



# Open Access Publishing: Challenges, Costs, and Ethical Models for the Future

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## Overview

### 1) Background

- What is open science and open access?
- Open access developments
  - Tri-Agency OA Policy on Publications (revision)
- APCs and new fee models for authors
- Canadian landscape of publishing

### 2) Studies: Estimating Article Processing Charges (APCs)

- Paid to the Big 5 publishers
- Annual APC dataset for six scholarly publishers (Butler et al., 2024)
- Global APC expenditure for six scholarly publishers (Haustein et. al., 2024)

### 3) Conclusion and outlook

## What is open science?

### Open Science:

“...an inclusive construct that combines various movements and practices aiming to make:

- multilingual scientific knowledge openly available, accessible and reusable for everyone,
- to increase scientific collaborations and sharing of information for the benefits of science and society, and
- to open the processes of scientific knowledge creation, evaluation and communication to societal actors beyond the traditional scientific community.”

(UNESCO, 2021)



## What is OA?



Open access (OA) means making the information which scholars provide without expectation of payment available online at no cost to readers. Authors maintain control over the integrity of their work as well as the right to be properly acknowledged and cited. The Open Access movement often refers to scholarly articles, but also includes open science, open data, open source, and open education — freeing the research and communication cycle for faster dissemination and discovery of knowledge.

<https://www.uottawa.ca/library/scholarly-communication/open-access>

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## Open Science policy developments

### International



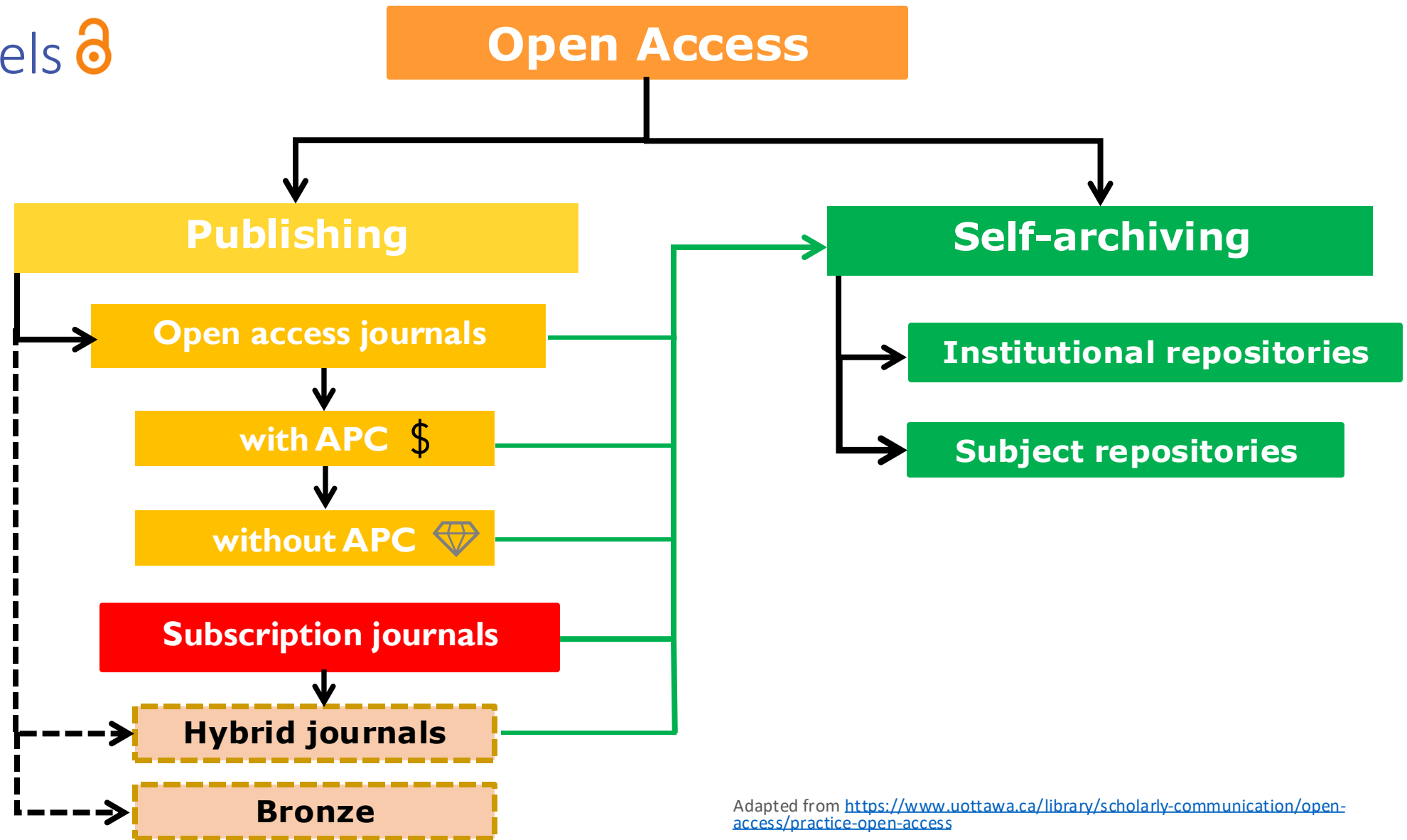
- Plan S (2018)
- UNESCO Recommendations on Open Science (2021)
- White House for Memo for immediate, and equitable access to federally funded research (“Nelson Memo,” 2022)
- Declaration by G7 Ministers of Science and Technology in support of open science (2023)
- Council of European Union calls for transparent, equitable, and open access to scholarly publications (2023)

### Canada



- Tri-Agency Open Access Policy on Publications(2015)
  - *Revision announced by Presidents – immediate OA (2025)*
- The Office of the Chief Science Advisor’s Roadmap for Open Science (2020)
- Les Fonds de recherche du Quebec (FRQ) sign Plan S (2021)

OA models



## Current Tri-Agency OA Policy on Publications (2015)



MENU

Home > [Interagency research funding](#) > [Policies and Guidelines](#) > [Open Access](#)

Open Access

Tri-Agency Open Access Policy on Publications

Annex

Frequently Asked Questions

Toolbox

News Release

Consultation on Draft Tri-Agency Open Access Policy

### Tri-Agency Open Access Policy on Publications

#### 1. Preamble

The [Canadian Institutes of Health Research \(CIHR\)](#), the [Natural Sciences and Engineering Research Council of Canada \(NSERC\)](#) and the [Social Sciences and Humanities Research Council of Canada \(SSHRC\)](#) ("the Agencies") are federal granting agencies that promote and support research, research training and innovation within Canada. As publicly fund organizations, the Agencies have a fundamental interest in promoting the availability of findings that result from the research they fund, including research publications and data to the widest possible audience, and at the earliest possible opportunity. Societal advancement is made possible through widespread and barrier-free access to cutting-edge research.

#### 3. Policy Statement

##### 3.1 Peer-reviewed Journal Publications

Grant recipients are required to ensure that any peer-reviewed journal publications arising from Agency-supported research are freely accessible within 12 months of publication. Recipients can do this through one of the following routes:

a. **Online Repositories**

Grant recipients can deposit their final, peer-reviewed manuscript into an institutional or disciplinary repository that will make the manuscript freely accessible within 12 months of publication. It is the responsibility of the grant recipient to determine which publishers allow authors to retain copyright and/or allow authors to archive journal publications in accordance with funding agency policies.

b. **Journals**

Grant recipients can publish in a journal that offers immediate open access or that offers open access on its website within 12 months. Some journals require authors to pay article processing charges (APCs) to make manuscripts freely available upon publication. The cost of publishing in open access journals is an eligible expense under the [Use of Grant Funds](#).

## Revision of Tri-Agency OA Policy on Publications

### The presidents of Canada's federal research granting agencies announce a review of the *Tri-Agency Open Access Policy on Publications*

Canada's federal research granting agencies – the [Canadian Institutes of Health Research \(CIHR\)](#), the [Natural Sciences and Engineering Research Council of Canada \(NSERC\)](#), and the [Social Sciences and Humanities Research Council of Canada \(SSHRC\)](#) ("the agencies") – are announcing a review of the [Tri-Agency Open Access \(OA\) Policy on Publications](#) ("OA Policy"), with the goal of requiring that any peer-reviewed journal publications arising from agency-supported research be freely available, without subscription or fee, at the time of publication. The renewed OA Policy will be released by the end of 2025.

The agencies are committed to increasing the dissemination of research results and accelerating knowledge mobilization by ensuring peer-reviewed articles resulting from agency-funded research are freely and immediately available.

[UNESCO](#) considers a publication to be immediate OA if its content is universally and freely accessible, at no cost to the

### Aim:

- Move to immediate OA
- Applies to peer-reviewed publications arising from tri-agency (CIHR, SSHRC, NSERC)
- Align with global & national research funders
- Release the revised policy in 2025

## Revision of Tri-Agency OA Policy on Publications

### Immediate OA benefits :

- Broader, faster research impact
- Taxpayer accountability
- Reduces paywall barriers
- Aligns with many other Canadian collaborators

### Immediate OA challenges :

- OA policies have contributed to a reliance on APCs (huge increases) and publishers pushing hybrid OA (double-dipping)
- Publisher embargoes hinder green (free) OA
- Unique disciplinary practices can hinder uptake of diamond journals with less established prestige

## Revision of Tri-Agency OA Policy on Publications

### Observations:

- Support needed for OA models that are low- or no-cost to the individual researcher, such as diamond OA and green OA.
- Recommend the inclusion of preprints in the publishing life cycle, and in the revised OA Policy.
- Consider copyright-based approaches, such as a Rights Retention Strategy and Copyright Act reform.
- Concerns about increasing OA publishing costs, considered the paramount barrier.
- Currently, the OA Policy applies to peer-reviewed journal articles, which does not reflect the diversity of knowledge mobilization/transmission activities undertaken by, and in support of, Indigenous communities and their knowledge needs

