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Dear Colleague,

Re: PKP Sustainability

Simon Fraser University has led the development of the PKP software – Open Journals System, Open Conference System, Open Harvester System, and, soon, the Open Monograph Press. As Vice President Research, I have championed this initiative led by SFU Library, and worked to ensure that the Canada Foundation for Innovation funding, through the Synergies project, would be approved. As that project winds to a close, we are looking for other ways to ensure that this important work continue. SFU is prepared to provide significant cash and in-kind support for the development and operation of the PKP software as it goes through this transition.

I know that you will share my enthusiasm for the success of this software development, as demonstrated by its adoption by over 9,000 OJS journals and over 1,600 Open Conference Systems sites. As well, the PKP development has fostered and supported research in areas such as the digital humanities. I am sure you share my determination that this important initiative, which has worldwide takeup, should continue to thrive.

Over the next months, key people in the PKP team will be discussing funding model options with you, and I trust you will listen and embrace the continuity of this important project.

With best regards,

Yours sincerely,

B. Mario Pinto
Vice-President, Research
And Professor of Chemistry

PKP | PUBLIC KNOWLEDGE PROJECT

Public Knowledge Project 2.0: The Value Proposition

Academic libraries have begun to offer their campuses a growing range of scholarly communications services in support of teaching and research. These libraries are providing institutional repositories, online journal and conference hosting, digital collections, research data curation, and electronic theses and dissertation systems. They are advocating for open access, author rights; and academic freedom, as well as championing faculty publishing accomplishments. This is clearly an exciting time to be an academic librarian, and the Public Knowledge Project (PKP) is proud to have contributed over the last decade to this library activism with its open source publishing platforms: Open Journal Systems (OJS) and Open Conference Systems (OCS), with Open Harvester Systems (OHS) used for indexing the content in these and other systems.

With over 10,000 installations of OJS, OCS, and OHS software in use around the world, PKP has proven that an open-source solution developed by an academic-and-librarian team can be a *game-changer* in scholarly publishing: 1. Thousands of scholar-publishers are using PKP software to establish independent and public peer-reviewed journals that are proving to be an intellectual force for innovation and academic freedom. 2. Thousands of journals from developing countries are using PKP software to create a global presence, providing students and faculty everywhere with a broader perspective on the world of knowledge. 3. Well over a hundred research libraries are using PKP software to take greater control over the direction, cost, and ownership of scholarly communication by offering their faculty and students PKP software for running their journals and conferences.

The PKP scholarly communications initiative is also about more than developing open source software platforms. The intent behind this initiative has always been to provide interested readers and researchers around the world with access to a growing corpus of open access peer-reviewed literature. A 2009 survey of almost 1000 OJS journals confirmed well over 80 percent had adopted an open access model, amounting to an enormous and growing body of work across all subject areas and regions of the world.[1]

The value proposition of the Public Knowledge Project provides ways for participants to expand the academic community's ability:

- to improve the public and scholarly quality of research for the benefit of the world;
- to provide powerful and effective open source software that supports the full spectrum of scholarly publishing and dissemination processes;
- to repatriate the ownership and control of research and scholarship for the benefit of the academic community, which produces it;

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[1] Brian D. Edgar and John Willinsky, "Survey of Scholarly Journals Using Open Journal Systems," *Scholarly and Research Communication* 1(2) http://journals.sfu.ca/src/index.php/src/article/view/24.

- to support the access to and use of published knowledge for everyone -- everywhere.

To support PKP is, in a phrase, to invest in *research as a public good*.

Going forward, PKP is introducing a new software module, Open Monograph Press (OMP), in 2012 which will round out the PKP scholarly communication suite. OMP holds considerable promise for revitalizing scholarly monographs and scholarly editions, and interest from university presses has been high. OMP will also signal the PKP's deployment of a Web Application Library that will provide a cutting-edge framework with scholarly publishing modules shared across all of its applications. The result will be much more efficient upgrade cycles and systems integration, creating ease of learning across systems for implementers. OMP represents PKP's commitment to provide cutting-edge software, secure in its design and development.

PKP has a core software development and support team, experienced in working closely with an active user community. It has assembled a team of outstanding scholars, librarians, and software developers led by John Willinsky, Khosla Family Chair of Education at Stanford University and Distinguished University Professor (part-time) at the University of British Columbia. This is a group that knows scholarly communication from the inside and are dedicated to increasing access to knowledge for scholars and the world at large.

