such as researcher profiles and article level metrics.

Open Access Journal Hosting

Recommendation: That every CAUL/CBUA institution should have access to software that will allow their faculty and students to start their own Open Access journals.

Recommendation: That CAUL/CBUA institutions who cannot host or do not wish to host their own instances of OJS should identify a preferred remote hosting option.

Recommendation: That CAUL/CBUA should coordinate the development of a model Service Level Agreement to clearly define the rights and responsibilities of journal editors, and the rights and responsibilities of the coordinating library.

Recommendation: That CAUL/CBUA should coordinate the development of a model Service Level Agreement to clearly define the rights and responsibilities of hosting libraries vs. those of the partner libraries. (e.g. if StFX wanted to host journals on Memorial's OJS platform, what level of service would be offered by Memorial).

Best Practice: That all Open Access journals hosted at CAUL/CBUA institutions should be registered with the Directory of Open Access journals.

Best Practice: That all Open Access journals hosted at CAUL/CBUA institutions should register their author self-archiving policies with SHERPA/RoMEO.

Best Practice: That journal hosts should work closely with their editors to demonstrate the benefits of openness, to encourage the use of Creative Commons Licensing, and to encourage flexible self-archiving policies.

Best Practice: That the CAUL/CBUA Digital Preservation Committee coordinate the development of a model long term preservation plan for hosted journals.

Best Practice: That OJS hosts in the region should create persistent article-level URIs by registering a Digital Object Identifier (DOI) for each article.

Best Practice: That OJS hosts share information with journal editors about the eligibility requirements for SSHRC's Aid to Scholarly Journals Grant.

Open Textbooks

Recommendation: That CAUL/CBUA should pursue options for creating open textbooks and other OERs that are entirely free of monetary cost to readers.

Recommendation: That CAUL/CBUA institutions should seek opportunities to provide incentives for the adoption of open textbooks.

Best Practice: Further to the above, that CAUL/CBUA should embark on projects that have Creative Commons Attribution-NonCommercial-ShareAlike licensing to permit teaching faculty to reuse, remix, revise and redistribute content for inclusion in other OER initiatives.

Open Data Repositories

Recommendation: That CAUL/CBUA directors investigate the desirability of establishing a single regional repository for exposing and preserving local research data.

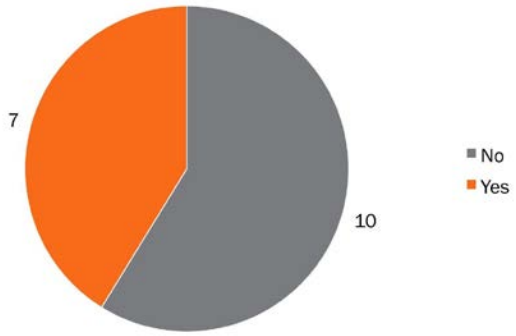
C) Results of the CAUL-CBUA Scholarly Communications Inventory

The following is an overview of the results of our Scholarly Communications Inventory, in which we set out to assess the services and support for scholarly communications currently offered at each CAUL-CBUA institution.

All 17 member institutions in CAUL-CBUA were surveyed for this inventory. Committee members contacted a librarian at each institution, whom they asked to either fill out the questionnaire (see Appendix 1 for the complete questionnaire) or forward it to the person most knowledgeable about scholarly communications at their institution. When tallying responses, we assessed the responses provided, and revised some responses when the question was deemed to have been misinterpreted. Similarly, we only counted existing services as positive responses to each question regarding services offered.

The questionnaire included 12 questions, one of which (#8) was a multi-part question. The charts in this section relate to questions 1-8, which ask whether an institution offers a specific Scholarly Communications service. The remaining questions (9-12) required open text responses.

Online repositories[1]



Of the seven institutions that reported having an active online repository for their faculty's research, five institutions use DSpace. Dalhousie's repository, DalSpace, counts approximately 23,500 entries, of which about half have attached files. However, many of these records are for digital assets other than faculty or student research. MSVU's repository, The Mount E-commons, counts 628 full-text entries out of 754 total records. SMU's Institutional Repository has 7,678 entries, of which about 80% are non-textual entries, and almost all of the remaining entries are available in full-text. UNB & UNBSJ share the same repository, RiverRun, which hosts 20,000 records. Most of these are citations, but also a large number of full-text theses, a small number of full-text faculty publications, and a small number of student-produced digital collections. The Memorial University Research Repository uses the ePrints platform, and counts 1,527 full-text entries out of 1,635 total records. UPEI uses

[1] The original question in the survey was "Does your library have an online repository for faculty research?" but we decided to allow instances where another entity within the institution oversaw such a service. (We did not, however, find any instances where CAUL institutions currently have repositories operating outside their library.)

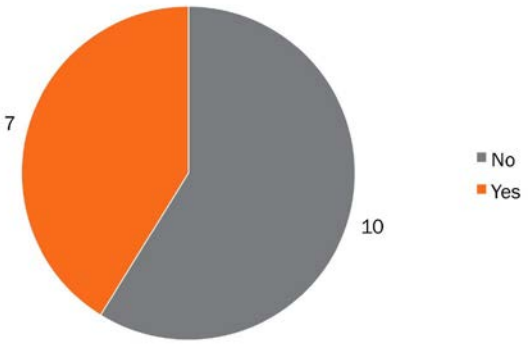
Islandora/Fedora for its IslandScholar repository, which includes 495 full-text entries and 8,835 citations.

Acadia indicated that it has an installation of ePrints but has not yet begun testing it. CBU responded that its Research Unit (a department outside the Library) is working on setting up such a repository, and are considering using SharePoint.

It should be noted that whereas some institutions manage both a repository and a digital collection (using software such as CONTENTdm), certain CAUL-CBUA institutions (such as Dalhousie and SMU) include both types of collections in one repository. Many of these collections are therefore made up of non-textual items.

eJournal Publishing[2]

All 7 institutions who host eJournals use the OJS platform (UPEI uses a combination of OJS and Drupal). The number of active journals on each installation is as follows: Acadia (1), Dalhousie (3), Memorial (9), MSVU (2), UNB/UNBSJ[3] (17), UPEI (3).[4]



eBook Publishing Services[5]

Only one institutions, UNBSJ, responded that they are active on the eBook publishing front[6]. They are using iTunes U / Apple iBooks Author, and currently host one eBook.

Memorial has previously published one OA book using ContentDM[7], but does not consider this an active service.

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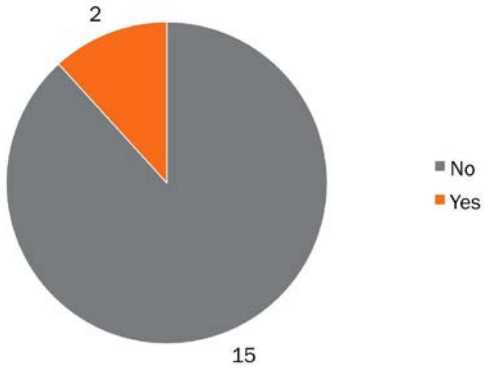
[2] The original question in the survey was "Does your library offer an eJournal publishing service?" but we decided to allow instances where another entity within the institution oversaw such a service.
[3] The OJS instance at UNB/UNBSJ is managed by the institution's Electronic Text Centre, not by the Library.
[4] Saint Mary's University indicated that they have a few locally based journals that are hosted in their repository.
[5] The original question in the survey was "Does your library offer an eBook publishing service?" but we decided to allow instances where another entity within the institution oversaw such a service.
[6] Shortly after this inventory was done, the Robertson Library (UPEI) became involved in an Open textbook initiative in their School of Business. More details about this initiative are given in the Open Textbooks section of this document.
[7] http://collections.mun.ca/cdm4/description.php?phpReturn=typeListing.php&id=90

Research Data Set Preservation and Sharing

Three institutions reported some research dataset preservation activity: Dalhousie (via its GISciences Centre), NSCC (in its Applied Research department, particularly in Geomatics) and UPEI (via the library-managed Virtual Research Environments, which are faculty research websites built on an Islandora/Fedora platform).[8]

Conference Proceedings and/or Presentations Preservation and Access

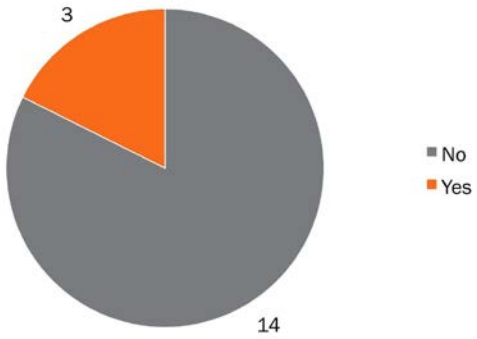
Only two institutions responded that they actively preserve and make accessible conference proceedings and/or presentations. Memorial reported that they preserve both proceedings and presentations in their institutional repository while MSVU includes conference presentations in their institutional repository.



A few institutions reported occasional instances of including conference content in their collection (Acadia found one proceeding in their OJS, and SMU stated that although they do not typically do this, they could include a faculty member's presentations in their repository if there was such a request).

Open Access Authors' Funds[9]

Memorial's is the only library that operates such a fund, currently set at $60,000 annually. However, two institutions offer researchers funding for authors' fees, although these programmes are not managed by the library: Acadia has a University Research Fund where OA fees were recently added as an eligible expense (a librarian sits on the committee) and MSVU's Research Office provides such funding ($500 max. per request).[10]



[8] Université Sainte-Anne mentioned that there may be some data preservation going on in Archives. Similarly, SMU indicated that their Archives' records centre may store this type of data, often in paper form. SMU also indicated that there may be some one-off examples in the repository but no concerted data management effort.We did not count these as positive responses since there is no online access to the data in these cases.

[9] The original question in the survey was "Does your library offer an Open Access Authors' Fund?" but we decided to allow instances where another entity within the institution oversaw such a service.

[10] Although not an authors' fund per se, Dalhousie has a BioMed Central membership, which entitles faculty to a reduction on page fees when publishing within BioMed Central.

Open Access Mandates and Policies[11]

No institution within CAUL has an institutional OA mandate. However, a number have institution-wide OA policies or statements in support of OA. In April 2012, the Senate at MUN approved the Memorial University Statement on Open Access, which "supports and encourages the open dissemination of research output."[12] UPEI has a university-wide OA policy (adopted in February 2012) that encourages all UPEI scholars to deposit in the institution's IR as early as possible, and to consider Open Access when choosing their publishing avenues. MSVU has an OA policy that "provides guidelines for voluntary support of the principle by members of the Mount community."[13]

A number of CAUL-CBUA institutions have put in place mandatory deposit policies for their student theses (Acadia, Dalhousie, MSVU, MUN). SMU automatically includes in their repository all theses from departments who follow the normal theses submission process. Some of the institutions who have such policies only mandate deposit for their graduate theses.