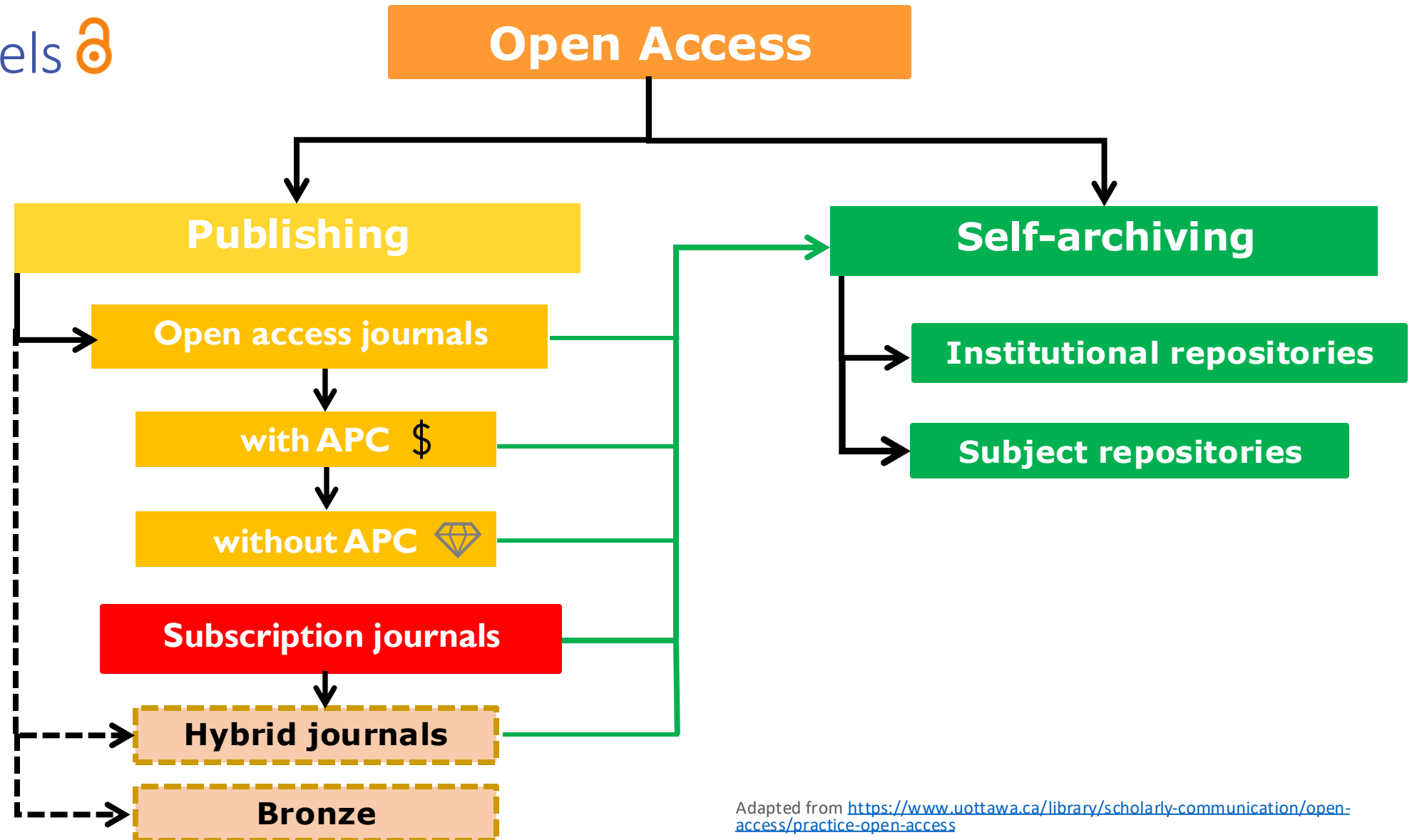


### What We Heard Report: Engagements on the review of the Tri-Agency Open Access Policy on Publications (2024)

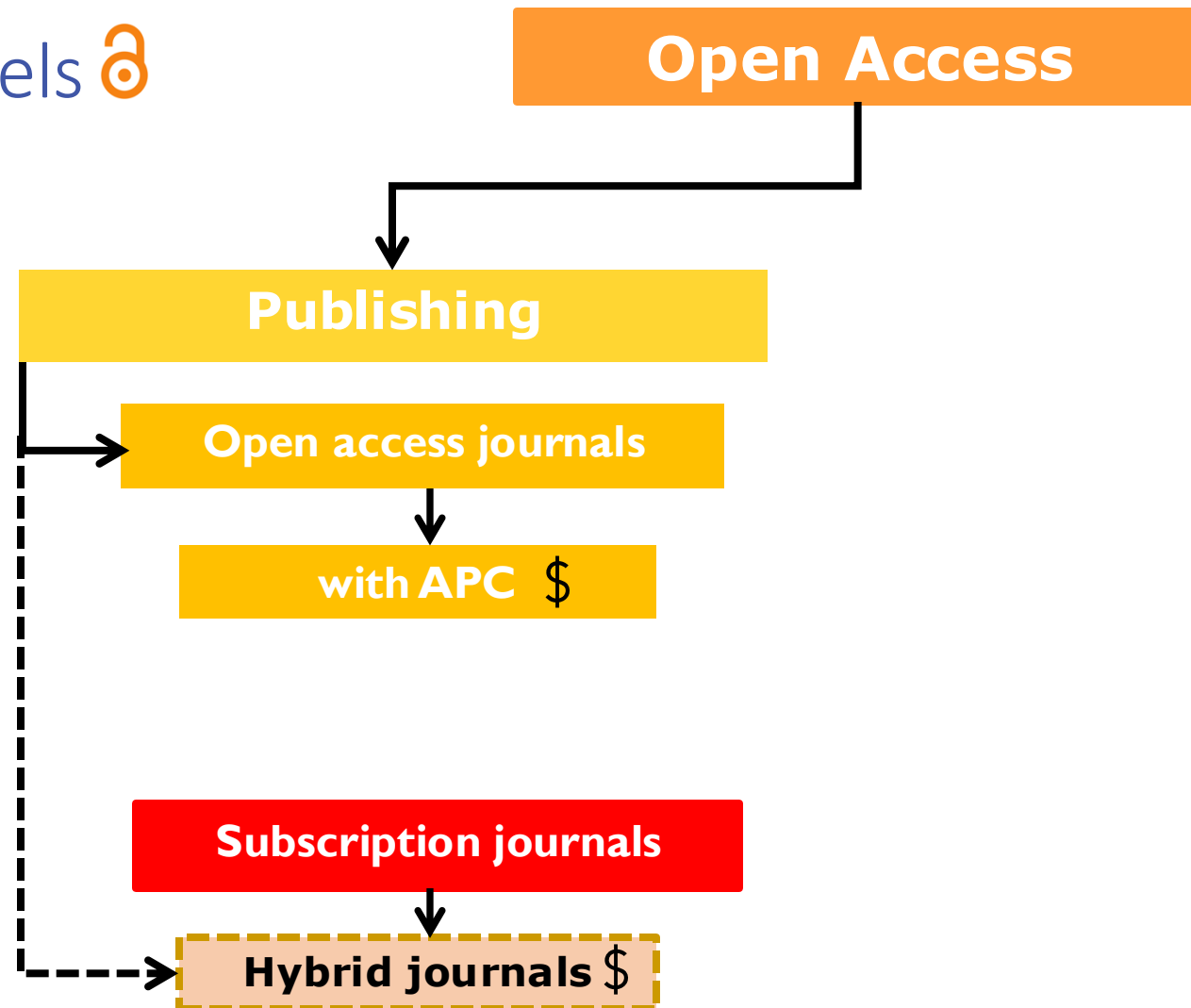
#### On this page

1. Executive summary
2. Background
3. What we heard
  - 3.1 Methods of engagement
  - 3.2 Key findings
    - 3.2.1 Theme 1: Pathways to Open Access
    - 3.2.2 Theme 2: Building a culture of Open Access
    - 3.2.3 Theme 3: Measuring Open Access
4. Next steps

OA models



OA models



## Article Processing Charges (APCs)

How much APCs *should* cost

- \$200 to 1,000 based on publishing costs (Grossmann & Brembs, 2021)
- Up to \$1,000 (Fair Open Access Alliance)

*“The ability and willingness of consumers to pay for products influences supply-side pricing decisions.”* (Siler & Frenken, 2020)

## Article Processing Charges (APCs)

How much APCs *actually* cost

→ Average/median gold APC

Journal level

- \$889 (Siler & Frenken, 2020)
- \$958 (Morrison et al., 2021)
- \$1,068 (Simard et al., 2022)
- \$1,977 (Butler et al., 2024)
- **\$2,000** (Haustein et al., 2024)

Article level

- \$1,800 (Solomon & Björk, 2016)
- \$1,626 (Morrison et al., 2021)
- \$1,989 (Butler et al., 2023)
- **\$2,450** (Haustein et al., 2024)

→ Average/median hybrid APC

Journal level

- \$3,137 (Butler et al., 2024)
- **\$3,230** (Haustein et al., 2024)

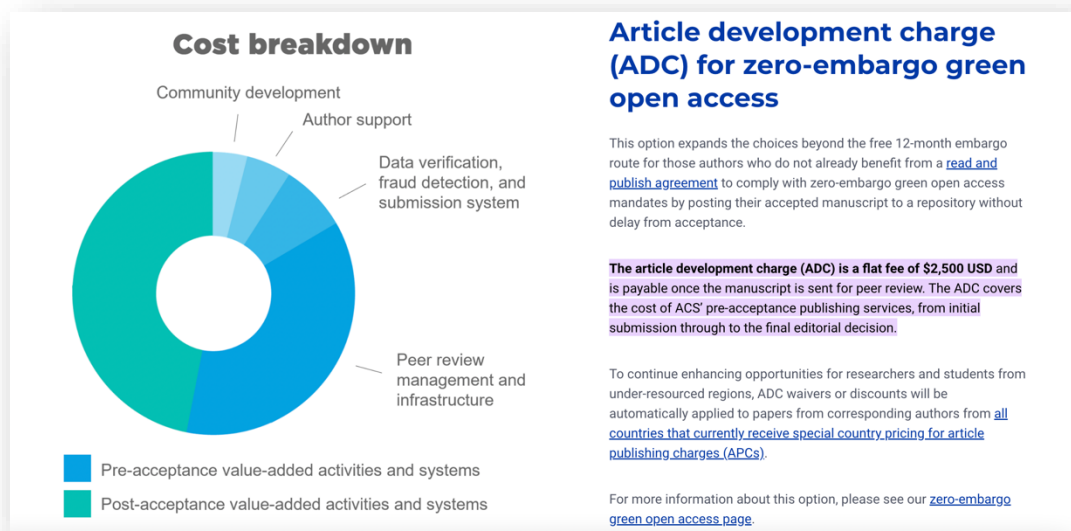
Article level

- \$3,000 (Solomon & Björk, 2016)
- \$2,600 (OpenAPC, 2022)
- \$2,905 (Butler et al., 2023)
- **\$3,600** (Haustein et al., 2024)

## New types of author fees

### Article Development Charge (ADC)

- *American Chemical Society* introduces \$US 2,500 ADC fee
- Enables authors to immediately deposit accepted manuscript (green OA)
- Published version (VoR) remains paywalled



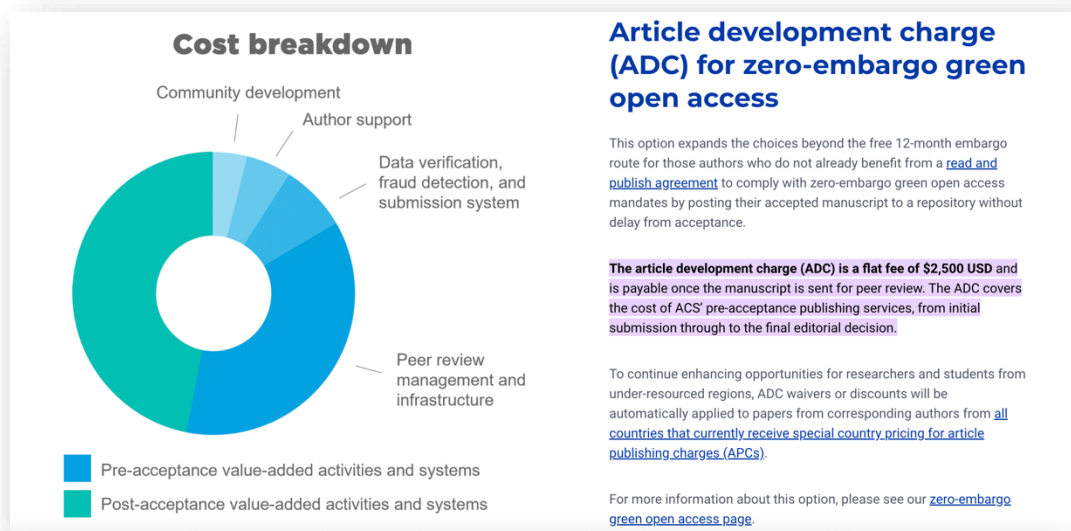
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### Accelerated Review Fees

- Some publishers are introducing charges for accelerated review times
  - e.g., Springer-Nature, *Advances in Therapy*: \$US 7,800 (hybrid journal)



Home > Advances in Therapy

## Advances in Therapy

Publishing model  
Hybrid

Submit your manuscript →

**Publication fees:** Upon acceptance of an article, authors will be required to pay the mandatory **Rapid Service Fee of €6250 / \$7800 / £5600**. The journal will consider fee discounts and waivers on the Rapid Service Fee for developing countries and this is decided on a case by case basis. If you would like to request a discount or waiver, please do so either ahead of submission or at the very start of the submission process. Requests made after this stage will not be considered.

**Open access option:** *Advances in Therapy* offers an open access option for all articles submitted to the journal. If you choose open access publication you **will be required to pay a fee of €3590 / \$4590 / £2890 (in addition to the mandatory Rapid Service Fee)**, upon acceptance of your article.

