

**CPSA-SQSP COMMITTEE ON THE IMPACT OF OPEN ACCESS
ON THE CANADIAN JOURNAL OF POLITICAL SCIENCE**

PRELIMINARY REPORT

May 2019

The committee invites comments from CPSA and SQSP members on the present report and its recommendations. The comments will be included in the final report expected in Fall 2019.

CPSA-SQSP Committee on the Impact of Open Access on the *CJPS*

Martin Papillon (CPSA Secretary-Treasurer; Committee Chair)

Mélanie Bourque (*CJPS* French-language Co-editor)

Alex Marland (CPSA member)

Brenda O'Neill (*CJPS* English-language Co-editor)

Graham White (former *CJPS* editor; former CPSA President)

TABLE OF CONTENTS

RÉSUMÉ	2
EXECUTIVE SUMMARY	7
INTRODUCTION.....	11
PART 1. A PORTRAIT OF THE <i>CJPS</i>	12
1.1 <i>A Primarily Canadian Journal</i>	12
1.2 <i>The Journal's Business Model</i>	14
PART 2. AN OVERVIEW OF THE OA LANDSCAPE IN SCHOLARLY PUBLISHING	16
2.1 <i>What is OA?</i>	16
2.2 <i>Trends in OA Publishing</i>	22
2.3 <i>Is There an OA Advantage?</i>	25
2.4 <i>OA Mandates</i>	27
PART 3. SHORT TERM SCENARIOS FOR THE <i>CJPS</i>.....	30
3.1 <i>Reinvent the <i>CJPS</i> as a Freely Available, Gold OA Journal</i>	31
3.2 <i>Move to an OA Friendly, Canadian-Based, Platform</i>	32
3.3 <i>Status Quo</i>	32
3.4 <i>Incrementalism</i>	33
PART 4. CONCLUSIONS AND RECOMMENDATIONS	34
BIBLIOGRAPHY	36

The committee thanks Marc-André Simard for his research assistance, as well as Chris Robinson (Cambridge University Press), Silvina Danesi and Michelle Hopkins for their help in preparing this report.

La version finale du rapport sera disponible en français.

RÉSUMÉ

Le mouvement pour le libre accès (LA) bénéficie d'un soutien toujours plus grand dans le monde de la publication savante. L'objectif du LA est de rendre la recherche gratuite et aussi accessible que possible au plus vaste auditoire afin de maximiser son impact et ses retombées positives. En principe, il est dans l'intérêt de l'Association canadienne de science politique (ACSP) et de la Société québécoise de science politique (SQSP) de soutenir le mouvement pour le libre accès.

Le LA engendre néanmoins des défis pour des revues, telles que la Revue canadienne de science politique (RCSP), qui non seulement publient des articles de haute qualité et évalués par des pairs, mais soutiennent également le travail d'associations professionnelles telles que l'ACSP et la SQSP grâce aux revenus qu'elle génère.

En 2018, le CRSH a modifié les exigences relatives au LA dans le cadre de son programme de soutien aux revues savantes. Après 2021, les revues admissibles devront rendre leur contenu savant accessible gratuitement, soit immédiatement après la publication ou après un délai pouvant aller jusqu'à 12 mois. Bien que la RCSP bénéficie actuellement du financement du CRSH, elle n'est pas conforme à cette nouvelle exigence. La Revue doit donc adapter son modèle d'affaires ou renoncer à sa subvention à partir de 2021.

L'Association canadienne de science politique (ACSP) et la Société québécoise de science politique (SQSP), copropriétaires de la Revue, doivent à court terme préparer une réponse aux nouvelles exigences du CRSH. Elles doivent également tenir compte des conséquences à long terme de l'évolution du paysage de l'édition savante. La RCSP devrait-elle embrasser le mouvement en faveur du LA? Si oui, quels seront les impacts du LA sur les finances de la Revue? Quelles seront les conséquences pour les auteur-es qui publient dans la Revue et de manière plus générale, sur les politologues au Canada?

Ce rapport présente les conclusions préliminaires du comité ACSP/SQSP sur le LA et formule une série de recommandations que les deux associations pourront considérer.

La vulnérabilité du modèle d'affaires de la revue face à l'évolution du paysage de l'édition savante

La RCSP est ce qu'on appelle un journal « hybride ». Bien que l'accès à la revue soit lié à l'abonnement, les auteur-es peuvent publier immédiatement leurs articles en LA moyennant des frais. La RCSP a également une politique « verte » sur le libre accès, en vertu de laquelle les auteur-es peuvent déposer la version acceptée de leur article sur une plateforme web institutionnelle.

La production d'un journal de haute qualité avec évaluation par les pairs n'est pas gratuite. Comme la plupart des revues savantes, la RCSP s'appuie fortement sur les revenus provenant d'abonnements et de redevances sur les droits de reproduction pour assurer son fonctionnement. Ces revenus sont, pour la plupart, réinvestis dans la revue elle-même, mais une proportion non négligeable est également réinvestie dans les autres activités de la RCSP et, dans une moindre mesure, de la SQSP.

Le comité tient à souligner que les revenus en provenance de la Revue représentent environ le tiers du budget de l'ACSP. Cette source de revenus est essentielle pour garantir le maintien des services

que l'ACSP offre à ses membres et garantir son soutien financier aux étudiant-es aux de cycles supérieurs, notamment en maintenant des frais d'adhésion à l'ACSP et d'inscription à sa conférence annuelle peu élevés.

Bien que la situation financière de la Revue soit relativement bonne, les revenus provenant des abonnements et des droits de reproduction devraient diminuer dans le contexte des nouvelles exigences en matière de LA. Le modèle économique de la Revue, tout comme celui de l'ACSP, est donc vulnérable à court et à moyen terme.

La résistance des sciences humaines et sociales face au phénomène en croissance du LA fondé sur la facturation de traitement d'articles

Selon la plupart des définitions, le LA signifie que la recherche scientifique doit être immédiatement et librement accessible dans un format numérique, sans barrière d'abonnement ni mur de paiement. Ce rapport décrit en détail plusieurs des modèles développés au cours des deux dernières décennies pour soutenir ces objectifs.

- La *voie dorée* (*gold OA*) désigne le contenu disponible gratuitement, immédiatement et directement sur le site Web de l'éditeur. Bien que certaines revues empruntant le modèle de la *voie dorée* soient entièrement gratuites, la plupart d'entre elles sont financées par des frais de traitement d'articles (FTA). Ces frais sont payés à l'éditeur par les auteur-es pour couvrir, en partie ou en totalité, les coûts de production de l'article publié en LA.
- La *voie verte* (*green OA*) (ou « autoarchivage ») constitue une variante du libre accès qui permet de créer une version d'un document librement accessible en ligne sur une plateforme de dépôt personnel ou institutionnel.
- Des variantes hybrides sont également apparues ces dernières années en vertu desquelles des revues par abonnement retardent l'accès gratuit aux articles pendant une période d'embargo ou permettent aux auteur-es qui paient des frais de traitement d'article d'avoir leur article immédiatement disponible en libre accès.

Bien qu'aucun de ces modèles ne se soit imposé comme une option viable par rapport au modèle d'abonnement traditionnel, force est de constater que le libre accès est un phénomène en pleine croissance.

Selon la méthodologie utilisée, les études situent entre 30% et 40% la proportion totale d'articles scientifiques disponibles sous une forme ou une autre de LA. Entre 2009 et 2017, 14% des articles publiés dans Scopus étaient accessibles en libre accès (par le biais de journaux entièrement en LA ou hybrides) et 24% par le biais de journaux ayant adopté la *voie verte*. Cela étant dit, 63% des articles n'étaient toujours pas accessibles librement.

La prévalence du LA n'est pas uniformément répartie entre les disciplines. L'adoption du LA est particulièrement faible dans les sciences humaines et sociales, où la pratique des frais de traitement d'articles n'est pas bien établie. En fait, aucun modèle d'affaires ne s'est imposé de manière évidente dans les disciplines de sciences sociales pour soutenir les coûts de la publication en LA

de revues de qualité, évaluées par des pairs. La science politique se situe d'ailleurs au bas de la liste des disciplines ayant adopté le LA en se classant au 34^e rang sur les 39 disciplines étudiées.

La prévalence moins élevée du LA dans les sciences humaines et sociales peut s'expliquer par une résistance plus forte au modèle de la *voie dorée* fondée sur les frais de traitement d'articles. Ce modèle a émergé dans le contexte des disciplines scientifiques et techniques qui sont bien financées et dans lesquelles les chercheur-es peuvent plus facilement inclure des coûts de publication dans leurs subventions. Les frais de traitement d'articles sont plus controversés dans les sciences humaines et sociales puisque près de 50% des publications n'y sont pas financées par des subventions de recherche. Les étudiant-es et les jeunes chercheur-es en particulier peuvent donc être fortement désavantagé-es si le modèle des FTA en vient à être généralisé. La RCSP, qui propose à ses auteur-es une option LA fondée sur des frais de traitement d'articles, n'a publié que deux articles sous cette formule.

La RCSP doit néanmoins s'adapter aux exigences en matière de LA

Par le biais de leurs politiques et de leurs mandats, un certain nombre d'organismes subventionnaires privés ou publics encouragent désormais activement le LA.

Au Canada, la *Politique des trois organismes sur le libre accès aux publications* de 2015 exige que la version acceptée des articles résultants de subventions du CRSNG, du CRSH ou des IRSC soit librement accessible en ligne, sur le site Web de l'éditeur ou sur une plateforme de dépôt public, à l'intérieur des 12 mois qui suivent sa publication.

Les nouvelles exigences en matière de LA de la subvention *Aide aux revues savantes* du CRSH vont plus loin. Pour être admissibles à un financement public, les revues doivent rendre leur contenu accessible gratuitement sur le site Web de l'éditeur, soit immédiatement après sa publication, soit dans un délai maximal de 12 mois. L'utilisation d'une plateforme publique de type *voie verte* (*green OA*) n'est donc plus considérée comme une option viable.

Le modèle d'affaires actuel de la RCSP est conforme à la politique des trois organismes, mais elle ne répond pas aux nouvelles exigences de la subvention aux revues savantes.

Le Plan S est une autre initiative importante qui jouit du soutien de certains des organismes subventionnaires nationaux en Europe. Bien qu'il fasse toujours l'objet de discussions, dans sa forme actuelle, le Plan S exige que les recherches financées par les organismes subventionnaires qui y souscrivent soient publiées dans des revues qui rendent leur contenu scientifique immédiatement accessible et gratuitement. S'il était adopté sous sa forme actuelle, le Plan S favoriserait la *voie dorée* et les revues dont le financement proviendrait exclusivement de fonds publics et des frais de traitements d'articles exigés aux auteurs, au détriment du modèle hybride adopté par plusieurs revues en sciences sociales, dont la RCSP.

Des préoccupations importantes ont été soulevées quant au fait que ces nouvelles exigences seraient trop strictes et affaibliraient indûment l'écosystème de la publication dans les sciences humaines et sociales. Non seulement en raison du fait que les frais de traitement d'articles n'y sont pas considérés comme une option viable, mais aussi parce que les revenus d'abonnement de

nombreuses revues en sciences humaines et sociales servent à soutenir les activités des associations professionnelles universitaires.

Face à ce paysage en mutation, les grands éditeurs s'adaptent. Certains créent de grandes revues omnibus qui publient en LA plusieurs centaines d'articles par an et utilisent les frais de traitement d'articles générés pour financer des publications plus spécialisées.

D'autres font la promotion du modèle « Read & Publish », selon lequel un éditeur et une institution (ou un groupe d'institutions) négocient une entente permettant aux chercheur-es affilié-es à l'institution d'accéder gratuitement à toutes les publications de l'éditeur et de publier en LA dans ses journaux sans avoir à payer directement les frais de traitement d'article. En échange, l'institution de recherche verse une redevance annuelle à l'éditeur. Bien que ce modèle n'ait pas encore été adopté au Canada, plusieurs organismes et instituts de recherches ailleurs dans le monde négocient ce type d'ententes avec les grands éditeurs, y compris Cambridge University Press.

Quatre scénarios pour la RCSP

Bien qu'il soit dans notre intérêt, en tant qu'association professionnelle, de soutenir les principes et les valeurs sous-jacents au LA, il nous incombe également de veiller à ce que cela ne se fasse pas au détriment de la qualité globale de l'édition savante en science politique au Canada. Nous suggérons une série de scénarios pour la revue, en gardant à l'esprit les préoccupations immédiates relatives à la nouvelle exigence du CRSH en matière de LA ainsi que les changements plus vastes en cours dans le secteur de l'édition.

Le premier scénario consiste à transformer la RCSP en adoptant la voie dorée (*gold OA*) tout en facturant systématiquement des frais de traitement d'articles aux auteur-es. Il s'agit d'un scénario à haut risque compte tenu de la faible prévalence des frais de traitement d'articles dans les revues savantes en sciences humaines et sociales. Ce scénario affecterait particulièrement les étudiant-es et les chercheur-es en début de carrière. À moins qu'un nouveau modèle de financement public pour les revues en LA n'apparaisse dans un avenir proche, nous ne recommandons pas à l'ACSP et à la SQSP d'adopter cette voie.

