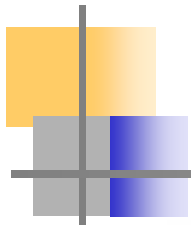


# What's wrong with open?

Reflections on strategies for supporting scholarship in an extensively digital age

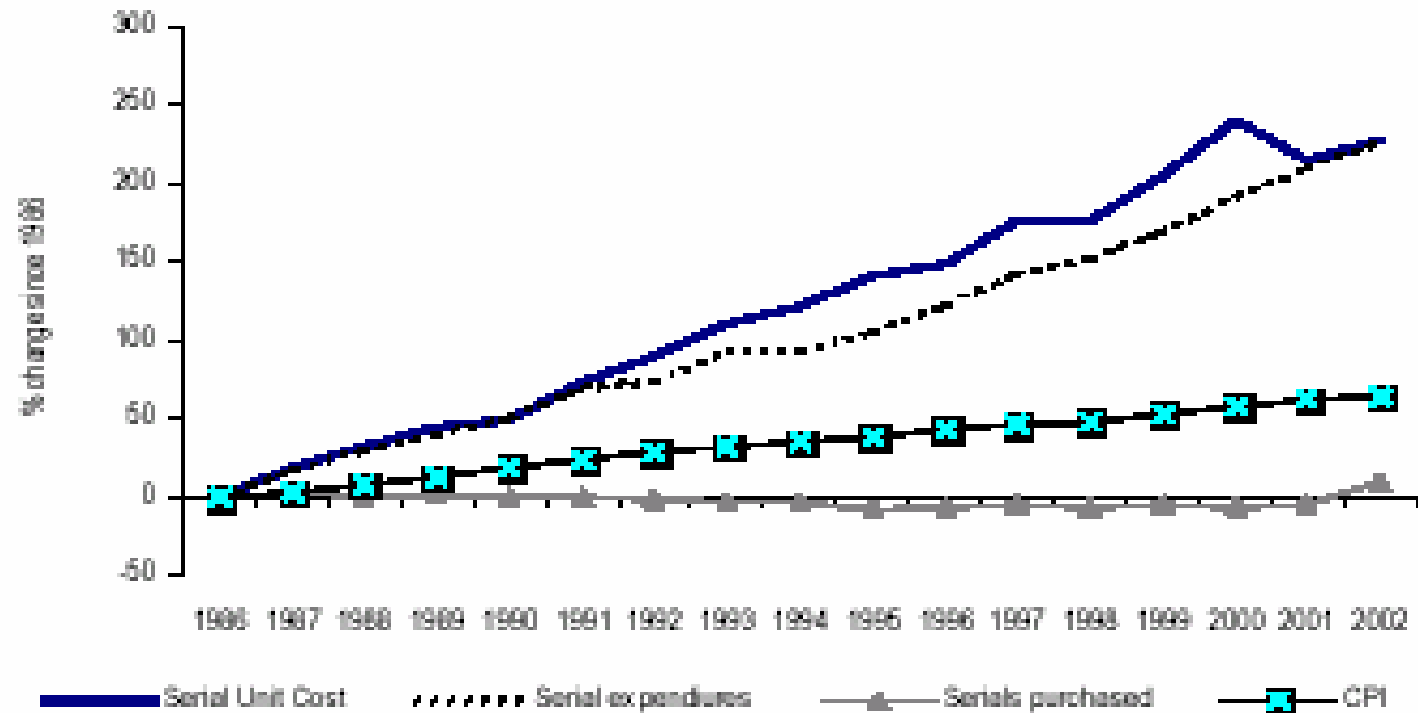
Daniel Greenstein, Associate Vice Provost  
University of California  
Office of the President





# The economics of scholarly journal publishing are unsustainable

Figure 10. Demand for Journals is Inelastic



(Source: JPI / Association of Research Libraries)

Source: Bear Stearns European Equity Research report on Reed Elsevier. September 29, 2003





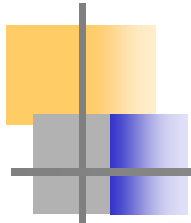
The hyperinflation is pervasive across the disciplines and across both for- and not-for profit publishers

