

Presentation by Julia Wallace, Project Manager, PEER
Research in the Open: How Mandates Work in Practice
29 May 2009



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Why is PEER needed?

There is agreement between publishing and research communities about the importance of access to results of European funded research

But

- there is no consensus on the need for mandated deposits or appropriate embargo periods
- or the impact this may have on journals

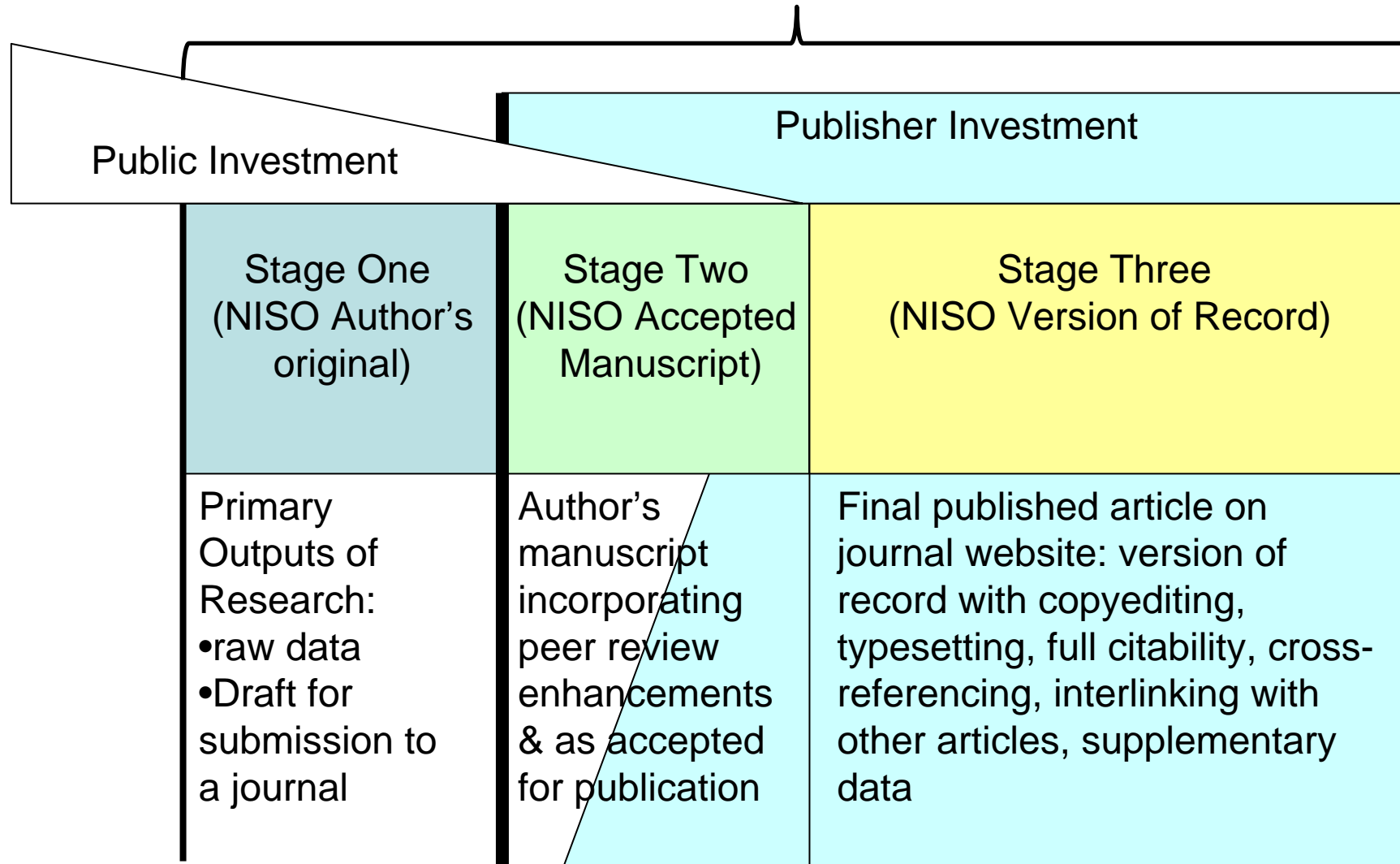
PEER has been set up to monitor the effects of systematic archiving over time