Over the last decade, PKP software has matured, demonstrating its stability, integrity, and security, winning along the way awards from Mellon and ALA. Key to this success has been the careful design of the software by those experienced in the editorial process so that it supports first-time users who are new to online management systems and journal publishing, while contributing through its step-by-step work-flows to the rigor of peer-reviewed scholarly publishing and indexing practices.

PKP has also introduced a new paradigm for open access journal aggregation using Open Harvester Systems which has proven itself with large continent-wide projects like African Journals Online and Asian Journals Online that utilize PKP software for managing journals through a common portal with continent-wide indexing. PKP is proposing to make this capability readily available with a simple "flick-of-a-switch" option to set-up a new OJS journal or OCS conference, ready for use by faculty and students. For any library supporting this software as part of their scholarly communications services, your local journals and conferences will be included (if you choose) in a proposed PKP aggregator service using OHS. Similarly, you will also have access to the thousands of other OJS journals and OCS conferences around the world for easy integration in your local electronic resource collections.

More importantly, as part of this new initiative for PKP 2.0, we want to find out about your requirements and innovative ideas for PKP software in the future. PKP's sponsorship campaign is not just about financial sustainability. From the beginning, PKP has always focused on building an active community to drive the project forward with new ideas, translations, and exchanges of code in the spirit of both Open Source and Open Access. We would like to continue by establishing formal channels to solidify and further build this exchange, giving members a sense of shared direction and ownership.

Public Knowledge Project 2.0: Organization and Governance

PKP has made a considerable contribution to scholarly communication in its first 13 years, operating as a researcher-led project within the parameters of research and grant funded support. It was initiated at the University of British Columbia and now counts among its institutional partners both Simon Fraser University and Stanford University. The worldwide growth in the adoption of PKP software and the corresponding development of a significant user community during the past few years has made it increasingly apparent that PKP is no longer just a project, but has earned for itself a long-term commitment to sustaining this new channel of open source scholarly communication. This calls for a shift to a sustainable funding model from grant and award funding. PKP has been seeking professional council from a number of sources on how best to structure this reformulation.

The organizational transformation of PKP will be a phased and evolutionary one with several important interim steps occurring in the coming year. PKP is proposing to establish its software development and management component as a separate cost centre within SFU, while also addressing basic identity issues such as trademark protection. PKP research activities including related grant funding will also be clearly distinguished from the PKP software development and production support.

Concurrently, PKP will also establish several community-based advisory committees to assist in the organizational transition of PKP and to determine the most appropriate governance structure. The PKP community is a diverse one that includes journals, editors, publishers, libraries, scholarly societies, researchers, non-governmental organizations, and advocacy groups. Members are also geographically dispersed with the developing world significantly represented. PKP already has close partnerships with many community members and groups, especially for translations and software contributions. Close working relationships have also been established with open source software initiatives and other groups active in the scholarly communications environment. Achieving the most appropriate representative balance will be a challenge. We believe these inaugural PKP committees will provide the collective energy and insight to help PKP evolve the best organizational structure to involve and support our users, and to guide our ongoing software development.

PKP is embarking upon an organizational journey that will result in its evolution from a grant funded project to a community-based organization. The transition to a distinct entity within SFU is an important first step while also providing the administrative support and security of a home site. We also think it will provide sufficient flexibility for PKP's continued organizational development. There are many exciting options for PKP to consider -- joining a larger collaborative entity comprised of similar open source initiatives, or becoming a completely independent entity at some point. In the meantime, we want to ensure that our user community participates in guiding PKP to the most appropriate options for the future.

Public Knowledge Project 2.0: The Operating Budget

After eleven years of federal, foundation and in-kind funding for the development of what is now the world's leading open source suite of scholarly publishing systems, the scale of this Public Knowledge Project (PKP) initiative – 9,000 journals using OJS, 3,000 users on PKP Forum, and 1,900 conferences using OCS – calls for a new economic model. The new model will be based on revenue from a variety of sources, including hosting services, community support, and research and development grants. We provide here the operating budget revenue and expenses behind this new model.

The operating expenses for sustaining, with continuing development, the current suite of software and support systems will be approximately one million dollars annually. This figure is based on the complexity of the systems that we are maintaining, the global scale of the user community that we support, and the current and projected needs for further upgrading, development, and integration of the software systems as necessary to continue to provide systems that are comparable, if not superior in design, to those commercially available. This budget draws on a decade of experience with a distributed, low-overhead open source software development team using a virtual collaboration model.