Le deuxième scénario consiste à adopter un modèle de type *voie dorée (gold OA)*, mais sans frais de traitement d'articles. Afin d'assurer la survie financière de la Revue, il serait alors impératif de la transférer vers un service de publication en ligne afin de réduire les coûts de production. Encore une fois, il s'agit d'un scénario à haut risque pour une revue bien établie. De plus, il soumettrait sans aucun doute la RCSP et l'ACSP à de graves difficultés financières. Ajoutons que les équipes de rédaction actuelles et passées sont satisfaites du professionnalisme et de la gamme de services que Cambridge University Press fournit à la Revue.

Le troisième scénario consiste à ne rien faire et donc à maintenir le modèle actuel de la RCSP reposant principalement sur les abonnements. Ce scénario entraînerait la perte de la subvention du CRSH, mais elle limiterait les incertitudes liées au passage à un modèle de LA complet. Il s'agit cependant vraisemblablement d'une solution à court terme compte tenu de l'évolution du paysage de l'édition savante vers le LA.

Le scénario final, recommandé par le comité, consiste à adopter une approche graduelle vers le LA. La RCSP pourrait adapter son modèle d'affaires de manière à respecter au minimum les nouvelles exigences du CRSH sans renoncer entièrement à son modèle d'abonnement. Cela signifierait de conserver le modèle hybride actuel, tout en offrant désormais un accès gratuit aux articles après un embargo de 12 mois.

Cette dernière option n'est pas sans risques à long terme pour la santé financière de la revue. L'impact de ce modèle sur les abonnements et les redevances devra être surveillé de près. Cependant, les coûts à court terme devraient pouvoir être absorbés relativement facilement par les deux associations.

Réflexions sur le long terme

Au-delà de cette réponse à court terme aux exigences du CRSH, il est aussi essentiel que l'ACSP et la SQSP développent une vision d'avenir concernant le LA en science politique au Canada. L'approche graduelle que nous recommandons ne résout pas les problèmes à long terme auxquels la Revue sera probablement confrontée.

L'ACSP et la SQSP devraient également envisager de se joindre à leurs associations sœurs et à la Fédération des sciences humaines pour veiller à ce que le CRSH et les autres organismes subventionnaires soient conscients des défis que créent le LA non seulement pour les revues, mais aussi pour les associations professionnelles. Il sera essentiel pour les organismes subventionnaires d'adopter des politiques mieux adaptées à ces défis afin de soutenir la transition vers le LA.

Enfin, l'ACSP et la SQSP devraient envisager d'élaboration d'une stratégie à long terme pour faire face à la baisse probable des revenus qu'elles tirent du journal. Il pourrait être envisagé, dans ce contexte, d'identifier des sources alternatives de revenus et de redéfinir les priorités des deux associations.

Le comité sollicite les commentaires des membres de l'ACSP et de la SQSP sur le présent rapport et ses recommandations. Les commentaires figureront dans le rapport final du comité attendu à l'automne 2019.

Executive Summary

The movement for open access (OA) is rapidly gaining support in the scholarly publishing community. The purpose of OA is to make research free and as accessible as possible to the broadest possible audience to maximise its impact and benefits. In principle, it is in the interest of the Canadian Political Science Association (CPSA) and the Société québécoise de science politique (SQSP) to support the OA movement.

But OA also creates its own challenges for journals like the Canadian Journal of Political Science (CJPS), which not only publishes high quality, peer-reviewed articles, but also supports the work of associations like the CPSA and SQSP through the revenues it generates.

In 2018, the Social Sciences and Humanities Research Council (SSHRC) changed the requirements for its Aid to Scholarly Journals funding opportunity (ASJ grant). After 2021, eligible journals will have to make their scholarly content accessible for free, either immediately upon publication or after a delay of up to 12 months. While the *CJPS* currently benefits from SSHRC's ASJ funding, it is not compliant with this new requirement. It must therefore adjust its business model or forfeit its grant in 2021.

The *Journal* and its parent associations, the Canadian Political Science Association (CPSA) and the Société québécoise de science politique (SQSP) have to develop an immediate response to the new SSHRC requirements. They also have to consider the long-term implications of the changing landscape of scholarly publishing. Should the *CJPS* embrace the OA movement? If so, what are the implications for its finances? How will OA affect its authorship and the Canadian political science community more broadly?

This report presents the preliminary conclusions of the CPSA/SQSP committee on the impact of OA and makes a series of short-term recommendations for both associations to consider.

The Journal's business model is vulnerable to the changing landscape of scholarly publishing

According to its publishing agreement with Cambridge University Press, the *CJPS* is what is called a "hybrid" journal. While access to the *Journal* is subscription-based, authors can publish articles in OA with no delay in exchange for a fee. The *CJPS* also has a "green" OA policy, under which authors can deposit the accepted version of their article in an institutional repository.

Producing a top-quality peer-reviewed journal is not free. As is true of most academic journals, the *CJPS* relies heavily on subscriptions and royalties from reproduction rights as its major sources of income. Revenues generated from subscriptions and reproduction rights are for the most part reinvested in the journal itself, but a significant proportion is also reinvested in the other activities of the CPSA and, to a lesser extent, the SQSP.

The committee wants to underscore that *Journal* revenues account for approximately a third of CPSA annual income. This revenue stream is essential to ensure the CPSA maintains the services

it offers its members and continues to support graduate students through low membership and conference registration fees, for example.

While the *Journal* is in good financial condition, revenues from subscriptions and reproduction rights are expected to decline in the context of new open access requirements. The business models of both the *Journal* and the CPSA are therefore vulnerable in the short to medium term.

OA is a growing phenomenon, but the dominant APC-based model faces resistance in the HSS

According to most definitions, OA means scholarly research must be immediately and freely available in a digital format, absent subscription barriers and/or pay walls. This report discusses in some detail several of the models that have emerged to support these goals in the last two decades.

- Gold OA refers to content that is immediately and directly available on the publisher's website. While some gold OA journals are entirely free, most are sustained through article processing charges (APCs), which require a payment from the authors to the publisher to cover all or parts of the production associated with the article.
- Green OA (or self-archiving) is a variant of OA that supports the practice of making a version of the article freely accessible online through an institutional or personal repository.
- Hybrid variants have emerged in recent years under which subscription-based journals delay free access to articles for an embargo period or allow authors who pay APCs to have their article immediately available in OA.

While none of these models has established itself as a long-term, sustainable, alternative to the traditional subscription model, there is no denying that OA is a growing phenomenon.

Depending on the methodology used, studies situate the total proportion of scientific articles available in some form of OA at between 30 and 40%. In 2017, 14% of articles in Scopus published between 2009 and 2017 were available via OA (through gold or hybrid journals) and another 24% were available through green OA. That being said, 63% of articles were not freely available

The prevalence of OA is not uniformly distributed across disciplines. OA adoption is particularly low in the Humanities and Social Sciences (HSS), where APCs are not as established and no obvious business model has emerged to support the cost of publishing quality, peer-reviewed OA journals. Political science ranks 34th out of the 39 disciplines surveyed.

The lower uptake of OA in the HSS disciplines can be explained by a stronger resistance to the APC-based OA model. The model emerged in the context of the well-funded STEM disciplines, where researchers can more easily cover publishing costs through their grants. It is more controversial in the HSS, where close to 50% of publications are not funded through research grants. Students and junior researchers are at particular disadvantage should a growing number of journals begin to charge APCs. The *CJPS*, which offers an APC-based OA option to its authors, has to-date only published two articles under this format.

The CJPS must adapt to new OA mandates

A number of public and private funders are now actively promoting open access through their policies and mandates.

In Canada, the 2015 *Tri-Agency Open Access Policy on Publications* now requires that the accepted version of peer-reviewed journal publications resulting from NSERC, SSHRC or CIHR grants be freely accessible online, either on the publisher's website or in a public repository, within 12 months of publication.

The new OA requirements of SSHRC's ASJ grant go further. To be eligible for public funding, journals must make their scholarly content accessible for free on the publisher's website, either immediately upon publication or with a delay of up to 12 months. The use of public repositories (green OA) is therefore no longer accepted as a viable option.

The current business model of the *CJPS* complies with the Tri-Council OA policy, but not with the new ASJ requirements.

Plan S is another important initiative that has won the support of some of the major European national funders. While it is still under discussion, Plan S would require research funded by signatory agencies to be published in journals that make scholarly content immediately accessible, free of charge, to readers. In its current form, Plan S would explicitly prohibit publication in hybrid journals that maintain a subscription base but offer an APC-based OA option, like the *CJPS*.

Many have expressed concerns that these new requirements are too stringent and unduly weaken the publishing ecosystem in HSS, where APCs are not considered a viable option and where journal revenues also support the work of scholarly associations.

Faced with this changing landscape, the big publishers in the industry are adapting. Some are creating large omnibus OA journals that publish several hundred articles per year and use the APCs generated to fund more niche publications.

Others promote read and publish (R&P) deals, which are negotiated between a publisher and an institution (or a group of institutions), allowing affiliated researchers to access all of the publisher's catalogue free of charge *and* to publish in its journals without assuming APC charges. In exchange, the research institution pays a proportionate annual fee to the publisher. Several research institutes are currently pooling resources at the national level to negotiate R&P deals with publishers, including Cambridge University Press, although this model hasn't yet taken hold in Canada.

Four scenarios for CJPS

While it may be in our interest, as a professional association, to support the underlying principles and values of OA, it is also our responsibility to ensure that doing so does not come at the expense of the overall quality of scholarly publishing in Canada. We therefore outline a series of scenarios for the *Journal*, keeping in mind SSHRC's new OA requirements as well as broader changes in the publishing industry.

The first scenario is to transform the *CJPS* in a full “gold” OA journal and systematically charge APCs to authors. This is a high-risk scenario in light of the current low uptake of APCs in the HSS. It is also a scenario that would disproportionately affect students, early career researchers and those whose research is largely unfunded. Unless a new funding model for OA journals emerges in the near future, we do not recommend that CPSA and SQSP adopt this route.

The second scenario is to adopt a gold model without APCs and to move the *CJPS* to an online publishing service to reduce costs. This is, again, a high-risk scenario for a well-established journal and it would likely put both the *Journal* and the CPSA under severe financial stress. Current and former editorial teams are enthusiastic about the professionalism and range of services that Cambridge University Press provides to the *Journal*. The committee does not recommend terminating the arrangement with CUP.

The third scenario is to simply do nothing and maintain the *CJPS* as a primarily subscription-based journal. This option involves forfeiting the SSHRC grant, but it limits the uncertainties associated with a move to a full OA model. It may also be a short-term solution in light of the evolving landscape of scholarly publishing in the direction of OA.

The final scenario, which the committee recommends, is to adopt an incremental approach to OA. The *CJPS* could adjust its business model to be minimally compliant with the new AJS requirements without foregoing its subscription model. This would mean keeping the current green and APC options, but also giving free access to articles after a 12-month moving embargo.

This last option is not without financial risks for the journal and its impact would need to be monitored closely, but the short-term costs could be relatively easily absorbed by the two associations.

Thinking long-term

Beyond this short-term response to SSHRC’s requirements, it is crucial that the CPSA and SQSP also develop a clear vision for an OA future. The incremental approach we recommend does not solve the long-term challenges the *Journal* will likely face.

The CPSA and SQSP should also consider concerted efforts with peer associations and the Canadian Federation for the Humanities and Social Sciences to ensure SSHRC and other funding agencies are aware of the challenges we face and to develop policies that are responsive to those challenges and support as smooth a transition as possible to OA.

The CPSA and SQSP should also consider developing a long-term strategy to address the probable decline in revenue stemming from the *Journal*. Alternative sources of revenues, as well as a reprioritizing of activities, may be considered.

The committee invites comments from CPSA and SQSP members on the present report and its recommendations. The comments will be included in the final report of the committee expected in Fall 2019.

Introduction

Co-owned by the Canadian Political Science Association (CPSA) and the Société québécoise de science politique (SQSP), the *Canadian Journal of Political Science/Revue canadienne de science politique (CJPS)* is an integral part of the broad ecosystem supporting the political science research community in Canada. While the *Journal* is in relatively good health, both quality-wise and financially, it faces significant short to medium term challenges.

Digital publishing is transforming how academic journals operate. Thanks to online platforms, the number of outlets for publishing scholarly work is growing rapidly, thereby creating additional competitive pressures on the *Journal*. Another key shift brought about by digital publishing is the rise of open access (OA) as the new standard for academic research dissemination.

The purpose of OA is to make research as accessible as possible to the broadest possible audience to maximise its impact and benefits. In principle, it is in the interest of the CPSA and SQSP to support the OA movement. But OA also creates its own challenges for journals like the *CJPS*, which not only publishes high quality, peer-reviewed articles to a specialized audience, but also supports the work of the CPSA and SQSP through the revenues it generates. As funding agencies around the world are making their research grants conditional to the publication of results in OA journals or platforms, the *CJPS* business model is now under stress.

In Canada, the 2015 [Tri-Agency Open Access Policy on Publications](#) now requires that peer-reviewed journal publications resulting from Tri-Agency (NSERC, SSHRC or CIHR) grants be freely accessible online through a public repository or directly on the publisher's website within 12 months of publication. The Fonds de la recherche en santé humaine (FRQSH) adopted a [similar policy](#) for its own grant recipients, starting April 1st, 2019.

In 2018, the Social Sciences and Humanities Research Council (SSHRC) also changed the requirements for its [Aid to Scholarly Journals](#) funding opportunity (ASJ grant). To be eligible, journals are now required to have OA policies that go beyond the Tri-Agency Policy. Starting in 2021, journals will have to make published versions of record (VoR) for all peer-reviewed content accessible for free, either immediately upon publication or with a delay of up to 12 months. The *CJPS* currently benefits from SSHRC's support, but it is not compliant with this requirement.