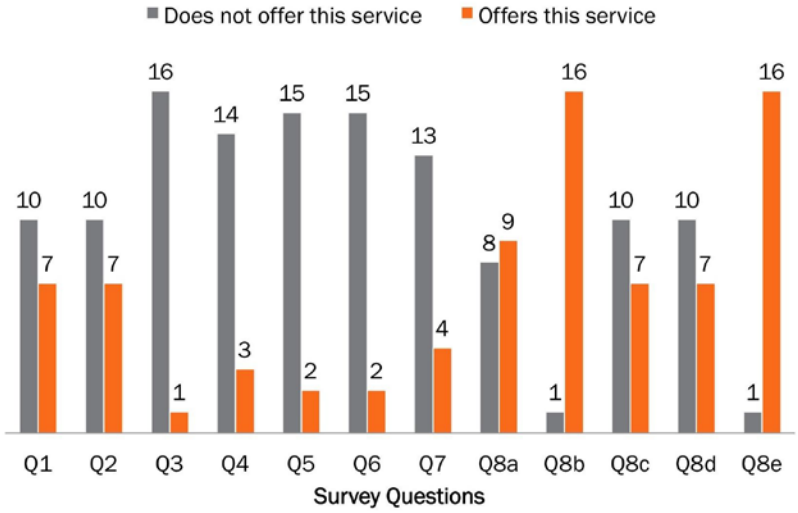
Open Access Educational and Promotional Activities

By and large, CAUL institutions are very active in their promotion and education of Open Access on their respective campuses. Nine institutions reported that they maintain an OA guide on their website (Acadia reports that its OA guide is coming soon). All institutions but one include OA journals in their catalogue or in any other major discovery tool. Seven institutions offer sessions to faculty and students on OA publishing (U. Ste-Anne plans to offer such services soon). Seven institutions organize activities during OA Week (U. Ste-Anne plans to offer such services soon). All institutions but one promote the Directory of Open Access Journals, Creative Commons, or related services to researchers in their organization

In addition to the OA-related activities above, Mt. Alison reported that it will soon be including a statement regarding OA in their Collections policy.

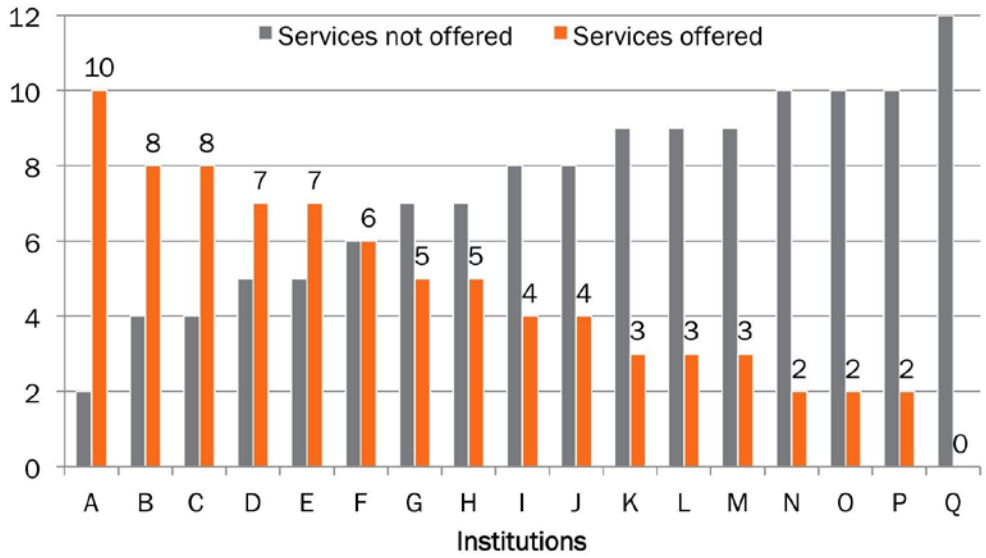
[11] Our original question on the survey only asked about mandates, but we decided to include those that had institution-wide OA policies as well.
[12] from http://guides.library.mun.ca/aboutoa
[13] from http://www.msvu.ca/site/.../

Overview of responses to questions 1-8:



Aside from questions 8a through 8e (those which relate to publicizing Open Access within their institution, and which require fewer resources than most of the other services), we found that relatively few scholarly communications services are being offered within CAUL-CBUA. The two areas that are most represented (both are offered by seven institutions, still less than half) are institutional repositories and journal hosting.

Overview of responses to questions 1-8 by institution



Institutions in CAUL-CBUA run the full gamut in terms of their Scholarly Communications activities. One institution currently does not offer any of the twelve services identified while another offers ten of these. As mentioned earlier, several institutions' current Scholarly Communications activity focuses primarily on Open Access promotion. In fact, seven institutions

provide no Scholarly Communications services other than OA-related activities. Memorial has the most comprehensive Scholarly Communications presence (10 out of the 16 services), while other leaders include MSVU, UPEI, Dalhousie, UNB and UNBSJ. IT is clear that for the most part, the larger institutions tend to be more active than smaller ones.

It should be noted that a number of institutions mentioned in their responses that they are in the process of developing or implementing additional Scholarly Communications services. Since this area is rapidly gaining ground, it is likely that the findings in this inventory will not remain accurate for long.

Responsibility for Scholarly Communications Activities at each Institution

Four institutions (Acadia, Dalhousie, MSVU and MUN) have librarians whose job titles/descriptions specifically include Scholarly Communications. Memorial's Scholarly Communications Librarian position, in effect since January 2011, is the longest-standing Scholarly Communications position within CAUL. This librarian shares responsibility with Liaison Librarians and with the the Systems Office. Acadia has a new Scholarly Communications Coordinator (as of 2012), while MSVU has a Librarian, Archives & Scholarly Communications, Humanities (as of January 2013). Dalhousie has had a part-time Scholarly Communications Librarian since July 2012, and added a Digital Scholarship Librarian position in July 2013.

Other institutions reported that responsibility for Scholarly Communications is either shared between a number of people – or that no one is doing this work in an official capacity.

Future Priorities Related to Scholarly Communications

The most cited responses to this question were: Promotion and Advocacy, Research or digital repository, Data repository and data management. Other areas mentioned in answer to this question were: Support for Open Access, E-journal publication, Altmetrics, Open educational materials, Creative Common promotion and Cooperative publishing with regional partners.

It should be noted that while the responses given in this section may be representative of the individual's perceived priorities, they may not represent the views of their colleagues or their institution.

Challenges around Developing Scholarly Communications Services

Not surprisingly, the responses to this question varied somewhat depending on whether the institution had active Scholarly Communications services or not. Nevertheless, the most common challenges listed were: insufficient budget and human resources; lack of infrastructure; lack of buy-in from faculty and administration; and "turf issues" (disagreement on which institutional body should be responsible for these services).

Here are the complete responses given to this question:

- Library/Staff workload issues. Budget constraints. Higher Admin levels.
- Budget constraints; Lack of infrastructure to support a repository; Library staff workload issues.
- Disconnect with Research Dept. Research Repository and Open Access publishing are not recognized as library mandate by the larger institution.
- Speaking the same language when it comes to researchers and research data; coming to a common understanding of the value of Open Access publishing within the academy; convincing prospective journals that they shouldn't be using their journal to raise funds for objectives that aren't central to the mission of their journal.
- Predatory OA journal publishers are probably my biggest headache at the moment. Raising Faculty awareness is an ongoing challenge.
- Digital rights are challenging to obtain for the purposes of digitization. Though our archives has many projects in mind for digitization, resources and staffing are issues which can't be resolved at this time. Some of our faculty have expressed caution toward creating any type of scholarly communications service
- Staffing, and funding for staffing.
- Unclear as to whether we will have a UL or director in the future.
- Coordination between campuses can be difficult. Each department has its own SharePoint, shared lesson plans and slides, quizzes. Research is not a strong priority for most campuses. Clarification is needed on the institutional IP Policy.
- Not duplicating work done by other departments. For example, Graduate Studies maintains a Research Expertise Database, and we do not want our repository services to duplicate that.
- Human resources; funds; lack of support at the higher administrative level; attitude shift needed at institution.
- Support from the university and the researchers.
- Human resources; time to learn about French language options.
- Server space, not sure it serves our community (not research intensive, no demand), staff time.
- Funding; institutional priority; funding; sustainability (for just one example: relegating far too much work to student labour, and thus constantly re-training); outreach / communication / marketing; funding; silos / turf issues; infrastructure; and funding.
- Faculty participation in understanding open access and providing preprints and postprints for IR; Resources: training and support for OJS and VREs.

Role for CAUL-CBUA in Supporting Scholarly Communications

As with question 10, it should be noted that while the responses given in this section may be representative of the individual respondent's perceived priorities, they may not represent the views of their colleagues or their institution.

A number of roles for CAUL-CBUA were identified by respondents in this section, mostly in terms of information sharing (best practices) and joint promotion efforts. Several responses

suggested having shared regional tools -- with almost all such comments mentioning specifically the creation of a regional data repository.

Here are the complete responses given to this question:

- Yes. Regional Data Repository probably the obvious opportunity for collaboration.
- The development of regional Scholarly Communications Services; more education around Scholarly Communications Services and development.
- Would be great to create guides for librarians. Best practices. e.g. Hey are you a library that is trying to get a research repository off the ground?
- Yes. Research data would probably benefit from regional and possibly national coordination.
- Sharing best practices, and aligning policies to support shared objectives. Implementing a regional data repository.
- Yes, support from an external organization might provide us with the initiative and inspiration we need to begin our projects. Certainly, there is a window of opportunity to educate our university community of the advantages to Scholarly Communications services.
- Yes. Organize a network of people doing the similar schol comm things. Many project are started and people work alone but then have no-one to ask, or bounce ideas off.
- Sharing promotional tools among libraries, sharing best practices.
- Possibly, at least through a general promotion of the library's role of scholarly communication in the academy (something many faculty are probably still unaware of).
- Putting together best practices guidelines; sharing and learning from other institutions' experiences; shared IR?
- YES, French language options collaboration, promotional collaboration.
- YES, settting up framework, letting us choose what is relevant to our community.
- I don't think so much in development of actual services, but certainly great opportunities for collaboration and innovation, and for critical related things like regional LOCKSS networks and so on.
- Advocacy as a group in strategic purchasing and vendor negotiations; working with other consortia to encourage open access,e.g. CARL, OCUL; coordinating OA Week activities for the region; coordinate a pilot project for a regional "big data" project - e.g., climate data.

D) The Environment

The Open Access movement can trace its roots back to the 1990s with the emergence of early OA publishing initiatives like D-Lib (1995) and with the launch of early pre-print servers like RePEc (1991) and Cogprints (1997). The movement really began to take off in the 2000s with the advent of exclusively OA publishers like PLoS and Biomed Central. Open Access publishing has been embraced by academics seeking a wider audience for their research, by taxpayer associations demanding a return on public investment, and by librarians looking for alternative business models in response to the rising price of commercial journals (Figure 1). Open Access grew slowly at first, but accelerated sharply during the first decade of the 21st Century. During this time two distinct models emerged, which (to the confusion of academics everywhere) have been termed “Green” and “Gold”.

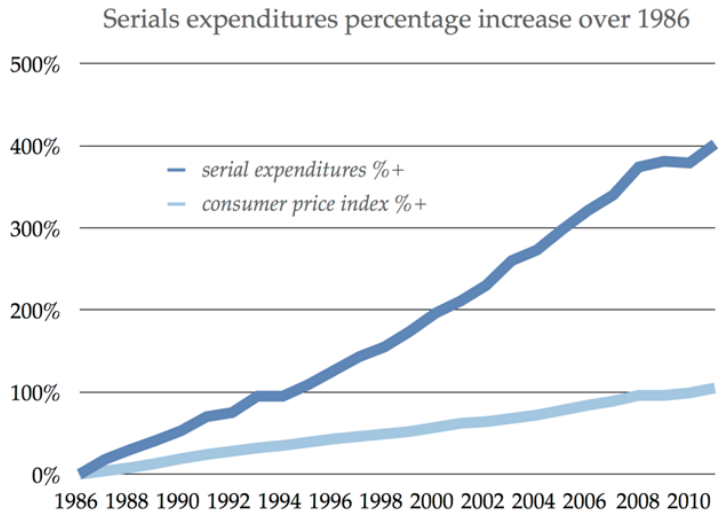


Figure 1. Scholarly journal expenditures percentage increase 1986–2010 compared to consumer price index. Data from Association for Research Libraries. (Shieber, 2013)

Green vs. Gold

The “Green” approach allows authors to share the post-review content of an article on a personal website, in a subject repository, or in an institutional repository. Articles are frequently embargoed so the OA version is not available for 12 months or more after initial publication. The “Green” approach is convenient in that it doesn’t challenge existing business models. Journals are supported through their subscription base, and material is released after a period of embargo. The Sherpa/Romeo directory of publisher self-archiving policies indicates that about 62% of publishers currently support “green” self-archiving. There are 59 Canadian Repositories registered with the OpenDOAR index of open repositories. The vast majority of these are university initiatives that are managed by academic libraries.