[Editorial board](#) [Aims and scope](#)

### Overview

*Advances in Therapy* is an international, open choice, peer-reviewed (single-blind), and rapid publication journal. The scope of the journal is broad, covering the use of therapies, devices, and surgical techniques across all therapy areas. The key features of the journal are:

**Rapid publication:** The journal aims for a 2-week peer review, 3-4 weeks from acceptance to online.

**Inclusivity:** All scientifically sound research considered be it positive, confirmatory or negative data. Research is considered from clinical phase, real-world and health economics outcomes studies. Submissions are welcomed

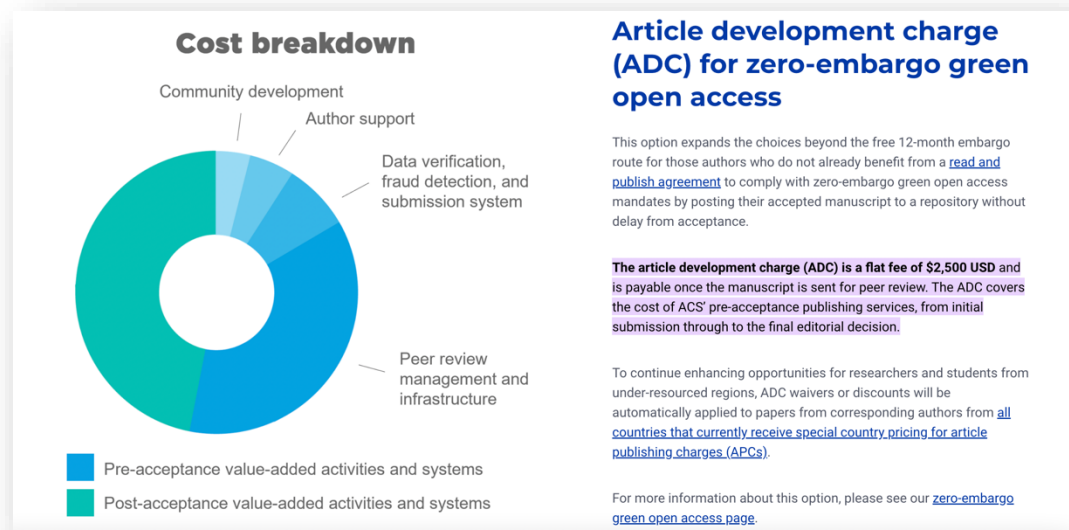
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- Some publishers are introducing charges for accelerated review times  
e.g., Springer-Nature, *Advances in Therapy*: \$US 7,800 (hybrid journal); *Dermatology and Therapy* \$US 6,850 (fully OA)



**Advances in Therapy**

Publishing model: Hybrid

Submit your manuscript →

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**Dermatology and Therapy**

Publishing model: Open access

Submit your manuscript →

**Publication fees:** Upon acceptance of an article, **authors will be required to pay the mandatory Rapid Service Fee of €5500 / \$6850 / £4700**. There is an additional fee for podcast articles. The journal will consider fee discounts and waivers for developing countries and this is decided on a case by case basis. If you would like to request a discount or waiver please do so either ahead of submission or at the very start of the submission process. Requests made after this stage will not be considered.

**Overview**

*Dermatology and Therapy* is an international, open access, peer-reviewed (single-blind), and **rapid publication journal**. The journal is dedicated to the publication of high-quality clinical (all phases), observational, real-world, and health outcomes research around the discovery, development, and use of dermatological therapies. The key features of the journal are:

**Rapid publication:** The journal aims for a 2–week peer review, 3–4 weeks from acceptance to online.

**Open access:** All articles published open access (CC-BY-NC)

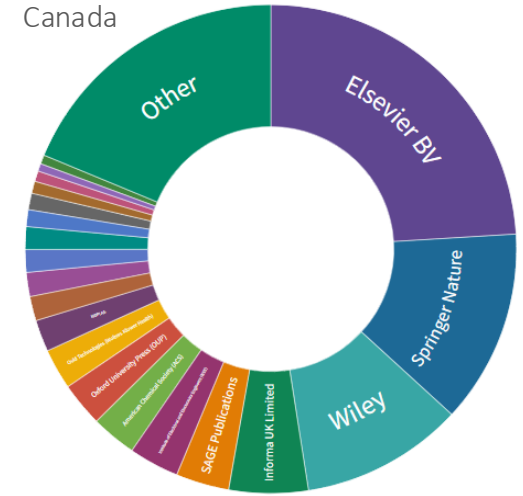
## Read-and-publish agreements (“transformative” agreements)

- Negotiated contract between institution and publisher
  - Library or consortium pays annual fee, eliminating or reducing author fees
  - Combines reading and publishing for a fixed price
- Original intention was to “transform” subscription journals to OA
  - Plan S Transformative Journals program failed
  - Hybrid OA had the same goal
- New “Big Deal”

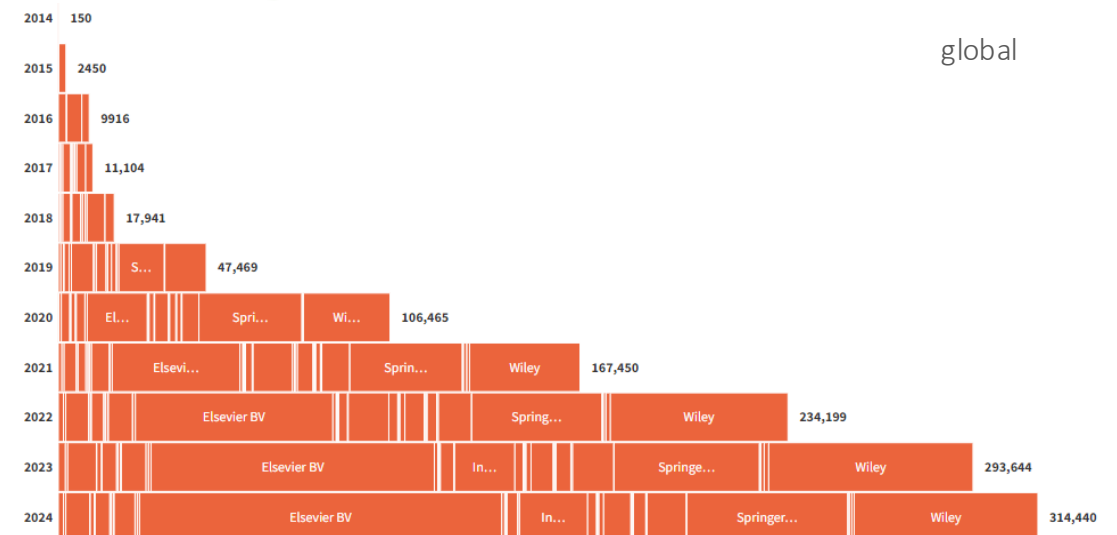
USA



Canada



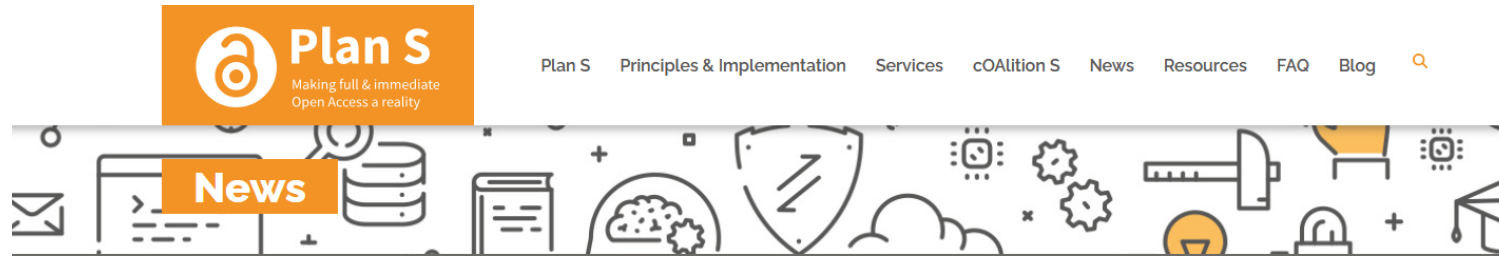
global



## Read-and-publish agreements (“transformative” agreements)

*“The speed at which this transition is (barely) happening at the very large commercial (hybrid) publishers is so slow that the whole strategy is very likely to be abandoned despite its non-negligible advantages.”*

## Read-and-publish agreements (“transformative” agreements)



[Go back](#)

### **cOAlition S confirms the end of its financial support for Open Access publishing under transformative arrangements after 2024**

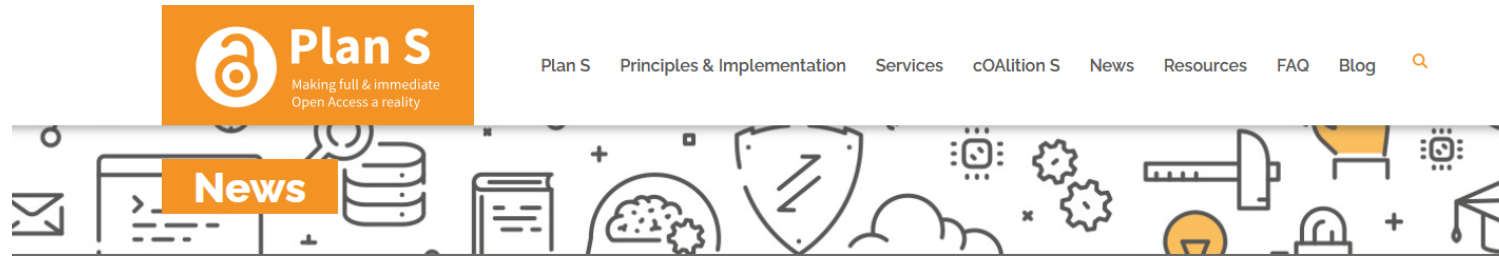
26/01/2023

[Transformative arrangements](#) – including [Transformative Agreements](#) and [Transformative Journals](#) – were developed to encourage subscription journals to transition to full and immediate open access within a defined timeframe (31<sup>st</sup> December 2024, as specified in the [Plan S Implementation Guidance](#)). After careful consideration of the outcomes of transformative arrangements, the leadership of cOAlition S reaffirms that, as a principle, its members will no longer financially support these arrangements after 2024.

Exceptionally, individual cOAlition S funders may still choose to financially participate in Transformative Agreements beyond 2024 as part of their respective national strategies. Such exceptions will be communicated on the cOAlition S website.

Support for Transformative Journals will also cease at the end of 2024. In anticipation of this, no new applications to this programme will be considered after the 30<sup>th</sup> of June 2023.

## Read-and-publish agreements (“transformative” agreements)



[Go back](#)

### cOAlition S confirms the end of its Open Access publishing under arrangements after 2024

26/01/2023

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Analysis of the 2023 data shows that of the **996 titles** in the TJ programme:

- > 39 titles (4%) had flipped to full OA and thus had successfully transformed, in line with the programme objectives
- > 403 titles (40%) met or exceeded their OA growth targets
- > 552 titles (56%) failed to meet their OA growth targets and, had the TJ programme continued, would have been removed from the TJ programme
- > 2 titles (<1%) only started publishing in 2023 and thus did not have a 2023 TJ target.

A further 57 journals, all published by Cambridge University Press, are in the process of flipping in 2025. Springer Nature also indicated that 14 journals are likely to flip in 2025, though the titles affected are not yet in the public domain.