The *Journal* can adjust its business model to comply with SSHRC's new requirements or opt to keep its current subscription-based model and forfeit its SSHRC grant in two years. Losing that grant would require a significant restructuring of the *Journal's* business model in the short term. That said, adopting a compliant OA model will likely also have an impact on the *Journal's* subscription base and the revenue it generates for the CPSA and SQSP.

Beyond these immediate considerations, the trend towards OA is here to stay. In Europe, [Plan S](#), an initiative regrouping some of the largest public funders, is proposing some of the most stringent OA requirements yet. While it is not finalized, in its current form Plan S requires that research supported by member agencies be freely accessible immediately upon publication, without delay. European researchers funded by agencies subscribing to Plan S would no longer be able to publish

in hybrid subscription-based journals like the *CJPS* unless those journals have a “transformative” plan to become fully OA by 2023.

Should the *CJPS* embrace this movement toward OA? If so, what are the implications for its business model? How will OA impact its authorship and the Canadian political science community more broadly? The CPSA and SQSP established a strategic committee to explore these questions and chart the best course of action for the *Journal*. The mandate of the Committee is to:

- Gather relevant information on OA, including general trends in the social sciences community, with a focus on journals with a profile similar to *CJPS*;
- Identify the potential implications of OA for the *CJPS* and its business model;
- Identify short to medium term scenarios for the *CJPS* in light of this changing context;
- Submit a first report to the boards of the CPSA/SQSP the first week of May 2019 and a final report the first week of November 2019.

This report provides an overview of recent trends concerning OA and discusses their implications for the *Journal*, the CPSA and SQSP, as well as for the Canadian political science community generally. In light of this changing landscape, this report suggests short-term scenarios to address the immediate issue of compliance with SSHRC’s ASJ grant requirements. A subsequent report will discuss some of the longer-term strategies that could be considered as the *CJPS* is navigating the uncertain waters of academic publishing in a brand-new OA world.

Part 1. A Portrait of the *CJPS*¹

The *CJPS* is in its 51st year of publication, having been founded in 1968 as a successor to the *Canadian Journal of Economics and Political Science*, which began publication in 1935. It has always celebrated its bilingual character, with French-language articles comprising between 15% and 20% of its content over time (White 2017).

The existence of a well-respected, peer-reviewed, bilingual journal is fundamentally important to the Canadian political science community. The *Journal* is a unique space for Canada-focused debates in political science. In-depth interviews conducted with members of the Canadian political science community in 2016 found that the *Journal* is generally held in high esteem (Marland 2017). It is still viewed as a top outlet for strong research about Canadian politics and the scholarly competence of its editors are seen as top-notch. However, the *Journal* is vulnerable to the changing landscape of scholarly publishing.

1.1 A Primarily Canadian Journal

Although it is an omnibus political science journal, the *CJPS* is the primary outlet for scholarly work on Canadian politics. Over time, 60% to 70% of articles published have focused on Canadian

¹ Documents employed in the preparation of this section include Graham White’s 2017 review article published in the 50th anniversary issue of the *CJPS*, annual reports prepared by Cambridge University Press for the CPSA, annual reports prepared by the English and French language Co-editors of the *CJPS* and financial reports from the CPSA.

politics, broadly conceived. Political theory (traditional and modern) and comparative politics have also been well represented. Approximately three-quarters of authors are affiliated with Canadian universities, with the balance coming primarily but not exclusively from the United States and Western Europe.

While its primarily Canadian focus somewhat shelters the *Journal* from global competitive trends in scholarly publishing, the multiplication of outlets for researchers to publish their work nonetheless creates added pressure on the *CJPS*. The number of political science journals indexed in the Journal Citation Reports (InCites) grew by 59% between 2008 and 2017 (Table 1). Canada-focused authors are no longer limited to a few possible venues for publish their work, especially if it is comparative in nature.

Since 2004, the *Journal* has been published by Cambridge University Press (CUP). CUP is a well-respected not-for-profit publisher that produces and publishes several key journals in the social sciences, including the flagship journal of the American Political Science Association and several Canadian journals. Articles in *CJPS* are indexed in more than 30 Canadian and International indexes. Data for 2017 reveal that there were 93,543 total downloads of *CJPS* articles, some 7,800 a month. The most frequently cited articles published over the past few years have been comparative (primarily Canada-US comparisons) and/or with a Canadian focus on multiculturalism and immigration.

As Table 1 show, the Impact Factor (IF) for the *CJPS* varies significantly from one year to another, but its relative ranking among political science journals is slowly declining over time. It is currently ranked 134 out of 165 political science journals in the Journal Citation Reports (InCites). There are good reasons not to be overly worried about IF metrics. As is widely recognized, impact factor is a highly imprecise way of measuring the quality and resonance of journals. Articles focused on Canadian politics are generally not of wide international interest and thus are less likely to generate high rates of citation. Except for some of the American and British journals, very few omnibus national journals have a high IF. That being said, we know the IF of a journal plays a role in the decisions made by authors regarding submission choice.

Table 1. *CJPS* Impact Factor and Ranking Among Political Science Journal

Years	Impact Factor	Ranking	Ranking %
2017	0.500	139/169	17.76
2016	0.406	134/165	18.79
2015	0.449	123/163	24.54
2014	0.352	126/161	22.24
2013	0.290	123/157	21.66
2012	0.405	110/157	29.94
2011	0.450	92/148	37.84
2010	0.268	113/141	19.86
2009	0.500	71/112	36.61
2008	0.307	76/99	23.23

1.2 The *Journal's* Business Model

The *CJPS* is a hybrid journal. Its business model relies on subscriptions, but it also allows authors to publish immediate OA articles in exchange for a fee. Author processing charges (APCs) for OA article is set by CUP, in agreement with the *CJPS*, at \$2,980 US. As of January 2019, only two authors have taken advantage of this OA option. The *CJPS* also has a “green” OA policy, under which authors can deposit the accepted version (after reviews but before the final formatting) of their article on an institutional repository (the deposit of the article directly on commercial websites like Academia or SSRN is not compliant with CUP’s green OA policy).

As is true of most academic journals, traditional individual and institutional subscriptions to the *CJPS* are increasingly being replaced with subscriptions through consortia (the so-called “big deals”) that CUP negotiates with libraries around the world. It is important to note that a significant number of consortia subscriptions added since 2017 are low-cost or free subscriptions to institutions in Africa, the Middle East, South America and Asia through CUP’s aid/donation programme. In 2018, circulation included 251 traditional institutional subscriptions, 7,440 consortia subscriptions, as well as 54 departmental and 1,061 individual member subscriptions directly through CPSA/SQSP.

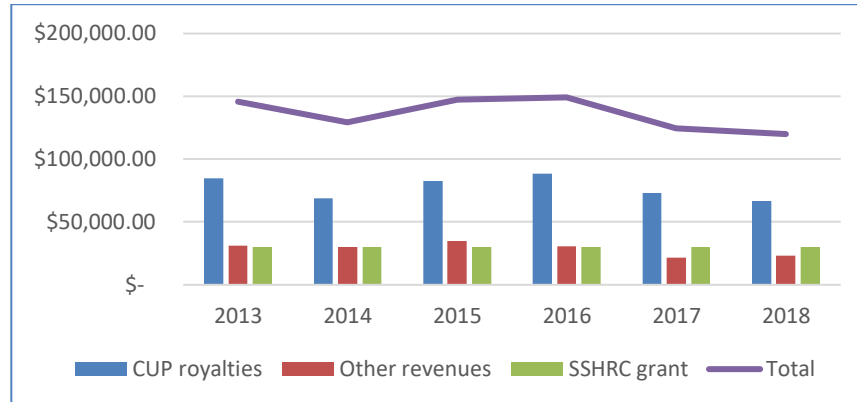
Table 2. *CJPS* Institutional Subscription

Subscription type	2014	2015	2016	2017	2018
Traditional	351	312	292	269	251
Consortia	2742	2699	2224	8629	7440

The *Journal's* main sources of revenues are royalties from subscriptions as well as from reproduction rights and permissions. CUP absorbs a proportion of subscription revenues in exchange for a range of professional services, including copy editing, production, printing, marketing and distribution; additionally, CUP provides access to *Editorial Manager*, an online editorial software package that assists in the administration of the editorial process, and to *Cambridge Core*, its online platform for academic content. As per our publishing agreement, CUP transfers approximately 45% of the revenues it generates through the *Journal* to the CPSA. Other sources of income include reproduction rights the *CJPS* generates from older issues that are not licensed with CUP (through JSTOR and ProQuest) as well as the ASJ grant from SSHRC.

As Figure 1 shows, the revenues of the *Journal* have been steadily declining in recent years. This is mostly due to declining returns on licensing rights and permissions, a source of income that is directly affected by OA. According to CUP projections prepared for this report, subscription income will remain stable in the coming years, but income from reproduction rights and permissions will continue to decline as the business environment continues to evolve. The grant the CPSA receives from SSHRC is therefore increasingly important to the *CJPS*. It currently represents approximately 20% of total *Journal* revenues.

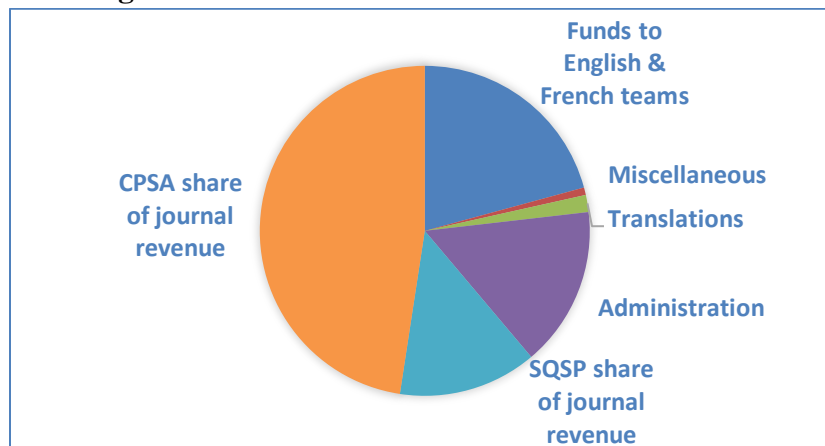
Figure 1. CJPS Revenues



On the expenditure side, in addition to the production costs assumed by CUP, the CPSA provides an annual direct transfer of \$20,000 to support the English-language editorial team and the overall management of the *Journal*, with additional limited funding offered for specific projects and/or requested support on an annual basis. The SQSP provides direct support for the French-language editorial team. In addition to CPSA funding, the host university of the English-language editorial team supplies an equivalent or greater subvention to cover course release and other expenses. Without the dedicated work of the French and English teams, it would be impossible to produce a high-quality, reliable journal dedicated to supporting the Canadian political science community. The CPSA also directly incurs additional expenses related to the *Journal*, including translation of all journal-related documents and web material, its clerical and financial administration and the jury appointment, organization and costs associated with the John McMenemy Prize.

While producing a quality peer-reviewed journal like the *CJPS* is expensive, a significant proportion of *Journal* revenues is nonetheless transferred to the CPSA and SQSP. After accounting for administrative, production and editorial costs, the net revenue to the CPSA and SQSP from the *Journal* ranged from \$80,000 and \$60,000 between 2013 and 2018, with 2018 net revenue being just over \$66,000. This revenue stream is shared between the SQSP and the CPSA, as per our 2013 agreement, with on average 16% transferred to the SQSP annually.

Figure 2. How CJPS Revenues Are Redistributed



Overall, income from the *Journal* typically constitutes a third of CPSA annual total revenue. For the CPSA, then, the *Journal* is not only a significant platform for supporting Canadian political science research dissemination, it is also an important revenue source that supports a range of activities of benefit to its members (e.g., organization of the annual conference, student travel grants [for a total amount of \$30,000], POLCAN2 newsletter [with more than 4000 subscribers], PRAXIS Blog, the Graduate-Student Part-time Internship in CPSA Communications, services to departments, the annual Chairs meeting, collaboration with sister associations, etc.). The relatively stable income stream from the *Journal* has allowed the Association to keep its membership costs low over time and to subsidise student membership (\$40 since 2013) and student conference fees (\$50 since 2010). This situation is not unique to the CPSA. Most large Canadian academic associations in the social sciences and elsewhere around the world rely heavily on income from journals to support their activities.²

The impact of the changing landscape of scholarly publishing and, more specifically, the growing push for OA, will therefore be significant. The *CJPS* and its proprietary scholarly associations heavily rely on revenues derived from subscriptions and rights. While it is extremely difficult to predict future trends concerning subscriptions in light of the changing OA market, CUP forecasts for the next five years indicate that overall revenue from the *Journal* is likely to continue to decline due to the changing nature of its environment, including growing pressure for alternatives to the subscription-based model of accessing scholarly publications. Maintaining the status quo may therefore be difficult in the medium to long term, and may not be in interest of the CPSA/SQSP and their members. On the other hand, a transition to OA will also have significant implications for the *Journal*, its authors and its parent associations.