Table 1. PKP's Five Revenue Streams, with Annual Revenue Targets, 2012

- SFU Library Lead Institution: $100,000 cash and in-kind contribution.
- Sponsoring Institution Fees: $400,000 for operations, upgrades and development.
- Software Hosting and Custom Development Services: $200,000.
- Research Grants: $200,000 from government agencies and foundations.
- Developing Country Support: $100,000 from donor agencies

Targeted Revenue Total: $1 million

Team members are independent contractors working in Canada, the United States, South America, and Europe. In-kind support will continue to be provided by the principal institutions employing the PKP leadership team, including Simon Fraser University, Stanford University, and University of British Columbia. As well, the PKP Team works with a highly interactive community of over 3,000 registered members, to resolve technical challenges, software bugs, and potential security issues. This community has contributed 30 language translations, software plug-ins, and directly participated in major software development and testing initiatives.

Cultivating and maintaining an open source user community requires central co-ordination. Communication venues and appropriate consultation and participation mechanisms have to be established and maintained. The implementation of an ongoing sustainability model with formal relationships with a much larger group of sponsoring partners increases the need for a more

proactive approach in this area. The proposed budget addresses this requirement, and is presented in the interests of full disclosure and transparency for your review. PKP invites your comments and questions.

Table 2. PKP Annual Operating Expenses Budget for 2012

Budget Item	FTE Cost	FTE Required	Cost	Notes
Director & Application Expert	$150,000	.3	$45,000	
Managing Director	$105,000	.5	$52,500	
Community Liaison	$75,000	.5	$37,500	
Lead Developer	$90,000	1.0	$90,000	
Developers	$65,000	4.0	$260,000	
Support Specialists	$75,000	2.5	$187,500	
User Interface/Web Designer	$90,000	.5	$45,000	
System Administrator	$80,000	.67	$53,600	
Sub-Total		**9.17**	**$771,100**	13 full & part-time staff
Infrastructure			$35,000	Servers, storage, network
Admin. overhead & support			$120,915	Estimated @ 15%
Community support activities			$75,000	Conferences & workshops
Total			**$1,002,015**	

PKP | PUBLIC KNOWLEDGE PROJECT

Public Knowledge Project 2.0: The Sponsorship Program

Academic libraries are providing a growing range of scholarly communications services in support of the teaching and research activities underway on their campuses. The Public Knowledge Project (PKP) is proud to have contributed to these activities with software like Open Journal Systems (OJS); Open Conference Systems (OCS); and Open Harvester Systems (OHS) an OAI-compliant metadata harvester. In 2012, we will also be releasing Open Monograph Press (OMP) to support the online publication of scholarly monographs.

PKP would like to establish more formal, ongoing relationships with the PKP community, especially with academic libraries and similar agencies who have already made significant commitments to the provision of support and services for scholarly communications at their institutions. This sponsorship program is only one of the programs of support for PKP software. Hosting and custom development services, as well as research and development grants, will also be used to sustain PKP. We think this combination is the best way to ensure the continued development and support of the PKP software in the long term.   We ask for your support by becoming a PKP Sponsoring Partner at one of the following levels:

Gold PKP Sponsor: Fee $10,000 annually

- o   Access to PKP's Sponsor "Trouble Ticket" Service (up to 8 items annually)
- o   10% discount on any PKP hosting or custom development services
- o   Invitation to participate in annual PKP Strategic Planning Forum
- o   Invitation to participate in PKP Partners' Forum at PKP conference
- o   Your institution's logo and link on the PKP web site
- o   "PKP Gold Sponsor" logo for your use

Silver PKP Sponsor: Fee $5,000 annually

- o   Access to PKP's Sponsor "Trouble Ticket" Service (up to 4 items annually)
- o   7.5% discount on any PKP hosting or custom development services
- o   Invitation to participate in PKP Partners' Forum at PKP conference
- o   Your institution's logo and link on the PKP web site
- o   "PKP Silver Sponsor" logo for your use

Bronze PKP Sponsor: Fee $2,500 annually

- o   Access to PKP's Sponsor "Trouble Ticket" Service (up to 2 items annually)
- o   5% discount on any PKP hosting or custom development services
- o   Invitation to participate in PKP Partners' Forum at PKP conference
- o   Your institution listed on the PKP web site
- o   "PKP Bronze Sponsor" logo for your use

What are the benefits of becoming a PKP Sponsoring Partner? It will ensure that PKP can continue to develop and improve the software that plays a major role in your local scholarly communication services. It will also provide tangible benefits by including special, discounted access to PKP's hosting support and custom development services. Collectively we will identify and develop the enhancements, new features, and potentially new systems to nurture and support scholarly communications locally, nationally, and around the world.