Stakeholders in scholarly communication

- Publishers
- Researchers – authors and users
- Libraries and repositories
- Funding agencies

All of the above stakeholder groups are represented within PEER, both within the consortium & an advisory board

The three key stages of publication



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 (accepted manuscripts) 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

Purpose of PEER

PEER will look at the effects of the systematic archiving of '**stage two**' outputs: the version of the author's manuscript accepted for publication (NISO/ALPSP-Accepted Manuscript)

- Publishers and research community collaborate
- Develop an “observatory” to monitor the impact of systematically depositing stage-two outputs on a large scale
- Gather hard evidence to inform future policies

Objectives

- Determine how large-scale deposit of stage-two outputs will affect journal viability
- Determine whether it increases access
- Determine whether it affects the broader ecology of European research
- Determine the factors affecting readiness to deposit and associated costs
- Develop model(s) to show how traditional publishing can coexist with self-archiving

Project Organisation



Project Organisation

Group	Represents	Role
Executive	Consortium	Plan & manage Key decisions
Advisory Board (20-30 experts)	All stakeholders (broad perspective)	Advise Evaluate research
Expert groups: publishers, repositories, authors, ROG	Key stakeholders (detailed perspective)	Discussion and feedback
Research oversight group (ROG)	Experts on scholarly publishing research	Oversee research Validate
Work package leaders & teams		Do the project work
Independent research teams		Undertake research

PEER Consortium

The PEER consortium (5 Executive members):

- International Association of Scientific, Technical and Medical Publishers (STM) - Co-ordinator
- European Science Foundation (ESF)
- Göttingen State and University Library (UGOE)
- Max Planck Gesellschaft (MPG)
- Institut National de Recherche en Informatique et en Automatique (INRIA)

Plus technical partners: SURF & Universität Bielefeld

Participating Publishers at May 2009

- BMJ Publishing Group
- Cambridge University Press
- Elsevier
- IOP Publishing
- Nature Publishing Group
- Oxford University Press
- Portland Press
- Sage Publications
- Springer
- Taylor & Francis Group
- Wiley-Blackwell

Participating Repositories at May 2009

- Max-Planck-Gesellschaft zur Förderung der Wissenschaften e.V. (MPG)
- HAL, Institut National de Recherche en Informatique et en Automatique (INRIA)
- Göttingen State and University Library (UGOE)
- BiPrints, Universität Bielefeld (UNIBI)
- Kaunas University of Technology, Lithuania
- University Library of Debrecen, Hungary

Plus Koninklijke Bibliotheek (preservation)

Research Oversight Group (ROG)

Justus Haucap, University of Erlangen

Chair: German Monopolies Commission

Henk Moed, Leiden University

Recipient: Derek de Solla Price Award

Carol Tenopir, University of Tennessee

Recipient: International Information Industry Lifetime

Achievement Award

Advisory Board – partial list

Funders:

- Donald J Waters, The Andrew W. Mellon Foundation
- Robert Kiley, Wellcome Trust

Librarians:

- Dr Elisabeth Nigemann, Deutsche Nationalbibliothek
- Paul Ayriss, UCL

Researchers:

- Norbert Kroo, Hungarian Academy of Sciences
- Jane Grimson, Trinity College Dublin

Publishers:

- Herman Spruijt, International Publishers Association
- John Ochs, American Chemical Society