Part 2. An Overview of the OA Landscape in Scholarly Publishing

While the digital environment makes it easier than ever before to access research, the cost of accessing this research has paradoxically increased dramatically. Between 1986 and 2016, the cost of journal subscriptions for research institutions has grown at a pace four times the inflation rate. In 2018, Canadian university libraries paid more than \$300 million for subscriptions to research journals. The large profit margins the top five commercial publishers make on their so-called “big deal” subscriptions, under which they bundle their journals and sell them as a package to university libraries, are often blamed for this inflationary pace (SPARK 2019; Larivière et al. 2015; Anderson 2017). As a result, research libraries’ ability to curate resources and build collections most appropriate for their communities is severely hampered. The OA movement is largely a product of this tension between ease of access through electronic means and the rising costs of subscriptions (Suber 2103).

2.1 What is OA?

Simply put, OA means providing free and unrestricted online access to academic publications.

² Martin J. Bull (2016) notes that the UK’s PSA saw its income from the publisher of its journals rise from £126,084 in 2000 to £511,279 in 2014, representing more than half of the Association’s revenues. A similar pattern is observed for the American Political Science Association.

According to most definitions, research must be freely available in a digital format, without subscription barriers or a pay wall. The research should also be free of most copyright and licensing restrictions, meaning it can be used, reproduced and disseminated at will, provided authors maintain control over the integrity of their work and are properly acknowledged and cited. Many OA advocates and funding agencies add a third criteria, that research should be made *immediately* available, without delay or embargo.³

OA Lexicon

Gold OA: Journals and articles that are freely accessible on the publisher's platform immediately on publication. There are variants to this gold model:

Gold with APC: Articles in fully-OA journals that charge APCs.

Gold without APC: Articles in fully-OA journals that do not charge APCs.

APC (Author processing charge): A payment from the author, the author's institution or a granting agency to the publisher to cover all or parts of the production costs.

Hybrid OA: Subscription-based journals that also offer a gold OA option by payment of an APC

Delayed OA: Articles made accessible on the publisher's platform at a defined time after publication, typically within 12 to 24 months.

Green OA: The immediate or delayed posting of a version of a published article so that it is accessible via a website, institutional or subject repository, scholarly collaboration network or other service.

Read and Publish: a negotiated deal between a publisher and an institution (or a group of institutions) that allows researchers of said institution to both access all the publications *and* publish in the publisher's journals without paying APCs.

The purpose of OA is to make research, especially if it is publicly funded, as accessible as possible to the broadest possible audience. Several models have emerged to support these goals in the last two decades, each with its strengths and weaknesses. While some models align more closely than others with the underlying principles of OA, none has so far established itself as the clear alternative to the subscription-based business model of most academic journals.

2.1.1 Gold OA

Gold OA refers to content that is available immediately, directly on the publisher's website, for free, generally under a Creative Commons license that allows free access and redistribution and, in many cases, allows re-use in new or derivative works. Since publishers are giving away the articles for free, they must find another way to finance the production costs and, when relevant, make a profit. In some cases, the production costs can be minimized using in-house publishing and an OA diffusion platform (these platforms are discussed below). In most cases, especially for general journals with a broad readership, gold OA is sustained through an article processing charge

³ Together, the *Budapest Open Access Initiative* (2002), the *Bethesda Statement on Open Access Publishing* (2003) and the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities* (2003) have produced specific criteria for defining OA. See Suber (2013).

(APC), which is a payment from the author, the author's institution or a granting agency to the publisher to cover all or parts of the production costs.

The use of APCs means that the costs of publishing are essentially transferred from those who read the articles to those who produce them. The assumption is that funding agencies and research institutions will absorb these costs through research grants to authors. While this may not pose a huge burden for researchers in science, technology, engineering, and mathematics sciences (STEM sciences), this model is more controversial in the Humanities and Social Sciences (HSS), where close to 50% of publications are not funded through research grants according to recent analyses (Carling et al. 2018; Royal Historical Society 2019). Students, as well as junior or unaffiliated researchers in particular are put at disadvantage, as they cannot afford the APCs some of the top journals charge (Carling et al., 2018; Washam et al., 2019). APCs for major HSS journals offering gold OA vary considerably, but according to our analysis, the average is \$2880 (USD) per article.

Other concerns with this model include the effect it could have on the quality of peer-reviewing, since publishers have a greater incentive to accept as many APC based OA articles as possible to support their costs (Suber 2013). The emergence of predatory publishing and the arrival of “mega-journals” that are publishing several hundreds of articles a year on a broad array of topics are by-products of this “author pay” model of OA, under which the incentive structure for the publisher partly shifts from quality to quantity.

2.1.2 Green OA

Green OA (also known as self-archiving) is the practice of making a version of a paper or a book freely accessible online through an institutional or personal repository. The archiving of documents on commercial sites such as Academia, SSRN or Research Gate is not permitted under most green OA policies. Depending on the publisher, the version of the article that can be posted and when it can be posted vary. In some cases, only the author's version prior to submission for publication can be posted (preprint), either immediately or after an embargo period (6 to 24 months in general). Several publishers authorise the posting of the accepted manuscript (AM), as revised after peer review. Finally, some accept the posting of the version of record (VoR), that is the published version, complete with volume/issue/pagination and the imprimatur of the journal and its publisher. Under the publishing agreement with CUP, authors publishing in the *CJPS* can post the accepted version of their manuscript (AM) on an institutional repository with no embargo period.

Studies suggest adopting a Green OA policy only has limited impact on a journal's subscriptions (Houghton & Swan, 2013), although this is likely to change if self-archiving becomes more systematic (Anderson 2017). For OA advocates, the problem with this model, of course, is that as long as subscriptions are not affected, it does not fundamentally alter the cost structure of publishing. That is why it is often considered a transitional stage, until a sustainable model that is more consistent with the principles and goals of OA emerges.

Interestingly, while an estimated 81% of all research is already published in journals that permit Green OA after a 12-month embargo, there is a large gap between the actual self-achieving done by authors and the potential self-achieving allowed by publisher's policies. According to a synthesis of previous studies done by Björk et al. (2014), only 12% of scientific journal articles

were self-archived despite the fairly liberal policies of many publishers, with some significant variations related to specific disciplines. In other words, even if authors have the opportunity to submit their work to a repository, they do not necessarily take advantage of this opportunity. The efficacy of green OA is therefore questionable in the absence of more coercive rules. The *CJPS* doesn't have data on the green archiving practices of its authors.

2.1.3 Hybrid Models

Hybrid variants of OA have emerged in recent years in reaction to the policies of a growing number of granting agencies that require the research they fund to be accessible free of charge to readers. Under the most common hybrid model, journals keep their subscription-based business model, but they also allow both green and gold OA, the latter provided authors pay APCs.

The hybrid model offers a good compromise to a pure gold OA model, but like its green counterpart, it has been criticized for failing to directly address the rising costs of subscriptions (Pinfield et al., 2016; Matthias, 2018). The danger is that publishers may end up charging twice for the same content (for both the APC and the subscription, which is also called “double-dipping”).⁴

Data suggest the uptake of the gold OA option in hybrid journals varies across subject areas, but it is generally much lower in HSS, where, as discussed, APCs face more resistance. The *CJPS*, which offers an APC-based OA option to its authors, has only published two articles under this format. APC costs also tend to be higher (and rising more quickly) in hybrid journals than in full OA journals. A study of the [Universities UK Open Access Coordination Group](#) (2017) points to a 28 percentage point gap between APCs in gold and hybrid journals.

2.1.4 Delayed OA

Delayed OA means the work is available for free after an embargo period, either directly on the publisher's website or through an institutional repository. By definition, delayed OA is incompatible with a definition of OA that mandates immediate access (Suber, 2011; cOAlition S, 2018), but it is seen as another compromise position for journals relying on subscriptions. The Tri Council statement on OA in Canada supports delayed OA, as does SSHRC's revised ASJ program, but embargoes are not accepted under the current version of the European *Plan S*.

The financial viability of this model is of course dependent on the desirability of paying for immediate access as opposed to simply waiting out the embargo period. It is therefore likely to have a differentiated impact over time, as more libraries opt to forego their subscriptions as content increasingly becomes available under delayed OA. Few studies have examined the long-term impact of delayed OA on the subscription base of journals, especially in the HSS. King et al. (2009) suggest that about 50% of all STEM articles that are read are at least a year old, although there is significant variations across disciplines.

⁴ We note that CUP has adopted a policy to limit this double-dipping effect. It is available at: <https://www.cambridge.org/core/what-we-publish/open-access/open-access-journals/double-dipping-policy>

2.1.5 Read and Publish

Read and publish (R&P) is not per se an OA model. It is instead a pooling mechanism that shifts the burden of APCs from individual researchers to their institutions, mostly through the leveraging of library budgets currently dedicated to journal subscriptions. In essence, R&Ps are negotiated deals between a publisher and an institution (or a group of institutions) that allows researchers and students of that institution to access all of the publications *and* to publish in the publisher's journals without paying APCs. In exchange, the research institution pays a set annual fee to the publisher.

Several national research councils and institutes are currently considering pooling resources at the national level to negotiate R&P deals with the big publishers. These include Austria, France, Finland, Germany and Switzerland (Green, 2018). CUP has [negotiated a number of R&P deals](#) at the national or regional levels, including with the Max-Planck Institute, the Association of Dutch Universities and Academy Institutes, the Bibsam consortium in Sweden, the Bavarian State Library and, most recently, the [University of California](#). According to CUP:

Under our R&P model a single price is paid to Cambridge by a consortium to cover access to all of our journals (“read”) as well as the ability for any corresponding author who is based at a participating institution to publish in our gold OA and hybrid titles (“publish”). R&P is likely to be one of a set of transitional consortia sales models that are developed over the coming years. (...) Whatever the flavor, these approaches hold in common a focus on maintaining the critical role that institutional libraries currently play as the conduit for funding the publication of journals. In so doing they offer the prospect of creating a funded, institutionalized OA publishing eco-system, based on the reallocation of money once spent on subscriptions. For fields in which a high proportion of authors have no direct access to grant funding, this provides the potential for a more sustainable and equitable shift towards open publishing (CUP OA briefing to *CJPS*, 2019).

The R&P model is sometimes criticized for its lack of transparency (Poynder, 2018; Esposito, 2018) because the deals between publishers and institutions are rarely made public. Kupferschmidt (2019) revealed that the price institutions in Germany paid for an R&P deal with Wiley was approximately 26 million euros, to publish 9,500 papers on average per year. This amounts to 2,750 euros for each paper published in Wiley's hybrid journals. In comparison, Dutch institutions are paying 1600 euros for a very similar deal with Wiley (Kupferschmidt, 2019).

A related concern about this model is that it does not necessarily fix the affordability problem libraries are facing. While it pools costs, it does not reduce them. It simply shifts the burden elsewhere. According to some, it also maintains (and encourages) the big publishers' current business model and “lock their high prices into the new OA environment” (Poynder, 2018).

The asymmetry in the research outputs of different institutions may also be a problem (Esposito, 2018). Well-funded universities such as Oxford or Harvard, or national consortiums such as the Dutch Academy, have much greater bargaining power than smaller institutions, especially teaching-oriented institutions, that are consuming but not necessarily producing articles to the same degree. Unless there is some pooling of resources at the national level, this model may lead to greater polarization between institutions in terms of access to research and capacity to publish.

2.1.6 OA Platforms

Different resources and platforms have emerged in recent years to promote and facilitate OA publishing in Canada and elsewhere around the world. Some simply offer links to resources and data for authors and journals considering their OA options, while others offer a comprehensive suite of services, including publishing software and diffusion tools for journals. The common purpose of these sites is to offer alternatives to the large, for-profit, publishers that currently dominate the market. What follows are a few examples.

[Érudit](#) is the largest distributor of French-Language resources in North America. It is a not-for-profit publishing and distribution platform that offers a variety of OA options for its publications. Ninety-five percent of its content is freely available directly on its website, with some of it immediately available upon publication and some following a 12-month embargo. The platform provides multiple services including digital publishing, dissemination and commercialization. Érudit has two million users, who account for 23 million pages visited annually (Coalition Publi.ca, 2019). It also has agreements with major indexers (Scopus, WoS and Google Scholar), although many of the journals on the platform are not indexed. The journal of the Société québécoise de science politique, *Politique et sociétés*, is published on the Érudit platform.

The [Public Knowledge Project](#) (PKP) is a multi-university initiative based at Simon Fraser University working on an open source software suite for editorial management that aims to “improve the quality and reach of scholarly publishing” (PKP, 2019). Its Open Journal Systems software (OJS) is an open source publishing management system that assists with every stage of the refereed publishing process, from submissions through online publication and indexing. Over 275 Canadian journals and 10,000 journals worldwide use the Open Journal Systems (PKP, 2019).

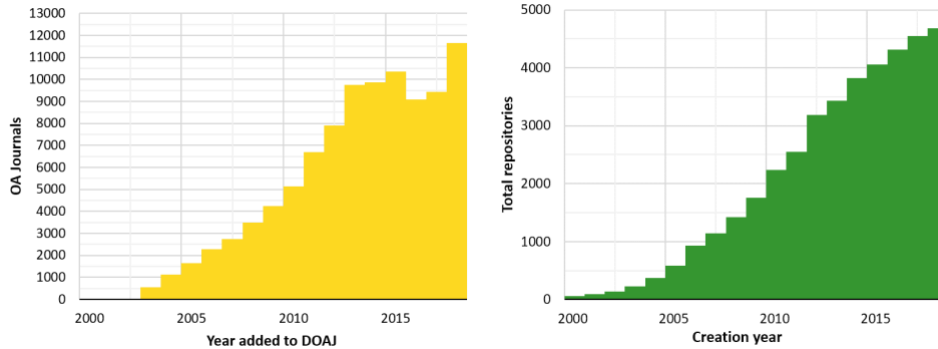
[Coalition Publi.ca](#) is a collaboration between PKP and Érudit that offers Canadian journals “a suite of harmonized services, providing journals with a cost-effective, made-in-Canada solution that supports the journal publication process” (Coalition Publi.ca, 2019). One of the main goals of Coalition Publi.ca is to help make OA achievable for Canadian SSH journals by providing cost effective digital publishing services, intending to “maximize financial and human resources”. The coalition provides several services including: 1) submission, peer review and editorial workflow management with Open Journal System; 2) website creation; 3) metadata and digital document production; 4) detailed usage statistics and report; 5) practices for citability and linking (DOI and ORCID); 6) assistance meeting the Directory of Open Access Journals (DOAJ) criteria; and 7) training and professional development opportunities for journal staff.