RoMEO colour	Archiving policy	Publishers	%
green	Can archive pre-print and post-print	370	30
blue	Can archive post-print (ie final draft post-refereeing)	397	32
yellow	Can archive pre-print (ie pre-refereeing)	96	8
white	Archiving not formally supported	387	31

Figure 2. Of 1250 publishers in Sherpa/Romeo, 62% allow the archiving of post-prints or publisher PDFs.

“Gold” Open Access represents a more fundamental challenge to subscription-based business models. Gold OA journals make their content immediately, globally accessible at no cost to the reader. It is estimated that between 10-12% of all academic journals now qualify as Gold OA (Laakso and Björk, 2012). These journals may or may not include an Author Processing Charge (APC) also known as an Author’s Fee. These charges typically range between $500-$3000. Open Access APCs are eligible expenditures under Tri-Council policy, but many universities have established funds to help faculty who wish to publish in Gold OA journals. In most cases these funds have been established by university libraries, and are in large part supported from library budgets.

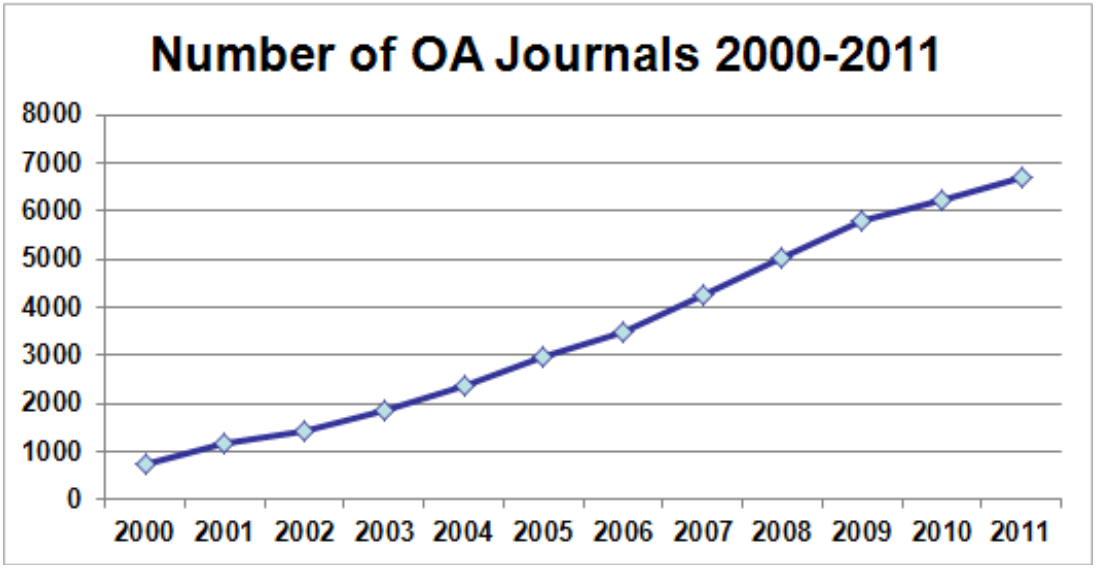


Figure 3. Approximately 10 - 12% of academic journals are Gold OA. (Laakso & Bjork, 2012)

Both Gold and Green OA have gained substantial traction, and by some estimates over half of all research papers may now be available through open access. (Curry, 2012; European Commission, 2013)

Funding Agency Mandates

The earliest Open Access mandates from funding agencies emerged in the Health Sciences. The National Institutes for Health adopted their groundbreaking Green Open Access policy in 2005. The policy ensured that all NIH funded research would be made globally available at no charge within 12 months of publication. The NIH's PubMed Central repository has since become one of the most valuable and heavily used resources for research in Medicine, Nursing, and related disciplines.

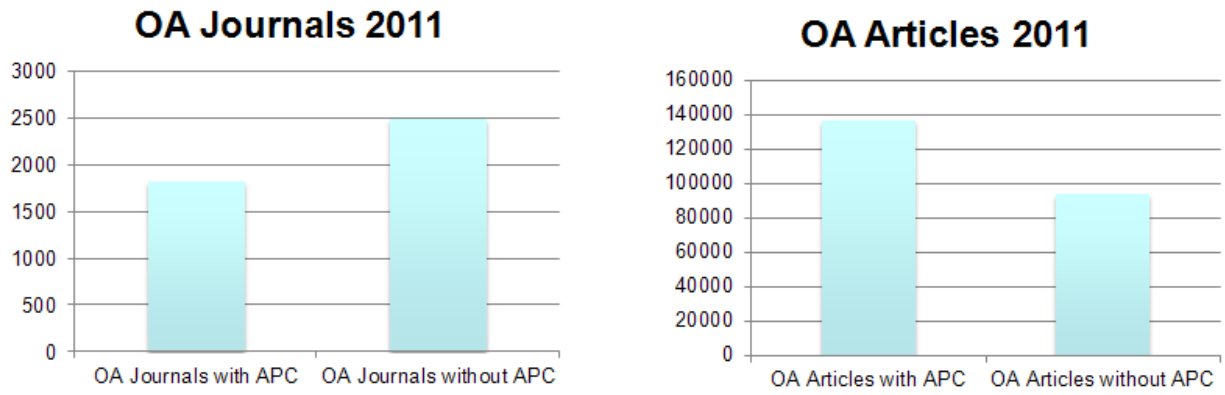
In February of this year the Obama government issued a directive for large US funding agencies to prepare Open Access policies that will make funded research publicly available within 12 months of publication. Although the directive references innovation in Science and Technology, the policy will apply to all large federal funding agencies (those with more than 100 million in R&D expenditures annually). (Holdren, 2013) This means that the National Endowment for the Humanities and the Social Sciences Research Council will be using mandates similar to the one that the National Institutes of Health has had in effect since 2008.

The UK government is having similar conversations about Open Access. Their major federal funders, Research Councils UK (RCUK), have recently embraced a fairly aggressive move to Gold OA publishing for publicly funded research. (RCUK, 2013) Internationally we see an increasing number of OA mandates, not just in the US and UK, but also in Australia and across Europe. (University of Nottingham, 2013) Despite the RCUK preference for Gold, the current trend in funder OA policies favours Green OA. This is likely because Green OA is not as disruptive to the traditional business model as Gold OA would be.

In Canada only one of the tri-council funding agencies, the CIHR, has an open access mandate stating that the results of funded research have to be made publicly available within 12 months of publication. There are several other mandates, mostly in Medicine and Science. In June 2013 the Tri-Council announced an intention to harmonize its OA policies by 2014. This will likely mean that SSHRC and NSERC will impose Green OA mandates, similar to that of CIHR. We can expect funder OA mandates to drive demand for institutional and subject-based Open Access repositories.

E) OA Author's Funds

Number of Gold OA Journals & Articles with APC



Source: Laakso and Björk (2012)

The Importance of an OA Fund

Although Gold OA is typically linked with the concept of author's fees, we can see from the chart above that a majority of Gold OA journals do not charge processing fees. This is a somewhat misleading statistic however, because the majority of OA articles that are published do require fees. There are two major reasons for this: commercial journals publish many more articles per year than journals from universities and scholarly societies that are less likely to charge fees; and there is a growing trend towards "mega journals" like PLoS One that charge APCs and publish a very high number of articles each year. In 2012, for example, PLoS One published an astounding 23,468 papers. (Hoff, 2013)

When we look at the growing number of OA journals and articles that charge an APC, it becomes clear that authors without access to funds for OA publishing are at a disadvantage. This is especially true of authors in the STM disciplines where we have seen the earliest OA mandates from funding agencies. Administrators must therefore view OA Funds as essential, rather than optional. In the majority of cases the money for OA Funds comes from the library budget (Fernandez and Nariani, 2011), although it may be worth pursuing partnerships with other campus stakeholders like the Office of Research, Graduate Studies, or similar.

Recommendation: That each CAUL/CBUA university establish an OA author's fund so that faculty publishing options are not limited by an inability to pay Author Processing Charges (APCs).

OA Fund Policies

Finding money for an OA Fund is the first order of business, but once the funding is secured it is necessary to establish guidelines for disbursement. The CAUL Scholarly Communications Committee strongly recommends an effort to harmonize our institutional policies and establish regional best practices.

Recommendation: That CAUL/CBUA institutions harmonize our OA fund policies in order to establish regional best practices and offer equitable access to researchers in all of the Atlantic Provinces.

1) Who is eligible?

Best Practice: That OA Author's Funds be open to all faculty, students, and staff at the university.

At a minimum the fund should serve both faculty and graduate students. In order to streamline administrative overhead the simplest approach is to fund anyone in the institution who has sufficient expertise to have a paper accepted in a peer-reviewed journal. This has been Memorial's policy since fund inception. Memorial has not yet had a submission from administrative staff, lab assistants, or similar. There is likely to be very little cost associated with a more inclusive policy, and there may be administrative and political gains to an approach that treats all community members equally.

2) How much to fund?

Best Practice: That CAUL/CBUA institutions set an upper limit on the annual amount that each researcher can claim under the Open Access Author's Fund.

Having a maximum amount per person encourages researchers to consider the cost of publication, and seek the best ROI on their publishing dollar. If you set a limit of $3000 each, for example, then a researcher who publishes in a journal with an $800 APC will be funded for three articles, whereas someone who chooses to pay a $3000 APC will only be funded for one. STM faculty tend to author more papers per year than SSH faculty, but this is balanced by the fact that they are also much more likely to have multiple authors on their papers, each of whom can apply for funding.

Best Practice: That CAUL/CBUA institutions establish a maximum amount that will be funded per article.

This policy criteria prevents researchers from attempting to pool their funds to support publications with APCs that are well above average, and that are unsustainable from the perspective of library budgets. There are only a few journals that charge more than $3000 in article fees, and some of these are not particularly reputable.

Best Practice: That the library submits a copy of each funded article to the university's Research Repository for long-term access and preservation.

The author's fund can be used to populate the university repository, thereby meeting a number of access and preservation objectives for the library while also fulfilling the researcher's desire for visibility. As the suggested policy insists that authors retain their rights, there should be no copyright obstacles to archiving these articles.

3) What to fund?

Best Practice: That journal content be peer-reviewed.

Peer-review is the most important criteria for determining journal quality, and for distinguishing an academic journal from other types of serials.

Best Practice: That the journal does not charge subscription fees for any of its content. All articles are immediately available online at no cost to the reader.

