



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

[www.arl.org/sparc](http://www.arl.org/sparc)

# Gaining Independence through Institutional Repositories



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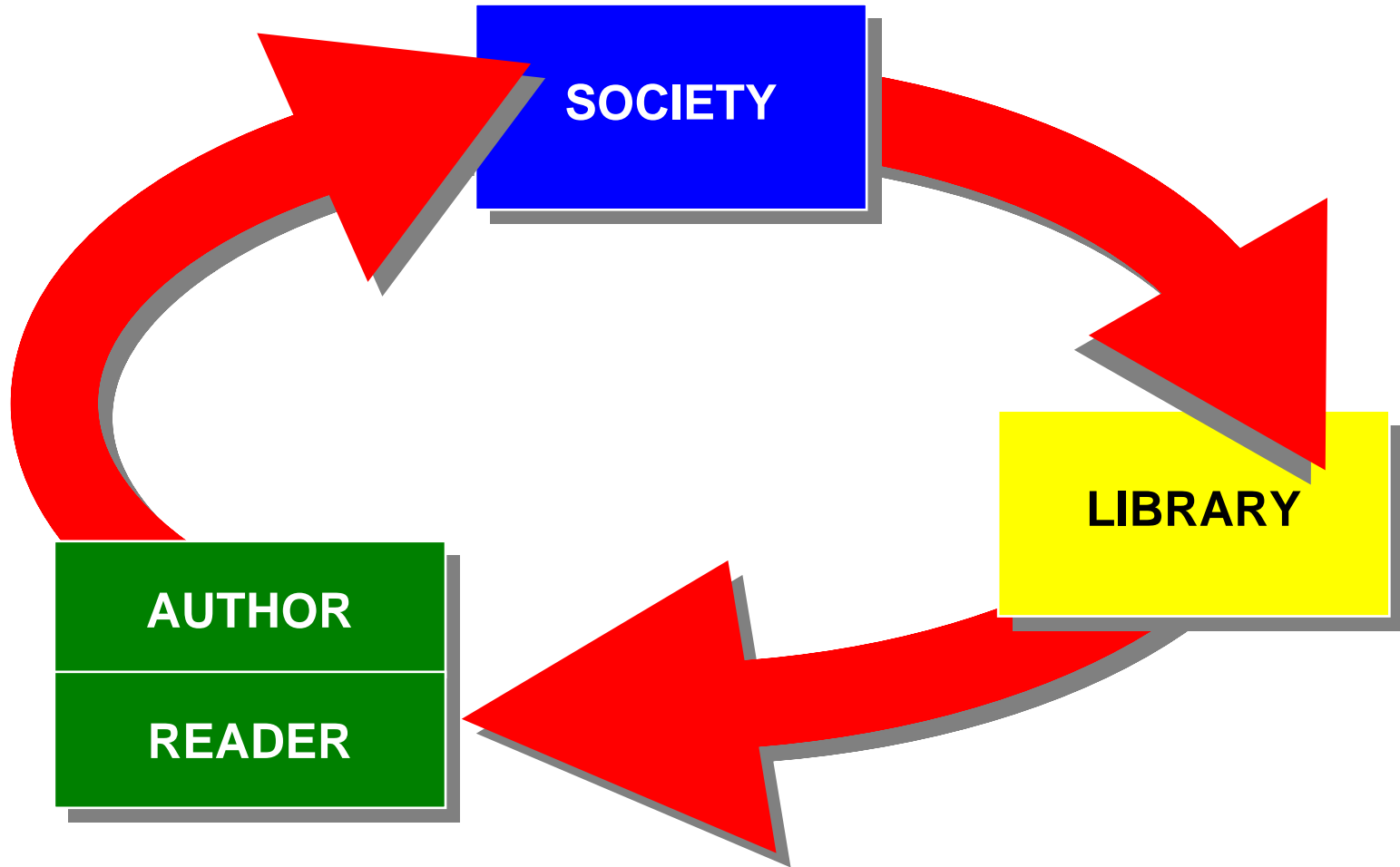
## What I'll cover