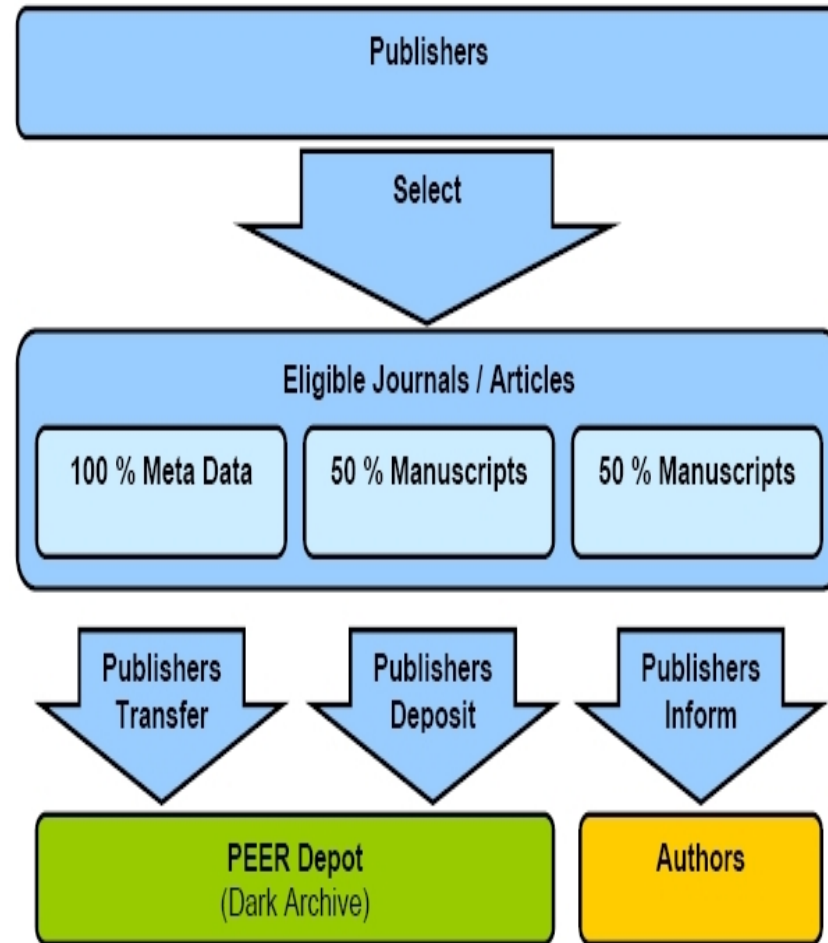
Overall Approach - Observatory

- Publishers contribute up to 300 journals (and a control group)
- Maximise deposit and access within participating EU repositories
 - 50% publisher-assisted deposit
 - 50% author self-archiving
- Collaborate with DRIVER to involve repositories
- Commission research from independent research teams to assess impact – behavioural, access/usage and economic