There are several other similar open-source platforms available for journal management. The Open Access Directory publishes a [list](#) of the most popular ones including ePublishing Toolkit, OpenACS and Topaz. [SHERPA](#) is a different project based at the Centre for Research Communications at the University of Nottingham that helps institutions develop OA repositories to facilitate access to scientific papers under a green OA model. SHERPA/ROMEO allows researchers to see publisher conditions for OA access archiving. It also hosts the [OpenDOAR](#) which is a global directory of OA repositories and their policies.

2.2 Trends in OA Publishing

As of March 2019, 12,845 academic journals from 129 countries are listed in the DOAJ. The number of gold OA journals (with or without APCs) has grown exponentially in the past 20 years, from about 20 in 2002 to almost 12,000 journals in 2016 (Figure 3). As for OA repositories (Green OA), there are currently 4,707 repositories listed in the Registry of Open Access Repositories (ROAR, 2019) including 47 in Canada, 793 in the United States, and 1,582 in Europe.

Figure 3: Growth of Gold OA Journals and Green OA Repositories, Per Year

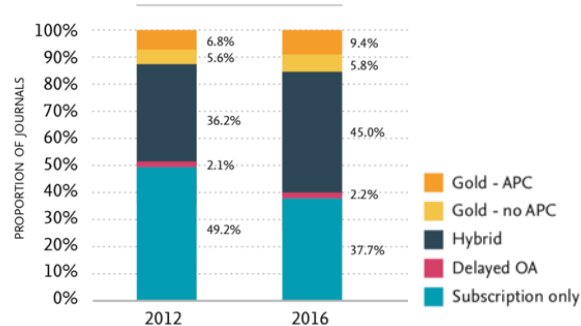


Source: The Directory of Open Access Journals.

2.2.1 OA Journals

There is no denying that OA is a growing phenomenon but this growth must be contextualized. A 2017 report of the [Universities UK Open Access Coordination Group](#) using the Scopus database provides an overview of the proportion of journals that have adopted different OA models. In 2016, 15.2% of journals indexed in Scopus were gold OA (with and without APCs), compared with 12.3% in 2012. The fastest growing category remains hybrid journals that combine subscriptions and gold OA with APC (45% of all journals in 2016). These trends are confirmed by several studies on OA using different methodologies (Piwowar et al. 2018).

Figure 4. Proportion of Journals by Publishing Models



Source: Universities UK (2017)

Table 3. Status of Selected Canadian HSS and International Political Science Journals

	Publisher	Impact factor	Subscription	Gold (APC US\$)	Green – Version of manuscript
Canadian HSS Journals					
Canadian Journal of Political Science	CUP	0.52	Yes	\$2,980	Accepted MS, no embargo
Anthropologica	UTP	N/A	Yes	No	Accepted MS, 12 months
Canadian Historical Review	UTP	0.25	Yes	\$2,250	Accepted MS, 12 months
Canadian Geographer	Wiley	1.477	Yes	\$2,500	Preprint MS, no embargo Accepted, 24 months
Canadian Journal of Economics	Wiley	0.648	Yes	\$2,500	Preprint MS, no embargo Accepted 24 months
Canadian Journal of Sociology	U Alberta	0.613	No	Free, no delay	VoR, no embargo
Canadian Public Administration	Wiley	0.786	Yes	\$2,500	Preprint MS, no embargo. Accepted, 24 months
Canadian Public Policy	UTP	0.647	Yes	\$750	Accepted MS, 12 months
Canadian Review of Sociology	Wiley	0.896	Yes	\$2,500	Preprint MS, no embargo. Accepted, 24 months
Dialogue: Canadian Philosophical Review	CUP	N/A	Yes	No	Accepted MS, no embargo
Journal Canadian Historical Association	Érudit	N/A	Yes	Free, 12 mo. delay	N/A
Politique et sociétés	Érudit	N/A	Yes	Free, 12 mo. delay	VoR, no embargo
Political Science Journals					
American Journal of Political Science	Wiley	5.22	Yes	\$3,300	Preprint MS, no embargo. Accepted 24 months
American Political Science Review	CUP	3.252	Yes	\$2,980	Accepted MS, no embargo
Australian Journal of Political Science	T&F	0.71	Yes	\$2,950	Preprint MS no embargo, Accepted 24 months
British Journal of Political Science	CUP	3.326	Yes	\$2,980	Accepted MS, no embargo
Comparative Political Studies	SAGE	2.919	Yes	\$3,000	Preprint MS, no embargo. Accepted 12 months
Electoral Studies	Elsevier	1.203	Yes	\$1,950	Preprint MS, no embargo. Accepted 24 months
European Journal of Political Research	Wiley	3.576	Yes	\$3,000	Preprint MS, no embargo. Accepted 24 months
European Political Science Review	CUP	1.755	Yes	\$2,980	Accepted MS, no embargo
German Politics	T&F	1.211	Yes	\$2,950	Preprint MS, no embargo
Governance	Wiley	3.833	Yes	\$3,300	Preprint MS, no embargo. Accepted 24 months
International Organization	CUP	4.517	Yes	No	Accepted MS no embargo VoR on publication
International Political Science Review	SAGE	1.321	Yes	\$3,000	Preprint MS, no embargo
Nations and Nationalism	Wiley	0.679	Yes	\$2,500	Preprint MS, no embargo Accepted 24 months
Politics & Society	Sage	1.976	Yes	\$3,000	Preprint MS, no embargo Accepted 12 months
Revue Française de science politique	PSP	N/A	Yes	Free, 12 mo. delay	N/A
Scandinavian Political Studies	Wiley	0.452	Yes	\$2,600	Preprint MS, no embargo Accepted 24 months
World Politics	CUP	3.25	Yes	No	Accepted MS no embargo VoR on publication

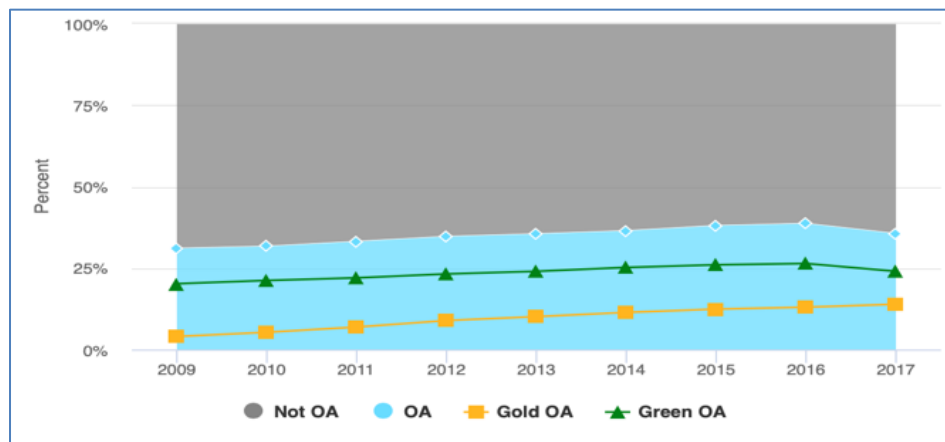
Our own analysis of some of the major Canadian-based HSS journals and international political science journals confirms these trends, with a clear predominance of the hybrid model (Table 3). Out of 30 journals surveyed, 21 offer both subscription-based access and gold OA with APC charges varying between \$750 and \$3,300 (US), with an overall mean of \$2,950. Only one major HSS journal in Canada, the *Canadian Journal of Sociology*, operates under a full OA model with no APC. Three journals, including the SQSP's *Politique et sociétés*, have adopted a 12-month delay to free access to articles on their platforms.

All journals, except two, have a green OA policy, although standards vary on the version of the article that can be made available on a public repository and the overall length of the delay for posting articles. We note that under its publishing agreement with CUP, the *CJPS* has a comparatively liberal green access policy. Accepted manuscript (unformatted) can be deposited to an institutional repository with no embargo period. It is also worth noting that there is no clear correlation between OA permissiveness and the impact factor of journals.

2.2.2 Proportion of OA Articles, Variations per Discipline and Countries

If we focus on the proportion of articles instead of journals, we observe a similar uptake of OA, although the growth is somewhat slower over time. Depending on the methodology used, studies situate the total proportion of OA articles at 30% to 40%. The European Commission regularly produces data on OA. Its [most recent report](#) found that in 2017, 14% of articles in Scopus published between 2009 and 2017 were available via gold OA (through pure or hybrid journals) and 24% of articles were available through green OA. Sixty-three percent of articles from the Scopus database published between 2009 and 2017 were not freely available. The same study provides longitudinal data, pointing to a slow growth over time for gold OA (Figure 5). The downward tick for 2017 is likely due to delayed OA policies.

Figure 5: Proportion of OA Articles in Scopus, Percent Per Year



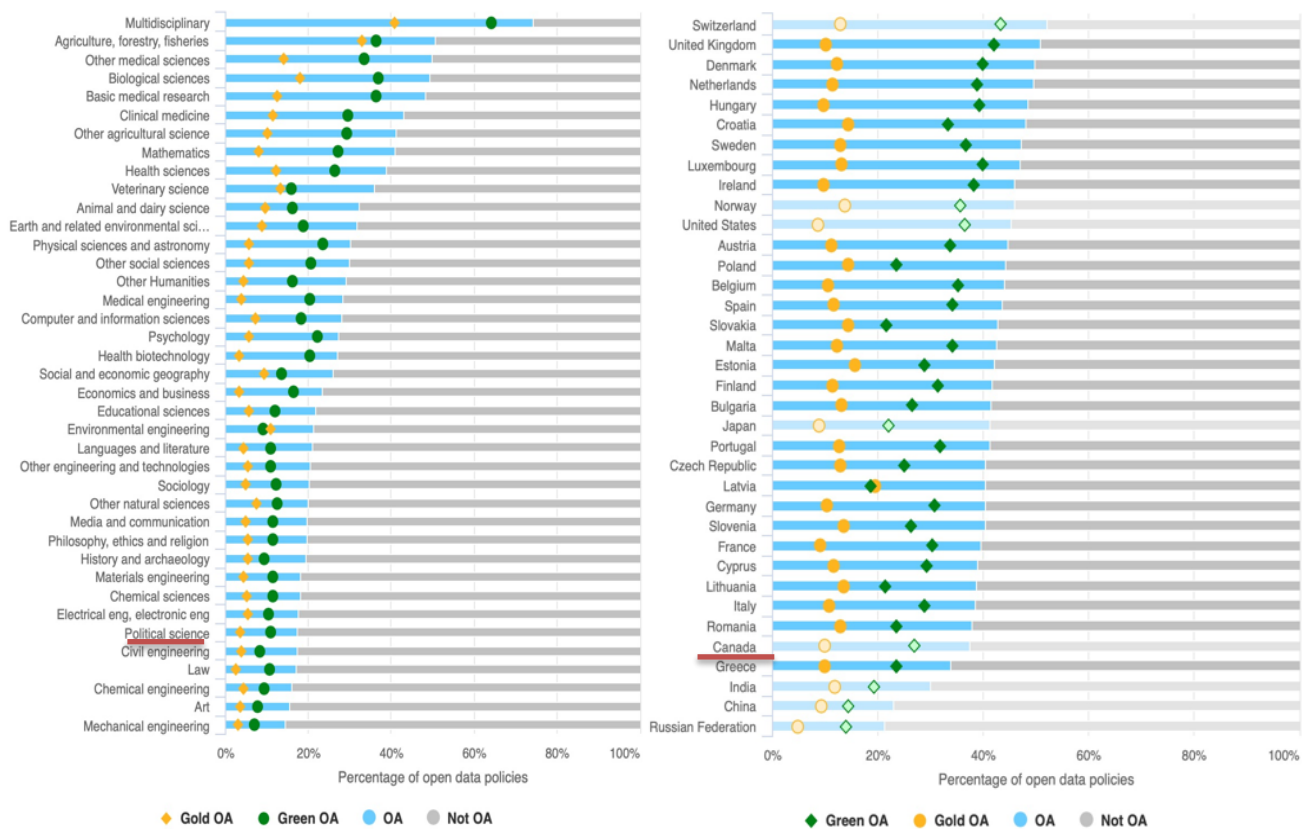
Source: European Commission (2019)

The uptake of OA is not uniformly distributed across disciplines and countries (Figure 6). OA adoption is particularly low in the HSS, where no obvious business model has emerged to support the cost of publishing quality, peer-reviewed OA journals. Political science is near the bottom of

the list, ranked 34th out of 39 disciplines surveyed. Out of a total of 85,942 political science articles in the Scopus database published between 2009 and 2017, 3.4% were available via gold OA and 10.3% via green OA. The remaining 82.6% were not freely available.

