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Gaining Independence through Institutional Repositories

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CERN, October 2002
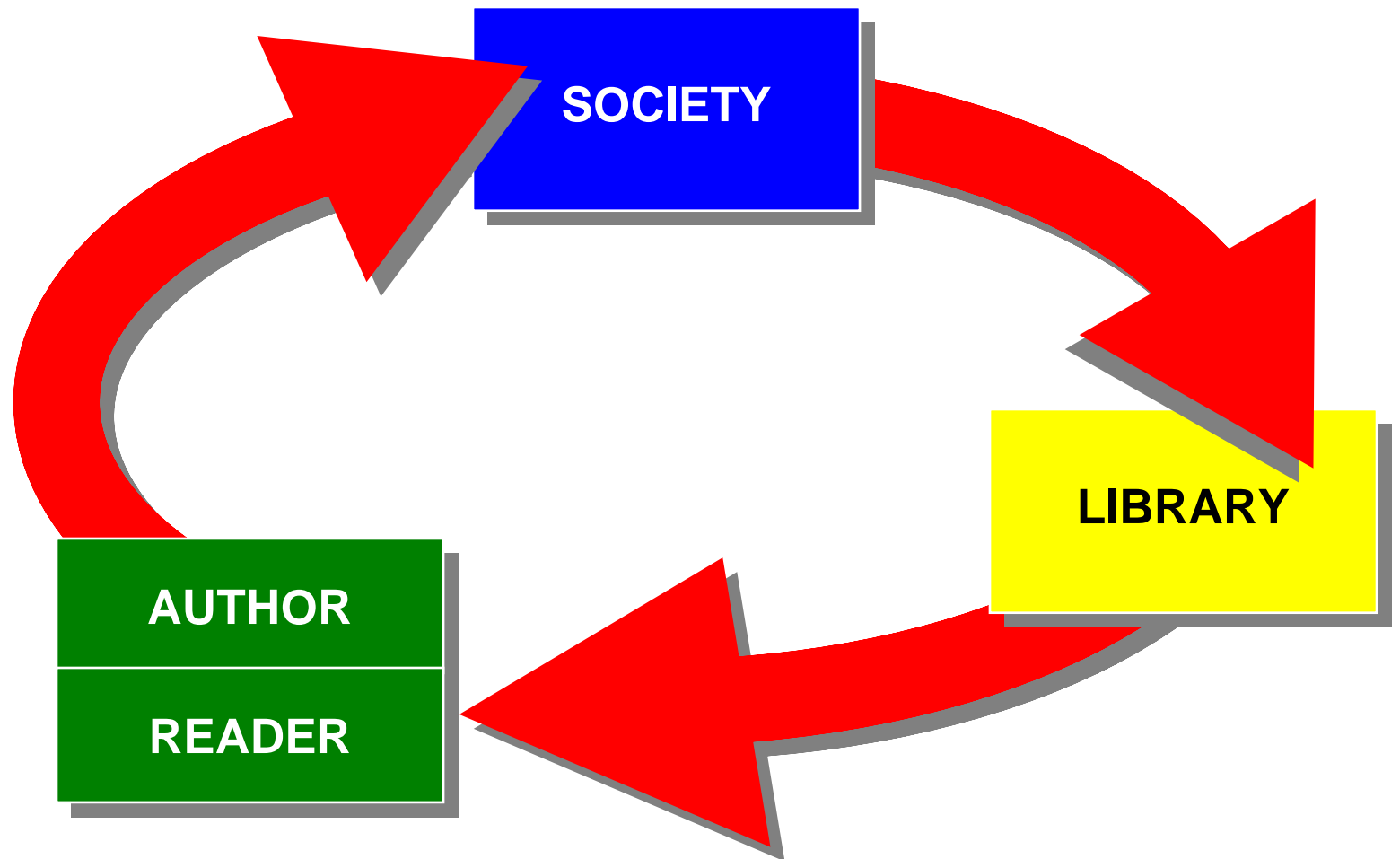
What I'll cover

