

2016/17

ANNUAL REPORT TO THE COMMUNITY

TAKE CONTROL OF YOUR PUBLISHING

PKP | PUBLIC KNOWLEDGE PROJECT

pkp.sfu.ca



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WHO WE ARE

The Public Knowledge Project develops free, open source software, provides services and learning opportunities, and conducts research to improve the quality and reach of scholarly publishing. We are best known for our Open Journal Systems software, currently used by over 10,000 journals around the world.

Our research home is located at Stanford University and our operational and software

development home is at the Simon Fraser University Library. We are served by active and involved Advisory, Technical, and Members Committees, comprised of volunteer community members. PKP works closely with our community of users, strategic partners, and other researchers, publishers, editors, libraries, software developers, and organizations to help ensure a robust, sustainable, and open alternative for scholarly publishing.



The Public Knowledge Project.



■ Introductions



In 2016, SFU nominated PKP for an Impact Award from the Social Sciences and Humanities Research Council (SSHRC), Canada. I was delighted when SSHRC announced PKP as the recipient of the Connection Award for work across the social sciences and humanities representing “an outstanding SSHRC-funded initiative to facilitate the flow and exchange of research knowledge within and/or beyond the academic community” for the R&D work of the Public Knowledge Project over the last decade. The award was especially fitting as PKP can trace its roots to a SSHRC grant in 2000 to John Willinsky and Richard Smith, his SFU co-applicant, which initiated PKP’s R&D program and led to its recognized status as a key enabler of the global open access movement.

JOY JOHNSON

VP Research, Simon Fraser University

PKP’s 5 year plan for 2011-2016 successfully accomplished the financial and other goals that it identified. In 2011, an annual revenue goal of one million dollars seemed daunting, but PKP has already met and exceeded that milestone in 2016. PKP’s planning activities and continuing organizational development are essential components for a healthy organization. Work has commenced on the next 5 year planning cycle to ensure that PKP builds on that strong foundation and continues to provide the software and other services that our growing user community rely upon heavily. In late 2016, PKP also started the process of formally clarifying the organizational relationship between PKP and the SFU Library. In many respects this is a logical continuation of PKP’s organizational evolution during the past decade (as acknowledged in the Copeland report of 2014).



TIMOTHY DELIYANNIDES

Chair of the PKP Advisory Committee; Director,
Office of Scholarly Communication and Publishing;
and Head, Information Technology,
University of Pittsburgh

■ Research

Research has moved on multiple fronts this year including the open access co-op publishing study, the Intellectual Properties of Learning project, and the understanding social impact of research through social media project.

Open Access Co-op Publishing Study

In 2016 we continued to explore the viability of open access publishing cooperatives, with progress in developing both financial and conceptual models. The bulk of the work has been focused on the Canadian, Libraria (anthropology/archeology) and biomedical case studies. Although our initial goal of a pilot co-op has remained elusive, the financial modeling has demonstrated (a) how a co-op with a ratio of two-three (previously) subscription journals to one existing open access journals would be feasible (Canadian Case Study); (b) how to calculate a mode in which societies, publishers, and libraries could maintain their current revenue and expense levels within non-APC open access model (Libraria Budget Projections); and (c) how direct payments by funding agency to cover publishing costs for articles with research they sponsored, with libraries covering the costs of unsponsored research could provide a non-APC open access model that is scalable across disciplines and funding levels (Biomedical Case Study).

Open Typesetting Stack


The team working on Open Typesetting Stack -- most often including Alex Garnett, Juan Pablo Alperin, and Kassim Machioudi -- continued to make strides toward wider production use of our tools. We made further small improvements to the accuracy of our automated parsing stack (specifically, PDF image formatting and inline reference tagging), and worked with Substance Software GmbH on a second round of improvements to their WYSIWYG open source editor for JATS XML, called Texture. A plugin for OJS3 that integrates the Open Typesetting Stack API and Texture was developed and released as an early beta to our publishing and development partners to lay the groundwork for document-centric, XML-native workflows in OJS; we expect to announce a wider release later this year incorporating UX feedback and additional improvements to Texture and OTS.