*Note: Neither the American Society for Tropical Medicine and Hygiene (1 TJ) nor the IEEE (162 TJs) provided their TJ reports. As such, in this analysis, all these titles are deemed to have not met their OA penetration targets.*

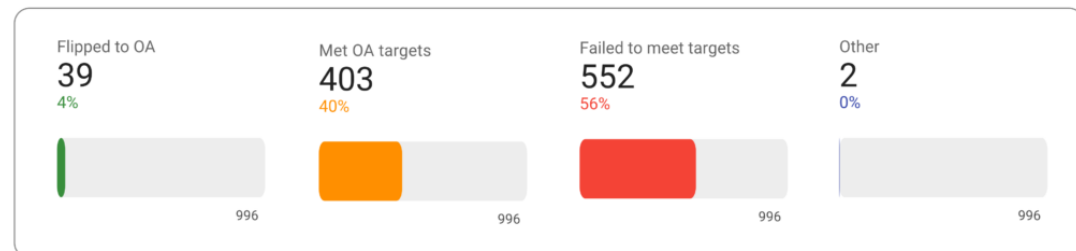
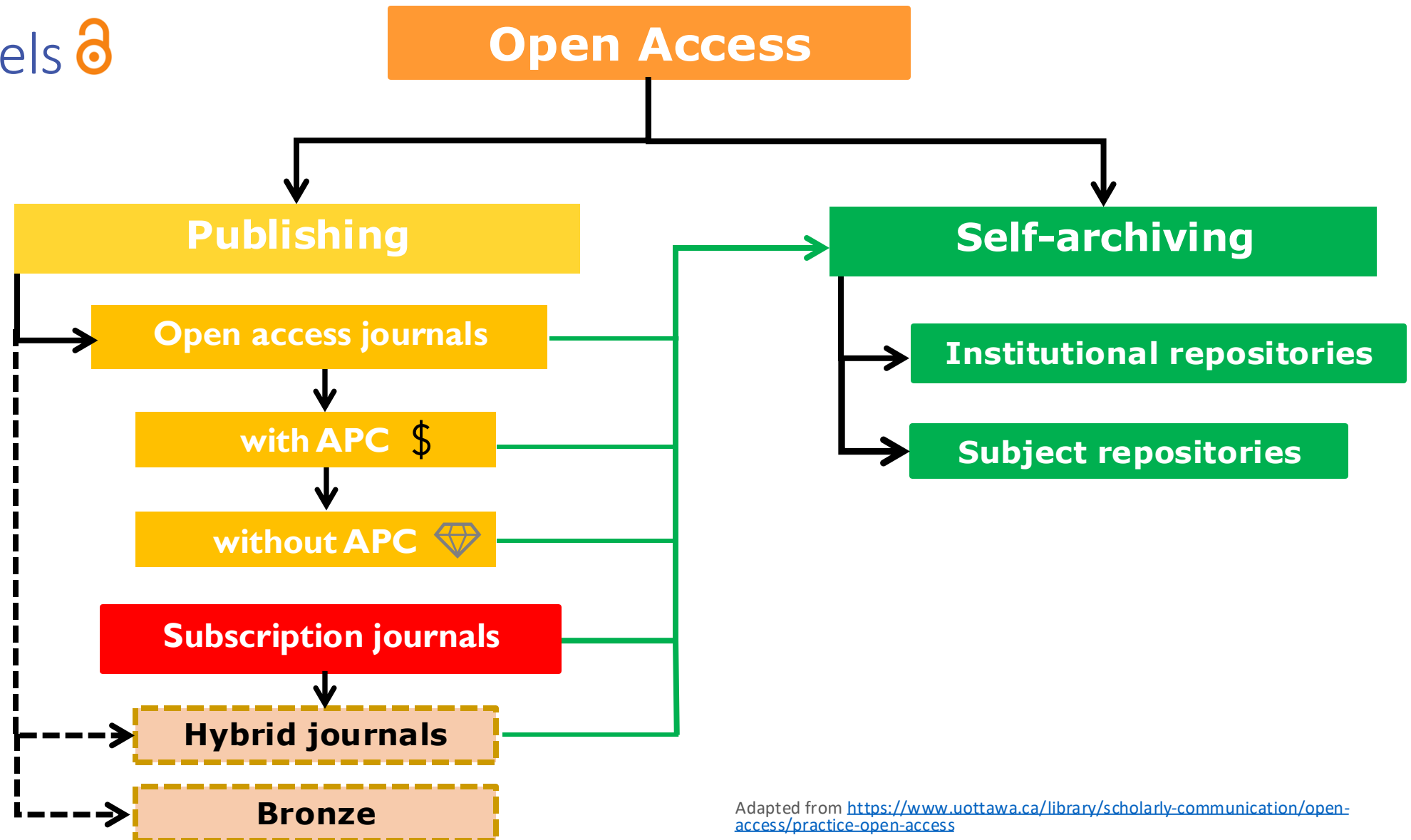
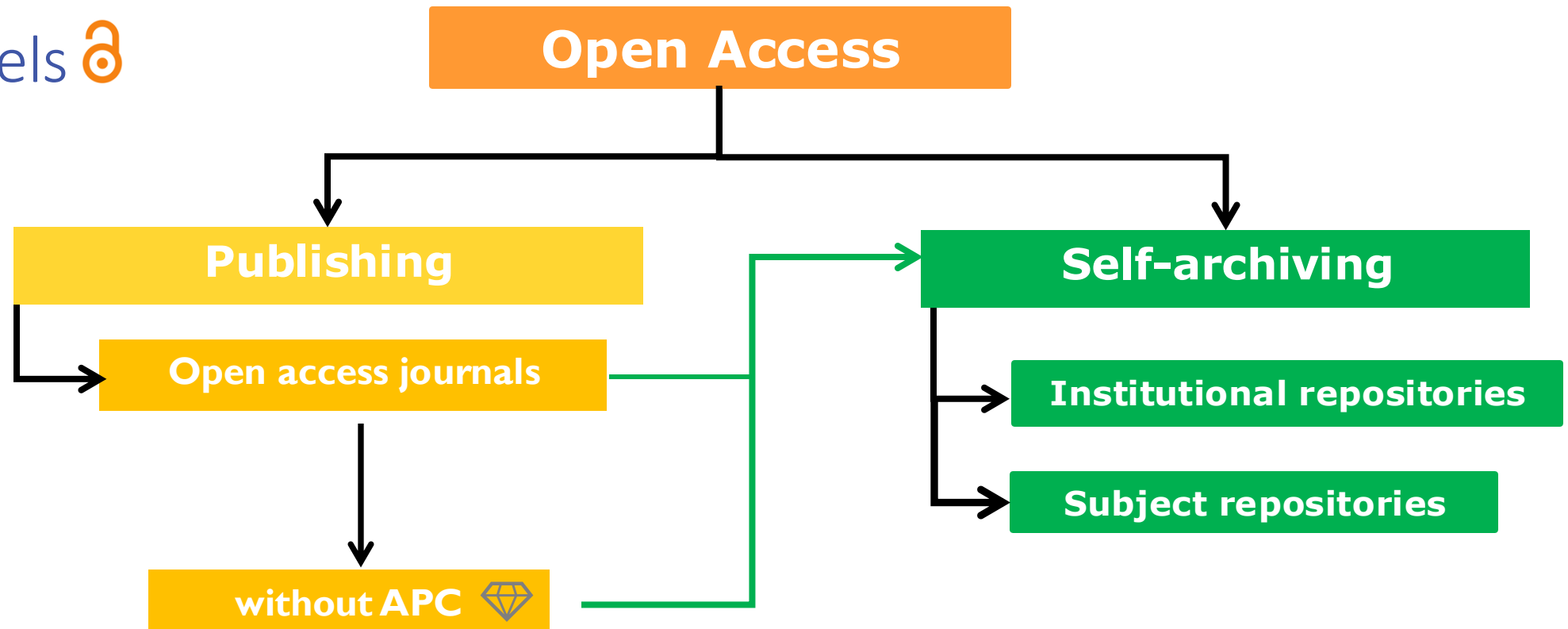


Figure 1: Summary of the 2023 TJ data

OA models



OA models



Open access without author fees

***“systematically under-noticed, under-discussed, under-appreciated, under-funded and under-used” (BOAI, 2022)***

Open access without author fees

**Here in Canada...**

Commercial publishers only represent a small number of active publishers in Canada....

→ Larivière et al. (2021) :

- Identified **825 journals** that were actively publishing in 2019
- The majority of publishers in Canada are non-commercial, contrary to global trends

## Les revues savantes canadiennes en sciences humaines et sociales

Portrait quantitatif et qualitatif

Juin 2021

Préparée par :

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Émilie Paquin  
Consortium Érudit

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→ Lange & Severson (2021) :

- Identified **485 independent journals** in Canada
- Only 41 of which were commercial publishers



The screenshot shows the website for the Journal of Electronic Publishing (JEP). The main heading is "Les revues savantes canadiennes en sciences humaines et sociales" with the subtitle "Portrait quantitatif et qualitatif". The JEP logo is visible, along with navigation links for News, Current, Archive, About, Editors, Contact, and Start Submission. The article title is "What Are the Characteristics of Canadian Independent, Scholarly Journals? Results from a Website Analysis". The authors listed are Jessica Lange (McGill University) and Sarah Severson (University of Alberta). There is a download link for the XML file and information about the current issue (Volume 24, Issue 1, 2021).

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→ Betz et al. (2022) :

- Libraries in Canada support over **801 journals!**

The screenshot shows a Borealis dataset page. At the top, the title reads "Les revues savantes canadiennes en sciences humaines et sociales". Below the title, the Borealis logo and navigation links (Search, User Guide, Support, English, Log In) are visible. The page is part of the "UAlberta Research Data Collection" and "University of Alberta Dataserve". The dataset title is "Library publishing and hosting in Canada - Institutional responses to a 2022 questionnaire". It includes a "Share" button, "Cite Dataset" link, and "Learn about Data Citation Standards" link. The "Description" section states: "This dataset contains responses to an institutional questionnaire distributed to Canadian academic libraries with journal publishing or hosting programs. The questionnaire was conducted in both French and English, and distributed to 42 libraries identified by the authors as having programs or services in place to support journal publishing activities. 35 institutions responded between August 31, 2022 and October 20, 2022. Resulting data were cleaned and translated into English. This dataset contains information about services offered by library publishing and hosting programs, the number and types of journals being supported, and infrastructure and staffing models. We have reused and modified several questions from the 2022 Library Publishing Directory questionnaire, created by the Library Publishing Coalition and licensed under CC-BY-4.0." On the right side, there are buttons for "Access Dataset", "Contact Owner", "Share", "Dataset Metrics", and "64 Downloads". At the bottom right, there are links for "DOWNLOAD" and "Download XML", and "ISSUE" with "Volume 24 · Issue 1 · 2021".

[JEP] the journal electrice publishing

Share: f t

Article

What is Canadian Journal Analysis

Abstract

The dominance of commercial publishers (Larivière, Haustein, and Mongeon 2015) has led to a discussion in Canada focusing on alternative models for supporting independent, non-commercial, scholarly journals. Although small in number, these journals represent an important contribution to Canadian and global scholarship. They also act as a counterbalance to the increasingly for-profit nature of scholarly publishing. Despite their importance, there exists no definitive list of journals of this nature in Canada, making analysis and understanding of their characteristics difficult.

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ISSUE  
Volume 24 · Issue 1 · 2021

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- Libraries in Canada support over **801 journals!**

→ Beth et al. (2024) :

- **160 journals in Québec** ; 50% en français ; 2/3 open access; <5 % commercial

**Les revues savantes canadiennes en sciences humaines et sociales**

Reconnaitre, valoriser, renforcer

VERSION FINALE NON RÉVISÉE  
NI MISE EN PAGE

Recommandations issues du Symposium québécois des revues savantes

ISSUE  
Volume 24 · Issue 1 · 2021

## Canadian publishing ecosystem

The screenshot displays the Érudit website interface. At the top left is the 'Érudit' logo. In the top right corner, there are links for 'Types de publications' and 'Connexion'. The main navigation area includes 'Recherche' with a search bar containing the placeholder text 'Par auteur, titre, mots-clés...' and a magnifying glass icon. Below the search bar, there are links for 'Recherche avancée', '→ Revues', '→ Livres et actes', '→ Thèses et mémoires', and '→ Rapports de recherche'. The 'Derniers numéros' section features five featured journal covers with their respective titles and volume information:

- Sciences humaines et sociales**: Newfoundland and Labrador Studies, Volume 37, numéro 2, 2022. De la revue Newfoundland and Labrador Studies.
- Sciences humaines et sociales**: Informal Logic, OSSA13 Keynotes and Joint Blair Prize Winners, Volume 44, numéro 3, 2024. De la revue Informal Logic.
- Anthropologie et ethnologie**: Ethnologies, Identités alimentaires au Québec, Volume 46, numéro 1, 2024. De la revue Ethnologies.
- Histoire, Sciences humaines et sociales, Études des arts et des lettres**: Culture Trad Québec, Allons danser ! Numéro 1, 2022. De la revue Culture Trad Québec.
- Éducation**: MJE/RSEM, Volume 58, numéro 2, printemps 2023-2024. De la revue McGill Journal of Education / Revue des sciences de l'éducation de McGill.
- Sciences humaines et Psychologie, Sciences Humain et Organ**: Numéro thématique: Dotation et carrière, Volume 8, numéro 1. De la revue Hum Organisation.

## Canadian publishing ecosystem

érudit

Recherche

Par auteur, titre, mots-clés...