Looking at country-specific data, we see that 9.8% of articles published by authors affiliated to Canadian institutions in all disciplines between 2009 and 2017 were available via gold OA and 26.3% via green OA. Sixty-two percent of the 514,008 Canadian-based articles analyzed were behind a paywall, which situates Canada 32nd out of 36 countries surveyed. The lower proportion of gold OA articles in Canada in recent years could be explained in part by the Tri-Agency mandate, which allows a 12-month embargo on OA.

Figure 6: OA Articles, Percent Per Year, Per Country and Disciplines



Source: European Commission (2019)

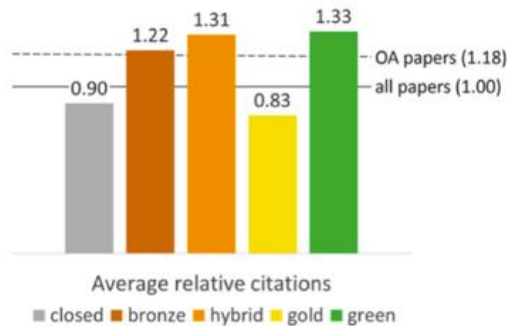
2.3 Is There an OA Advantage?

Maximizing the impact of research through its free and immediate diffusion is one of the core arguments for supporting OA (Gagouri et al. 2010; Rentier 2018). The extent to which authors actually benefit from publishing in OA or hybrid journals is a hotly debated question. Several studies comparing the average citation count of OA articles and those behind a subscription wall suggest an “open access citation advantage” (Piwowar et al., 2018). There are also bibliographies that track this phenomenon (Tenant, 2019; Wagner, 2017; Hitchcock, 2013). That being said, it is

hard to tell if this citation advantage is due to OA itself or to other factors, such as the nature and quality of the different publications (Li et al., 2018).

A recent study by Piwowar et al. (2018) showed that OA articles are generally cited 18% more often than non-OA articles. But the impact is not the same for all types of OA. While articles under green OA and those in hybrid journals are cited more often on average (Figure 7), articles in gold OA journals are cited 17% less often than the average and even 8% less frequently than articles that are only found behind a paywall. Piwowar et al. (2018) note that the citation impact of gold OA is actually regressing in recent years. This poor performance might be explained in part by the increase of smaller and newer gold OA journals, which may be considered less prestigious than other journals and might not be indexed in WoS. Many such journals are also published in languages other than English (Archambault et al., 2013). Gold OA also arguably suffers from its association with predatory journals (Rentier 2018).

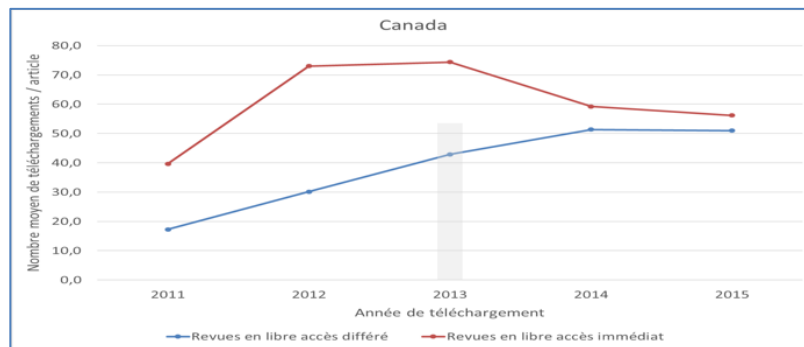
Figure 7. Average Relative Citations, Random Sample of WoS Articles (2009-2015)



Source: Piwowar and al (2018).

There are few studies focusing specifically on political science journals, but Atchison and Bull (2015) find a clear citation advantage for articles published in top-ranked political science journals with a liberal green OA compared with those with a more restrictive approach to self-archiving. Using Érudit data, Cameron-Peasant (2017) analyzed 1,100,000 downloads of Canadian HSS journals from 2011-2015. Articles with immediate OA were downloaded on average 40 times in their first year of publication against 17 times for those under delayed OA (therefore still under a paywall). The gap does narrow once delayed articles become OA, but there is a time lag of five years before they catch up to those in OA from the start (Figure 8).

Figure 8. Downloads of Immediate and Delayed OA Article, Érudit Platform (2011-2015)



Source: Cameron-Peasant (2017)

2.4 OA Mandates

OA mandates, under which granting agencies make OA a condition for receiving funding, are one of the key drivers of current changes towards OA. Several public and private granting agencies have adopted OA mandates for authors they support. For example, the [Bill and Melinda Gates Foundation](#), the [Wellcome Trust](#) (UK), the [European Research Council](#), the [Economic and Social Research Council](#) (UK), the [US National Science Foundation](#) and [l'Agence nationale de la recherche](#) (France) all have adopted policies mandating one form or another of OA for their grantees. According to Larivière and Sugimoto (2018), at least 700 research institutions worldwide have mandated some form of OA for the work they support. These policies vary in their requirements and a detailed study is beyond the scope of this report. We focus instead on the Canadian context and the most recent European initiative, Plan S, which may have direct implications for the *CJPS*.

2.4.1 Mandates in Canadian Social Sciences

In Canada, the 2015 [Tri-Agency Open Access Policy on Publications](#) requires that peer-reviewed journal publications resulting from Tri-Agency (NSERC, SSHRC or CIHR) grants be freely accessible online (through public repository or directly on the publisher's website) within 12 months of publication. APCs are an eligible research expense for all three Funds. The Fonds de la recherche en santé humaine (FRQSH) adopted a [similar policy](#) for its own grant recipients, stating April 1st, 2019. The *CJPS*'s hybrid model, which allows gold OA with APC and the archiving of the accepted version of a manuscript on a public repository (green OA) is currently compliant with this mandate.

The new OA requirements of the SSHRC's [ASJ grant](#) target journals rather than authors. To be eligible for public funding, journals must make their scholarly content accessible for free on the publisher's website, either immediately upon publication or with a delay of up to 12 months. ASJ grants are valued at up to \$30,000 per year over three years. The value of the grant is calculated based on a fixed rate for each approved, peer-reviewed scholarly article to be published during each year of the grant period. There are two per-article rates:

- \$1,050 for journals that offer immediate or delayed OA with an embargo period of 12 months or less, and do not charge article processing charges (APCs); and
- \$850 for journals that offer immediate OA but charge APCs.

SSHRC also explicitly supports and promotes (through additional funding) the migration of journals to Canadian-based not-for-profit digital content and diffusion platforms, like [Érudit](#). Journals hosted on such platform can request supplementary funding valued at up to \$5,000 per year. Of note, SSHRC does not consider immediate (or delayed) archiving of manuscripts on public repository (green OA) to be compliant with its new ASJ policy. Journals that received a grant in 2019 have two years to comply with this mandate. Those who do not transition by Spring 2021 will forfeit the last year of their grant.

Reaction to SSHRC's new AJS requirements has varied (SSHRC presentation to CPSA Board 2018). Many OA advocates argue it is too permissive because it tolerates embargoes. Publishers and scholarly associations have generally been more critical. The [Canadian Association of Learned](#)

[Journals](#) (2018) and a number of journal editors and publishers have expressed concern that SSHRC may have underestimated the impact of the policy change on the viability of Canadian HSS journals with a broad international subscription base (such as the *CJPS*) but limited capacity to flip to a pure gold with APC model. The focus may have been on supporting smaller journals with low production and diffusion costs. These can more easily be supported by Érudit-type platforms. Journals with a more global reach that have a successful business model based on subscriptions are penalized, with no clear long-term alternative.

Consultations undertaken by this committee with the support of the Federation of Humanities and Social Sciences confirm that many of our sister associations question the lack of flexibility and one-size-fits-all approach of the new policy. SSHRC may have also underestimated the destabilizing impact of this shift for scholarly associations, like the CPSA, that rely on steady revenues from their journals to support their other activities. We will return to the possible impact of this new requirement for the *CJPS* and the Canadian political science community in the next section.

2.4.2 Plan S

Plan S is an initiative of [cOAlition S](#), a consortium created by the European Research Council that has won support of some of the largest European national funders, the European Commission and a number of charitable funders, including the Wellcome Trust and the Bill & Melinda Gates Foundation, the Austrian Science Fund, the Academy of Finland, the Agence Nationale de la Recherche (France), the Netherlands Organisation for Scientific Research, the Research Council of Norway and the United Kingdom Research and Innovation are among the public funders that have committed to the initiative (Science Europe, 2018).

While it is not yet finalized, in its current version Plan S requires research funded by signatory agencies to be published in journals that make scholarly content immediately accessible, free of charge, to readers. Two OA models are explicitly accepted, gold (with or without APCs) and green, as long as a copy of the final manuscript or the VoR of the published article is immediately deposited in a publicly available institutional repository (cOAlition S, 2018). The key to Plan S, at least in its current form, is that it explicitly prohibits publication in hybrid journals that maintain a subscription base, unless they have a plan to transition to full OA by 2023. It also does not allow any embargo on access (cOAlition S, 2018).

The impact of Plan S is hard to measure at this point. Its strength lies in its broad endorsement by a number of funders in Europe. China, which is now the world's largest producer of scientific articles (Tollefson, 2018), has recently voiced its support for Plan S (Brainard, 2018). The main US federal funding agencies have not indicated they intend to move in a similar direction (Rabesandratana, 2019).

While Plan S has been praised for its boldness and standard setting rules, it is also subject to much criticism. The short timeline and the lack of clear transition plan are core concerns, but other criticisms have emerged concerning the substance of the plan itself and its possible repercussions (Kamerlin et al. 2018; Else 2018). Publishers of some of the biggest and most important scholarly journals, including [Nature and Science](#) (Else 2019) have said that their upfront costs are simply

too high to abandon subscriptions altogether. They have announced they will not comply with Plan S unless the position on hybrid journals and APCs is softened.

Others have questioned the impact of Plan S on academic freedom, since researchers receiving funds from agencies that have endorsed the plan will have considerably fewer options for publishing their work (British Academy, 2018; CALJ 2019; AHA 2019; Cambridge University 2019). In 2017, [only 15% of scholarly journals](#) indexed in Scopus were compliant with Plan S requirements. Further, the requirement for an open license to share and adapt the work for any purpose (including commercial) could take away the researcher's rights to their intellectual property (LSA, 2018).

Some of the strongest critiques of Plan S are coming from scholarly associations and journal publishers in the Humanities and Social Sciences. Like with the new SSHRC ASJ policy, critiques focus on the one-size-fits-all approach to OA in Plan S, which is largely based on the experience of STEM sciences (Royal Historical Society (UK) 2019; Cambridge University 2019). Because it rejects hybrid and delayed OA, Plan S effectively leaves little option for HSS journals but to endorse an APC-based standard or a very liberal green OA model that is unlikely to be sustainable in the long run. As discussed, editing and publishing are costly and the resources have to come from somewhere. Because the APC model has seen very little uptake in the HSS, some worry this will put a number of highly valuable and intellectually important journals under financial stress.

In an [open letter on Plan S](#), a group of HSS journal editors otherwise supportive of OA argue that Plan S “offers no suitable mechanism for the HSS community to transition their publications on a large scale to sustainable forms of open access.” Since a majority of researchers in HSS are not able to pay APCs, they argue, “it is impossible for existing subscription journals to flip to an author-pays model.” They further point to the fact that HSS journals often service relatively small research communities, often national in focus. They therefore cannot rely on high volume based on APCs to compensate for the loss of subscription revenues. A number of academic societies, editors and publishers in the HSS have highlighted similar concerns, including the [Canadian Association of Learned Journals \(CALJ\) \(2019\)](#), [Cambridge University \(2019\)](#), the [American Historical Association \(2019\)](#) and the [UK Royal Historical Society \(2019\)](#), to name just a few.

Like in Canada, concerns are also directed at the unintended consequences of Plan S on the ecosystem of national HSS societies. As the CALJ (2019) argues, “many scholarly journals in the social sciences and humanities (SSH) are published by not-for-profit scholarly societies, small and medium sized not-for-profit publishers, and university presses” that rely on subscription income to offer a broad range of services.

Part 3. Short Term Scenarios for the *CJPS*

The Committee wants to emphasise there is little doubt that the *CJPS* will have to implement changes to its business model in the future. OA is here to stay and the market of academic journals is quickly changing as a result. While it may be in our interest, as a professional association, to support the underlying principles and values of OA, it is also our responsibility to ensure that it does not come at the expense of the quality of scholarly publishing in Canada or of publishing opportunities for all members of the Canadian political science community

The medium to long term impact of SSHRC's new requirements for its ASJ grants or of the even more ambitious Plan S are difficult to assess at this point. While the *CJPS* is in good financial shape, we have underscored the declining trend in income generated from subscriptions and licensing rights. According to CUP's projections, these are long-term trends. We have also highlighted the increasingly competitive environment the *Journal* faces. Although there is always a high level of unpredictability in such projections, it is safe to assume the changing landscape of scholarly publishing and the development of more stringent OA mandates from funding agencies are very likely to put further stress on the *Journal's* business model for the foreseeable future.

The *CJPS* is not alone in facing these choices. Informal exchanges with peer associations that publish similarly-profiled journals suggest that all are struggling to find the appropriate response. While some have chosen to forfeit the SSHRC grant and stay the course with their subscription-based model, others are considering adapting their model to minimally comply with the ASJ's requirements on OA. Few are considering a full flip to gold OA.