The Intellectual Properties of Learning Project

This decade-long endeavor covering the history of learning from the fourth- to the seventeenth-century was, finally, submitted and accepted for publication at the University of Chicago Press, and is due out in 2017 as *The Intellectual Properties of Learning: A Prehistory from Saint Jerome to John Locke*.

Understanding Social Impact of Research through Social Media

This SSHRC-funded project asks: what is the nature and extent of societal impact of research that can be observed through the public's engagement with research on social media? This project brings together collaborators from across Simon Fraser University and the Université de Montréal to use social media metrics (often referred to as *altmetrics*) as a window into the broader public impacts that research has. It combines computational techniques (including network analysis and natural language processing), innovative methods (such as Twitter bot surveys), and traditional qualitative methods (such as interviews, surveys, and focus groups) to explore the intersection of academia and the public.



Learn more about the OA Cooperative Project
<http://oa-cooperative.org>

■ Software

2016 was a year of particularly intense development effort, culminating in two major releases of our flagship applications. This work involved continuing improvements to our UI/UX workflow and many of the tools underlying the last decade of software development at PKP.

Open Journal Systems

After years of intensive development, PKP was proud to release OJS 3.0 in August 2016. This is potentially PKP's single most important software release, and begins the transition of development efforts away from the reliable but aging OJS 2.x codebase and into a much more modern and nimble environment.

Open Monograph Press

PKP released OMP 1.2.0 in April 2016. OMP 1.2.0 is the first major release to demonstrate the potential for rapid progress made possible by ongoing alignment of OJS (3.x) and OMP codebases. This work will be realized further in 2017 with synchronized releases of OJS and OMP platform.

Open Conference Systems

2016 marked the second successive year without an OCS release as the team focused on intensive development of OJS and OMP. PKP has recently announced future plans for OCS, thanks to extensive code reuse made possible by rapid development of the PKP-lib shared library underlying recent OMP and OJS releases. Watch for developments next year!

Open Harvester Systems

OHS continues to prove capable despite the lack of recent releases. The PKP Index was launched in 2016 using OHS as its underlying technology.



Services

In addition to our research and software development activities, PKP is committed to building publishing services to help our community succeed in their publishing activities. When we started PKP back in 1998, we couldn't have imagined the digital publishing landscape of today and the infrastructure requirements for online communities and learning, digital preservation, public identifiers, and more. We're pleased to be able to offer these services that allow our users to fully participate in 21st Century publishing.

<http://forum.pkp.sfu.ca>

Community Forum

The PKP Community Forum continues to be the primary communication mechanism with our global user community, where questions are posted and solutions are found. Our community has continued to strengthen over the past year, with increasing voluntary participation. Thanks again this year go out to Clinton Graham, a Systems Developer with the University of Pittsburgh's University Library System, for providing leadership on the forum. We'd also like to acknowledge the contributions of active users such as @ajnyga, @vitaliy, and @vvucic. Thank you!