→ Revues  
→ Livres et actes  
→ Thèses et mémoires  
→ Rapports de recherche

Derniers numéros

Sciences humaines et sociales  
Newfoundland and Labrador Studies  
Volume 37, numéro 2, 2022  
De la revue Newfoundland and Labrador Studies

Sciences humaines et sociales  
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De la revue Informal Logic

Anthropologie  
Ethnologies  
Identités alimentaires au Québec  
Volume 46, numéro 1, 2024  
De la revue Ethnologies

Allons danser!  
Numéro 1, 2022  
De la revue Culture Trad Québec

Volume 58, numéro 2, printemps 2023-2024  
De la revue McGill Journal of Education / Revue des sciences de l'éducation de McGill

De la revue Hum Organisation

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> OHP: FOR BOOKS

OJS  
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### OPEN JOURNAL SYSTEMS

Manage your entire researcher-to-reader workflow for submission, peer review, and production from one place with OJS, the world's most widely used end-to-end scholarly publishing platform.

Publish articles and issues online and have them fully indexed in global discovery services like Google Scholar, Crossref, DOAJ, and many others. Are you wondering what the workflow looks like? Access a schematic of OJS's publishing workflow

## Canadian publishing ecosystem

Érudit

Recherche

Par auteur, titre, mots-clés...

→ Revues  
→ Livres et actes  
→ Thèses et mémoires  
→ Rapports de recherche

Derniers numéros

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Allons danser !  
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Volume 58, numéro 2, printemps 2023-2024  
De la revue McGill Journal of Education / Revue des sciences de l'éducation de McGill

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PKP PRESERVATION NETWORK  
GLOBAL USAGE OF OJS  
OPS: FOR PREPRINTS  
OMP: FOR BOOKS

OJS  
Open Journal Systems

OPEN JOURNAL SYSTEM

Manage your entire researcher-to-reader workflow the world's most widely used end-to-end scholarly publishing workflow.

Publish articles and issues online and have them featured in DOAJ, and many others. Are you wondering what to do next?

## GLOBAL USAGE OF OJS

More than 8 million items have been published with Open Journal Systems, our open-source publishing software trusted by more than a million scholars in almost every country on the planet.



We found 34,072 journals that published 5 or more items in 2021 using OJS. [View source.](#)

## Canadian publishing ecosystem

Screenshot of the Érudit website homepage. The page features a search bar, navigation links for 'Recherche', 'Revues', 'Livres et actes', 'Thèses et mémoires', and 'Rapports de recherche'. It also displays 'Derniers numéros' with featured journal covers such as 'Informal Logic', 'Ethnologie', and 'Culture Trad Québec'.

Screenshot of the SFU PKP website. The page is titled 'GLOBAL USAGE OF OJS' and features a world map with statistics: 1,510 in North America, 5,932 in Europe, and 213 in Central & South America. The page also includes a navigation menu and a 'COALITION PUBLICA' logo.

## A Game-changing Initiative for Scholarly Publishing in Canada

→ Coalition Publica is a partnership between Érudit and the Public Knowledge Project to advance research dissemination and digital scholarly publishing in Canada. Together, we are supporting the social sciences and humanities journal community in the transition towards sustainable open access.

→ We are developing a non-commercial, open source...

Academic reward system

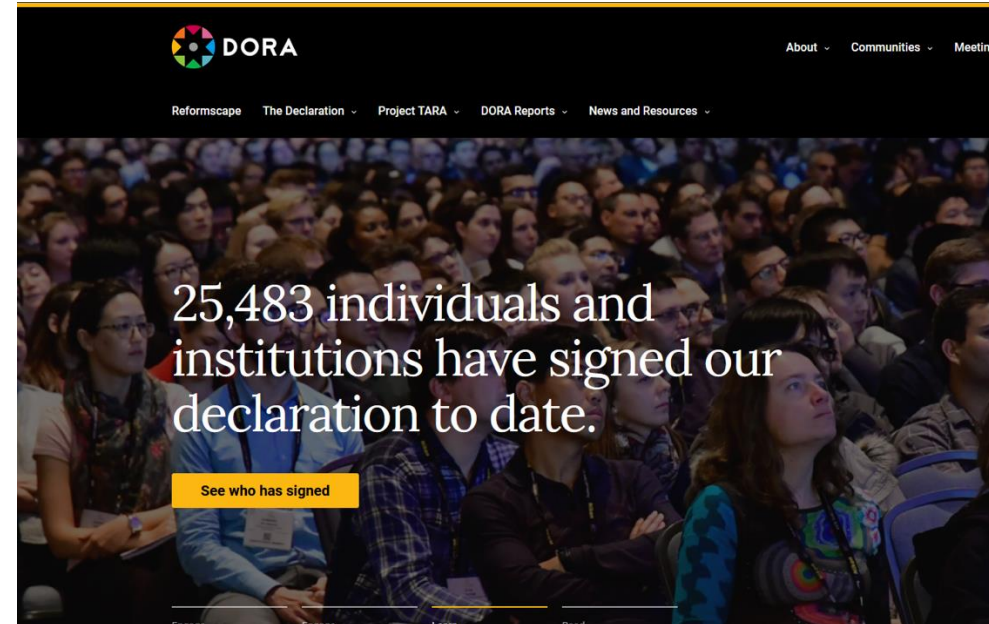
*But...academia does not consider these publishing venues as prestigious as many commercial journals*

Academic reward system

The conversation is changing with  
advances to reform research  
assessment

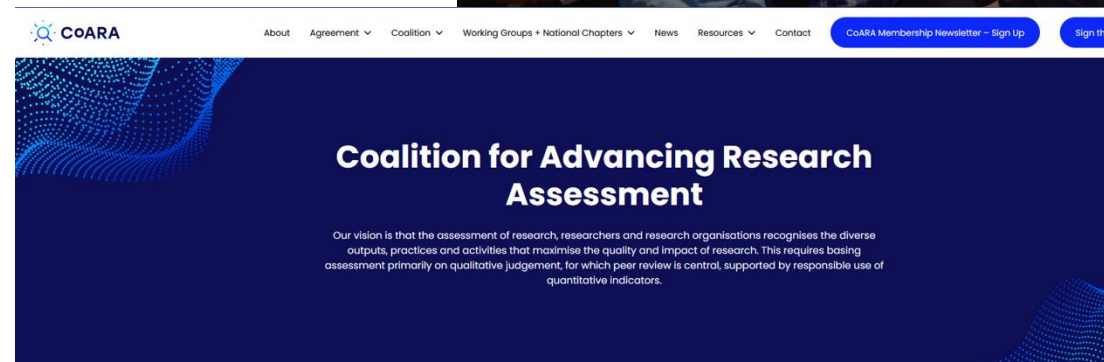
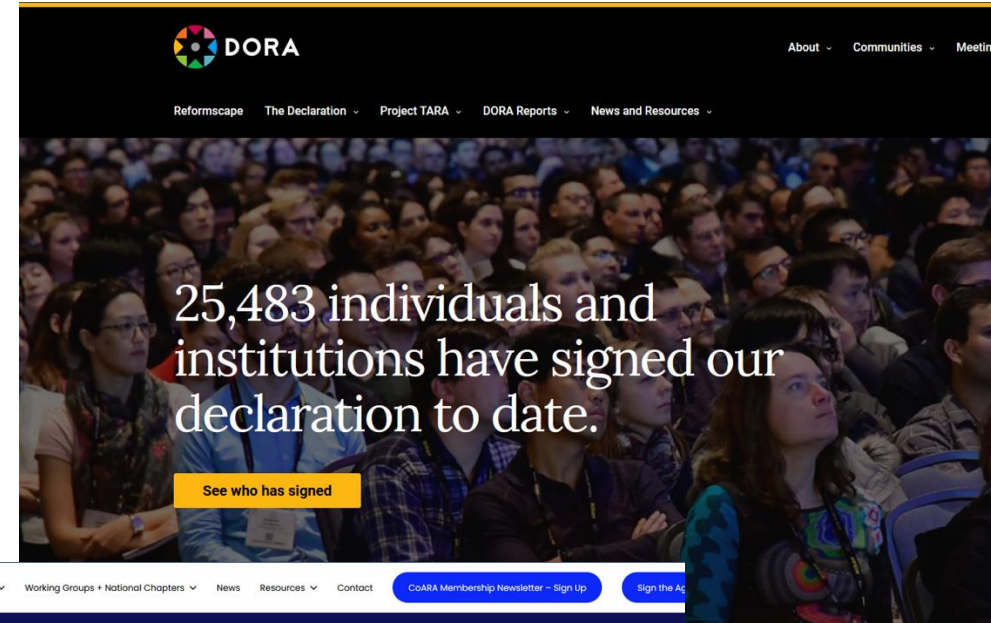
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The conversation is changing with advances to reform research assessment



## Academic reward system

The conversation is changing with advances to reform research assessment



### The Agreement

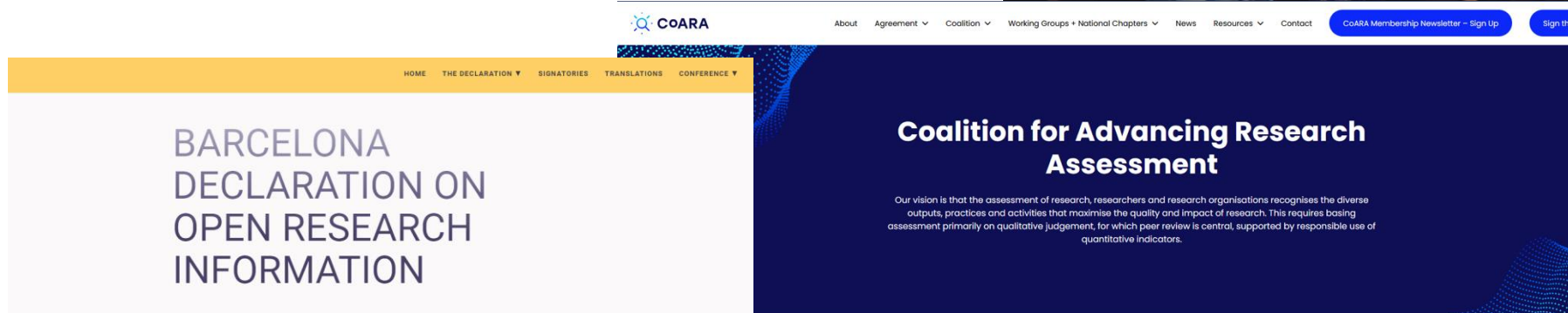
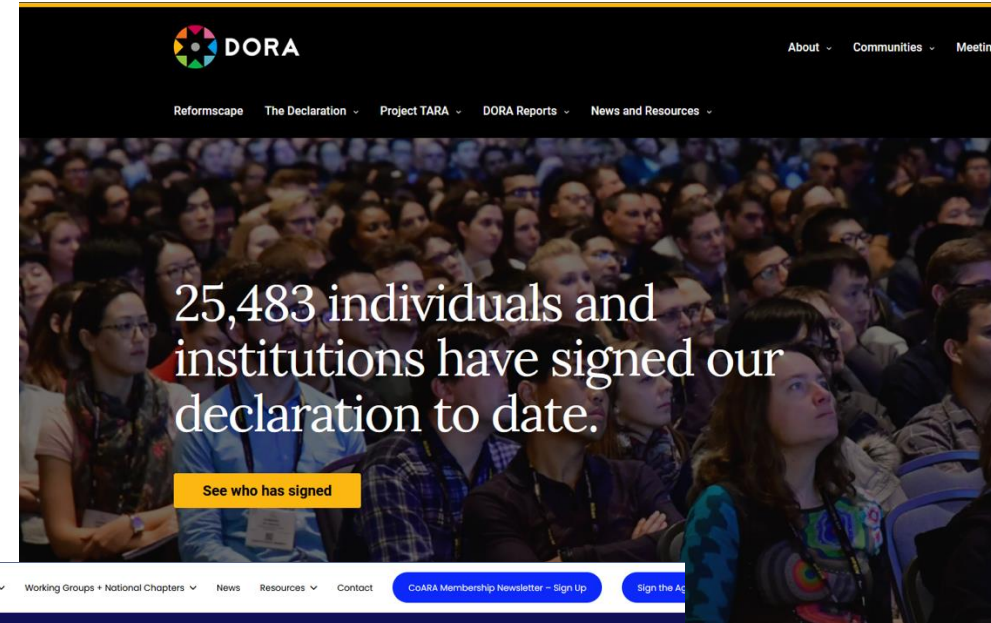
Based on 10 commitments, establishes a common direction for research assessment reform, while respecting organisations' autonomy. The Agreement on Reforming Research Assessment sets a shared direction for changes in assessment practices for research, researchers and research performing organisations, with the overarching goal to maximise the quality and impact of research.

