
The logo for STM (International Association of Scientific, Technical & Medical Publishers) is displayed in a large, stylized, lowercase serif font. The letters are a dark purple color.

INTERNATIONAL ASSOCIATION OF SCIENTIFIC, TECHNICAL & MEDICAL PUBLISHERS

STM and Open Access

Position, developments and the PEER Project

Barbara Kalumenos

Director Public Affairs, STM

*Seminar 17th June, Spanish Association of Publishers
Guild*

Agenda

- Introduction – STM
- Business Models, “Zeitgeist”
- European developments
 - Legislative developments
 - Mandates
 - Collaborative approaches
- PEER
- Conclusions

What is “stm”?

- International trade association for research and professional publishers
 - The Voice of Research Publishing for 40 Years
- Members include
 - Learned societies, University presses, Commercial publishers
- Members publish
 - two-thirds of all journal articles
 - tens of thousands of books and reference works

stm

STM Publishing Overview

- 2000+ publishers
- 20-25,000 journals
- 1.5 million papers/year
- 1.2 million authors/year
- 10+ m readers
- About US\$7.7 billion annual turnover journals
- Global
- Thousands of sub disciplines served
 - Incl. social sciences
- Institutionally based
 - Universities
 - Medical schools
 - Research organisations
 - Government laboratories
 - Corporations

Four Key Questions- Journal publishing

- Research behaviour
 - Will researchers still communicate and be evaluated by journal publication?
- Technology
 - Will tools develop that make the current journal obsolete?
- Business models
 - Will there be any viable business models to sustain publishing operations with net returns?
- Zeitgeist
 - Will public (political) attitudes regarding internet make publishing impossible?

QUESTION : BUSINESS MODELS

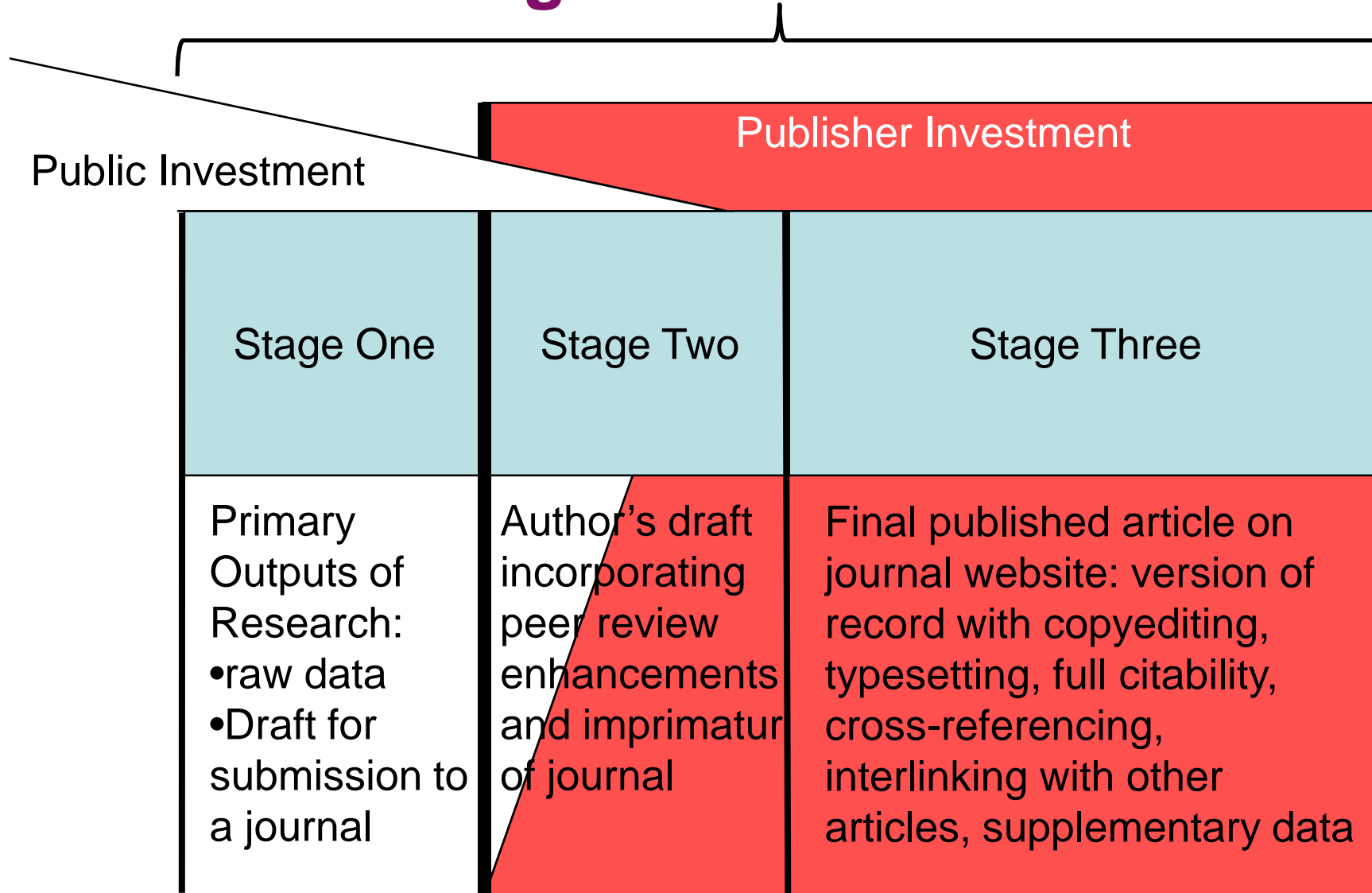
Will there be any viable business models to sustain publishing operations with net returns?