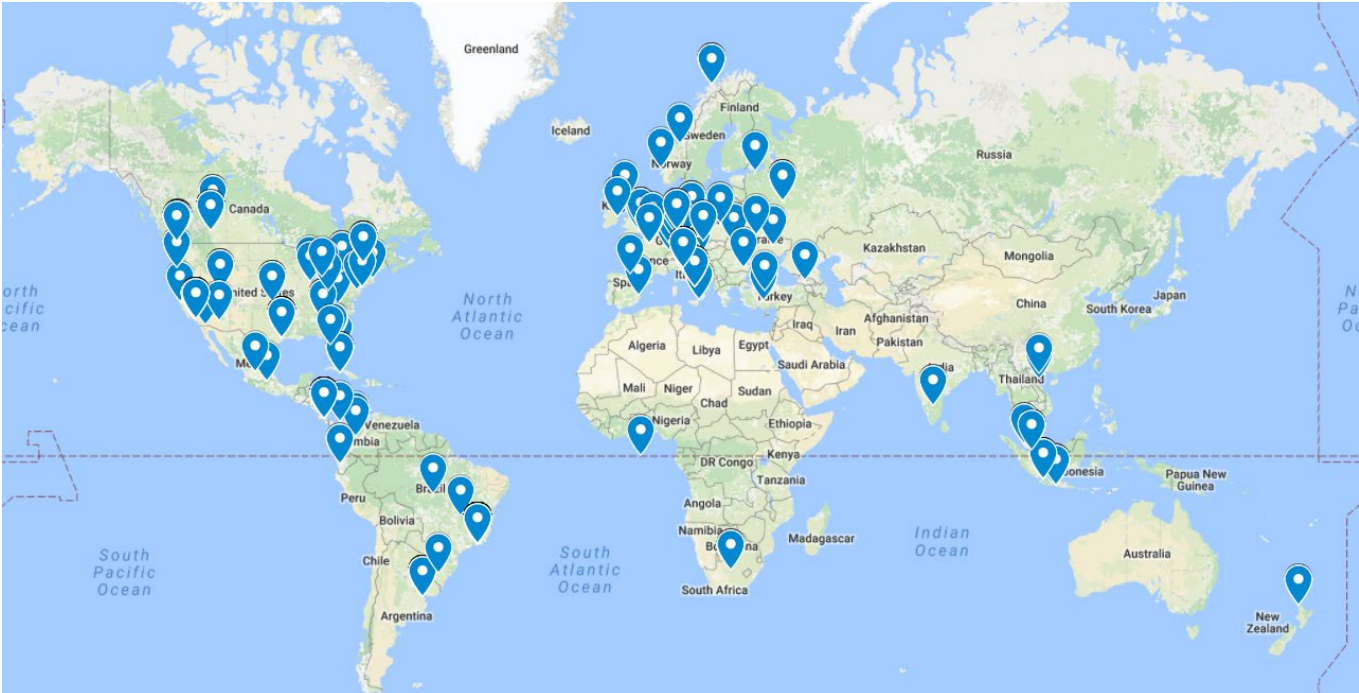
To register your publication(s) for inclusion in the Index, visit <http://index.pkp.sfu.ca>

PKP Index

Launched in 2016, the PKP Index now includes 375,842 records from 1400 publications. Providing not only a valuable database of research, the Index also serves as a showcase of PKP software installations from around the world. Participation is free, and we encourage everyone using OJS, OMP, or OCS to include their published content. Special thanks to Andrea Pritt for her dedicated work in reviewing all index applications.

PKP LOCKSS PLN

The PKP LOCKSS PLN provides a free digital preservation solution to all OJS users - a requirement for DOAJ inclusion and overall best publishing practice. Led by Bronwen Sprout of the University of British Columbia Libraries and Mark Jordan of the Simon Fraser University Library, the PLN is now served by eight preservation nodes at the University of Alberta, the University of British Columbia, Indiana University, the University of Pittsburgh, the University of Victoria, Simon Fraser University, Scholars Portal at the Ontario Council of University Libraries (OCUL), and the Italian National Library of Florence. To date, 10,816 issues from 453 OJS journals have been collected and preserved in the PLN.