The Agreement includes the principles, commitments and timeframe for reform and lists out the principles for a Coalition of organisations



## Academic reward system

The conversation is changing with advances to reform research assessment



The research information landscape requires fundamental change. The signatories of the Barcelona Declaration on Open Research Information commit to taking a lead in transforming the way research information is used and produced. Openness of information about the conduct and communication of research must be the new norm.

Open research information enables science policy decisions to be made based on transparent evidence and inclusive data. It enables information used in research evaluations to be accessible and auditable by those being assessed. And it enables the global movement toward open science to be supported by information that is fully open and transparent.

To this end, we, as organizations that carry out, fund and evaluate research, commit to the following:

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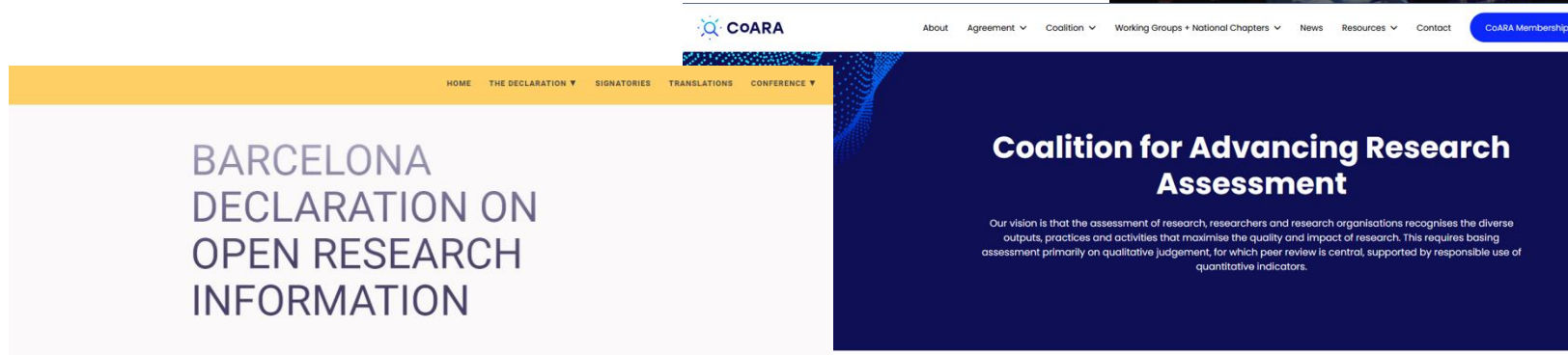
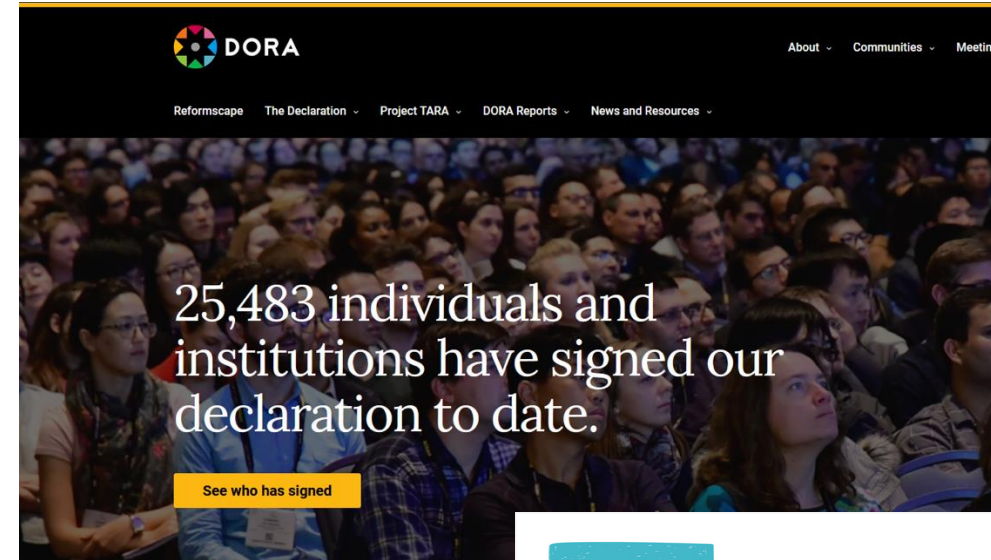
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# Background

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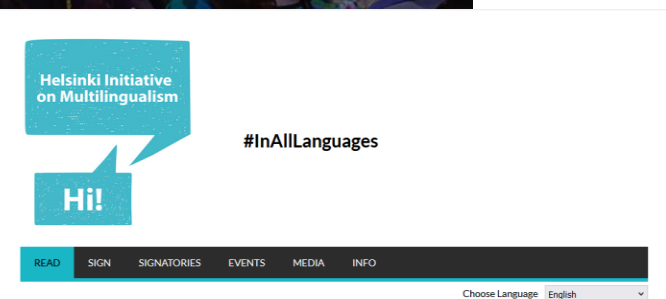
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### Helsinki Initiative on Multilingualism in Scholarly Communication

Research is international. That's the way we like it! Multilingualism keeps locally relevant research alive. Protect it! Disseminating research results in your own language creates impact. Endorse it! It is vital to interact with society and share knowledge beyond academia. Promote it! Infrastructure of scholarly communication in national languages is fragile. Don't lose it

The signatories of the Helsinki Initiative on Multilingualism in Scholarly Communication support the following recommendations to be adopted by policy-makers, leaders, universities, research institutions, research funders, libraries, and researchers:

- 1. Support dissemination of research results for the full benefit of the society.**
  - Make sure researchers are merited for disseminating research results beyond academia and for interacting with heritage, culture, and society.
  - Make sure equal access to researched knowledge is provided in a variety of languages.
- 2. Protect national infrastructures for publishing locally relevant research.**
  - Make sure not-for-profit journals and book publishers have both sufficient resources and the support needed to maintain high standards of quality control and research integrity.
  - Make sure national journals and book publishers are safeguarded in their transition to open access.
- 3. Promote language diversity in research assessment, evaluation, and funding systems.**



# Estimating APCs paid to the Big 5 Publishers 2015-2018

## Motivation

- Lack of transparency around the payment of APCs
- Need for reliable data to support evidence-based decision-making
- Unsustainability of the author-pays model
- Resources intended to support research are leaving academia to maximize shareholder profits

*“If you end up paying [APCs], then you’re losing funds for other things, like laboratory chemicals,” says Kowaltowski, who this year received a L’Oréal-UNESCO For Women in Science International Award for her research. And she wasn’t eager to tap her monthly paycheck of about \$3500 after taxes.” Science.*

Brainard, J. (2024). Is the pay-to-publish model for open access pricing scientists out? Science. <https://doi.org/10.1126/science.zp80ua9>

## Methods

### Global data (Butler et al. 2023)

- Articles with DOI 2015-2018 (Web of Science)
  - Number of publications per journal per year
  - Big 5 (Elsevier, Springer Nature, Sage, Taylor & Francis, Wiley) publishers and associated imprints and/or subsidiary publishers
- Article-level OA status (Unpaywall)
  - Gold or hybrid journals
- APC list prices

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### Canadian Tri-Agency data (Butler, 2023)

- *Same as above*
- Publications with institutional address in Canada
- Funding acknowledgements (WoS)
  - Acknowledging funding from Tri-Agency (CIHR, SSHRC, NSERC)

# Estimating APCs

## Internet Archive Wayback Machine

Annual list price: 2015

The screenshot shows the journal's homepage with various navigation and information sections. A callout box in the foreground contains the text:

1 December 2015:  
\$3,000

The website content includes:

- JOURNAL TOOLS:** Get New Content Alerts, Get RSS feed, Save to My Profile, Get Sample Copy, Recommend to Your Librarian.
- JOURNAL MENU:** Journal Home.
- FOR CONTRIBUTORS:** OnlineOpen, Author Guidelines, Submit an Article.
- ABOUT THIS JOURNAL:** Overview, Editorial Board, Permissions, Advertise, Contact.
- Journal Information:** Edited By: Charles A. Nelson, Michelle de Haan, and Paul C. Quinn; Impact Factor: 3.808; ISI Journal Citation Reports © Ranking: 2014: 7/68 (Psychology Developmental); 8/85 (Psychology Experimental); Online ISSN: 1467-7687.
- OnlineOpen – Wiley's Open Access Option:** OnlineOpen is available to authors who wish to make their article open access and available to all on Wiley Online Library, including those who don't subscribe to the journal. Wiley will also submit your published article in PubMed Central and PMC mirror sites.
- Cost:** The cost for OnlineOpen is US\$3,000, which can be paid by the author, the author's funding agency, or the author's institution.
- Copyright and open access licenses:** Authors choosing OnlineOpen will retain copyright in their articles and will be offered a choice of creative commons licenses.

Butler, L.-A., Matthias, L., Simard, M.-A., Mongeon, P., & Haustein, S. (2023). The Oligopoly's Shift to Open Access. How the Big Five Academic Publishers Profit from Article Processing Charges (Version v3). Zenodo. <https://doi.org/10.5281/zenodo.7806651>

Butler, L.-A. (2023). *Funding the Business of Open Access: A Bibliometric Analysis of Article Processing Charges, Research Funding, and the Revenues of the Oligopoly of Publishers.* <https://doi.org/10.20381/RUOR-28896>

# Estimating APCs



## Internet Archive Wayback Machine

Annual list prices: 2015 vs 2022 vs 2023

INTERNET ARCHIVE  
Wayback Machine

37 captures  
27 Jul 2012 - 25 Dec 2018

http://onlinelibrary.wiley.com/journal/10.1111/%28ISSN%291467-7687/homepage/FundedAccess.html

Go MAY DEC MAY  
2014 2015 2017

Wiley Online Library  
University of Ottawa

Developmental Science

1 December 2015:  
\$3,000

27 September 2022 :  
\$3,900

23 May 2023 :  
\$4,020

Gold Open Access

This journal offers authors the chance to publish their articles available to read, download and share.

Submissions will be subject to an APC if accepted and published in the journal: GBP/ 3,250 EUR.

Payment must be received for the article to be made open access. This applies to authors who are not members of a Wiley Open Access Account.

Article Publication Charges

Developmental Science offers authors the ability to publish their articles available to read, download, and share.

If the Open Access option is selected, submissions will be subject to an APC if accepted and published in the journal: \$4020 USD / £2730 GBP / €3350 EUR

Authors who receive funding from an agency or institution with a Wiley Open Access Account do not pay directly. The charge is paid by the institution or funder. Authors whose institutions have paid the Wiley Open Access partner fee are eligible for a discount on the APC and on acceptance a discounted fee is payable by the author. Please see Wiley's pages on agreements with Funders, Institutions and our Author Compliance Tool to find out more about what arrangements your funder may have made to pay for Open Access. More details are available here.

Taxes on Publication Charges

The prices quoted do not include any value-added tax (VAT), goods and services tax (GST), or other sales taxes. Tax may be charged in addition to the price shown where required by law. The amount of tax charged will be calculated at the point of sale and identified separately.