**Table 1**  
**Society Journal Prices**  
**Compared to CPI and All**  
**U.S. Periodicals**  
*Percent Change*

<b>Year</b>	<b>Consumer Price Index</b>	<b>All U.S. Periodicals</b>	<b>U.S. Society Journals Studied</b>
1988	4.1	9.1	7.0
1989	4.8	9.5	7.0
1990	5.4	9.5	6.5
1991	4.2	11.7	8.2
1992	3.0	12.2	8.3
1993	3.0	5.5	5.4
1994	2.6	9.6	6.2
1995	2.8	10.4	5.6
1996	3.0	10.8	7.4
1997	2.3	9.9	8.1
1998	1.6	10.3	8.6
1999	2.2	10.4	11.3
2000	3.4	9.0	8.8
2001	2.8	8.3	6.9
2002	1.6	7.9	7.2
2003	—	7.7	6.8
<b>Avg.</b>	<b>3.1</b>	<b>9.5</b>	<b>7.5</b>

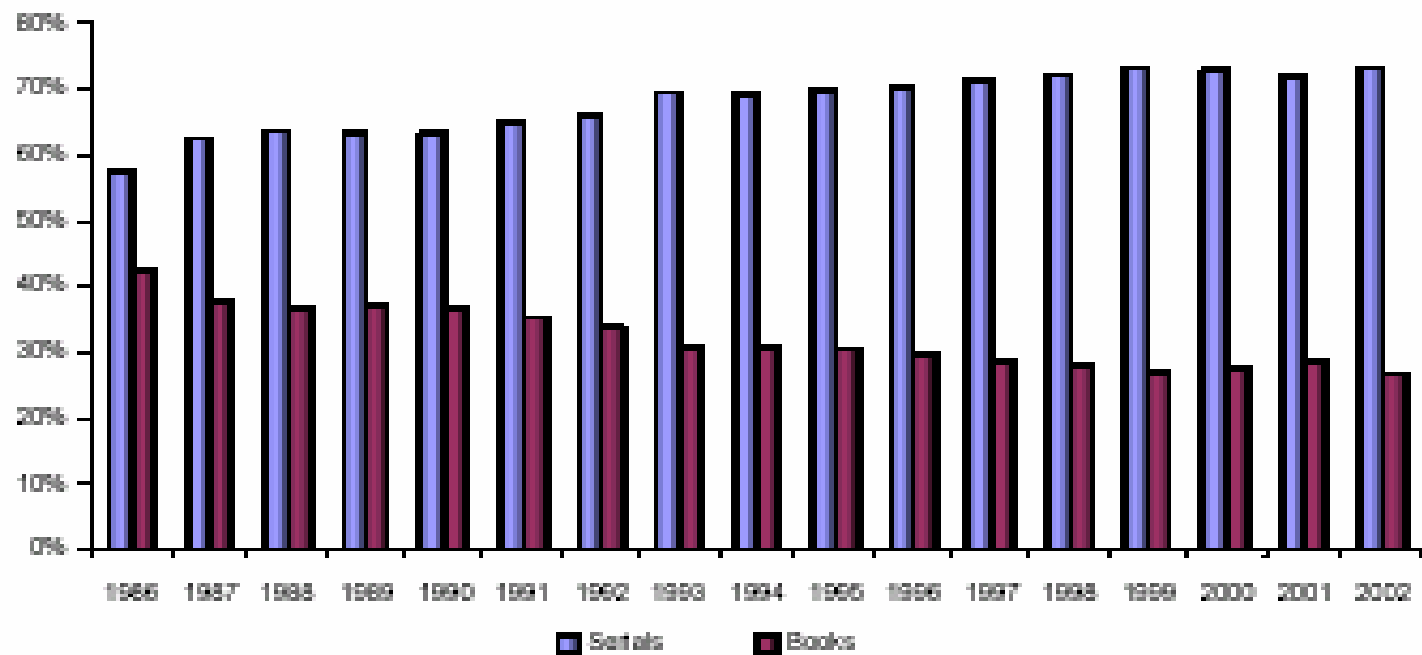
Sources: The ALA Library Materials Price Index Committee (*Library Resources & Technical Services (LRTS)*, July 2003). The annual average price changes for U.S. society journals were from the Allen Press annual studies. Consumer Price Index (CPI) from the U.S. Department of Labor.





