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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

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# STM and Open Access

## Position, developments and the PEER Project

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*Seminar 17<sup>th</sup> June, Spanish Association of Publishers  
Guild*

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# Agenda

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

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# 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

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# 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?

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QUESTION : BUSINESS MODELS

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

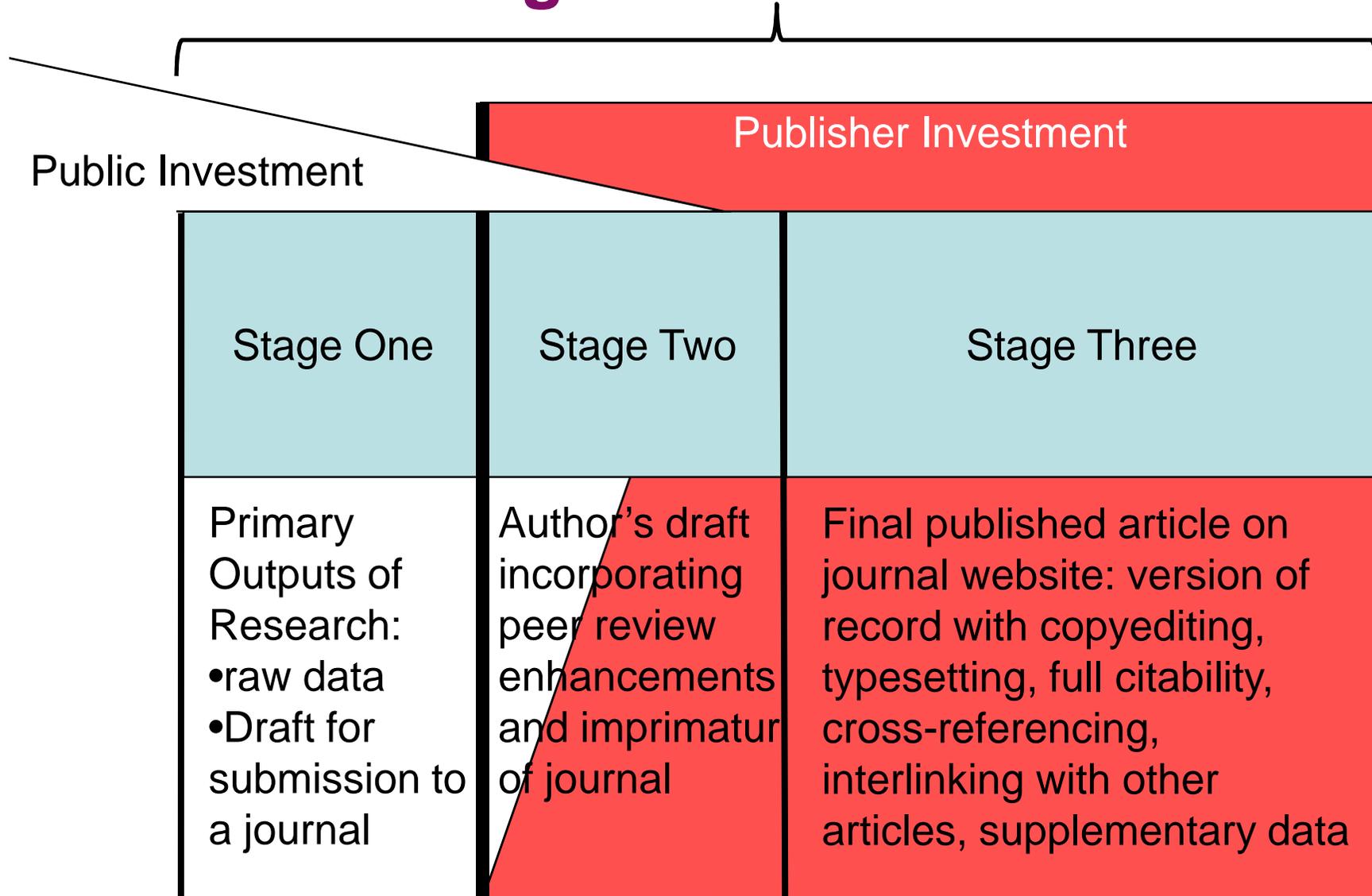
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# Open Access

- 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



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# 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
- DELAYED OA **“DELAYED”**
  - final published articles (stage 3)
  - free some time after publication on publisher’s website
  - existing model
- SELF ARCHIVING OA **“GREEN”**
  - peer reviewed author mss (stage 2)
  - systematic/self- archiving with a variable copyright model  
institutional or subject repositories
  - no model
- PRE-PRINT SERVERS
  - pre-prints (Stage 1)
  - free upon deposit on pre-print server
  - no model