It is recommended that library budgets do not fund OA publishing in hybrid journals, those that charge subscription fees, but also offer "author's choice" OA at the article level for a fee. As libraries are already paying large sums of money for our community to read these journals, we should avoid assuming the added burden of writing in them. The authors of this report know of only one Canadian university, the University of Ottawa, that is willing to fund hybrid OA publication. The University of Calgary funds some, but not all, types of hybrid publication. Hybrid OA fees are often just as high as those of Gold OA journals, even though hybrid publication costs are offset by subscription fees. Memorial receives almost as many requests for hybrid OA funding as we do for Gold OA funding. If we were to admit these requests then fund costs would certainly skyrocket, and most of that money would go into the pockets of big commercial publishers who already command the majority of library serials budgets. A good rule of thumb for researchers is that the library will either pay to read a publication, or pay to write in it. If we pay a subscription fee for a journal, we won't pay APCs. Hybrid APCs are eligible expenses under Tri-Council funding policies, so faculty who hold grants from CHIR, NSERC, or SSHRC can use those funds to pay hybrid OA fees if they so wish. (NSERC, 2013)

Best Practice: That the author retains copyright over his or her work. (e.g. The journal uses Creative Commons licensing or similar.)

As long as commercial publishers hold copyright over university research outputs, libraries will have very little flexibility in how we can use this material over time. We want to be able to put copies of articles in our repositories, to change their formats over time for long term preservation, to extract the contents for text mining, and to perform a variety of other tasks that involve copying and transformation. One of the objectives of the OA movement is to lessen the control that commercial publishers have over the way in which university research can be shared and

re-purposed. The Creative Commons provides an alternative approach whereby the journal licenses right of first publication without forcing the author to sign over all of his or her copyrights in perpetuity.

Best Practice: That researchers with no other funding source to cover APCs be given priority over those with research funding available for this purpose.

Due to limited institutional funds it makes sense that authors who receive research money from the Tri-Council use those funds for eligible OA publishing expenses. (NSERC, 2013)

Predatory Publishers and OA Funds

One of the most frustrating side effects of the success of Gold OA has been the proliferation of unethical publishers who will publish any submission for which an APC is paid, regardless of quality. These publishers often recruit content very aggressively. At least two Memorial University authors have published papers with the notorious OMICS publishing outfit (Stratford, 2012; Beall, 2013), and have found it nearly impossible to have their papers subsequently withdrawn. Although we do not suggest that librarians should dictate the journals in which faculty may or may not publish, OA Fund administrators should keep an eye out for funding requests for questionable publishers, and provide faculty members with information that will help them make a decision about whether to proceed with publication. It has been Memorial's experience that faculty appreciate receiving this information, and that they frequently make another choice when confronted with information about a publisher's unethical practices.

Best Practice: That CAUL/CBUA institutions collaboratively create and maintain a guide to help academic authors evaluate journal quality.

Such a guide would include a list of criteria for evaluating journal quality including editorial board composition, acceptance rates, readership, citation rates, years of publication, indexing, and quality of peer review. It would be extremely useful to include information about various widely used journal quality metrics like the Impact Factor, Eigenfactor, SCImago, h-index, and altmetrics.

We would also link to Beall's List, which is the best source for information about predatory practices among OA publishers. The Directory of Open Access Journals (DOAJ) has recently announced a new selection criteria that may be helpful in steering faculty away from predatory and low quality journals (but which may have a negative impact on the journals that we are hosting in OJS, as we shall see in this report's section on OA Journal Hosting).

Two such evaluation pages have been created by Western University and Western Illinois University, and these may serve as models for the CAUL guide.

OA Memberships

Many open access publishers offer institutional memberships. One major benefit of these memberships is that publishers will automatically flag submissions based on an author's email address, and will directly invoice the library on a monthly or quarterly basis. This reduces the administrative burden for both the author and the library, and allows authors to benefit from the fund even if they were not previously aware of its existence. Publishers also provide regular reports about funded articles, so it's easy to identify candidates for the Research Repository.

Institutional OA memberships are structured in different ways and may include a variety of financial benefits. Most publishers will be happy to provide information on the level of submission and acceptance of papers from faculty at your institution. This information can help you to determine which memberships would be most advantageous to your researchers. Some of the membership models include:

- A single annual fee to cover all articles submitted to that publisher from authors who submit using their institutional email address. (Hindawi)

- A one-time pre-payment that will be drawn upon as necessary to pay APCs for institutional authors at a locked-in discount. (Sage Open, Peer J)

- An annual membership that offers a discount on APCs for institutional authors. (Biomed Central, PLoS)

- OA vouchers for a limited number of free OA articles based on a certain level of institutional subscription (Royal Society of Chemistry)

Best Practice: That CAUL/CBUA institutions enter into OA memberships with OA publishers who receive high numbers of faculty submissions.

F) Options for Regional Research Repository Development

Canadian Landscape

The CARL Institutional Repositories Programme: Vision, Priorities, and Projects http://www.carl-abrc.ca/en/scholarly-communications/carl-institutional-repository-program.html promotes the development of IRs at Canadian institutions. A CARL Project to develop a harvester for Canadian institutions is described in the article, CARL Metadata Harvester and Search Service (Jordan, 2006). This harvester is no longer being maintained. In 2008 a CARL working group produced the CARLCore Metadata Application Profile for institutions to use and build upon. It is not unreasonable to characterise the Canadian research repository landscape as lacking in infrastructure. There is an opportunity for CAUL to take the initiative in this area.

Summary of Activities in the Region (from the survey)

IR development within the Atlantic Region can be characterized as organic and (with the exception of CAIRN at UPEI) within institutional silos. The shape of this development is characteristic of developments across Canada. As the results of the survey indicate (see Section B), seven of the seventeen postsecondary institutions in CAUL have an active IR. Three platforms are used within the active IRs in the Atlantic Region: DSpace, Islandora/Fedora and ePrints.

CAIRN Project http://cairnrepo.org/

The purpose of the CAUL Atlantic Islandora Repository Network (CAIRN) pilot project was to build an Islandora-based digital asset repository for use by all CAUL institutions to steward digital assets of any kind, in a consortially-managed framework. The pilot has been completed. UNB/StJ, Mount A, and UPEI are all going forward with continued use of the Islandora system. A number of institutions have said they anticipate using it in the future and others do not. All institutions in CAUL are accessible from the CAIRN site, with links to Islandora collections, to local collections in other systems, or a combination of the two. Conversations are continuing at various levels on opportunities for shared services and resources in this context.

BC ELN Consortial IR Research – 2013
https://docs.google.com/a/ualberta.ca/document/d/12p5IYA0XLe2luw9sHPRy-8W7x2EjvGcYqZDARRcf34w/edit:

This report describes the results of a survey and lists a number of projects including: African Open Access Repository, announced November 2012 using D-Space; Colorado Alliance of Research Libraries using Islandora; Galileo Knowledge Repository, Georgia, both a repository and a meta-repository that searches across 11 repositories using DSpace; Ohiolink with 26 instances on DSpace, and is investigating a pay model and other platforms; HAL open archives system in France; Utah repository toolkit harvester using OAI-PMH; and the Alabama (NAAL) Cornerstone project.

Cross-Repository Search Service

An option for CAUL is to explore a cross-repository search service for the Atlantic Provinces to provide IR infrastructure. As the Atlantic Region has already a number of local repositories, a harvester would create a network and complement the shared repository CAIRN. The benefits of offering a cross-repository search and aggregator would be to promote and highlight researchers in the Atlantic Provinces and the profiles of their institutions. The present tools available such as OAIster and OpenDoar do not allow specific subsets to be selected. Successful projects in other areas include the RIAN project in Ireland http://rian.ie/ and the Institutional Repository Search (IRS) project in the UK http://irs.mimas.ac.uk/demonstrator/ . The RIAN portal harvests the content of seven university libraries in order to make Irish research material more accessible. The IRS project searches across 130 UK academic repositories. They have built a tool which responds to the challenges of easy, targeted, and relevant retrieval http://www.ariadne.ac.uk/issue61/lyte-et-al .

Recent Developments in IRs

IRs are developing services to researchers to increase the functionality of IRs. Illustrative examples of services provided by IRs include researcher profiles and article level metrics (Article Level Metrics: A SPARC Primer, 2013) including traditional counts along with alternative metrics. There are various schemes for creating authority records and researcher profiles, e.g., Metadata Authority Description Schema (MADS), CASRAI Research Personnel Profile, VIVO, and Google Scholar Profile. Examples of researcher identifiers include Open Researcher ID, ORCID identifiers, International Standard Name Identifier (ISNI). One of the attractions of Google Scholar is that Faculty have heard of it and can easily create and update their own profiles. Alternative metrics (altmetrics) are ways to assess the impact of research calculating social media mentions. These metrics can be used in addition to the usual article level metrics such as downloads and views. Two tools which can be used are Altmetrics and Impact Story.

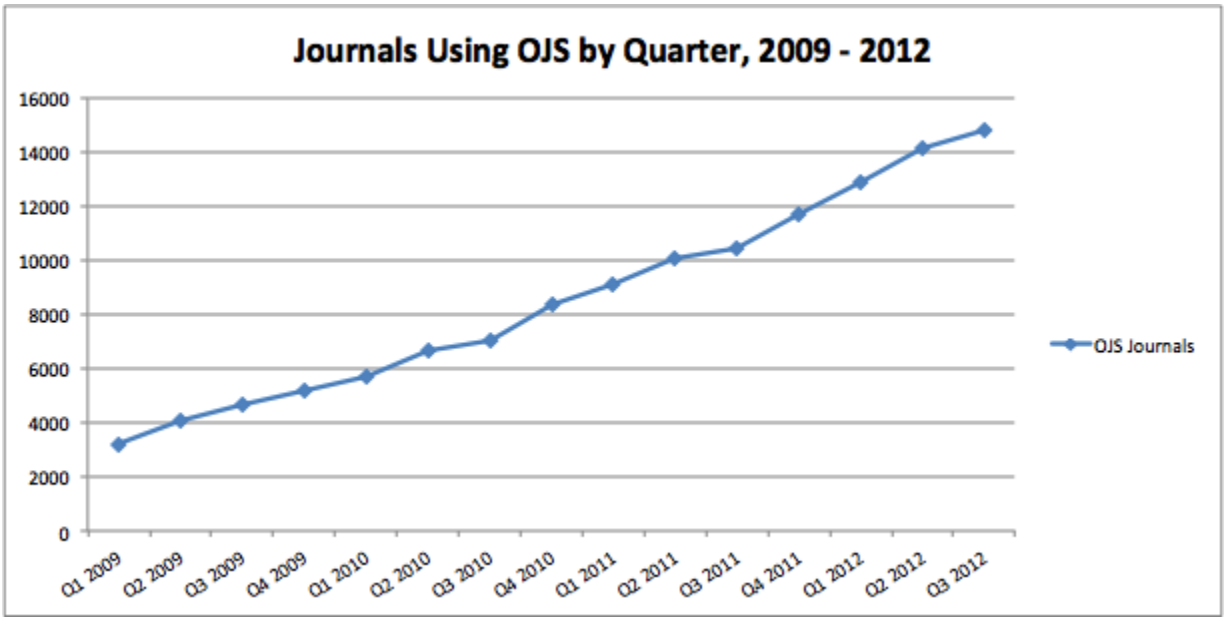
Recommendation: That each CAUL/CBUA library should identify a repository option that will allow institutional researchers to meet funding agency mandates.

Recommendation: That CAUL/CBUA explore a cross-repository search service for the Atlantic Region building on the work already done by CARL.

Best Practice: That future development of CAUL/CBUA IR projects should take advantage of technologies to provide services such as researcher profiles and article level metrics.