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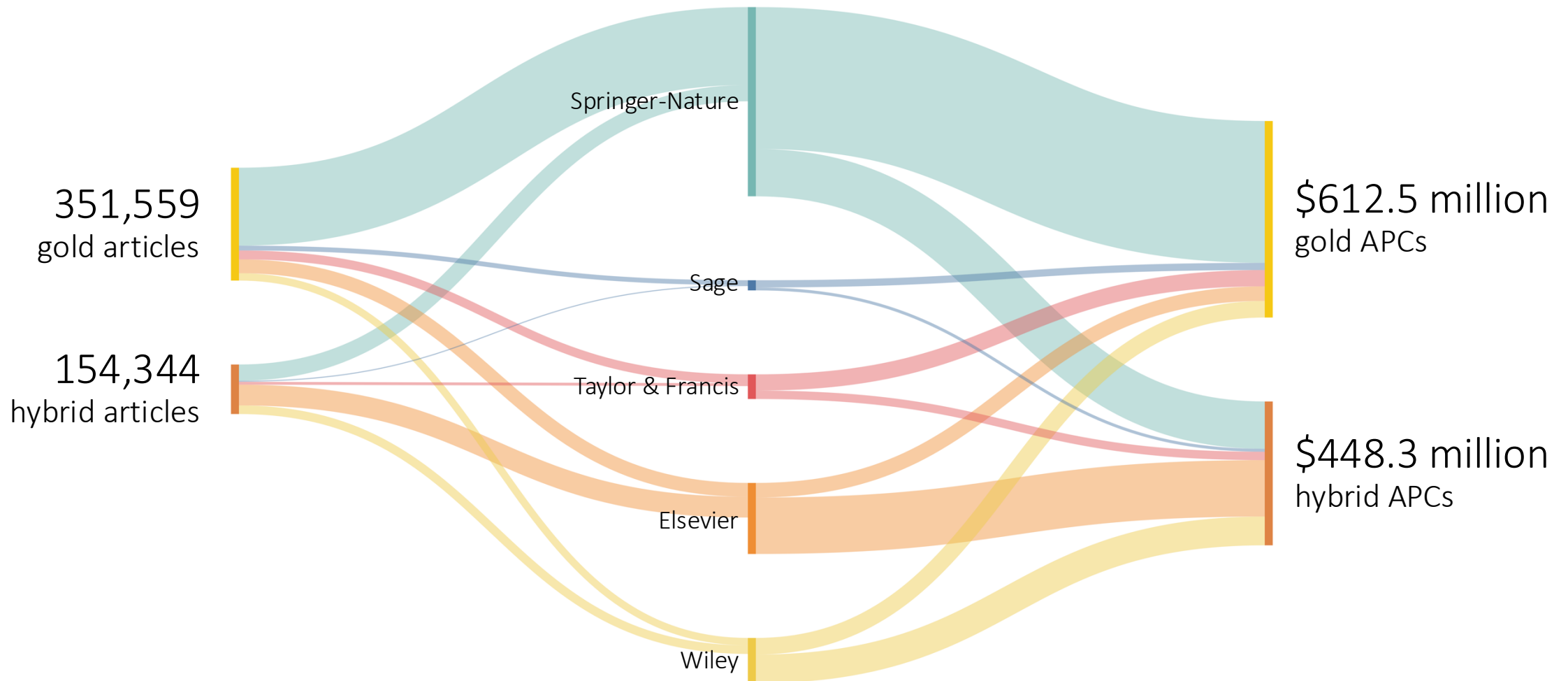
Browse free sample issue

Subscribe to this journal

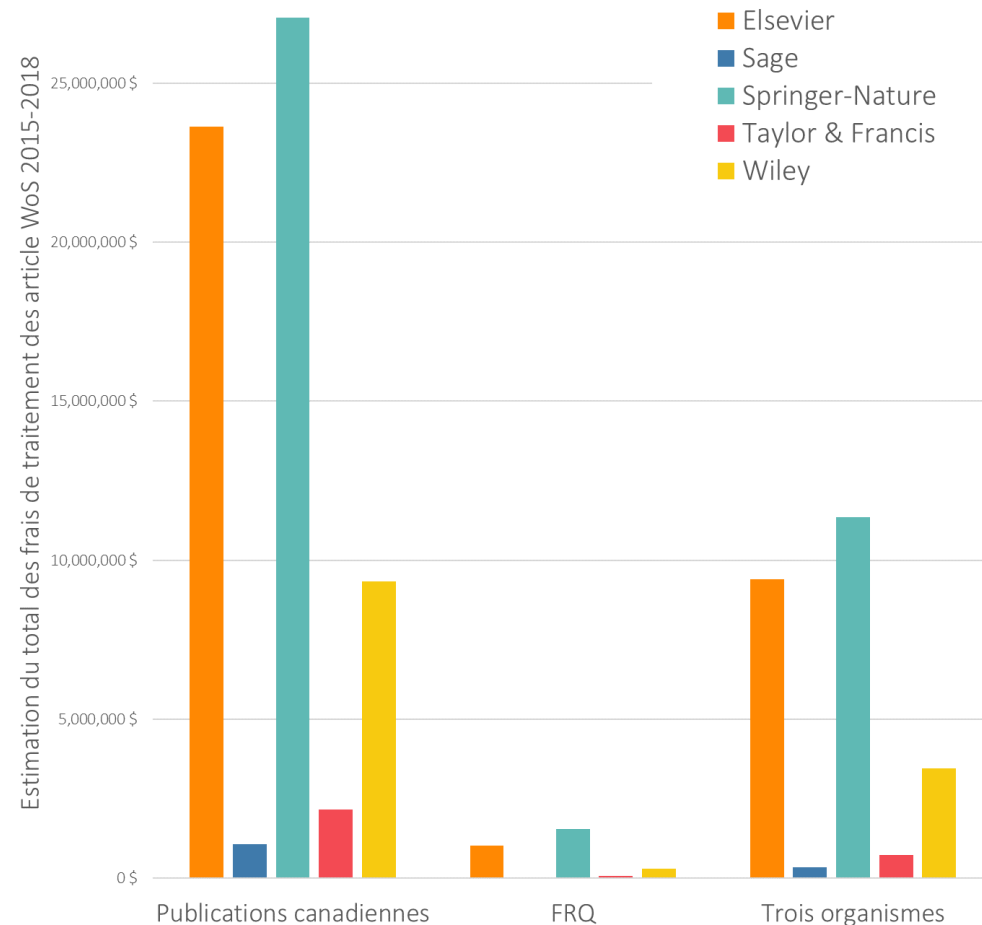
https://onlinelibrary.wiley.com/page/journal/14677687/homepage/fundedaccess.html

# Estimating APCs

## Estimation of global APCs paid to Big 5 publishers 2015-2018



## Canadian APC expenditure 2015-2018



Estimates of APCs paid to the “Big 5” (articles WoS 2015-2018)	Article Processing Charges		
	Total	Average Gold	Average Hybrid
Canadian Publications	\$ 63 270 240	\$ 1 868	\$ 2 992
FRQ	\$ 3 004 580	\$ 1 641	\$ 3 240
Tri-Agencies	\$ 25 305 571	\$ 1 904	\$ 2 973
CIHR	\$ 13 638 033	\$ 2 191	\$ 3 390
NSERC	\$ 12 980 187	\$ 1 701	\$ 2 780
SSHRC	\$ 719 851	\$ 1 468	\$ 2 535



Annual APC dataset for six scholarly publishers (2019-2023)

## Building the open dataset

APC list prices from

→ *annual pricelists*

→ *scraped from journal web pages*

Collated into dataset

→ *manual and automated methods used to combine files*

→ *process of data cleaning and metadata enrichment*

Publisher	OA status	Number of journal-year combinations	APC in USD		
			Min	Max	Average
all publishers		36,618	0	11,690	2,859
	Gold	8,499	0	8,900	1,977
	Hybrid	26,993	0	11,690	3,137
	No OA status provided	16	1,250	3,400	2,288
	No APC provided	1,110		<i>n/a</i>	
Elsevier		12,478	150	10,100	2,736
	Gold	2,515	200	8,900	1,891
	Hybrid	9,582	150	10,100	2,959
	No OA status provided	16	1,250	3,400	2,288
	No APC provided	365		<i>n/a</i>	
Frontiers	Gold	618	0	3,295	2,093
MDPI		1,676	0	2,895	1,383
	Gold	1,676	0	2,895	1,383
	No APC provided	32		<i>n/a</i>	
PLOS	Gold	50	1,595	6,300	2,740
Springer Nature		13,422	0	11,690	3,041
	Gold	2,312	0	6,850	2,348
	Hybrid	10,398	0	11,690	3,195
	No APC provided	712		<i>n/a</i>	
Wiley		8,374	0	6,100	3,106
	Gold	1,360	0	5,740	2,139
	Hybrid	7,013	950	6,100	3,294
	No APC provided	1		<i>n/a</i>	

# Annual APCs

## Open dataset

Average gold and hybrid APC prices per publisher

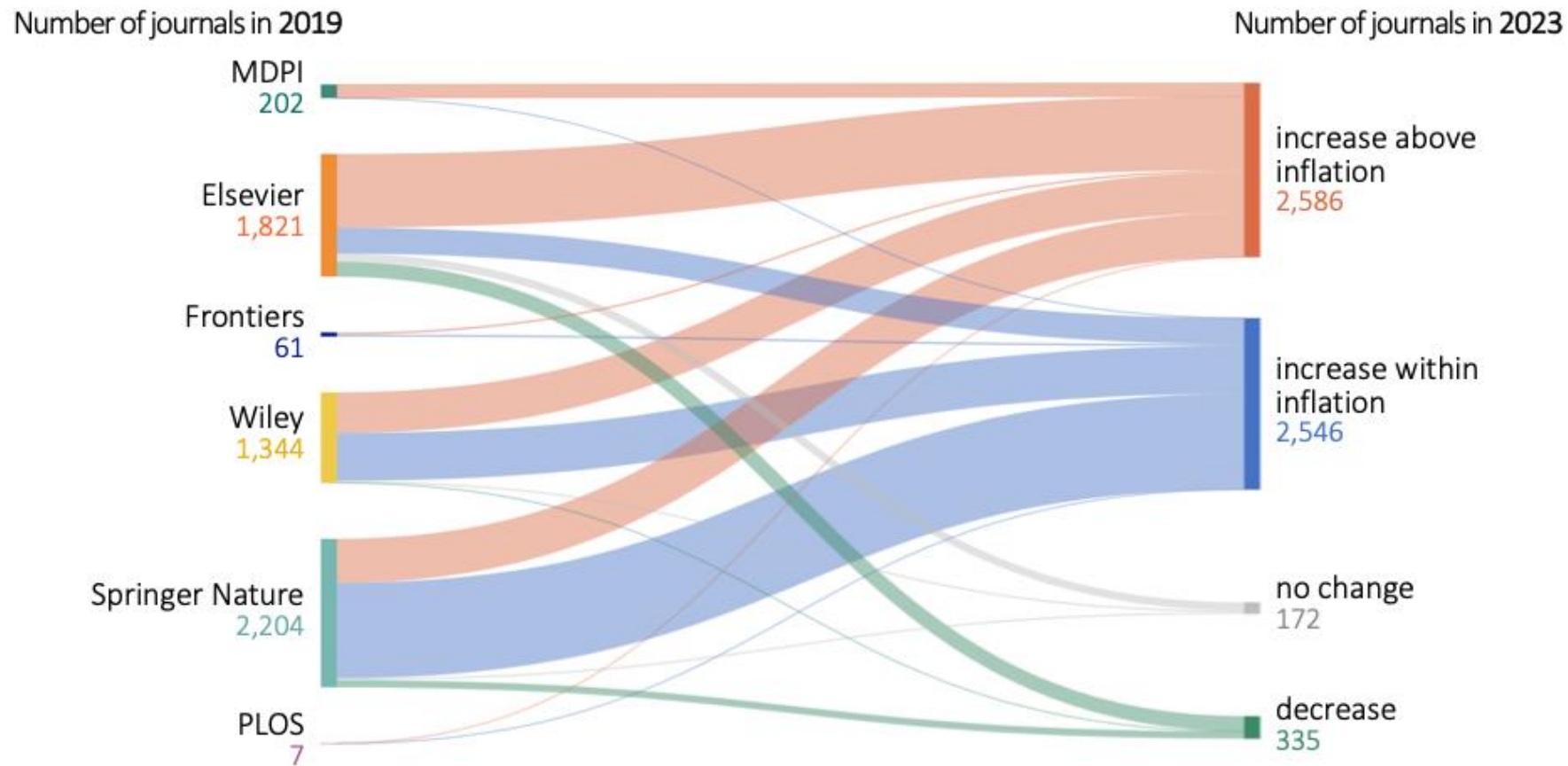


Butler, L.-A., Hare, M., Schönfelder, N., Schares, E., Alperin, J.P., & Haustein, S. (2024). *An open dataset of article processing charges from six large scholarly publishers (2019-2023)*. arXiv. <https://arxiv.org/pdf/2406.08356>

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# Annual APCs

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# Estimating global APC expenditure