## The trend curtails production and acquisition of scholarly monographs

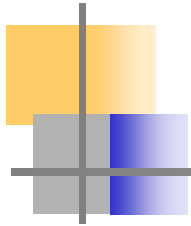
Figure 20. Books are being cut at the expense of journals



Source: Association of Research Libraries

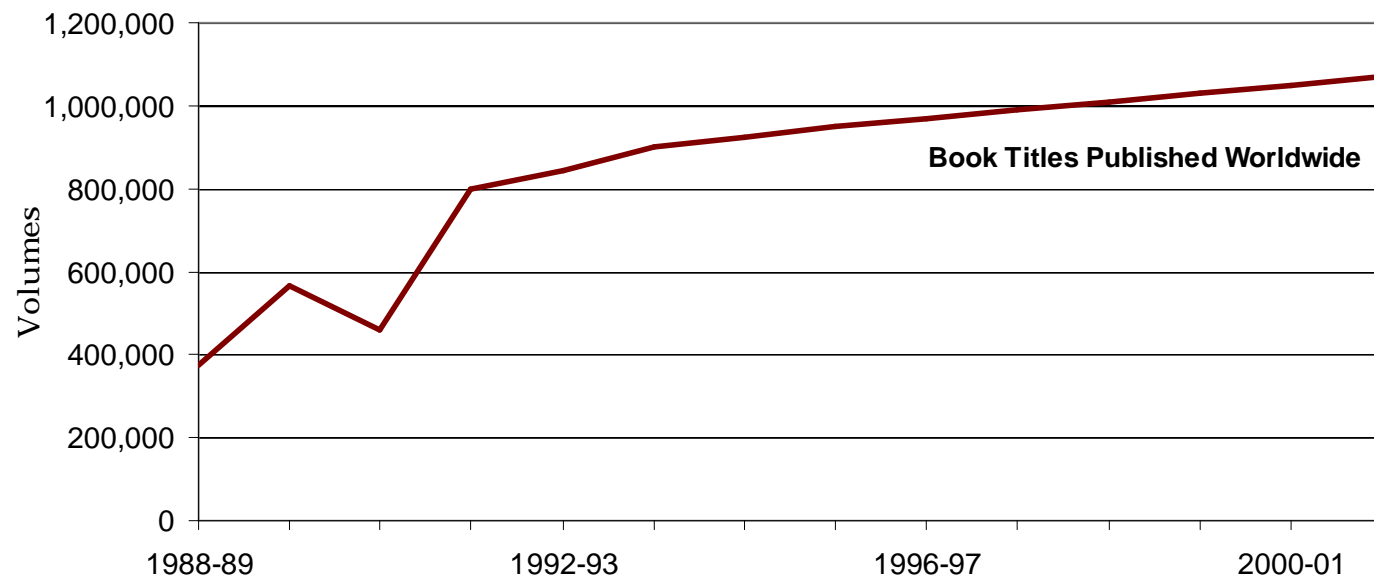
Source: Bear Stearns European Equity Research report on Reed Elsevier. September 29, 2003