To make informed choices for the future, it will be important to develop better data on our readership and authorship. We have a limited understanding of who reads the *Journal*, when and how. Is our readership essentially Canadian or is it more international than we may think? What is the "life cycle" of articles published in the *Journal*? Would an OA embargo period of 6 to 12 months have a major impact on accessibility? On the desirability of subscriptions?

We also need a better portrait of our authors. We know most are based in Canada, but is the trend towards more or less insularity? What percentage of *CJPS* authors are supported by funding agencies like SSHRC? If so, in what proportion? What percentage of our authors are graduate students or at an early career stage? This information is essential to provide a complete portrait of the *Journal* and assess our options for the future. For example, if our authors are disproportionately at the early career stage or do not benefit from significant funding, it would be illogical to develop a business model based on APCs. While we plan to address some of these questions in the final report, the CPSA and SQSP will need to be proactive in keeping track of these issues in the long run.

For now, what we know is that the uptake of existing OA options by *CJPS* authors is relatively low. As mentioned, only two authors have made use of the APC-based gold OA option to date. We also know from aggregated data that the uptake of green OA options is particularly low in Canada and, globally, in political science.

This leads to fundamental questions: should the *CJPS* and its parent associations be more proactive at promoting OA? If so, how can we achieve this without jeopardizing the *Journal's* reputation, its quality and business model, as well as the ability of potential authors who may not be in a position to pay for APCs to publish in the journal? These are fundamental questions that cannot be reduced to a simple costs/benefits analysis. OA carries a set of principles and values that we may or may not want to prioritize.

On the other hand, we must be realistic about our capacity to reinvent the *Journal* without affecting its financial situation and, by extension, that of its parent associations. Is the CPSA membership prepared assume a greater share of the Association's budget through direct membership fees or other indirect fees? If not, is it willing to accept a reduced role for the Association considering budgetary constraints?

While the final report of this committee will make some longer-term recommendation for the *Journal* itself, these are fundamental questions that go beyond the mandate of our committee. This is a conversation that needs to occur with the broader membership of the CPSA and SQSP. We hope the present report will elicit some discussions and reflections to that effect.

For now, we conclude with a series of short-term scenarios for consideration in light of our immediate concerns with SSHRC's new ASJ requirements. There are of course variants to these scenarios and a good level of uncertainty remains as to their feasibility and impact.

3.1 Reinvent the *CJPS* as a Freely Available, Gold OA Journal

This is the "all-in" scenario, under which the *CJPS* embraces OA and transform itself into an *avant-garde* journal for the profession. It is by far the riskiest scenario both short and long term, but it is also the scenario that is most consistent with OA principles. While it may therefore be increasingly adopted in the future, as the present report shows, there are very few established political science journals that have made the flip to an entirely gold OA model, either with or without APCs.

This may change in the near future, but there is little evidence so far that the "pure gold" APC model is viable in HSS, except for upstart journals that do not have an established readership and long-held reputation like the *CJPS*. These tend to be either niche journals that serve a specific purpose or mega-journals that publish large numbers of articles (sometimes a few hundred a year) on a very broad array of topics. There are also, of course, a growing number of APC-based journals in the HSS that are predatory journals, with low or no peer review standards.

Existing analyses focusing on researchers in the HSS also suggest we should be concerned with the capacity and willingness of our authors, especially students and junior faculty, to pay for APCs. The final report of the OA Committee will provide more specific data on the opinions of *Journal's* authors in this respect.

A clear path to gold OA may well emerge in the coming years as the OA market evolves. Read & Publish deals may well evolve into a model that is consistent the standards of gold OA. Much depends, we suspect, on the success and generalisation of Plan S. For now, we believe that there

are far greater risks than benefits for the *CJPS* in adopting full OA, with or without APCs. As far as we know, no major Canadian HSS journal is considering a full flip to gold OA given SSHRC's new requirements.

3.2 Move to an OA Friendly, Canadian-Based, Platform

While gold OA may not be viable in the short term, the *CJPS* could consider embracing SSHRC's preferred course of action and move its operations to a Canadian-based digital platform for editorial and diffusion purposes. Érudit is the most obvious option here, although there are others. SQSP's *Politique et sociétés* is with Érudit and they seem pleased with the support they receive. The move to Érudit allowed SQSP's journal to access professional editing tools and software and facilitated its capacity to consistently produce a high-quality journal at minimal costs. *Politique et sociétés* is a hybrid journal based on subscription with a 12-month OA delay. It is therefore compliant with SSHRC's ASJ requirements, but not with Plan S. Érudit returns approximately 75% of subscriptions and licensing rights income to its journals.

While potentially attractive, this option has many drawbacks for the *CJPS*, which is a fundamentally different journal than *Politique et sociétés*. Although it is a bilingual journal, the *CJPS* is part of the English-speaking scientific community. Its market and reach are therefore vastly different. This is reflected in the size of its readership, but also, and especially, its subscription base. One key consequence of a move to Érudit or an equivalent Canadian-based platform would be to jeopardize the established international reach of the *Journal*.

While they offer excellent support, Canadian not-for-profit platforms cannot compete with CUP in terms of promotional services, data analytics and access to international markets. There is a price to pay for this level of professional service, of course, but the current and past editorial teams of the *Journal* have all underscored their excellent relationship and satisfaction with the services CUP offers. It is also important to note that while it is a large international publisher, CUP is not one of the big five publishers often associated with profit-gouging practices. It is a not-for-profit, university-based, academic press.

3.3 Status Quo

One option to consider is to adopt a “wait and see” position and adjust along the way. The *Journal* is not under immediate financial stress and its subscription base, although declining, is not unsubstantial. As this report also makes obvious, there is no clear pathway for the *CJPS* to adopt full OA without considerable risks. Why, then, take the risk? Our hybrid model works. This would mean the *CJPS* is no longer an option for European authors financed under the projected Plan S, but it is not clear this is a major concern in the short term. More significantly, it would mean forfeiting the last year of the current SSHRC grant (approximately \$26 000) and losing our eligibility for future competitions, assuming the criteria remain the same. This is not a negligible financial hit and the CPSA/SQSP would need to absorb most of it. As with other scenarios, the two associations would need to think creatively about alternative sources of funding.

There is a certain degree of comfort to this approach. It has the fewest known unknowns, so to speak. We know the short-term costs and consequences and we can build on this knowledge.

This is the approach chosen by some journals in Canada which have decided not to renew their SSHRC ASJ grant, including the Canadian Journal of Economics.

That being said, this option would not only put the *CJPS* under immediate financial stress, it would also put us in the camp of the resistance, so to speak. OA has its drawbacks, but it also carries some principles and values the CPSA and SQSP may share in terms of diffusion and access to publicly funded research. Staying the course also potentially puts us on a collision course with a growing number of funding agencies mandates that could be inspired by Plan S, not just SSHRC's AJS policy. Doubling-down on the subscription model under these circumstances could put us at a far greater disadvantage. OA is not a temporary phenomenon and while maintaining the status quo might make sense in the short term, it is unlikely to be a sound option in the long term.

3.4 Incrementalism

The committee sees one last option. Jumping on the OA wave without a safety net is not a wise choice. Staying put may well backfire in the medium to long run. Perhaps the most logical thing to do, then, is to approach OA with an open but careful mind. The *CJPS* has already moved to a hybrid format that includes a fairly liberal green OA option for authors. There is no evidence this is negatively affecting our subscriptions (other factors are at play, especially tightening library budgets), although it may affect royalties from rights and permissions in the long term.

The *CJPS* could therefore further adjust its business model to adapt to the new AJS requirements, without foregoing its subscription model. This would mean keeping the current green and APC options, but also giving free access to articles beginning in 2021, after a 12-month moving embargo. Older articles would remain gated and continue to generate revenues from subscriptions as well as rights and permissions. The *CJPS* would then be awarded the final year of its SSHRC grant (2019-2021) and, assuming no further changes are forthcoming, apply again in three years for a new grant. The *Journal* would not be compliant with the terms proposed in the current draft of Plan S, but the short-term costs are minimal compared with the financial stability this option provides. Incidentally, this is the option CUP recommends in a recent briefing note to the CPSA:

We have conducted a risk analysis in consultation with colleagues in Sales, Business Development, and the OA team here at Cambridge to assess the viability of such a plan for *CJPS*. Short-term risk is low given the relative inertia of subscriptions and access methods and the premium some subscribers may be willing to pay for immediate access and print formats. Long-term, there are undeniable shifts towards OA on the horizon, and we are hopeful that a sustainable model will emerge as the market changes globally. Because this SSHRC funding is crucial for *CJPS* operations and there is no other alternate revenue or funding that could make up for its loss, we recommend that *CJPS* implement a plan that satisfies the minimum requirements, making new content free to access after a 12-month embargo starting in 2021 (CUP, 2019).

The committee agrees with this analysis. There is a risk that adopting a 12-month embargo will negatively affect institutional subscriptions, but it is unlikely to have a significant short to medium term financial impact. It is also unlikely to affect the *CJPS*'s inclusion in CUP's bundled subscriptions, which is, as we saw, by far the most common subscription model. The greater impact

will likely be felt after a few years, when the number of freely-available articles reaches a critical mass. Revenues from licensing rights and permissions will then start to decline. Based on CUP's projections, we can expect a 15% decline in revenues in the next five years under this scenario (CUP 2019).

This is far from a perfect solution. It does infuse a good dose of uncertainty into our future, but so do all other options. Adopting an incremental approach does, however, provide us with options and a capacity to adjust along the way. If the impact is greater than anticipated, we can always reconsider the 12-month delay in a few years. It would be much harder to backtrack if we adopt a full OA option. As CUP noted in its brief supporting this option, it also keeps our options open in terms of developing alternative approaches to classic subscriptions, including Read & Publish deals that CUP is currently negotiating with several institutions globally.

If we are to adopt this scenario, a parallel effort should be made to express our concerns to SSHRC regarding the long-term implications of OA for the *Journal* and for the political science ecosystem in Canada. SSHRC faced a strong reaction to its ASJ changes from affected scholarly associations. The CPSA and SQSP should continue to convey the very real difficulties stemming from the limited flexibility of the ASJ requirements (on Green OA for example) and what appears to be a lack of clear understanding of the financial implications of OA for large scholarly associations, like the CPSA, that heavily rely on their journals to support their activities and to offer services to their members.

Part 4. Conclusions and Recommendations

The purpose of this preliminary report is to provide as complete a portrait as possible of the current situation and put forward alternative scenarios for discussion.

The committee invites comments from CPSA and SQSP members on the present report and its recommendations.

The final version of this report will build from the feedback we receive from our membership to provide a more complete assessment of our long-term options. For now, our conclusions can be summarized as follow:

- 1) The *CJPS* is in relatively good financial situation, but it is facing significant challenges in the digital age. The CPSA, and the SQSP to a lesser extent, rely significantly on revenues from the *CJPS* to support their activities.
- 2) The OA movement is here to stay, but the transition remains spotty and highly variable across disciplines and between countries. The HSS, in Canada especially, have been generally slow in their adoption of most OA models.

- 3) After reviewing different OA models, it appears clear there is no obvious business model that would allow the *CJPS* to transition to full OA without substantial costs, without jeopardizing the ecosystem of the *Journal* and without substantial reductions in the income it generates for the two associations.
- 4) Considering the likelihood of more stringent OA mandates coming from SSHRC and Plan S in Europe, the *CJPS* must adjust its current business model to the changing context.
- 5) Out of multiple scenarios considered, we recommend a careful and incremental approach to OA, under which the *CJPS* would, for the short term, comply with SSHRC's requirement that articles be freely available for free on the publisher's website 12 months after publication.
- 6) If the CPSA and SQSP are to accept this recommendation, the details of the transition should be worked out as part of the upcoming negotiations with CUP on the renewal of our publishing agreement for the *CJPS*. The committee does not recommend terminating the arrangement with CUP.
- 7) It is crucial that the CPSA and SQSP also develop a clear vision for an OA future. The incremental approach we recommend does not solve the long-term challenges the *Journal* will likely face. A clear vision supporting OA (or rejecting it) would help guide future decisions. We plan to make recommendations to that effect in our final report, but this is a conversation that should take place with the broad membership of the two associations.
- 8) We also need to know more about our authors and readership. The future decisions we make to maximise the benefits of OA and minimise its impact should be informed by data on the *Journal's* citizenry. This is also something we hope to address in our final report.
- 9) The CPSA and SQSP should also consider concerted efforts with peer associations and the Canadian Federation for the Humanities and Social Sciences to ensure SSHRC and other funding agencies are aware of the challenges we face and develop policies that are responsive to those challenges and support as smooth a transition as possible to OA.
- 10) Finally, the CPSA and SQSP should consider developing a long-term strategy to address the likely decline in revenue they will receive from the *Journal*. Alternative sources of revenues, as well as a reprioritizing of activities could be considered.