Best Practice: That the CAUL/CBUA Digital Preservation Committee coordinate the development of a model long term preservation plan for hosted journals.

G) Regional Options for Open Journal Systems



As of October 2012 14,700 journals were hosted using the open source OJS publishing system. Source: Public Knowledge Project (PKP).

Digital publishing has greatly reduced entrance barriers for new journals, and there are a number of free and low cost tools to support electronic journal publishing at the universities. Many academic libraries host Open Access journals as part of their suite of Scholarly Communication services. Open Journal Systems (OJS) from PKP is probably the most widely installed open source journal publishing package with thousands of installations across six different continents. OJS is certainly the most popular journal hosting platform among CAUL/CBUA institutions; seven libraries have installed OJS software, and six of these have at least one active journal. UNB has by far the most mature publishing arm with 17 active journals, followed by Memorial with 9 active journals.

Academic libraries with OJS system typically recruit journals from three different areas: small start-up journals edited by faculty who are looking for a low-overhead submission and publishing solution; existing paper journals whose editors wish to move to electronic publishing; student journals that provide publication opportunities as part of the teaching and learning process.

Recommendation: That every CAUL/CBUA institution should have access to software that will allow their faculty and students to start their own Open Access journals.

Recommendation: That CAUL/CBUA institutions who cannot host or do not wish to host their own instances of OJS should identify a preferred remote hosting option.

Hosting options:

1) Local OJS installation

In order to successfully host and maintain an instance of Open Journal Systems an institution should have in place the following minimum requirements:

- basic networked server equipment
- reliable backup solution for all server data
- technical support personnel to perform initial install of OJS software and MySQL database.
- upgrades are released regularly, and a site should plan to perform upgrades at least once a year, and other patches as needed
- someone (a librarian?) who can commit the time to learn the system well, and provide support and direction to faculty editors
- a set of policies indicating appropriate use of the system, and a service level agreement (SLA) that clearly states the rights and responsibilities of both the host and the hosted

Advantages:

- can run many separate journals on a single OJS installation
- ability to undertake extensive customization
- ability to control upgrade schedules
- journal URLs will contain institutional identifier (e.g. dal.ca or mta.ca)

Disadvantages:

- technical support overhead
- burden of back-up and long term preservation

2) Piggyback on an existing CAUL/CBUA OJS installation:

This solution allows CAUL/CBUA libraries to share infrastructure and OJS expertise. Each journal on a platform is an independent entity with its own unique look and feel. The hosted library liaison will have access to the “journal manager” interface that allows a great deal of flexibility in customizing and configuring a title.

a) UNB Electronic Text Centre (ETC) Journal Hosting

- Currently hosts 17 journals
- Journals can be either Open Access or subscription-based
- Annual hosting fee of $600
- ETC will set up an instance of OJS on their install, provide graphic design help, and up to 20 hours of training and systems assistance in the first year. We will provide managed hosting, to include secure backups and timely software updates.
- Customization available for an additional fee.

b) Memorial University Libraries OJS Server

- Currently hosts 9 journals
- All journals must be Open Access
- No annual hosting fee
- The partner library will be responsible for uploading articles and preparing journal issues.
- Journal shells are offered as is. The partner library and journal editor may undertake any customization that is possible within the journal manager interface (colours, fonts, content and placement of menus, banners, and logos).

3) Host OJS journals directly with PKP

The Public Knowledge Project provides a journal hosting service using OJS: https://pkpservices.sfu.ca/content/journal-hosting.

- The usual per title cost of OJS hosting is $850/journal, however bulk discounts are available. CAUL/CBUA could purchase slots for 10 titles at $675/journal.
- Code customizations to OJS can be purchased for $175/hr; the client library can also be given access to perform customizations independently.
- Custom domain names are available on the PKP hosting platform.

Service Level Agreements

UNB is the only library that has so far developed a Service Level Agreement (SLA) to formally outline the rights and responsibilities of the hosting library and those of the journal's editorial staff. A copy of the UNB SLA is included as Appendix 2.

Recommendation: That CAUL/CBUA should coordinate the development of a model Service Level Agreement to clearly define the rights and responsibilities of journal editors, and the rights and responsibilities of the coordinating library.

Recommendation: That CAUL/CBUA should coordinate the development of a model Service Level Agreement to clearly define the rights and responsibilities of hosting libraries vs. those of the partner libraries. (e.g. if StFX wanted to host journals on Memorial's OJS platform, what level of service would be offered by Memorial).

Inclusion in the Directory of Open Access Journals (DOAJ)

In order to be selected for inclusion in the Directory of Open Access Journals, the journal manager must submit an application at doaj.org. The selection criteria are as follows:

- Journal will be asked to provide basic information (title, ISSN, etc.), contact information, and information about journal policies

- Journal is registered with SHERPA/RoMEO
- Journal has an editorial board with clearly identifiable members (including affiliation information)
- Journal publishes a minimum of five articles per year (does not apply for new journals)
- Allows use and reuse at least at the following levels (as specified in the Open Access Spectrum, http://www.plos.org/about/open-access/howopenisit/):
    - Full text, metadata, and citations of articles can be crawled and accessed with permission
    - Provides free readership rights to all articles immediately upon publication
    - Reuse is subject to certain restrictions; no remixing
    - Allow authors to retain copyright of their article with no restrictions
    - Author can post the final, peer-reviewed manuscript version (postprint) to any repository or website

Best Practice: That all Open Access journals hosted at CAUL/CBUA institutions should be registered with the Directory of Open Access journals.

Best Practice: That all Open Access journals hosted at CAUL/CBUA institutions should register their author self-archiving policies with SHERPA/RoMEO.

DOAJ Seal of Approval

In addition to a basic listing, the Directory of Open Access Journals (DOAJ) is in the process of implementing its own quality indicator for Open Access journals called the DOAJ "Seal of Approval" (http://www.doaj.org/doaj?func=news&nId=304&uiLanguage=en*).* In order to meet the "Seal of Approval" criteria open access journals must have the following characteristics in addition to the basic selection criteria listed in the previous section.

- Provides machine readable copyright information to help search engines identify open works
- Provides metadata to DOAJ at the article level
- Provides DOIs at the article level
- Has a digital archiving/preservation arrangement in place
- Allows use and reuse at least at the following levels:
    - Allows a community standard API or other protocol to crawl or access full text, metadata, citations, and data (including supplementary data) for articles
    - Ensures generous reuse and remixing rights
    - Allows authors to post any version of their article to any repository or website

OJS meets the first two criteria for article-level machine readable data through the OAI/PMH protocol. You can see an example of Memorial's exposed article-level metadata here: http://journals.library.mun.ca/ojs/index.php/index/oai. Rights arrangements must be worked out

between the journal editors and the hosting library, but we have a clear indication that the DOAJ prefers journal content that is maximally open to sharing and reuse.

Best Practice: That journal hosts should work closely with their editors to demonstrate the benefits of openness, to encourage the use of Creative Commons Licensing, and to encourage flexible self-archiving policies.

Best Practice: The journal hosts should work closely with the CAUL/CBUA Digital Preservation Committee to ensure that long term preservation plans are in place for our journals.

Digital Object Identifiers

In order to be eligible for the DOAJ Seal of Approval (see previous section) a journal must provide Digital Object Identifiers (DOIs) at the article level. The DOI is a unique number that allows us to assign a permanent URI to each article. Not only are DOIs considered to be a best practice in journal publishing, but they allow us to confidently publish article URIs that will endure, and will be compatible with linked data and other emerging web standards.

DOIs are maintained by Crossref, and there is an annual membership fee of $275 for each hosting institution. There is an additional fee of $1 for every article that is registered with Crossref, although large backfiles can be processed for 15 cents per article. More information on Crossref fees can be found here: http://www.crossref.org/02publishers/20pub_fees.html

Beyond the direct financial cost of DOI maintenance, there are certain obligations that will be born by the “publisher”, which in this case refers to the hosting library. The very minimum requirements would oblige the hosting library to:

- Deposit metadata from all their online journals in the CrossRef system.
- Ensure that outbound DOIs are added to article references wherever possible.
- Maintain the metadata and the URLs for DOI assigned articles in perpetuity.

In order to register with Crossref, a hosting library will agree to the terms in the CrossRef Library Agreement, and to fill in the Membership Application Form. Examples of these can be found in Appendix 3.

Best Practice: That OJS hosts in the region should create persistent article-level URIs by registering a Digital Object Identifier (DOI) for each article.

SSHRC Aid to Scholarly Journals

It should be noted that SSHRC offers financial assistance to smaller SSH journals via the “Aid to Scholarly Journals” Fund. This award helps to “defray the costs of publishing scholarly articles,

to assist with distribution costs, and to support journal organizations in their transitions to digital media" (SSHRC, 2011). The competition runs every three years, and the next cycle will open in January 2014 and will close in June 2014. During the 2011 competition, the Canadian Association of Learned Journals indicated that 75% of its members successfully secured SSHRC funding, so we can see that these grants are reasonably accessible.

Journals must publish at least two issues per year in order to qualify. In the 2014/15 funding cycle, journals will be required to articulate a strategy to provide Open Access content via either the Green (author self-archiving) or Gold (fully OA content) approach. Although the 2014 information is not yet online, the 2011 eligibility requirements can be seen on SSHRC's website.

Best Practice: That OJS hosts share information with journal editors about the eligibility requirements for SSHRC's Aid to Scholarly Journals Grant.

H) Open Textbooks

Overview

Open textbooks are quickly becoming a major focus for many in higher education as the financial burden of students continues to grow and the limitations of traditional textbooks become more problematic. The Chronicle of Higher Education reported in August 2011 that 70% of of students have not purchased a required textbook because of the price. Similarly, a recent survey by open online book supplier Bookboon.com showed that 76.6% of post secondary students in the United States do not always purchase the required text for their classes and not surprisingly most (96.9%) find textbooks too expensive. There are other shortcomings as well. Traditional textbooks and their digital surrogates often fail to take advantage of advances in technology that could enhance teaching and learning such as multimedia and interactivity features. This is normally the result of restrictive DRM placed on etextbooks by their commercial publishers and the lack of local control over content updating and customization.

Other than being made freely available, one of the key features of Open textbooks that distinguishes them from commercially published textbooks are the permissions around use and re-use of content and the ability to mix in content from a variety of sources. Also, the focus with open textbook authoring tools is on providing increasingly granular content, usually at the chapter level, so that instructors can combine, mix and match content from other sources (including their own) to create custom texts to suit a specific course or curriculum. Within specific open textbook initiatives such as Connexions (http://cnx.org/aboutus/), content creators make their content available for such re-use under Creative Commons Attribution License while still getting credit and recognition for their work.

Current Initiatives

The significant pitfalls of traditional textbooks has resulted in an increasing number of open textbook initiatives. In Canada, the Government of British Columbia is the first province to support the provision of open textbooks for post secondary students through the BC Campus Open Textbook project (http://open.bccampus.ca). The early objective of the program is to provide open textbooks for the 40 most popular post-secondary courses in the province. Their initial approach has been to simply get faculty onside and comfortable working with open texts. To accomplish this they offer a 3 week asynchronous training program and 1 day in-person workshops that cover everything from creative commons licensing to authoring and remixing workflows. They typically will have 6 people from the project involved in various aspects of a single workshop. In the fall of 2012, they held an open textbook summit that was well attended. One of the highlights was a group that visited from Africa as part of the Siyavula project (http://projects.siyavula.com). This group talked about their “textbook sprint” events where they bring in educators with pre-prepared content to quickly put together textbooks on specific topics over the course of 3-5 days.