## *Advantages:*

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

## *Disadvantages:*

- Cost to publish
- Corporate free riders

## *Advantages:*

- No new model required

## *Disadvantages:*

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

## *Advantages:*

- Ok when unsystematic

## *Disadvantages:*

- Parasitic, nobody-pays model when systematic

## *Advantages:*

- No threat to journals

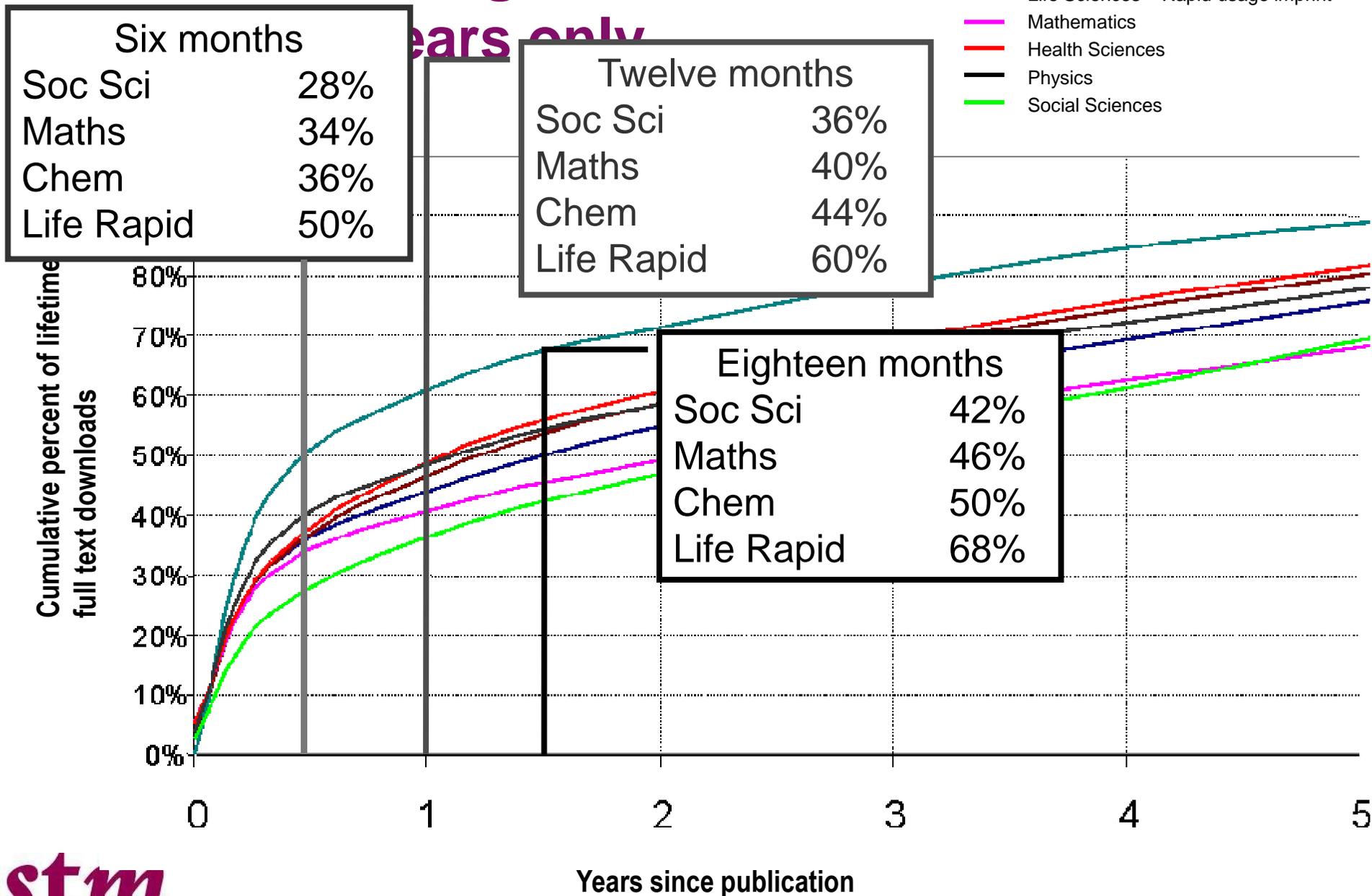
## *Disadvantages:*

- 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



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# 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**

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# 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

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QUESTION : ZEITGEIST

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

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# 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 – 3<sup>rd</sup> 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 – 13/14<sup>th</sup> 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

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# 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

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# 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)

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# 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, ....

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## 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.

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## 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.

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# Economic research team & objectives

ASK Bocconi Group, Italy

## **Objectives:**

- Research questions to be finalised

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## 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

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# 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

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**Questions; Comments; etc?**

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