Bibliography

- American Historical Association (AHA). 2018. AHA Expresses Concerns about Potential Impact of Plan S on the Humanities. <https://www.historians.org/news-and-advocacy/aha-advocacy/aha-expresses-concerns-about-potential-impact-of-plan-s-on-the-humanities>
- Anderson, R. 2017. *The Forbidden Forecast: Thinking About Open Access and Library Subscriptions*. The Scholarly Kitchen, Society for Scholarly Publishing. <https://scholarlykitchen.sspnet.org/2017/02/21/forbidden-forecast-thinking-open-access-library-subscriptions/>
- Antelman, K. 2004. Do open-access articles have a greater research impact? *College & research libraries*. 65(5):372±38
- Archambault, É., Amyot, D., Deschamps, P., Nicol, A., Provencher, F., Rebout, L., & Roberge, G. 2014. *Proportion of open access papers published in peer-reviewed journals at the European and world levels—1996–2013*. Science Metrix, Europan Commission. http://science-metrix.com/sites/default/files/science-metrix/publications/d_1.8_sm_ec_dg-rtd_proportion_oa_1996-2013_v11p.pdf
- Atchison, A. and Bull, J. 2015. « Will Open Access Get Me Cited? An Analysis of the Efficacy of Open Access Publishing in Political Science ». *PS: Political Science & Politics* 48 (1): 129-37. <https://doi.org/10.1017/S1049096514001668>.
- Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities*. 2003. <https://openaccess.mpg.de/Berlin-Declaration>.
- Bethesda Statement on Open Access Publishing*. 2003. <http://legacy.earlham.edu/~peters/fos/bethesda.htm>.
- Björk, B. C. 2012. The hybrid model for open access publication of scholarly articles: A failed experiment?. *Journal of the American Society for Information Science and Technology*, 63(8), 1496-1504.
- Björk, B. C., Laakso, M. Welling, P., & Paetau, P. 2014. Anatomy of green open access. *Journal of the Association for Information Science and Technology*, 65(2), 237-250.
- Brainard, J. 2018. China supports open-access plan. *Science. Science Magazine*, 362 (6420), 1218-1220. <http://science.sciencemag.org/content/sci/362/6420/1218.full.pdf>.
- British Academy. 2018. *Science Europe's Plan S: making it work for all researchers*. <https://www.thebritishacademy.ac.uk/publications/science-europes-plan-s-making-it-work-for-all-researchers>
- Budapest Open Access Initiative (BOAI)*. 2002. <https://www.budapestopenaccessinitiative.org/>
- Canadian Association of Learned Journals. 2018. *An Important and Urgent Update on the Future of SSHRC Funding of Journals*. <https://www.calj-acrs.ca/news/reminder-important-and-urgent-update-future-sshrc-funding-journals>
- Canadian Association of Learned Journals. 2019. *Plan S. A Perspective from Canadian Journals*. <https://www.calj-acrs.ca/news/plan-s-perspective-canadian-journals>

- Cambridge University. 2019. *Cambridge Submission to cOAlition S Consultation on Plan S*. https://osc.cam.ac.uk/files/coalition_s_cambridge_submission_of_plan_s_8_feb_2019.pdf
- Cambridge University Press. 2019. *Notes on Open Access at Cambridge for CPSA's OA Committee*, on file with the CPSA.
- Cameron-Peasant, S. 2017. Immediate Open Access and Delayed Open Access: Impact on Article Downloads. *Salons*. <https://salons.erudit.org/en/2017/10/19/immediate-open-access-and-delayed-open-access/>.
- Carling, J., Erdal, M., Harstad, B., Knutsen, C.H., Lappegård, T., Skardhamar, T., & Østby, G. 2018. *At the crossroads of open access to research, An assessment of the possible consequences of Plan S for publishing, research quality and research environments*. Oslo: PRIO. <https://www.prio.org/utility/DownloadFile.ashx?id=1667&type=publicationfile>
- Coalition Publi.ca. 2019. *Coalition Publi.ca*. <https://www.coalition-publi.ca/services-journals>.
- cOAlition S. 2018. *Guidance on the implementation of Plan S*. Retrieved from: https://www.coalition-s.org/wp-content/uploads/271118_cOAlitionS_Guidance.pdf. Accessed on March 11th, 2019.
- cOAlition S. 2019. *10 principles*. Retrieved from <https://www.coalition-s.org/10-principles/>. Accessed on January 14th, 2019
- Creative Commons. 2019. *About Licenses*. <https://creativecommons.org/licenses/>.
- Crow, R. 2009. *Income models for open access: An overview of current practice*. Washington: SPARC.
- Draux, H., Lucraft, M. & Walker, J. 2018. Assessing the Open Access Effect for Hybrid Journals. *Springer Nature*. <https://www.springernature.com/gp/open-research/about/oa-effect-hybrid>
- Else, H. 2018. Radical open-access plan could spell end to journal subscriptions. *Nature*, 561, 17-18. <https://www.nature.com/articles/d41586-018-06178-7>
- Else, H. 2019. High-profile subscription journals critique Plan S. *Nature*. https://www.nature.com/articles/d41586-019-00596-x?fbclid=IwAR1ccfqLpKkS_wa57ycd1mRPy2PN2SC7-EADN2xMJJJoBkUff35NFNNx9Ew
- Érudit. 2019. *Mission*. <https://apropos.erudit.org/en/erudit-en/mission/>.
- Esposito, J. 2018. Counting the Holes in the Swiss Cheese: “Read and Publish” Discovers America. *The Scholarly Kitchen*. <https://scholarlykitchen.sspnet.org/2018/06/20/counting-holes-swiss-cheese-read-publish-discovers-america/>.
- European Commission. 2019. *Trends for open access to publications*. https://ec.europa.eu/info/research-and-innovation/strategy/goals-research-and-innovation-policy/open-science/open-science-monitor/trends-open-access-publications_en.
- Eve, M. P. 2014. *Open access and the humanities*, Cambridge University Press.

- Fonds de recherche du Québec société et culture. 2019. Les Fonds de recherche du Québec dévoilent leur Politique sur le libre accès. <http://www.frqsc.gouv.qc.ca/espace-presse/nouvelles-et-communiques/nouvelle?id=ey76khl21554124640368>
- Gadd, E., & Troll Covey, D. 2016. What does 'green' open access mean? Tracking twelve years of changes to journal publisher self-archiving policies. *Journal of Librarianship and Information Science*, 0961000616657406.
- Government of Canada. 2016. *Tri-Agency Open Access Policy on Publications*. http://www.science.gc.ca/eic/site/063.nsf/eng/h_F6765465.html?OpenDocument.
- Green, T. 2017. We've failed: Pirate black open access is trumping green and gold and we must change our approach. *Learned Publishing*, 30(4).
- Green, T. 2019. Is open access affordable? Why current models do not work and why we need internet-era transformation of scholarly communications. *Learned Publishing*, 32(1), 13-25.
- Hitchcock, S. 2013. *The effect of open access and downloads ('hits') on citation impact: a bibliography of studies*. <http://opcit.eprints.org/oacitation-biblio.html>.
- Houghton, J., & Swan, A. 2013. Planting the green seeds for a golden harvest: Comments and clarification on "going for gold." *D-Lib Magazine*, 19(1/2).
- Jones, J. 2014. When to Flip Your Journal Revenue Model to Open Access. *Association of Learned and Professional Society Publishers (ALPSP) International Conference 2014*. <https://www.youtube.com/watch?v=XgScZeqvxf0>.
- Kamerlin, L., Wittung-Stafshede, P., Dey, A., Wells, S.A., Gruden, M., van der Kamp, M.W., de Bruin, B., Holbrook, B., & Hay, S. 2018. Response to Plan S from Academic Researchers: Unethical, Too Risky! *Betterscience.com* <https://forbetterscience.com/2018/09/11/response-to-Plan-S-from-academic-researchers-unethical-too-risky/>
- King, D., Tenopir, C., Choemprayongchoe, S., & Wu, L. 2009. Scholarly journal information-seeking and reading patterns of faculty at five US universities. *Learned Publishing*, 22, 126-144.
- Kupferschmidt, K. 2019. Deal reveals what scientists in Germany are paying for open access. *Science*. <https://www.sciencemag.org/news/2019/02/deal-reveals-what-scientists-germany-are-paying-open-access?fbclid=IwAR17ozhFP0mrLJ38oxTTqFzoHM3LISHFDkXtYum74G30HT0C23PV AphSZEM>.
- Laakso, M., & Björk, B. C. 2013. Delayed open access: An overlooked high-impact category of openly available scientific literature. *Journal of the American Society for Information Science and Technology*, 64(7), 1323-1329.
- Laakso, M., & Björk, B. C. 2016. Hybrid open access—A longitudinal study. *Journal of informetrics*, 10(4), 919-932.
- Lariviere, V., & Sugimoto, C. R. 2018. Do authors comply with mandates for open access? *Nature*, 562(7728), 483-486.

- Li, Y., Wu, C., Yan, E., & Li, K. 2018. Will open access increase journal CiteScores? An empirical investigation over multiple disciplines. *PloS one*, 13(8), e0201885.
- Linguistic Society of America (LSA). 2018. *Comments on Plan S*.
<https://www.linguisticsociety.org/sites/default/files/Plan%20S%20comments%20LSA.pdf>
- Marland, Alex. 2017. Journal Publishing and Marketing in an Age of Digital Media, Open Access and Impact Factors. *Canadian Journal of Political Science*, 50(1), 77-95.
- Matthias, L. 2018. The worst of both worlds: Hybrid open access. *OpenAire Blog*.
<http://www.wherethereislight.net/the-worst-of-both-worlds-hybrid-open-access/>
- Meadows, A. 2015. Flipping, not Flopping: Converting Subscription Journals to Open Access. *The Scholarly Kitchen*. <https://scholarlykitchen.sspnet.org/2015/03/04/flipping-not-flopping-converting-subscription-journals-to-open-access/>.
- Open Science. 2019. *National Plan on Open Science: Summary*.
<https://www.openscience.nl/en/national-plan-open-science/national-plan/summary/index>.
- DOAR. 2019. *Directory of Open Access Repositories*. <http://v2.sherpa.ac.uk/pendoar/>
- Piwowar, H., Priem, J., Larivière, V., Alperin, J. P., Matthias, L., Norlander, B., ... & Haustein, S. 2018. The State of OA: A large-scale analysis of the prevalence and impact of Open Access articles. *PeerJ*, 6, e4375.
- Plan S Open Letter. 2018. *Reaction of Researchers to Plan S: Too Far, Too Risky*.
<https://sites.google.com/view/plansopenletter/open-letter>.
- Poynder, R. 2018. *The Open Access Big Deal: Back to the Future*.
<https://poynder.blogspot.com/2018/03/the-open-access-big-deal-back-to-future.html>.
- Public Knowledge Project (PKP). 2019. *Open Journals Systems*. <https://pkp.sfu.ca/ojs/>.
- Rabesandratana, T. 2019. Will the world embrace Plan S, the radical proposal to mandate open access to science papers? *Science*. <https://www.sciencemag.org/news/2019/01/will-world-embrace-plan-s-radical-proposal-mandate-open-access-science-papers>.
- Royal Historical Society (UK). 2019. *Plan S and UK Learned Societies: The View from History*.
<https://5hm1h4aktue2uejbs1hsqt31-wpengine.netdna-ssl.com/wp-content/uploads/2019/01/RHSPlanSInterimJan19.pdf>
- Scholarly Publishing and Academic Resources Coalition (SPARC). 2018. *Big Deal Cancellation Tracking*. <https://sparcopen.org/our-work/big-deal-cancellation-tracking/>
- Schonfeld, R.C. 2018. Read and Publish: Is it Good for the Academy?. *The Scholarly Kitchen*.
<https://scholarlykitchen.sspnet.org/2018/09/04/read-publish-good-academy/>.
- Science Europe. 2018. *National Research Funding Organisations Participating in cOAlition S*.
https://www.leru.org/files/cOAlitionS_National_Funders.pdf
- SHERPA. 2019. SHERPA Official Website. <http://www.sherpa.ac.uk/>
- Social Sciences and Humanities Research Council (SSHRC). 2018. *Aid to Scholarly Journals*.
http://www.sshrc-crsh.gc.ca/funding-financement/programmes-programmes/scholarly_journals-revues_savantes-eng.aspx.

- Social Sciences and Humanities Research Council (SSHRC). 2018. Presentation to the CPSA Board of Director, December 2018. On file with CPSA.
- Solomon, D., & Björk, B-C. 2012. Publication fees in open access publishing: Sources of funding and factors influencing choice of journal. *Journal of the American Society for Information Science and Technology*, 63(1), 98–107.
- Suber, P. 2009. Ten challenges for open-access journals. *Exploring Open Access: A Practice Journal*, 1(1), 21.
- Suber, P. 2013. *Open Access*. MIT Press.
- Tennant, J. 2019. The open access citation advantage. *Science Open*. <https://bit.ly/2BAaQ9G>.
- Tollefson, J. 2018. China declared world's largest producer of scientific articles. *Nature*. <https://www.nature.com/articles/d41586-018-00927-4>.
- Universities UK Open Access Coordination Group. 2017. *Monitoring the Transition to Open Access*. <https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2017/monitoring-transition-open-access-2017.pdf>
- Wagner, A. Ben. 2010. Open Access Citation Advantage: An Annotated Bibliography. *Issues in Science & Technology Librarianship*, (60). <http://www.istl.org/10-winter/article2.html>.
- Washam et al. 2019. *Open Letter from History Journal Editors in Response to Consultation on Plan S*. <http://pastandpresent.org.uk/open-letter-from-history-journal-editors-in-response-to-consultation-on-plan-s/>.
- Xu, L., Liu, J., & Fang, Q. 2011. Analysis on open access citation advantage: an empirical study based on Oxford open journals, *Proceedings of the 2011 iConference* (pp. 426-432). ACM.