stm


Open Access

- Definition
 - Availability of electronic content to readers without any payment
- Variations
 - *What* is made free
 - *When* and *where* it is made free
 - *How* it is made free (business model)

Stages of Publication



Business Model Options

- Supply or demand-side user payment
 1. Authors pay
 2. Authors' institutions pay
 3. Authors' granting bodies pay
 4. Readers pay
 5. Readers' agents (library) pay
 6. National authorities pay

2% of papers

98% of papers
- Third party tolls and tariffs
 - Advertising
 - Telecommunication access charges

~5% of papers
- Sponsorship
 - Charities, foundations, companies, government
- Rental or timeshare: DeepDyve **~3% of papers**

Open Access Types

- PAY TO PUBLISH OA **“GOLD”**
 - final published articles (stage 3)
 - free upon publication on publisher’s website
 - pay-to-publish model

Advantages:

- Scales with research growth
- Gets research funds used for publication costs

Disadvantages:

- Cost to publish
- Corporate free riders

- DELAYED OA **“DELAYED”**
 - final published articles (stage 3)
 - free some time after publication on publisher’s website
 - existing model

Advantages:

- No new model required

Disadvantages:

- Won’t work for all
- Some evidence of cancellations

- SELF ARCHIVING OA **“GREEN”**
 - peer reviewed author mss (stage 2)
 - systematic/self- archiving with a variable copyright model
 - institutional or subject repositories
 - no model

Advantages:

- Ok when unsystematic

Disadvantages:

- Parasitic, nobody-pays model when systematic

- PRE-PRINT SERVERS
 - pre-prints (Stage 1)
 - free upon deposit on preprint server
 - no model

Advantages:

- No threat to journals

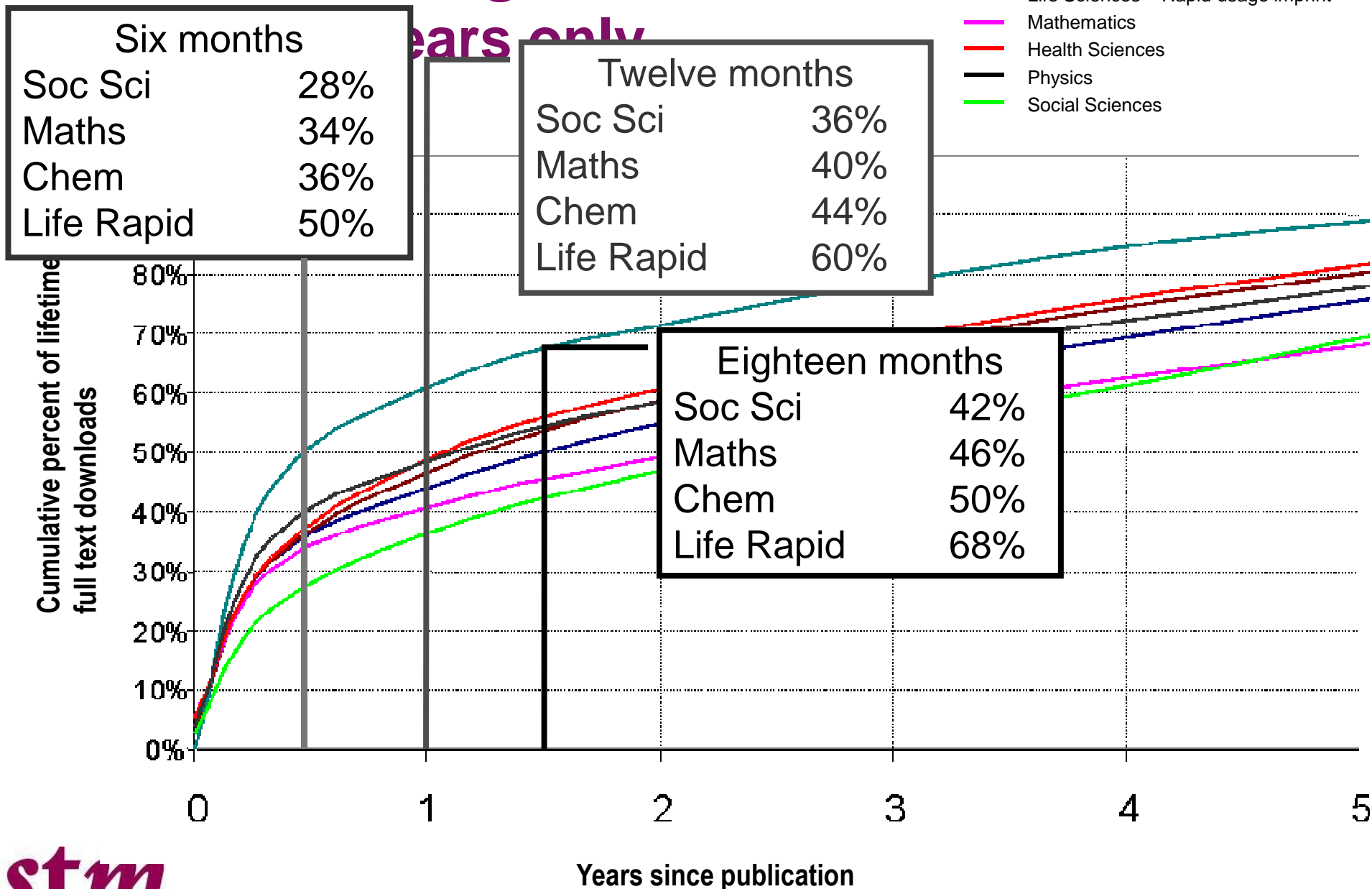
Disadvantages:

- Not favoured outside of physics

Article usage over time:

Years only

- Chemistry
- Life Sciences
- Life Sciences – Rapid usage imprint
- Mathematics
- Health Sciences
- Physics
- Social Sciences



Publishers & Open Access

- Goals are entirely compatible
 - OA maximum dissemination on www
 - Publishers maximum dissemination in an economically sustainable way
- Publishers are pragmatic about business models
 - What works, works
 - All models must support and maintain academic freedom and quality
- **All STM member publishers do some form of open access**

The Unfunded Mandate

- Mandated deposit of peer reviewed content after imposed embargo period
 - Compulsion
 - One size fits all
 - Length of embargo period
- **The unfunded mandate is opposed by all STM publishers**
 - Compulsion to deposit at very short embargo without any compensating payment
 - Endangers viability of journals, the branding they give articles, the information infrastructure

QUESTION : ZEITGEIST

Will public (political) attitudes regarding the internet make publishing impossible?

stm

Digital *is* Different!

DOMAIN

- Documents
 - Infinite reproducibility
 - Total changeability
- Attitudes
 - “e = free”
 - “yours = mine”
 - “public funding = public access”
 - “(intellectual) property = theft”

CHALLENGES

Business models
Copyright
Authority/trust

Copyright
Business models

European Developments

Legislative Developments

E – Spanish Draft Science Law: contains § 35 for Open Access with an embargo time of 12 months but agreement

[D – Germany – 3rd basked copyright]

Mandates

Requirement:

EU – ERC; 6 months embargo time; peer-reviewed publication (author accepted manuscript)

S – Swedish Research Council: 6 months embargo time; version – not precisely defined

Recommendations (best efforts):