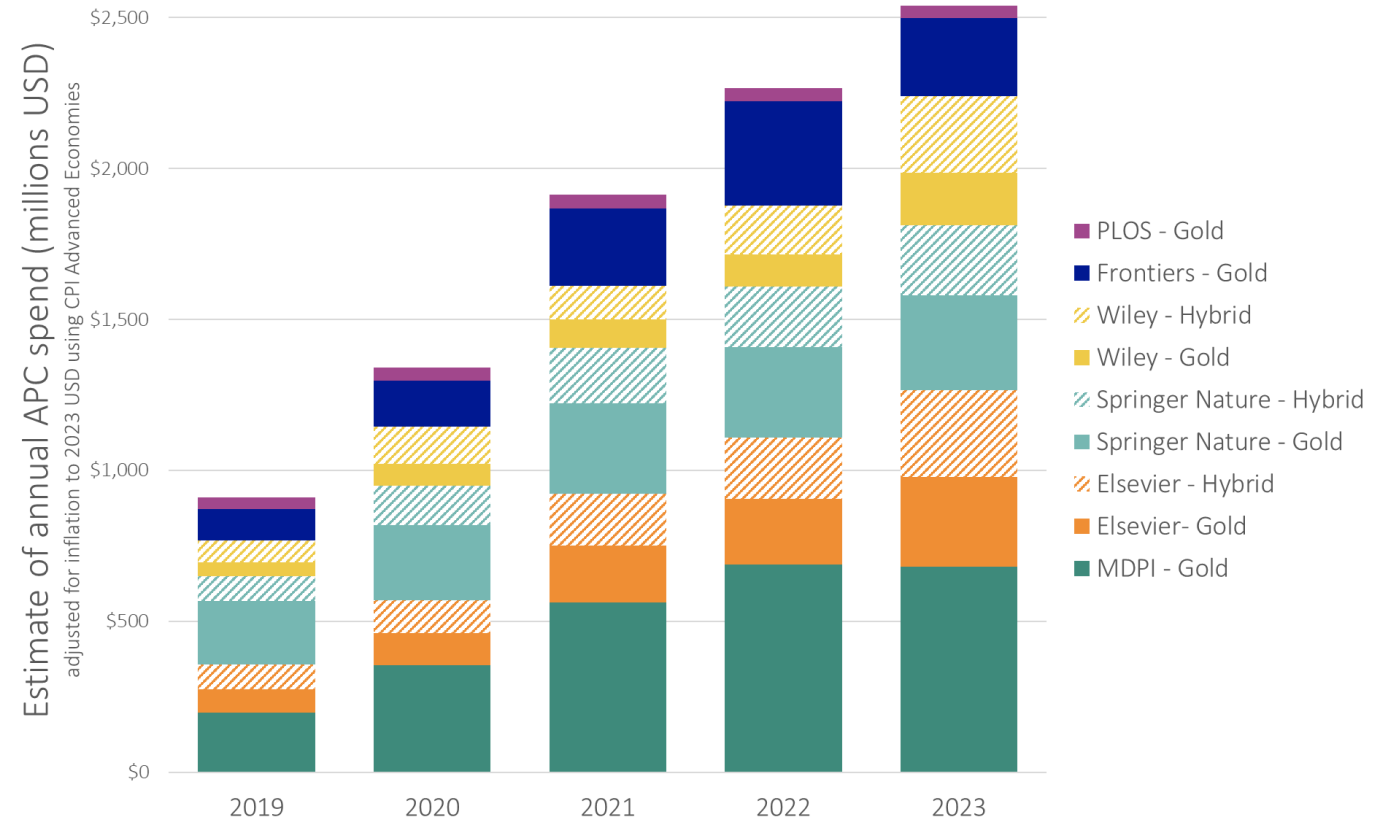
## Methods

- Number of “APC-able” papers per journal per year 2019-2023
  - Data from **OpenAlex**
  - Comparisons to **Dimensions** and **Web of Science**
- Determining hybrid and gold OA paper
  - Gold: all “APC-able” papers in a journal
  - Hybrid: those with a CC-BY license (excluding delayed OA)  
*OpenAlex/Unpaywall improved OA status based on our feedback*
- Estimating spent based on number of papers per journal per year with respective annual APC, adjusted for inflation to 2023 USD
- Considering 100% waivers in list price, but no individual waivers

# Estimating global APC expenditure

## Estimating global APC spend 2019-2023

- Over **\$US 8 billion** paid globally to six large publishers for APCs
- Hybrid spend grew faster than gold

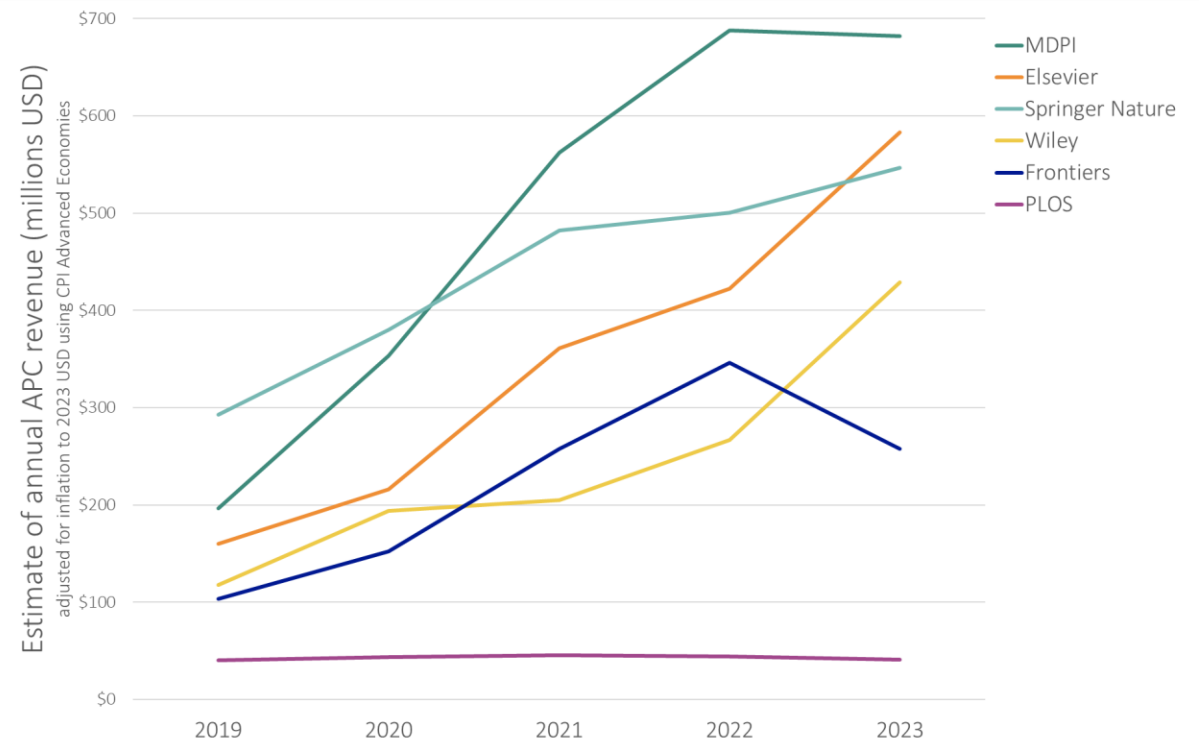


# Estimating global APC expenditure

## Estimating global APC revenue 2019-2023

Largest increases of revenues from OA fees from 2019-2023 (adjusted for inflation):

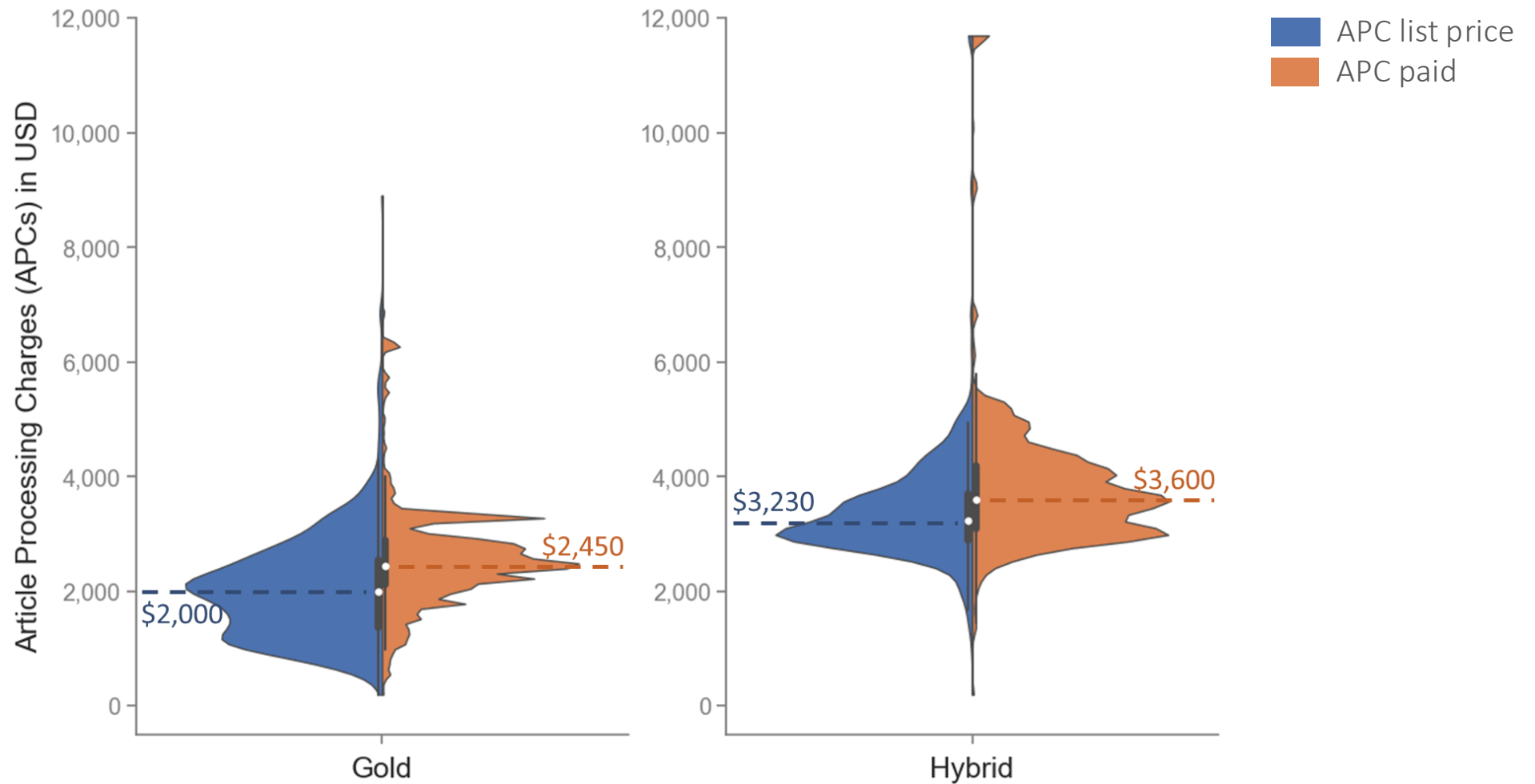
- Elsevier (265.0%)
- Wiley (263.7%)
- MDPI (247.2%)



Estimate of annual APC revenue (in millions USD) by publisher adjusted for inflation for 2023 USD using CPI Advanced Economies

# Estimating global APC expenditure

## Listed vs paid APCs 2023



## Limitations

- Dataset collates information provided by publishers
- Results are an estimate due to a lack of transparency around APCs
- Do not consider individual and institutional discounts and waivers due to limits in publicly accessible information
- Do not consider read-and-publish agreements



# Conclusions

## Conclusions and outlook

→ Studies estimating APC expenditure shows us that:

- a massive amount of money is spent on APCs
- APC expenditure is growing at an unsustainable rate
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  - there is a disconnect between APC pricing and the cost to publish
- Various publishing models and initiatives:
  - OA with no APC
  - Community-based models
  - Open infrastructure
- Change the system:
  - Untangling academic reward system from publisher prestige
  - Financial support of publishing, not companies

## Conclusions

“To encourage fairer, more diverse open access practices worldwide, governments, research funders and UNESCO **should financially and institutionally support a wide range of actors**...rather than giving precedence and fiscal advantage to international, for-profit, unilingual publishing industries.”

Chan et al. (2020)



Merci | Thank you!

[scholcommlab.ca](http://scholcommlab.ca)

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