In terms of technology and authoring, Clint Lalonde who is the manager for curriculum services and applied research with BCcampus encouraged CAUL libraries to “meet people where they are at”. In other words, to have a variety of options when it comes to software and workflows. BC Campus has been using 2 platforms for authoring. The first is called Connexions which has been around since 1999 and is the system behind OpenStax (openstaxcollege.org). Their goal is 15% of the textbook market. The platform will be getting a makeover in the fall of 2013 but the focus has been on both content production and the sharing / remixing of content. The other platform they use is a Wordpress plugin called Pressbooks. This is strictly a production environment that outputs supplied content to the major ebook formats (epub, pdf and mobi).

Another Canadian initiative is being run by Leddy Library at the University of Windsor. Their original plan was to offer free and open downloadable textbooks in a partnership with Flatworld Knowledge on iPad, Kindle and Nook devices. The project kicked off with a textbook for a course in Management Information Systems, but Flatworld ended the partnership in late 2012. The new business model for Flatworld is based on providing fee based hybrid open texts that instructors may modify and remix. So it appears that this project may have stalled in the short term based on the fee structure.

It’s worth noting that a graduate student at Simon Fraser University has produced a thesis on *Open Access And Scholarly Monographs in Canada.* This is a very nicely done and comprehensive review of the state of open access as it relates to monograph publishing in not only Canada but also Europe and the U.S. Given their relatively small market and current funding models, Canadian scholarly presses differ somewhat from American and European publishers vis-à-vis OA. Drawing both on information from industry stakeholders and relevant research, this paper aims to clarify how Canadian university presses might proceed with respect to OA Monographs. http://www.ccsp.sfu.ca/2013/08/open-access-and-scholarly-monographs-in-canada/

In the Atlantic Region, the University of Prince Edward Island started looking into open textbooks in the fall of 2012. UPEI has since created an Islandora based virtual research environment (http://textbooks.vre3.upei.ca/) for the delivery of open textbooks at UPEI. There is currently one book available (for the Business 101 class). The original text was made available by the Saylor Foundation (http://www.saylor.org/books) with a Creative Commons Attribution---NonCommercial---ShareAlike 3.0 License and has been adapted by UPEI faculty. The adaptation is created by the UPEI Library in PDF format and the content and related metadata is stored in the VRE. The library has also enabled a Google PDF Reader for online viewing prior to download. Other output options include an Espresso Book Machine version for printing.

At the University of New Brunswick Saint John campus, Karen Keiller maintains an extensive list of initiatives and projects that support the creation and dissemination of open textbooks and related Open Educational Resources (http://list.ly/list/5M7-open-textbooks). In addition to the projects identified in Karen’s list there are a few examples of U.S. based initiatives worth noting:

- The Washington State Board for Community & Technical Colleges supports the Open Course Library (http://opencourselibrary.org) which provides texts and other course related materials for 81 high enrollment college courses. The focus of this initiative is on providing students with course materials using Google Drive with most documents in Google Docs (exportable to ODF, HTML, PDF, RTF, Text and Office Open XML formats) or in standard Microsoft formats (Word, Powerpoint, Excel). The goal of this initiative is to make use of the widely available authoring tools noted above and collaboration appears to be amongst the teaching faculty, librarians and instructional designers within the Washington State Board. That said the content is made freely available to anyone via a Creative Commons Attribution only license.

- OERPUB (http://oerpub.org/). The focus here is on professional networking related to OERs (Open Educational Resources) rather than a production tool.

- Brian Lindsheild at Kansas State University has created a highly regarded open textbook for his Human Nutrition (HN400) class. He is using the Washington State model with Google Drive as the delivery point. Anyone with a gmail account can see the text here https://drive.google.com/?authuser=0#folders/0ByOHn1XKLsxbNWM2MGE3M2UtOTc4MC00N2RlLTgxY2UtYjY1NzExYTU3Y2I3. Moving image content is handled by linking out to a youtube account. An example of how this is handled is in Chapter 4.31 (https://docs.google.com/document/d/1kZzfLlBYoplRSHRYhqimq288-RB3rgOFj_6gm02D9BE/edit).

Authoring Environments

In looking at the initiatives described above, there are a number of trends in terms of how people are authoring open etextbooks.

- Offline desktop authoring tools (e.g. Adobe, Microsoft etc.)
- Generic online services such as Google Docs for content creation and Google Drive for collaboration.
- Online services specific to open textbook creation such as Connexions.
- Content management systems such as Wordpress (with specific e-book plugins such as Pressbooks) or Drupal.

Output Formats

There is a wide range of output format options when it comes to ebooks in general and specifically open textbook projects. Most projects have a significant online component. Content discovery is always online and in many cases, portions of the resource are available exclusively online. This is the often the case with html based texts that incorporate media content that is hosted on third party services such as YouTube or Vimeo. The standard downloadable file

formats are PDF, ePub, and Mobi but the range of export formats includes those in use with most desktop applications.

Print on demand is another output trend that appears to be a part of many e-textbook projects. In our region, UPEI is in possession of an Espresso Book Machine that they are using in conjunction with their open textbook initiative.

Learning Management Systems

Open textbooks are fundamentally tied to the curriculum and any discussion of curriculum delivery will inevitably lead to Learning Management Systems (LMS). One LMS provider that appears to be thinking of open textbooks is OpenClass (from Pearson Education). Pearson is a for profit publisher that appears to be offering a freely available LMS to individual teaching faculty (enterprise level solutions would likely involve a fee). OpenClass has a module called OpenClass Exchange that will currently permit the inclusion of OERs from Pearson sources. The company claims that they have plans to extend their platform to allow faculty to include content from other OER repositories. The other major LMS suppliers (Blackboard, Moodle and Desire2Learn) have less direct ways of incorporating OERs into the online learning environment.

Recommendation: CAUL/CBAU libraries should pursue options for creating open textbooks and other OERs that are entirely free of monetary cost to readers.

Best Practice: Further to the above, that CAUL/CBUA should embark on projects that have Creative Commons Attribution-NonCommercial-ShareAlike licensing to permit teaching faculty to reuse, remix, revise and redistribute content for inclusion in other OER initiatives.

Recommendation: That CAUL/CBUA institutions should seek opportunities to provide incentives for the adoption of open textbooks.

I) Regional Open Data Repository

Chuck Humphrey, in the blog Preserving Research Data in Canada The Long Tale of Data gives an excellent summary of the attempts to create a national research data infrastructure. In the absence of a national strategy to establish data preservation services we are left to work to work collaboratively with research communities and build from the bottom-up. "There is a need for university policies that establish an institutional mandate to preserve research records and that identify institutional data stewardship responsibilities covering the research lifecycle." (Chuck Humphrey 2012).

Other calls for importance of libraries to become involved in research data management include CARL in the 2012 Research Data: Unseen Opportunities.

In the context of CAUL-CBUA, we have the opportunity to create the infrastructure that can help smaller institutions to also play a part in research data management. We already have a start with the CAIRN Repository, which can also be used for research data. We can also help provide training and other support.

The following proposal for a regional Open Data Repository was developed by members from University of New Brunswick & Memorial University while attending the CARL Research Data Management Workshop in Toronto in January 2013.:

I. Regional Environment

- Most of the successful data archiving and preservation services are collaborative and not based in a single institution (Scholar's Portal, Harvard, Abacus).
- There is no obvious external partnership solution to our need for regional research data collection and preservation. This is an excellent opportunity for regional collaboration.
- CAUL-CBUA challenge includes different sized institutions, different resources, different levels of infrastructure development.
- Need to identify pockets of regional expertise exist to support a data research services infrastructure. (e.g. UNB IT support, MUN metadata and preservation expertise).
- Need to identify other regional partners (e.g. Association of Atlantic Universities).
- Are there regional funding sources (ACOA, MPHEC)?
- Circulate the assessment document "Evaluating Current Data Management Services" to identify existing data services at CAUL-CBUA libraries. This will also help to expose pockets of expertise.

II. Elements of a Local Research Data Preservation Framework

1) Technology

Are our existing repositories capable of ingesting data and associated metadata (e.g. DDI, EML)? Need for local data research gap analysis.

Open source data repository alternatives:

- Dataverse – currently deployed by Scholar's Portal, Harvard.
- Islandora/CAIRN - USask is currently trying to get Archivematica integrated with Islandora, Islandora could add support for SPSS, SAS.

2) Content Recruitment

- Develop collections policies.
- Develop partnerships with researchers.
- Outreach to faculty & research support units on campus.
- Identification of regional community, gov't, industry partnership opportunities

3) Staffing

- Support & training for finding and understanding data among librarians (e.g. MANTRA)
- Staffing to support data management plan development at the funding proposal level.

4) Preservation

- Identify pockets of expertise in digital preservation across the region.
- Evaluate digital preservation policies to identify gaps related to data.
- Identification of appropriate metadata standards for data preservation.
- Development of metadata expertise in these standards.
- List of "recommended" formats for data submission.
- Purdue Data Curation Profiles.
- ISO standards for mark-up and preservation.

III. Campus Environment

Does this tie into the University strategic plan?

Does the library have local data collection and preservation as part of its existing strategic plan?

Outreach to VP Research – discussion of needs/drivers.

Environmental Scan & Needs Assessment

- Identify existing library services.
- Review funding agency policies.
- Identify other relevant administrative units (e.g. CREAIT at MUN)
- Identify campus areas that generate a great deal of data.
- Identify any other data curation policies on campus.
- Identify researchers who already deposit data to publishing services.
- Identify opportunities for gov't, industry partnerships & community outreach
- What staffing does the library currently dedicate to data support and instruction (including GIS)?
- What options are available to support learning (IASSIST, research fair, webinars, courses, DLI)?
- What other campus services exist to support data collection and preservation?
- Who on campus is responsible for managing "working" data sets (i.e. the day to day data in use by the researcher)?
- What local funding sources might be available for data preservation?

How to bridge ingest of "finished" data set from "working" data sources?

IV. Suggested Actions within a Multi-year Timeframe

Year 1

Add local data management to library strategic plan

Environmental scan and needs assessment

Build data into existing OA evangelism sessions

Identify existing gaps for data services and preservation.

Inventory of technical options (e.g. Dataverse, Islandora)

- platform
- storage, backup
- regional mirroring

Year 2

Pilot project

Determine technology infrastructure.

Limited number of initial ingestions, ideally from different disciplines.

Develop local policies and best practices

- licensing
- metadata
- workflow
- linking datasets to associated publications
-

Training

Review of technology, policy, practice, and staffing

Add data repository metadata to local search services (e.g. Summon at MUN, WCL at UNB)

Year 3

Formalize local policies

Develop regional policy

Broader marketing of services

Broader recruitment of content

Find opportunities to expose metadata for indexing in other services.

Year 4

Identify regional and municipal datasets that could also stand a bit of curation/preservation.

Recommendation: That CAUL/CBUA directors investigate the desirability of establishing a single regional repository for exposing and preserving local research data.

J) The Canadian Context

While not initially part of this project, the Committee thought it would be useful to investigate the scholarly communications work being undertaken by other Canadian university libraries and consortia. It should be noted that the information contained in this section was obtained through secondary research and review of institutional websites rather than direct surveying.