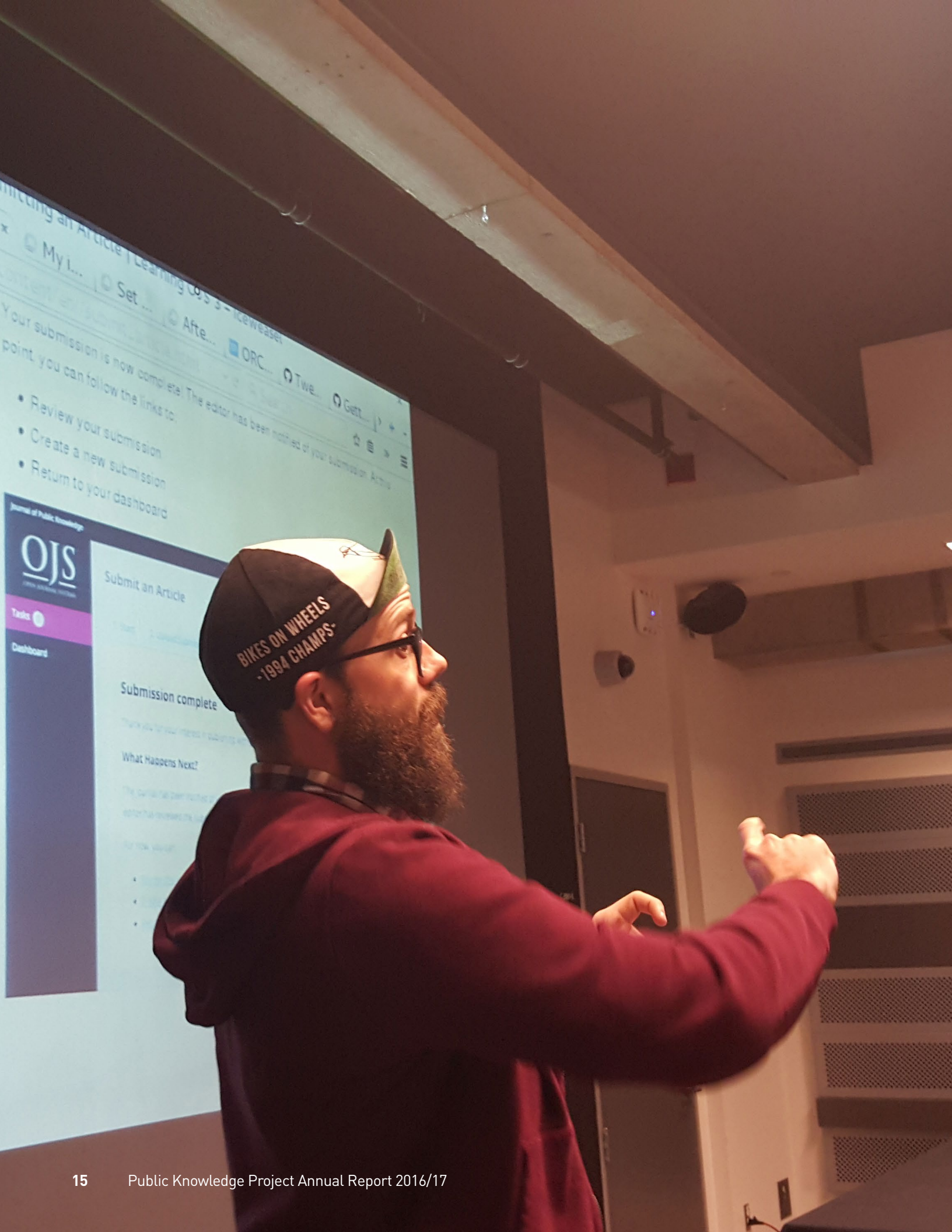


PKP School

The PKP School provides free, online, self-paced courses on using OJS as well as for developing skills in editing, reviewed, and authoring. As of this year, we have worked with over 500 registered students and many more informal, non-registered learners. Watch for new courses on OJS 3 and OMP 3 later this year.

PKP is also partnering with the Educopia Institute and others in the Developing a Curriculum to Advance Library-Based Publishing project to create educational materials to support library-based publishers.





Services

PKP Publishing Services

PKP|PS provides fee-based hosting, software customization, and technical support to individuals and institutions worldwide. PKP|PS continues to grow, adding over 60 new OJS, OMP or OCS instances in the past year, thereby contributing significantly to the financial health of PKP.

With the release of OJS 3 in August 2016, PKP|PS has been eagerly working with clients to evaluate and upgrade to this exciting new release. A significant part of this work involves communicating client feedback and feature requests to the development team for consideration in future releases. In some cases, PKP|PS will develop the necessary functionality with the client directly and contribute new code upstream to the main project.

A sample of clients that have made the move to OJS 3 include RILEM Technical Letters (letters.rilem.net); Cappelen Damm (nordicopenaccess.no), whose OMP install (press.nordicopenaccess.no) is also now upgraded to OMP 3; and the Journal of Infection in Developing Countries (jidc.org).