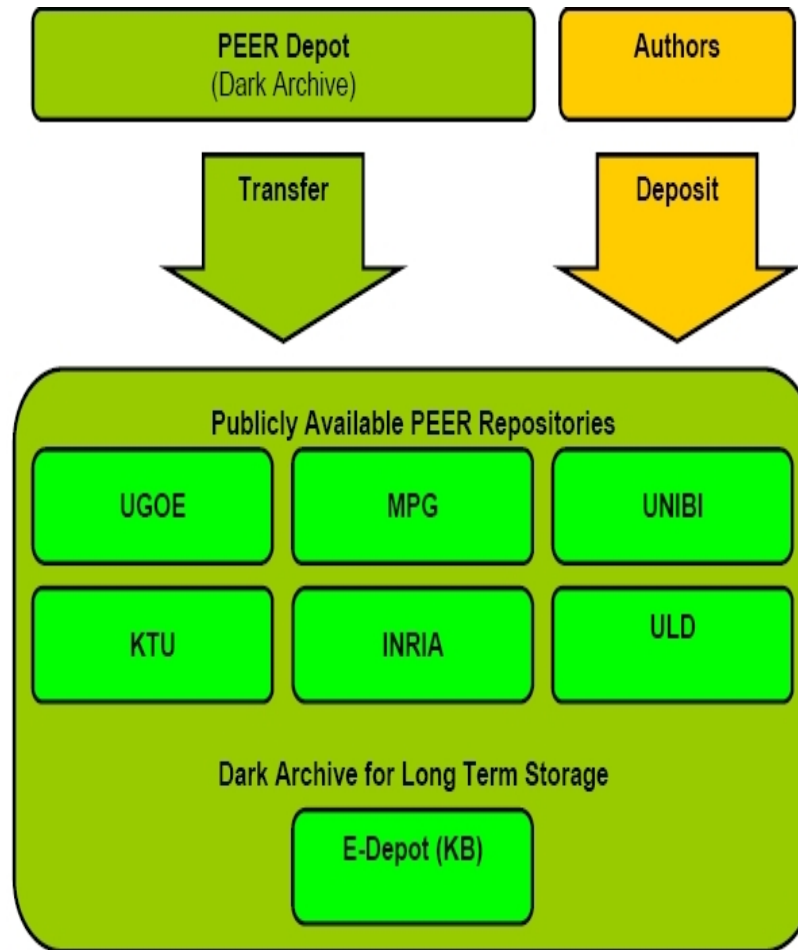
PEER Observatory: Content

- Participating publishers collectively volunteer up to 300 journals (Life Sciences, Medicine, Physical Sciences, Social Sciences & Humanities)
- Selection criteria
 - European content: 20% or greater
 - Quality: good quality, but reflecting a range by impact factor
 - Subject: wide range
- Publishers set embargo periods appropriate for journal
- >20,000 EU articles / year
- Selection process reviewed and approved by research teams

Content submission - publishers



Content submission – to repositories



Technical outcomes & challenges- examples

- Draft report on the provision of usage data and manuscript deposit procedures for publishers and repository managers (Spring 2009)
- Full text format PDF/A-1/ PDF
- Mandatory metadata fields (from DRIVER) - XML
- SWORD protocol for ingest by repositories

Additional challenges:

- Embargo management for author deposits
- Inclusion of 'retained' stage-2 content from publishers
- Any issues arising from trial

PEER Observatory: Research (overseen / validated by ROG)

- Behavioural – authors and readers
 - Baseline study due Autumn 2009
 - Final report June 2011
- Usage – raw logfile analysis
 - Report on observatory framework Autumn 2009 (internal to project)
 - Final report June 2011
- Economic – Request for proposals Sept 2009
 - Report on Economic Research Spring 2010
- Model Development – July 2011

Next steps: 2009

- Publisher deposit to PEER Depot test starts 1 June
- Guidelines for publishers and repository managers on deposit, assisted deposit and self-archiving w/c 1 June
- Publication of participating journal list- June
- Announcement of research teams for Behavioural and Usage Research – initial research / testing underway
- Call for tender: Economic Research, September 2009
- Complete behavioural research baseline study, September 2009
- Final report on the provision of usage data and manuscript deposit procedures for publishers and repository managers September 2009
- Annual report September 2009

Next steps: 2010 - 2011

- *April 2010*: Report on economic research
- *Sept 2010*: Year 2 annual report
- *June 2011*: Report on behavioural research follow-up study
- *June 2011*: Report on usage research
- *July 2011*: Develop final model on traditional publishing and archiving
- *Aug 2011*: Project completion conference
- Presentation and Final report at project end (Sept 2011)

PEER - Measuring Success

- Critical success factors
 - Observatory collects sufficient reliable data to draw conclusions
 - Stakeholders use the evidence gathered
- Success indicators therefore focus on
 - Underlying data provided to the observatory
 - Success at communicating results
 - Not what the observatory measures, e.g. user uptake

PEER- Expected Results

- Greater understanding of the effects of large-scale deposit in OA repositories
- Evidence to inform future policies
- Model(s) illustrating how to maximise the benefits of traditional publishing and archiving
- Trust and mutual understanding between publisher and research communities

Questions?

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Visit the PEER website:

www.peerproject.eu

(RSS news feed available)