Why does PKP need Sponsoring Partners now? We expect the number of OJS installations to pass the 10,000 mark well before the end of 2011. We are witnessing similar uptake on other PKP software such as OCS and expect similar demands on OMP when it is released in early 2012. PKP has a responsibility to ensure that our software continues to be free and open; in a continual state of improvement and innovation, AND supported as production quality software. While present levels of institutional support, partnerships, and especially grant funding have allowed us to reach the successes of today, we also know we must develop a more sustainable model for the long term. Our future depends on strengthened ties and support from others committed to supporting alternative models for scholarly publishing.

We realize that many PKP software users are operating with very limited budgets and that the Sponsoring Partner program may be prohibitive. Any donation to PKP greater than $100 will be acknowledged on a Friends of PKP website page.

PKP is also looking for a select number of sites interested in becoming **Development Partners** and able to make a significant financial and in-kind commitment at the same level as the SFU Library. This is a very major commitment and will require partners with sufficient infrastructure capacity and software development resources. The increasingly widespread reliance of so many users on the PKP software necessitates the establishment of a more robust and redundant development and support model that has not just one major development site, but ideally 3 to 5 other sites willing to operate at this level.

Interested? For more details contact: Brian Owen <Brian_Owen@sfu.ca>.

Public Knowledge Project 2.0: Hosting and Support Services

Since 2005, PKP, the SFU Library, and the Canadian Centre for Studies in Publishing Press have developed a very successful range of hosting and support services based around the PKP software suite. Current service offerings include: OJS journal, OCS conference, and OHS portal hosting; custom PKP software development; new journal set-up and backfiles conversion and migration; training and systems consultation.   A 2011 ARL Report offered the following summary of our hosting services:

> "The only program that appears to break even, and earn a surplus to invest in software upgrades and additional services, is at Simon Fraser University, which both maintains OJS (Open Journal Systems) and offers fee-based hosting services. Its campus partner, Canadian Centre for Studies in Publishing Press (CCSP Press), offers à la carte publishing services, which covers planning and orientation, submission and review management, editorial and production, and business management and marketing. In theory, this partnership could scale well to support more journals."[2]

We are currently hosting over 350 OJS-based journals for a variety of customers including several commercial and open access publishers, and several country portals sponsored by the International Network for the Availability of Scientific Publications (INASP). Many of our hosted journals are representative of the emerging class of independent scholar-publishers looking for a professional and affordable hosting solution.

Provision of hosting services has been beneficial for PKP and our user community. It has provided a source of revenue that helps to support the ongoing development of all PKP software. Our experience with hosting a large number of journals has also provided opportunities to enhance the reliability and scalability of OJS for use in a large production setting.   PKP's custom software development services provide an option for our customers to have enhancements or new features developed for their OJS journals. Whenever possible, these software enhancements are also incorporated into subsequent PKP software releases so that the entire user community also benefits from them.

Feedback from PKP's recent community consultations identified strong interest in expanding our hosting services. It was pointed out they provide an appealing "software as a service" alternative for libraries and other sites interested in offering scholarly communications services, but lacking local infrastructure and other necessary technical resources.   Consequently, our hosting and support services have been identified as a key part of PKP's sustainability strategy. We are actively working to provide these services in a cost-effective, scalable, and reliable manner. The objectives are twofold: to increase the revenues to support ongoing PKP software development and related activities while also improving the range and quality of services to our

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[2] Association of Research Libraries. **Publishing Support for Small Print Based Publishers: Options for ARL Libraries**, February 2011: p.11. http://www.arl.org/bm~doc/pub-support_7mar11.pdf

customers.

PKP will be implementing a new pricing model for our OJS journal hosting services. The intent is to provide a larger range of options that will allow customers to select from a range of support tiers along with "mix and match" value-added options. Our original hosting option will still be available as our Classic service tier. We will also be introducing two new tiers -- Professional and Enterprise -- that provide a more comprehensive range of service options. These new levels will provide enhanced assistance from the PKP support team and offer additional software and functional options such as online advertising and website analytics for your journal. And PKP will also be introducing a new Basic hosting option for sites with very limited budgets. This will provide a low-cost solution while still retaining many of the core systems features such as data backup, regular software upgrades, critical patches, etc.

In the coming year we will be exploring the provision of a PKP Scholarly Communications package. PKP will work with you to configure and implement the full suite of PKP software along with your "look and feel" and integrate it where possible with other local systems and services. The Scholarly Communications package could either be installed on your system directly or maintained on our host servers.   As part of this full service package, we can also provide on-site consulting and training workshops for local users of OJS and other PKP software. We would be delighted to work with several sites as early adopters.

Interested? For more details contact: Kevin Stranack <kstranac@sfu.ca>.