PKP|PS continues to see significant growth in institutional and multi-journal publisher hosting. The most significant addition in the past year has been that of the American Library Association: PKP|PS now hosts their central collection of eight journals and newsletters (journals.ala.org), as well as their three Association of College & Research Libraries (ACRL) journals (journals.acrl.org). PKP|PS has also seen positive growth with existing clients (for example, Victoria University Journals, which added two new journals to their portfolio; and Cappelen Damm, with one new journal and multiple new titles in their monograph press). Other new clients of note include the Missouri Botanical Garden with two journals, both on OJS 3 (journals.mobot.org); Blake Quarterly, a long-time OJS journal that has switched to PKP|PS for hosting support; and University of Delaware Press, who will be publishing online with at least one journal this year.

Along with this growth, PKP|PS maintains a commitment to seeing PKP's indexing, preservation, and other services succeed. The challenge for the upcoming year will be to ensure that these vital services are provided to as broad an audience as possible, while also still being made economically viable and financially sustainable for the Project as a whole.

■ Partnerships

PKP relies on the many collaborations and generous support of our friends and funders in scholarly publishing community. We would never have been able to continue our work for so many years and to remain of value for the thousands of journals, conferences, and book publishers using our software and services.

Thinking about supporting PKP?
Find out more at <https://pkp.sfu.ca/sponsorships>

Major Funders

PKP will be the beneficiary of not one, but two major grants -- Cyberinfrastructure and Major Science Initiative -- from the Canadian Foundation for Innovation (CFI) commencing in 2017. CFI is a federal funding agency dedicated to furthering technological research infrastructure at Canadian universities, colleges, research hospitals and institutions within Canada. This also reflects the strong relationship between two institutions -- SFU and the Université de Montréal -- and the two primary participants -- Erudit and PKP. CFI funding will be a very important part of PKP's financial sustainability during the next 3-5 years. The two CFI grants will enable PKP to meet its grant funding targets with the expectation this will provide financial support of at least \$400,000 annually.

Development Partners

Our development partners continue to provide significant in-kind and financial support to sustain PKP. They also assist in ensuring that PKP's committees and support forum are active venues for the larger PKP community.

- Ontario Council of University Libraries(since 2011)
- Simon Fraser University (since 2005)
- Stanford University (since 2007)
- University of Alberta Libraries(new in 2015)
- University of British Columbia Library (since 2011)
- University of Pittsburgh - University Library System (since 2011)

Sponsors

Our thanks also go out to our many sponsors, whose annual financial contribution is a major component of PKP's sustainability strategy.

Platinum Level (\$15,000)

- University of Toronto Library

Gold Level (\$10,000)

- Indiana University
- University of Calgary
- University of Illinois (Chicago / Urbana-Champaign)
- York University Library

Silver Level (\$5,000)

- Johns Hopkins University
- University of Florida Libraries
- University of Guelph Library
- University of Manitoba Library
- University of New Brunswick Library
- University of Ottawa
- University of Victoria Library
- University of Western Ontario Library
- University of Windsor Library

Bronze Level (\$2,500)

- 1Science
- Biteca
- Carleton University
- Dalhousie University
- McMaster University
- Ohio State University Libraries
- University of Arizona
- University of Groningen Library
- University of Tennessee, Knoxville
- Wilfrid Laurier University

PKP Sustainers (\$1000 - \$2499)

- Institut für Fundamentaltheologie + Universität Graz Informationsmanagement, Universität Graz



Strategic Partners

PKP is now a member of the Open Access Scholarly Publishing Association (OASPA), under their “Other Organization” category, alongside such good friends as DOAJ, INASP, Knowledge Unlatched, SciELO, SPARC Europe, and others.

PKP was invited to join the Advisory Board for the HIRMEOS (High Integration of Research Monographs in the European Open Science infrastructure) Project. Funded by the European Commission, the project will improve five important open access monograph publishing platforms in the SSH and enhance their technical capacities and services, rendering technologies, and content interoperable and embedding them fully into the European Open Science Cloud.