By the Numbers

Using various sources, a list of libraries with any of the following services was compiled:

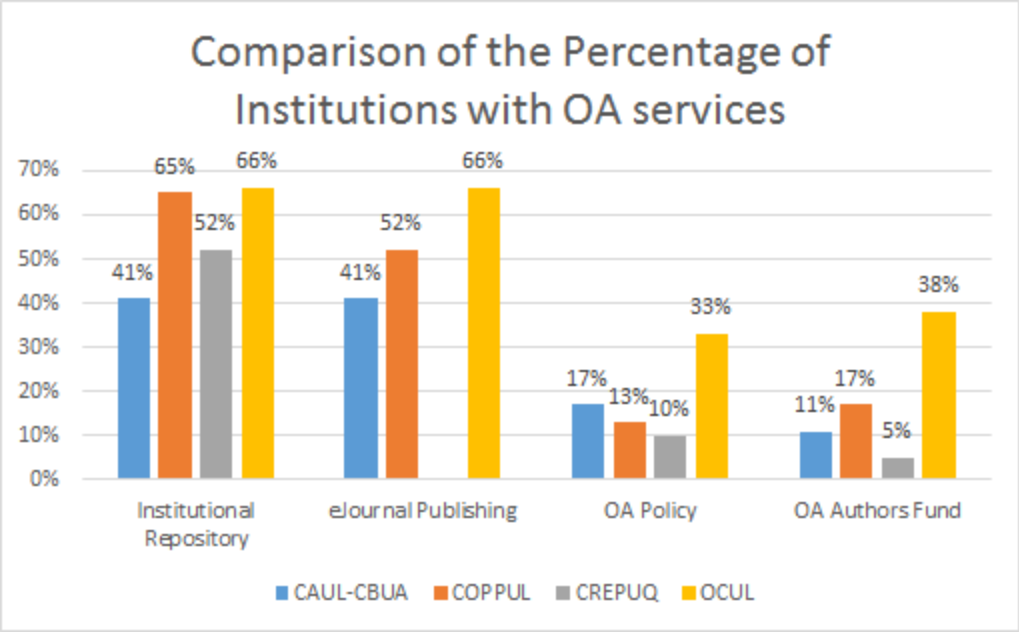
1. Institutional repository;
2. Ejournal publishing system;
3. Open access mandate;
4. Open access fund.

These services were chosen because they were considered important metrics for which the information was readily available. In each case, steps were taken to determine that the library was involved in the service in some appreciable fashion (e.g., a faculty-hosted OJS install was not counted). Once the data was collected, the libraries were divided by consortium as a convenient way to make comparison. To counter the differing number of institutions in each consortia, a percentage of the whole was calculated.

As you can see, libraries in CAUL--CBUA compare favourably with those in the rest of Canada. CAUL-CBUA libraries also reflect the national trend of focussing on institutional repository & ejournal publishing services, the latter presumably because of the prevalence of the OSS Open Journal System (OJS).

The numbers for Open Access Mandates & OA funds are significantly lower across the board. It's possible to surmise that this is because these initiatives require broad philosophical support from the institution.

Recommendation: That CAUL/CBUA, in a cooperative effort between the Scholarly Communications Committee and the Digital Licensing Coordinator, identify consortial opportunities to support Gold Open Access.



Missing data: the number of institutions with eJournal publishing services in CREPUQ could not be determined.

Regional Approaches to Supporting Scholarly Communications Activities

It is possible, without doing an in-depth survey, to look superficially at the approaches other regional consortia are taking to supporting scholarly communications work within their membership.

OCUL has recently launched a shared data repository (http://dataverse.scholarsportal.info/dvn/), and although it doesn't currently support a shared Open Journal System, in 2012 it signed a development partnership with PKP. From the press release, "The partnership means that OCUL, will contribute to software development, testing, support, and hosting of the PKP open source software suite - Open Journal Systems (OJS), Open Conference Systems (OCS), and Open Harvester System (OHS), with Open Monograph Press (OMP) due for release this year." OCUL was awarded Trustworthy Digital Repository status for Scholar's Portal in 2013; however, Scholar's Portal is currently being used as a Journals repository for locally loaded commercial journal content. Nonetheless it could be concluded that OCUL is taking a technology-focused, centralized infrastructure approach to developing scholarly communications initiatives.

Some members of COPPUL are involved with British Columbia's open text book initiative, but as a regional group, it appears to be taking a more advisory and distributed approach to scholarly communications work. As an example, COPPUL provides support for recording relevant scholarly communications sessions taking place at individual libraries through its Scholarly Communications Working Group. The COPPUL Scholarly Communications Working Group also coordinates Open Access Week events, and is working on a workshop for members that, "addresses emerging, relevant trends, such as developments in Canadian copyright law."

Finally, while members of CREPUQ are investing in scholarly communication initiatives such as Erudit, there doesn't appear coordinated activity happening at the consortial level in Quebec.

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Appendix 1: Survey Questionnaire

Assessment of Scholarly Communications Activities Among CAUL-CBUA Libraries
February 2013

CAUL-CBUA's newly formed Scholarly Communications committee is surveying our member institutions to assess the development of new services that fall under the umbrella of Scholarly Communications, including Open Access initiatives. Could you please take a moment to answer a few questions on behalf of your institution?

1. Does your library have an online repository for faculty research?

   If yes, please answer the following:

   a) Do you host your own research repository, or do you use a service that is hosted at another CAUL-CBUA library?

   b) How many items are currently in your research repository?

   c) What is the URL of your repository?

2. Does your library offer an eJournal publishing service?

   If yes, please answer the following:

   a) What platform are you using to provide this service? (OJS, bepress, other)

   b) How many active journal titles do you currently host? How many are in development?

   c) What is the URL of your journal hosting service?

3. Does your library offer an eBook publishing service?

   If yes, please answer the following:

   a) What platform are you using to provide this service? (e.g. OMP)

   b) How many active monograph titles do you currently host? How many are in development?

   c) What is the URL of your monograph hosting service?

4. Do you collect, publish, and preserve local research data sets? (e.g. numeric, geospatial)

If yes, please describe your service.

5. Does your library preserve and make accessible conference proceedings and/or presentations?

If yes, please answer the following:

a) Can you specify; proceedings, presentations or both?

b) Is this service only offered to conferences that are hosted in your community or on your campus?

c) What platform are you using to provide the service? (OCS, OJS or the Institutional Repository?

6. Does your library have an Open Access Author's Fund?

If yes, please answer the following:

a) How much money have you dedicated annually?

b) Do you fund publication in "hybrid" journals?

c) Do you perform any quality assessment of journals before funding?

7. Does your institution have an Open Access mandate?

If yes, please provide a link to the online version.

8. Which of the following educational or promotional activities are offered by your library?

__ Maintain an OA guide on your web site

__ Inclusion of OA journals in catalogue or other major discovery tool

__ Offer sessions to faculty and or students on Open Access publishing

__ Organize activities during Open Access week

__ Promote the Directory of Open Access Journal, Creative Commons, or related services to researchers in your organization

9. Who has responsibility for Scholarly Communications activities at your library?

10. Of the Scholarly Communications services that are not yet offered at your library, which would you consider to be the most important priority for development?

11. What are some of the challenges that your library faces in terms of developing your Scholarly Communications services?

12. Is there a role for CAUL-CBUA in helping your library to develop Scholarly Communications services?

Appendix 2 - UNB Journal Hosting Service Level Agreement (SLA)

Contract

BETWEEN:

The Electronic Text Centre at the University of New Brunswick Libraries, located at the Harriet Irving Library, 5 Macaulay Lane, Fredericton, New Brunswick E3B 5H5, acting with respect to the present document through Erik Moore, Director of the Electronic Text Centre and duly authorized for this purpose,

Hereinafter referred to as the Electronic Text Centre;

AND

The Canadian Society for Scholarly Stuff (CSS), publisher of the journal *Journal,* having offices at 15 Scholar Place, University of Alberta, Edmonton, AB, Canada, T6G 2E6, acting with respect to the present document through Dr. Remus Lupin, President of the Canadian Society for Scholarly Stuff, and duly authorized for this purpose,

Hereinafter referred to as *CSS* or *Journal*:

WHEREAS *CSS* agrees to entrust the Electronic Text Centre, which so accepts, with the mandate concerning digital production of the periodical *Journal* that it publishes;

WHEREAS *CSS* is responsible with respect to relations with the authors and holders of the rights of each and every text and other elements intended for the publications whose production shall be entrusted to the Electronic Text Centre;

WHEREAS *CSS* affirms that it holds all the rights and all the authorizations enabling it to sign the present contract;

THE PARTIES AGREE AS FOLLOWS:

1.0 ***The Electronic Text Centre agrees to:***

1.1 The Electronic Text Centre agrees to develop, host and maintain an implementation of the Open Journal Systems (OJS) for *Journal*. OJS is a journal production and editorial management system. Services include hosting the implementation on an Electronic Text Centre server, basic graphic design, access control, and updating of administrative information provided by the journal. The Electronic Text Centre will also assume responsibility for integrating updates to the Open Journal System into the journal site, and

Electronic Text Centre staff will provide basic Open Journal System training to *Journal* editors and staff.

1.2 The Electronic Text Centre agrees to upload PDF articles sent by *Journal* to the Open Journal Systems site created for the journal. The Electronic Text Centre will also produce XML versions of the articles (minimal tagging) as well as the metadata for all documents whose features so permit it. The PDF formats will be produced by *Journal*.

1.3 The Electronic Text Centre agrees to post the digitized version of *Journal* online within four weeks of receiving all of the files from the journal.

1.4 The Electronic Text Centre agrees to perform a quality assurance check to ensure content has not been altered during conversion processes.

2.0 *Journal agrees to:*

2.1 *Journal* agrees to transmit to the Electronic Text Centre the final PDF versions of each article for each of the issues concerned, pursuant to the instructions herein appended.

2.2 *Journal* agrees to revise and proofread the electronic texts concerned and assumes full responsibility for this revising and proofreading.

3.0 *Cost of services offered*:

3.1 *Journal* shall be invoiced once yearly for the work performed by the Electronic Text Centre on its behalf, as described in sections 1.1, 1.2, 1.3, and 1.4 of the present contract. *Journal* agrees to pay this invoice within 30 days of receipt. The parties agree that the total cost for the publication of a volume of two issues is *****$ for the first year of this contract. At the end of the first year of this contract the Electronic Text Centre will evaluate the complexity of the work undertaken to determine if appropriate changes to charges will be made.

4.0 *Duration of the contract*:

4.1 The present contract, whose duration is one year, shall expire on its anniversary date and shall be automatically renewable on a yearly basis pursuant to the same terms, with exception of normal indexation for the production costs. If one party wishes to renegotiate the terms of the contract or not to renew the contract, it shall send the other party written notice to this effect at least 60 days prior to the expiry date.

5.0 *Representations and Warranties*

5.1 The Electronic Text Centre warrants and represents to the Journal that: the Electronic Text Centre will act with the degree of care, diligence and skill consistent with accepted norms of sound practice. This will include rigorous quality control, daily server backup of all

material on the Journal website, digital archiving of all content, and all content burned onto CD.

5.2 The Journal warrants and represents to the Electronic Text Centre that: the Journal has obtained necessary rights and permissions from the authors of the material in its articles so it may make the grant of rights hereunder; such works shall not plagiarize or infringe on any proprietary right of any third party; and such works does not contain any material that is libelous, obscene or defamatory or violate any right of privacy or confidential information of a third party.

6.0 ***Termination for Default***

6.1 Either party may terminate this Agreement thirty (30) days after written notice of default is given to the defaulting party and if the defaulting party does not take immediate action to correct such default within such period. *Journal* shall pay for any dues, as per item 3.1 up to termination and for reasonable commitments made by the Electronic Text Centre related to the services, prior to the date of notice of default, for which the University is financially responsible.