- State of scholarly journal publishing
- SPARC and other efforts to create change
- Disaggregated scholarly communication
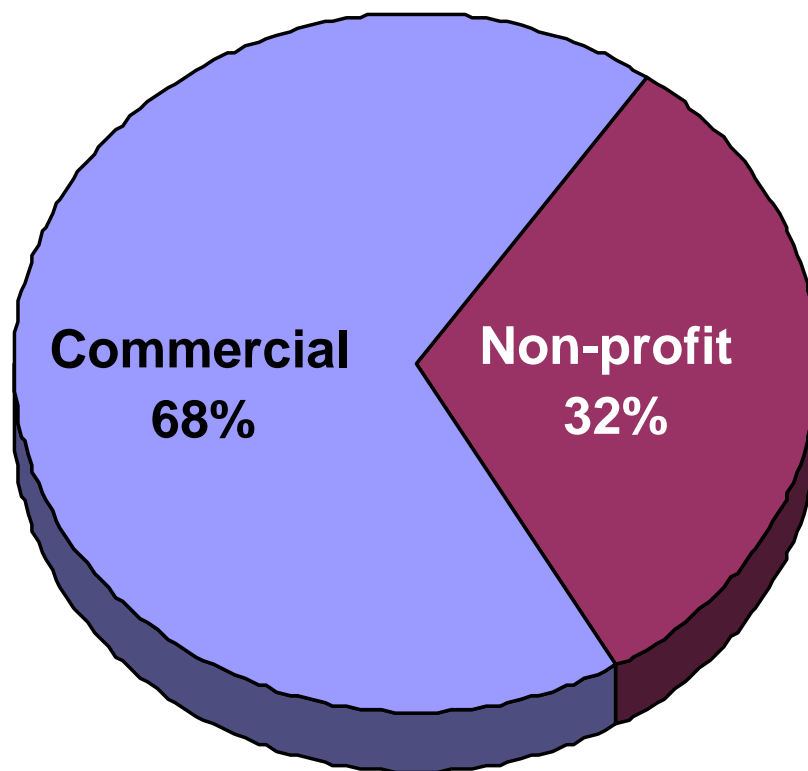- Institutional repositories

Circle of Gifts

Commercialization

Scientific, Technical & Medical Publishing Market

$7.8 billion

Commercial 68%

Non-profit 32%

Includes Primary & Secondary STM publishing.

Aggregators represent an additional $1.6 billion (Total: $9.5 billion.)

Source: Outsell Inc., "Industry Trends, Size and Players in the Scientific, Technical & Medical (STM) Market (Aug. 2000).

Resulting problems in the market

- **Price increases** far above inflation, driven by demand for extraordinary profits in commercial STM publishing

- Substantial **price disparity** between commercial & non-commercial journals

- **Bundling** of their journals by large commercial publishers reduces competition & harms society publishers

Unlocking opportunities

- Opportunities for **expanded access** and **new uses** offered by
  - evolving digital publishing technologies
  - ever-expanding networking

- Better ways to handle increasing volume of research generated

Introducing SPARC

SPARC objectives

- Raise awareness
- Incubate alternatives

In order to:

- Expand access
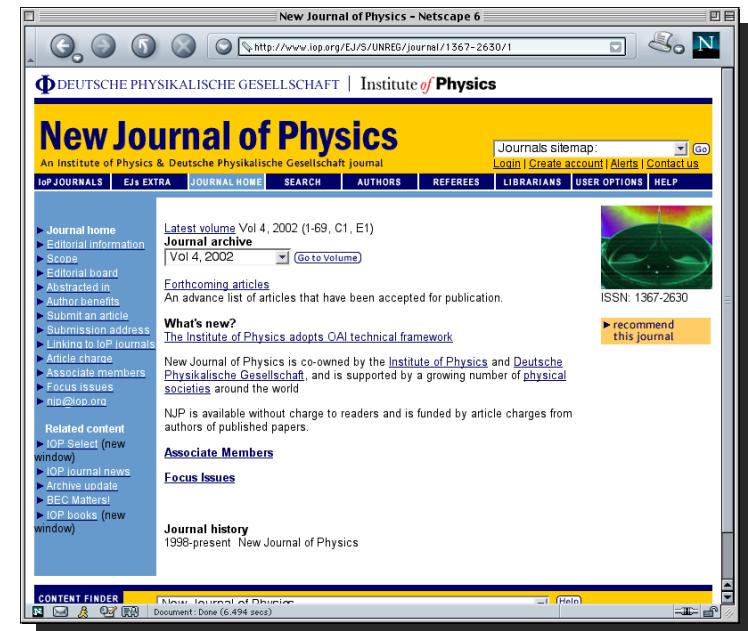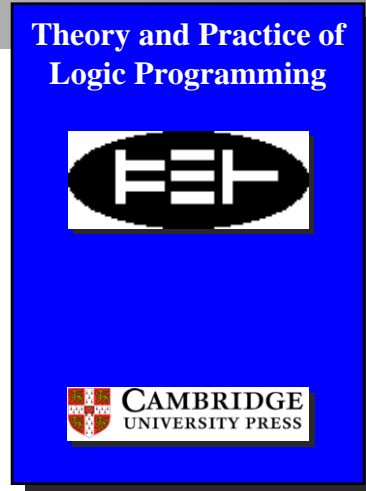- Reduce cost

Scholarship for Scholars

SPARC approach

- Experiment with change in real situations
- Reduce start-up risk
- Publishing economics important (but can't override vision)
- Link advocacy and action

Looking for better ways

- Expanded non-profit publishing capacity
  - Alternative journals
  - Alternative bundles

- New business models
  - Open access journals

- Disaggregated system
  - Disciplinary repositories
  - Institutional repositories

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Theory and Practice of Logic Programming

CAMBRIDGE UNIVERSITY PRESS

BioOne

Aggregated system

Scholarly publishing comprises four functions:

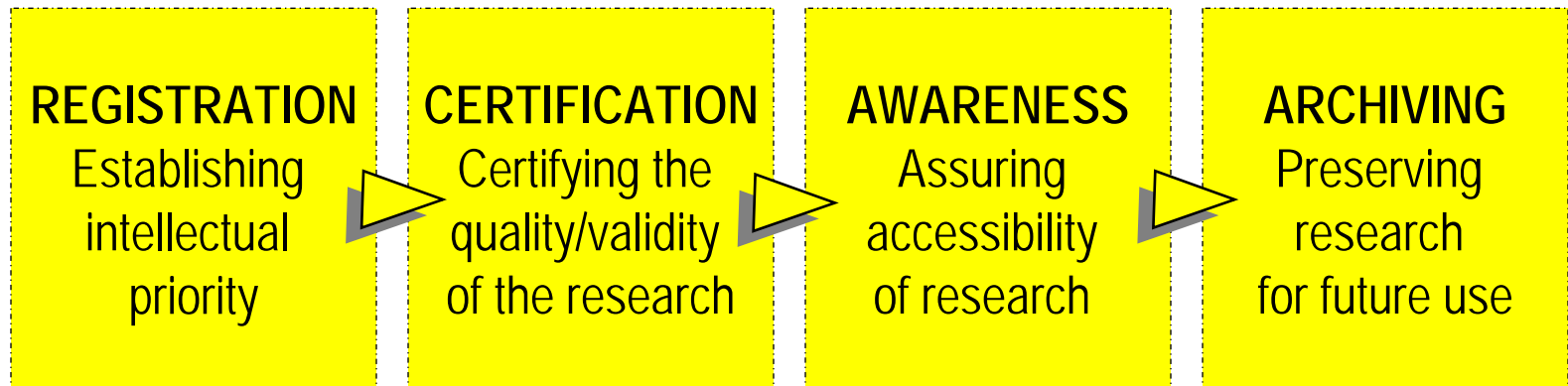| REGISTRATION	CERTIFICATION	AWARENESS	ARCHIVING
Establishing intellectual priority	Certifying the quality/validity of the research	Assuring accessibility of research	Preserving research for future use

Current model:

- <u>integrates</u> these functions in journals

Disaggregated system

Scholarly publishing comprises four functions:

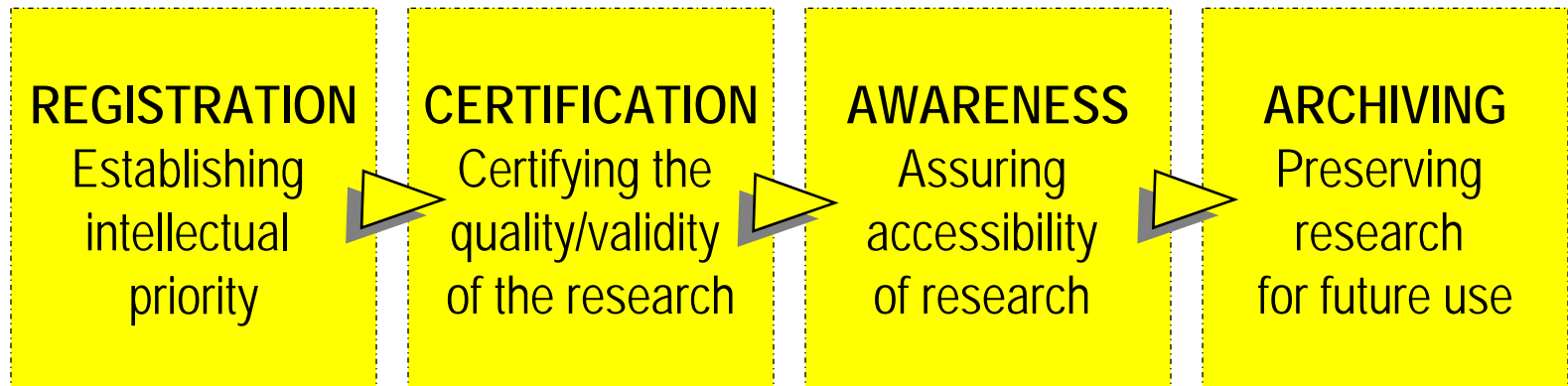| REGISTRATION	CERTIFICATION	AWARENESS	ARCHIVING
Establishing intellectual priority	Certifying the quality/validity of the research	Assuring accessibility of research	Preserving research for future use

Disaggregated models:

- Allow functions to be fulfilled <u>independently</u> – by logically discrete, networked service providers
- Reveal that academy contributes most of value

Disaggregated system

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REGISTRATION	CERTIFICATION	AWARENESS	ARCHIVING
Establishing intellectual priority	Certifying the quality/validity of the research	Assuring accessibility of research	Preserving research for future use

Disaggregated models:

- Lower prices by increasing cost efficiency
  - introduces competition throughout value chain
  - forces market efficiency of individual links

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What are institutional repositories?

Essential elements

- *Institutionally defined:* Content generated by institutional community

- *Scholarly content:* preprints and working papers, published articles, enduring teaching materials, student theses, etc.

- *Cumulative & perpetual:* preserve ongoing access to material

- *Interoperable & open access:* free, online, global

Why institutional repositories?

Local & immediate

- Expands access to & impact of research

- Increases institutional visibility & prestige by clarifying institutional sources of research

- Demonstrates institution's value to funding sources

Global & long-term

- Key component in evolving disaggregated scholarly publishing model

- Part of global network of interoperable, distributed content repositories

Institutional repositories complement the existing scholarly publishing model.

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Practical issues

Impediment to formal publication?

- Trend for publishers to accept that online posting is not prior publication
- Develop discipline-specific policies

Intellectual property issues

- Repository registration protects priority
- Retain rights to e-print
- No more plagiarism online than offline

Practical issues

Perceived quality
- Label & differentiate types of content
- Reveal certification methods

Undermines existing journals?
- Repositories coexist with existing publishing system

Faculty work load
- Put library in charge of metadata tagging, formatting and reformatting, etc.

Next Steps

- Initiate institution- & consortia-based pilot projects.

- Support academy-friendly author/publisher agreements.

- Support learned societies in establishing new roles in disaggregated models.

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Create Change!

"Although the battle is being fought over subscription prices, what is really at stake...is the scientific process itself."

New York Times, Dec. 8, 1998

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