EU – Open Access Pilot Project under FP7; 6 months resp. 12 months embargo time depending on discipline; applies to 20% of FP7 funds; peer-reviewed manuscript (author accepted version)

EU Member States – Many national funding organizations, universities, research performing organisations recommend Open Access publishing with various embargo times, but not less than 12 months

Collaborative Approaches

D – GWK commissioned HGF to develop framework concept for information infrastructure; working group for OA

F – GFII working group; issued a joined paper and propose recommendations

Southern Europe:

SE – 13/14th May 2010 Alhambra declaration on OA; very general statement; can be found under:

<http://oaseminar.fecyt.es/Publico/AlhambraDeclaration/index.aspx>

The PEER Project

PEER has been set up to monitor the effects of systematic archiving of ‘stage two’ research

outputs: the version of the author’s manuscript accepted for publication (NISO - Accepted Manuscript)

- Publishers and research/library/repository community collaborate
- Develop an “observatory” to monitor the impact of systematically depositing stage-two outputs on a large scale (max. 50-60,000 articles)
- Gather hard evidence to inform future policies
- Project duration 3 years – 09/2008 – 09/2011



Supported by the EC eContent*plus* programme

stm



Current Situation and Key Problems & Issues

Current Situation:

- Rapid growth of institutional repositories
- Individual funding agency mandates
- Publisher experimentation
- Lack of agreement on evidence to date

Key Problems and Issues:

- Impact of systematically archiving stage-two outputs is not clear
 - on journals and business models
 - on wider ecology of scientific research
- Varying policies are confusing for authors and readers
- Lack of understanding and trust between publishers and research community

PEER Consortium

Participating Publishers/Repositories

Research Oversight Group (ROG)

Peer Advisory Board

- **PEER consortium (5 exec.members)** – STM (Co-ordinator); ESF; UGOE; MPG, INRIA plus 2 tech. Partners (SURF &UBIEL).
- **12 Publishers** - BMJ Publishing Group, Cambridge University Press, EDP Sciences, Elsevier, IOP Publishing, Nature Publishing Group, Oxford University Press, Portland Press, Sage Publications, Springer, Taylor & Francis Group, Wiley-Blackwell
- **6 Repositories** – PubMan (MPG), UGOE, HAL, BIPrints (UBIEL), Ukaunas, Ulib Debrecen plus LTP archive (e-depot KB NL)
- **ROG** - Justus Haucap (D), Henk Moed (NL), Carol Tenopir (US)
- **PEER Advisory Board** - Funders (4), Librarians (4), Researchers (4), Publishers (5)

stm



Project focus during Period 1 = 09/2008 – 08/2009

Achievements in Period 1

Focus Period 1

- Establishing the 'PEER Observatory' & supporting project infrastructure
- Commissioning usage, behavioural & economic research
- Raising awareness of PEER within stakeholder communities

Achievements

- Project infrastructure in place
- Submitted data made available to research teams
- Research teams selected , and started their work
 - Behavioural
 - Usage
 - Economic
- Presentations, Papers, Talks,

Behavioural research team & objectives

Department of Information Science and LISU
at Loughborough University, UK

Objectives:

- Track trends and explain patterns of author and user behaviour in the context of so called Green Open Access.
- Understand the role repositories play for authors in the context of journal publishing.
- Understand the role repositories play for users in context of accessing journal articles.

Usage research team & objectives

CIBER group, University College London,
UK

Objectives:

- Determine usage trends at publishers and repositories;
- Understand source and nature of use of deposited manuscripts in repositories;
- Track trends, develop indicators and explain patterns of usage for repositories and journals.

Economic research team & objectives

ASK Bocconi Group, Italy

Objectives:

- Research questions to be finalised

Conclusions

- Library integration in institutional information infrastructure
- Develop traditional publishing systems in coexistence with self-archiving
- Proactive role in engaging academic community
- Online support services in the face of future challenges

Agenda

- Introduction – STM
- Business Models / “Zeitgeist”
- European developments
 - Legislative developments
 - Mandates
 - Collaborative approaches
- PEER
- Conclusions

Final Conclusions

- STM Publishers are not against Open Access but do have concerns about „Unfunded Mandates“ (Green OA)
- STM publishers are business model neutral
- PEER project will deliver evidence based data which can be used in future discussions

Questions; Comments; etc?

Kalumenos@stm-assoc.org

stm