7.0 Force Majeure

7.1 Neither party to this Agreement shall be liable to the other for any failure or delay in performance by circumstances beyond its control, including but not limited to, acts of God, fire, labour difficulties, or governmental action.

8.0 Entire Agreement

8.1 This Agreement shall supersede all documents or agreements, whether written or verbal, in respect of the subject matter thereof.

9.0 Legal Jurisdiction

9.1 This contract shall be governed by and construed in accordance with the laws in force in the Province of New Brunswick.

EXECUTED AND SIGNED at _____ this _____ day of _____ 2013.

_____	_____
Dr. Remus Lupin President, CSS	Erik Moore Director, Electronic Text Centre
_____	_____
Witness	Witness

Appendix 3: Crossref Agreement & Membership

library agreement

This click-through agreement (the "Agreement") contains the terms and conditions applicable to library use of the CrossRef system. Please read it carefully.

TERMS & CONDITIONS FOR LIBRARY USE OF THE CROSSREF SERVICE AND MATERIALS

1. Manner of Use.

a. The Library may retrieve DOIs and metadata by batch or one at a time. The Library may use retrieved DOIs and metadata to make persistent links to full-text works online, to make link resolvers function better and clean up its own indices, abstracts and record locators, the Library may cache the DOIs and metadata and incorporate DOIs and metadata into their content and library systems. The Library may use the DOIs and metadata for scholarly, research, educational, personal or non-commercial purposes.

b. Any other use of metadata is prohibited. The Library may not, and may not permit others to, redistribute, copy, print, archive, backup, reserve or loan any of the metadata (except incidentally where DOIs and metadata have been incorporated into the Library's content and/or systems.)

c. The Library may not charge fees for access to the CrossRef system or retrieval of DOIs and metadata. Likewise, the Library may not re-license or sell the DOIs and metadata or access to the service, including but not limited to bulk reproduction or distribution of the DOIs and metadata.

2. Use in Conjunction with Local Link Resolvers/Servers (OpenURL servers)

a. The Library may submit a DOI to the CrossRef system and receive certain metadata (including author, title, volume number and other metadata fields designated within CrossRef's discretion) identifying the works corresponding to the submitted DOIs. CrossRef will provide technical specifications, which may change from time to time, for submission and receipt of the above information. In consideration of the metadata lookup services, and as part of the Agreement, the Library also agrees as follows:

i. Copyright Protection. The Library agrees not to use any localized linking system to serve links that infringe copyright in the work(s) of the CrossRef member(s) or any existing contract it may have with the CrossRef member(s). Furthermore, the Library agrees not to use any localized linking system to serve DOI-enabled links that it is aware facilitate a third-party infringement of copyright in the work(s) of the CrossRef member(s). Similarly, without limiting the foregoing, the Library agrees not to use any localized linking system to serve links to any document delivery service that it is aware of as supplying documents in violation of any royalty payment obligations to the CrossRef member(s). A "localized linking system" includes any software or other technology that offers end users different options for linking to versions of, or information about, targeted works.

ii. Publisher Links. When using CrossRef provided metadata the Library shall use its commercially reasonable efforts to ensure that on the local link resolver system screen where users are presented with linking options to targeted material, a link using the DOI for the target content ("Publisher Link") shall appear: (i) among the first three link options, and (ii) no less prominently than the most prominent link (considering formatting such as highlights, font size, etc.) Furthermore, the Publisher Link shall resolve without any interstitial or triggering pop-up screens or other interruptions in resolution.

3. Access to Full-Text Works. Access to full-text or other copyrightable works described or identified by the DOIs and metadata ("targeted works") is pursuant to any agreement(s) between the Library and the corresponding publisher(s), and not granted by CrossRef under this Agreement.

4. Term, Termination and Renewal. The initial term of this Agreement is twelve (12) months. Either party may terminate the Agreement for any reason upon thirty (30) days written notice to the other. This Agreement will automatically renew for subsequent twelve (12) month terms unless terminated. The Business Contact designated by the Library will be emailed any

revisions to this Agreement and may terminate the Agreement if revisions are not acceptable to The Library.

5. Permissive Use of CrossRef Trademarks. CrossRef grants the Library the nonexclusive and revocable right to use the name and trademark "CrossRef" during the term of the Agreement in conjunction with activities described by the Agreement. The Library's use of the mark shall be subject to CrossRef's reasonable ongoing approval over its form, associated content and presentation. For avoidance of doubt, this license to use the mark does not extend to any the Library's customers, partners, affiliates or other entities, including authorized users, and may not be used constructively by the Library in association therewith without the prior written consent of CrossRef.

6. Limitations and Disclaimers. TO THE EXTENT NOT PROHIBITED BY APPLICABLE LAW, CROSSREF SHALL NOT BE LIABLE FOR ANY DAMAGES (DIRECT, INDIRECT, SPECIAL, INCIDENTAL, PUNITIVE OR CONSEQUENTIAL, INCLUDING BUT NOT LIMITED TO LOSS OF DATA, REVENUE, GOODWILL OR OTHER ECONOMIC ADVANTAGE, OR BUSINESS INTERRUPTION), EVEN IF THE LIBRARY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES, ARISING OUT OF THE USE OF OR THE INABILITY TO USE THE CROSSREF SYSTEM. FURTHER, CROSSREF MAKES NO REPRESENTATION OR WARRANTY, AND EXPRESSLY DISCLAIMS ANY LIABILITY WITH RESPECT TO ANY DOIS, METADATA OR TARGETED MATERIALS, INCLUDING FOR INFRINGEMENT OF ANY INTELLECTUAL PROPERTY RIGHTS INCLUDING COPYRIGHT, TRADEMARK, PATENT OR TRADE SECRETS. FINALLY, THE DOIS AND METADATA AND ACCESS TO THE SYSTEM ARE PROVIDED ON AN "AS IS" AND "AS AVAILABLE" BASIS, AND CROSSREF DISCLAIMS ANY AND ALL OTHER WARRANTIES, CONDITIONS OR REPRESENTATIONS (EXPRESS, IMPLIED, ORAL OR WRITTEN), RELATING TO THE DOIS AND METADATA, THE CROSSREF SYSTEM, OR ANY PARTS THEREOF.

7. Waiver. The parties agree that no delay or omission by either party to exercise any right or power hereunder shall impair such right or power or be construed to be a waiver thereof.

8. Entire Agreement. This Agreement constitutes the entire agreement of the parties regarding its subject matter and supersedes any prior communications.

Schedule A - Library Designation of Representatives:

Organization Information

Library/Company:*	Memorial University of Newfoundland Libraries			
address:	QEII Library	city:	St. John's	
	Prince Philip Drive	state, zip/postal code:	NL	A1C 3Y1
		country	Canada	

Business Contact Information

Business Contact. The Library shall be represented by the following individual for purposes of providing guidance and direction in daily operational matters and for general coordination ("Business Contact"):

representative name:*	Gillian Byrne
title:	Head of Electronic Resources
phone:*	(709) 737-3160
email:*	gbyrne@mun.ca

Technical Contact Information

Technical Contact. The Library shall be represented by the following individual for purposes of providing technical coordination with CrossRef Operations and for general technical matters and information ("Technical Contact"):

representative name:*	Lisa Goddard
title:	AUL IT
phone:*	(709) 737-2124
email:*	lgoddard@mun.ca

Check the box below *

☑ I have read the agreement and agree to the terms.

By clicking the "I agree" button below, you agree to be bound by the terms of this Agreement.

Let us know of any specific questions you may have about the CrossRef system.

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We'd like to register our resolver BASE-URL so we can take advantage of the CookiePusher.
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* required fields

I Agree Reset

Membership Application & Data Form (2013)

1. Organization Name: _____

2. Is your organization part of a larger organization? Yes ☐ No ☐

3. If yes, please name the larger organization: _____

4. Does your organization have not-for-profit status? Yes ☐ No ☐

5. Please check one category below. (CrossRef reserves the right to verify your designation.):

Membership fee category. Each PILA member must self-categorize into one of nine fee categories based on total (gross) publishing revenue *before expenses are taken into account*. Total (gross) publishing revenue includes all publishing-related proceeds from all the divisions of an organization (primary and secondary) for all types of activities (advertising, books, journals, databases, article charges, author fees, publication grants, institutional memberships, etc.). For membership organizations, member dues allocated to subscriptions are to be included in total publishing revenue.

Gross Publishing Revenue	Annual Fee	Check One
< $1 Million	$275	☐
$1 Million - $5 Million	$550	☐
$5 Million - $10 Million	$1,650	☐
$10 Million - $25 Million	$3,900	☐
$25 Million - $50 Million	$8,300	☐
$50 Million - $100 Million	$14,000	☐
$100 Million - $200 Million	$22,000	☐
$200 Million - $500 Million	$33,000	☐
> $500 Million	$50,000	☐

For organizations that publish scholarly information as an ancillary activity, such as government organizations, the higher of either (1) total expenses for publishing operations or (2) gross publishing revenue should be used in determining the appropriate membership fee.

CrossRef Deposit Fees: In addition to your annual fee, you will also be responsible for deposit fees per DOI as indicated on our website: http://www.crossref.org/02publishers/20pub_fees.html#deposit

6. Publication Details: Please specify, to the best of your ability, the number of documents you intend to register in 2013.

PUBLICATION TYPES	Current Content 2011 - 2013	Backfile - prior to 2011
Journals and articles		
Books and chapters		
Conference proceedings		
Components (tables, figures etc.)		
Dissertations and theses		
Reports and papers		
Standards		
Database (data sets and components)		

7. Does this content contain reference citations? Please be aware that as a CrossRef member there is an obligation to link out from references in journal articles.* Yes ☐ No ☐

8. Is this content original? Please be advised that CrossRef only permits DOIs to be assigned to original material for which there is no actual or anticipated duplication.* Yes ☐ No ☐

*Please see the "Membership Qualifications and Rules" http://www.crossref.org/02publishers/59pub_rules.html on the CrossRef website for further details.

9. Please provide the URL where your organization's publications are available:

http:// _____

10. Please list the type of access to your online content:

Open Access ☐

Subscription ☐

Mixed ☐

Other ☐ Please specify: _____

Access to full-text: The CrossRef Board of Directors request that all CrossRef members provide access to their full- text electronic content, for CrossRef-internal use only in surveying from time to time how publishers are implementing reference links.

If content is restricted, you will need to supply access to your content. If your system supports IP-authentication, our IP-address (limited to CrossRef staff) is: 208.254.38.69. Please supply an activation date here to indicate that such access has been provided. Alternatively, use the space below to supply a username and password for access. Please provide this information if access to your full-text content is protected.

11. Username: _____ Password: _____

CrossRef IP Access activated as of: _____
Date

12. Indexing: Please list the databases in which your journal content is indexed:

_____

13. Publication Frequency: Please list the dates of your most recent publications that will have DOIs assigned. If you have not yet published, state the planned date of publication: _____

14. Who is your organization's archiving provider?

CLOCKSS ☐

Portico ☐

edepot ☐

British Library ☐

Other ☐ Please specify: _____

Orientation: All new members are required to attend or view an "Introduction to CrossRef" online webinar or session at the Annual meeting.

The webinar is available to view at **http://www.crossref.org/01company/webinar.html.**

15. Date viewed webinar or attended meeting: _____

Accepted for membership: Your membership application is officially accepted by the CrossRef Board of Directors when you receive a countersigned copy of the CrossRef/PILA Membership Agreement. The signature below is for internal purposes only.

For CrossRef Use Only
Application approved by:

_____ _____

Carol A. Meyer, acting on behalf of the CrossRef Board of Directors Date