Community Committees

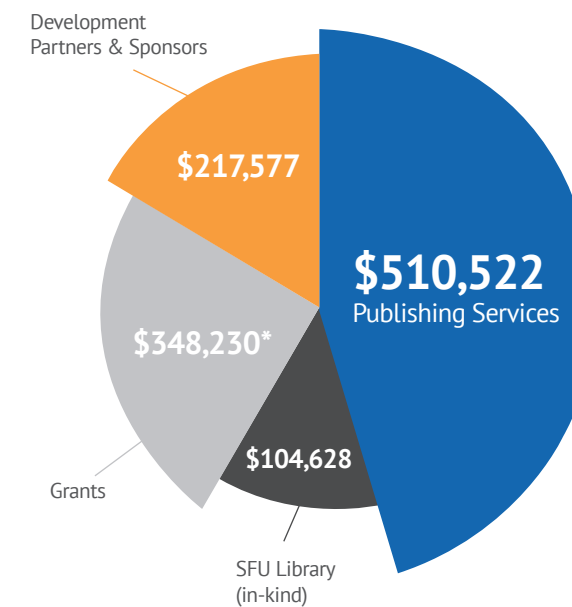
PKP has three committees made up of our community members: the Advisory Committee (which consists of representatives of the PKP Development Partners), as well as the Technical Committee and the Members Committee, both of which include representatives of partner and sponsoring organizations and committed volunteers. These committees ensure PKP hears directly from the communities that we serve and they volunteer their time to help improve our work, and provide valuable feedback on our goals and priorities. We would like to thank everyone that has participated on these committees, and in particular would like to acknowledge the invaluable contributions of our committee chairs: Timothy Deliyannides, University of Pittsburgh (Advisory Committee), Vanessa Gabler, University of Pittsburgh and Jessica Lange, McGill University (Members Committee), and Jeanette Hatherill, University of Ottawa (Technical Committee).



Finances

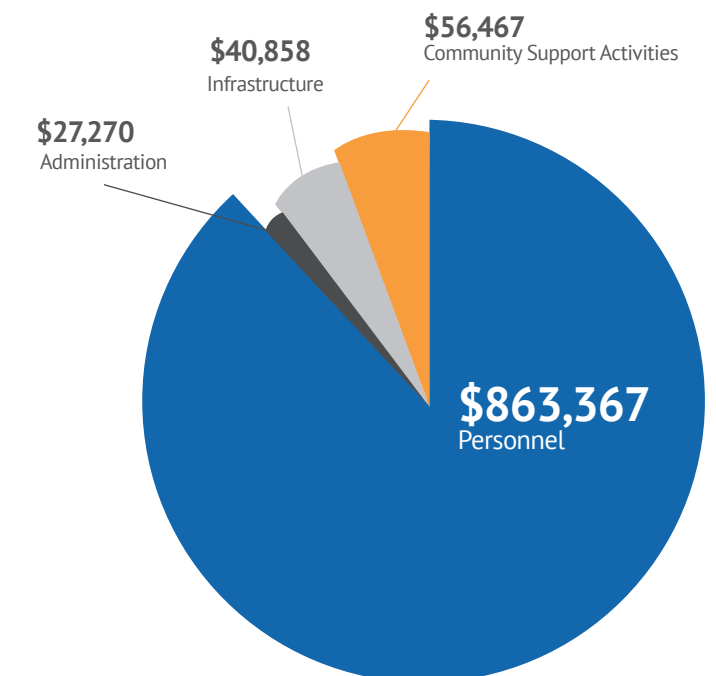
PKP's financial management utilizes SFU's financial system and therefore adheres to all standard institutional budget procedures and policies. The fiscal year is April 1 – March 31. All budget amounts are in Canadian dollars. Conversion rates from USD and other currencies to Canadian equivalents are set by SFU Finance.

Income



Total **\$1,180,957**

Expenses



Total **\$987,962**

* The relatively high amount in the grant category is a reflection of cash flow. \$85,000 of grant-funded work was invoiced before the end of the 2015/16 fiscal year but did not arrive until early in the 2016/17 fiscal year.

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