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



# Circle of Gifts

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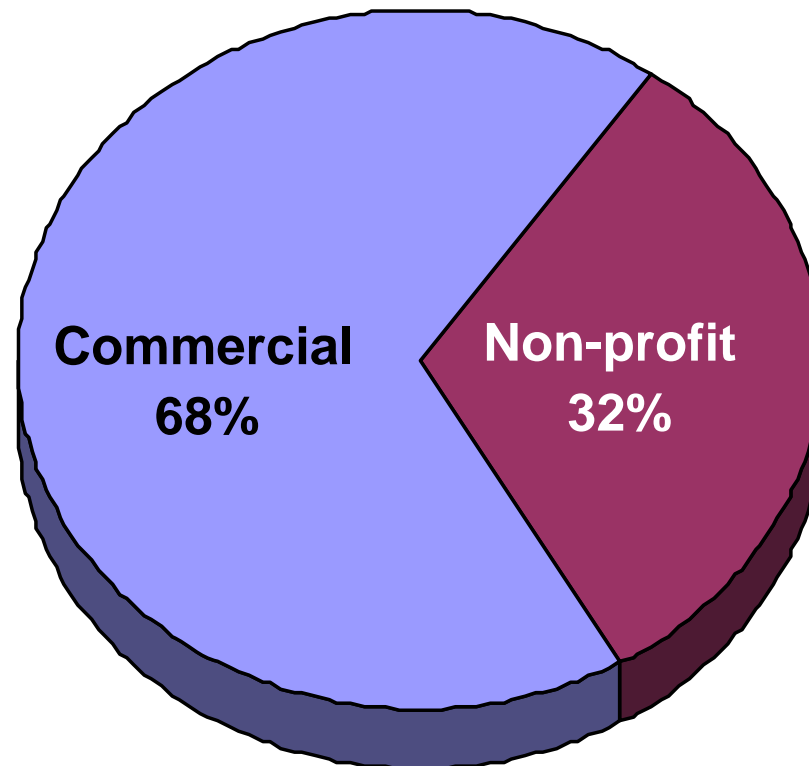


# Commercialization

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## Scientific, Technical & Medical Publishing Market

\$7.8 billion



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

[www.arl.org/sparc](http://www.arl.org/sparc)

## SPARC objectives

- Raise awareness
- Incubate alternatives

*In order to:*

- Expand access
- Reduce cost

**Scholarship  
for Scholars**

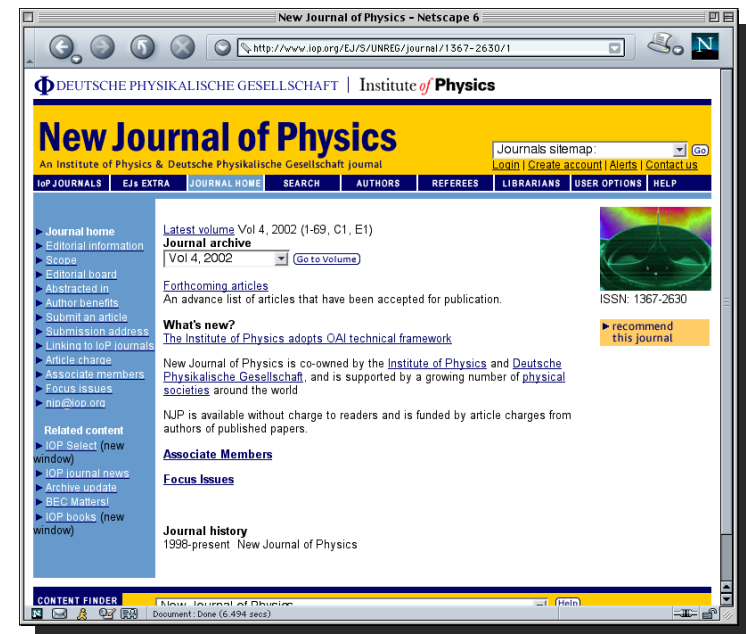
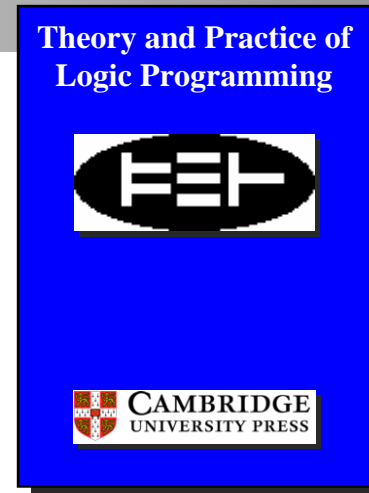
## SPARC approach

- 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







## Aggregated system

Scholarly publishing comprises four functions:

<b>REGISTRATION</b> Establishing intellectual priority	<b>CERTIFICATION</b> Certifying the quality/validity of the research	<b>AWARENESS</b> Assuring accessibility of research	<b>ARCHIVING</b> Preserving research for future use
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### Current model:

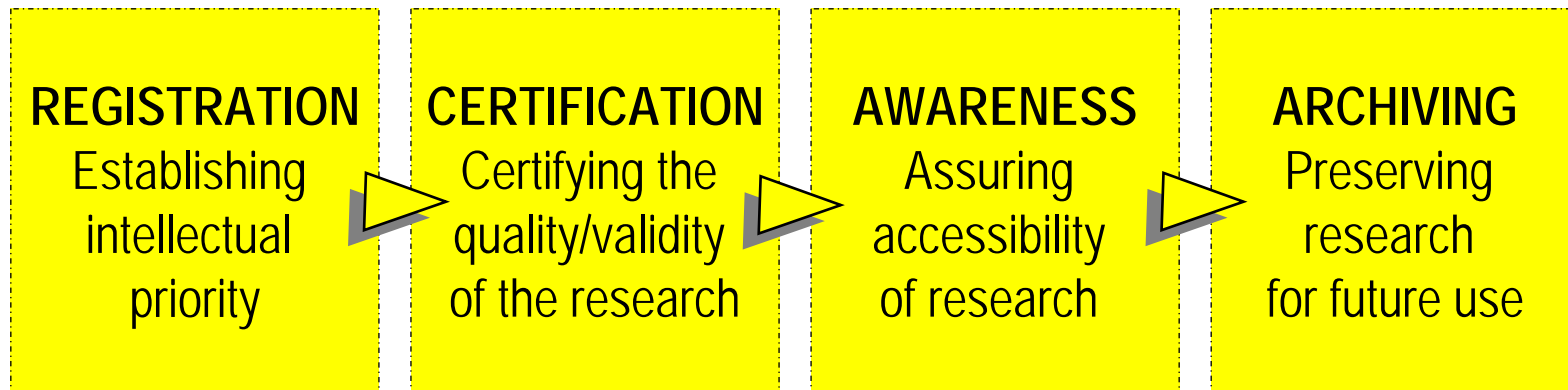
- integrates these functions in journals



# Disaggregated system

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Scholarly publishing comprises four functions:



## Disaggregated models:

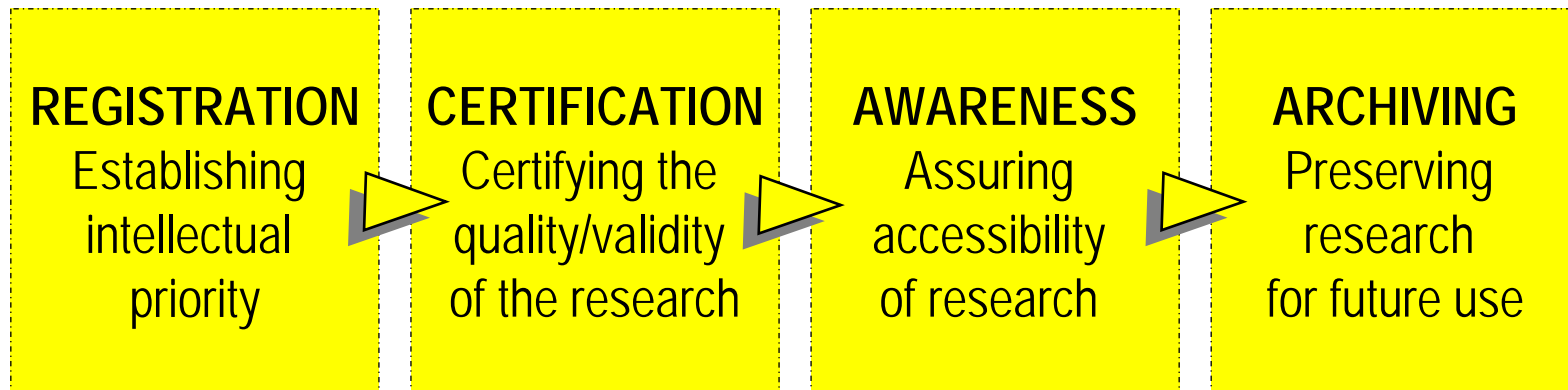
- Allow functions to be fulfilled independently – by logically discrete, networked service providers
- Reveal that academy contributes most of value



# Disaggregated system

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Scholarly publishing comprises four functions:



## Disaggregated models:

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



# What are institutional repositories?

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## 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

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- Initiate institution- & consortia-based pilot projects.
- Support academy-friendly author/publisher agreements.
- Support learned societies in establishing new roles in disaggregated models.





# Create Change!

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**“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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