SCHOLARLY PUBLISHING & ACADEMIC RESOURCES COALITION
An initiative of the Association of Research Libraries

Gaining Independence through Institutional Repositories

Alison Buckholtz • SPARC Associate Director (alison@arl.org)
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

- **AUTHOR**
- **READER**
- **SOCIETY**
- **LIBRARY**
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.)

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

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

Scholarship for Scholars
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
Scholarly publishing comprises four functions:

<table>
<thead>
<tr>
<th>REGISTRATION</th>
<th>CERTIFICATION</th>
<th>AWARENESS</th>
<th>ARCHIVING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishing</td>
<td>Certifying the</td>
<td>Assuring accessibility</td>
<td>Preserving research</td>
</tr>
<tr>
<td>intellectual</td>
<td>quality/validity</td>
<td>of research</td>
<td>for future use</td>
</tr>
<tr>
<td>priority</td>
<td>of the research</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Current model:**

- integrates these functions in journals
Disaggregated system

Scholarly publishing comprises four functions:

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

Disaggregated models:

- Allow functions to be fulfilled independently – by logically discrete, networked service providers
- Reveal that academy contributes most of value
Disaggregated system

Scholarly publishing comprises four functions:

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

**Disaggregated models:**

- Lower prices by increasing cost efficiency
  - introduces competition throughout value chain
  - forces market efficiency of individual links
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._
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.
“Although the battle is being fought over subscription prices, what is really at stake...is the scientific process itself.”


Contact SPARC: sparc@arl.org