# While the volume of book publishing continues on the rise

Growth in Worldwide Book Publishing. 1988-2002







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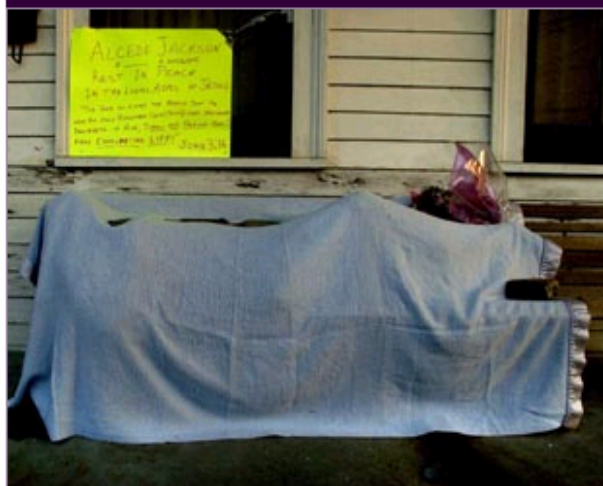
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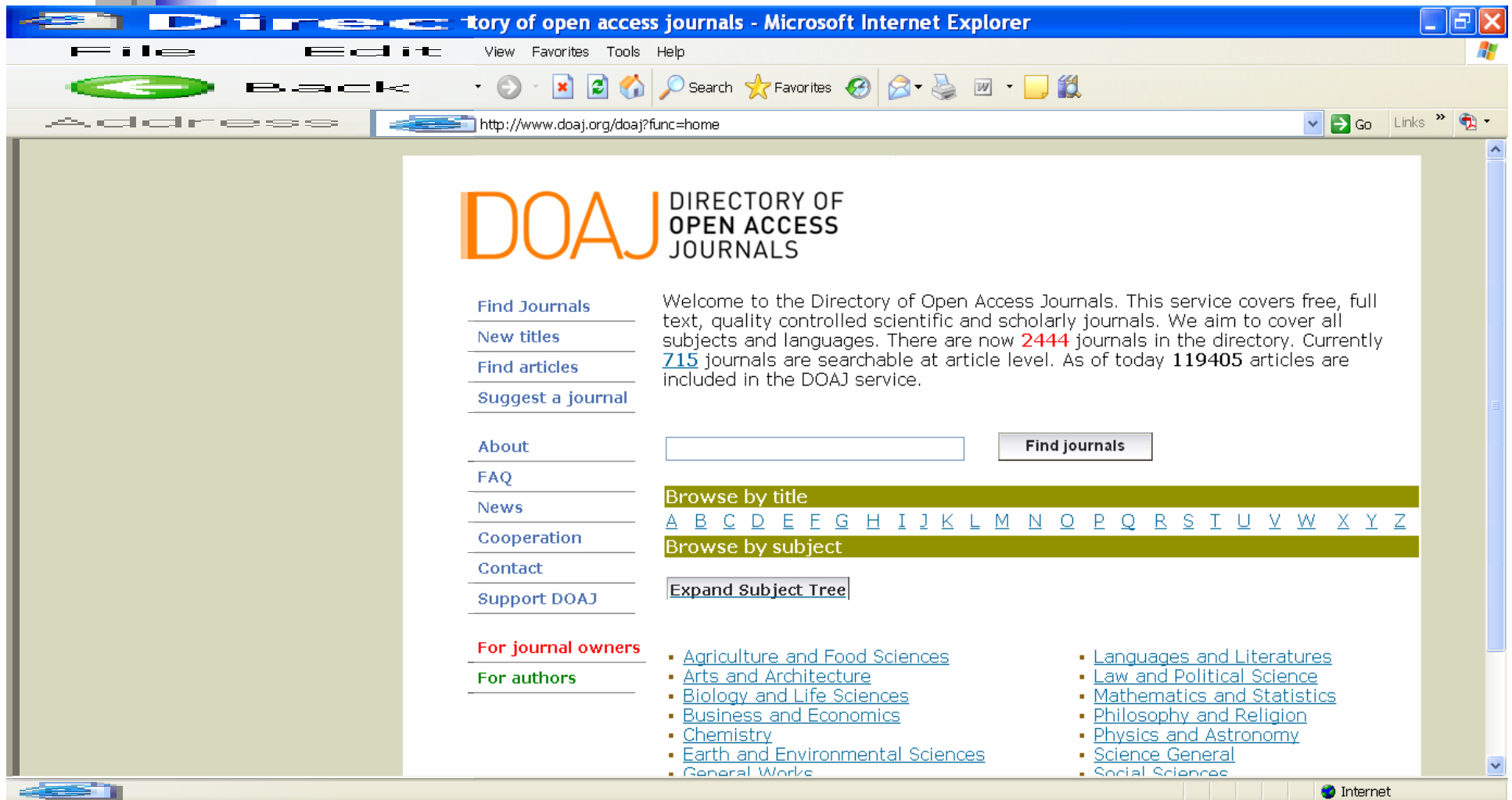
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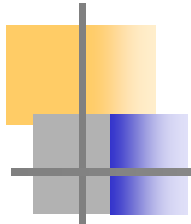
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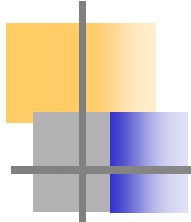


## We have dealt with the crisis in principle

---

- Tempe, 2000 (<http://www.arl.org/scomm/tempe.html>)
- Budapest, 2001  
(<http://www.earlham.edu/~peters/fos/boaifaq.htm>)
- Berlin, 2003 (<http://oa.mpg.de/openaccess-berlin/berlindeclaration.html>)
- Bethesda, 2004  
(<http://www.earlham.edu/~peters/fos/bethesda.htm>)
- Washington DC, 2006 (<http://www.dcprinciples.org/>)



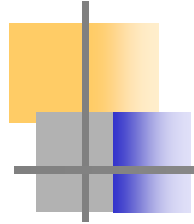


## We have dealt with the crisis by resolution

---

- Case Western, Columbia, Connecticut, Cornell, Kansas, Indiana, Iowa, Oregon State, Stanford, Wisconsin
- UC – systemwide as well as Berkeley, Irvine, UCLA, UCSC, UCSB, UCSF





And we have dealt with the crisis by lobbying

---

e.g. for the Federal Research Public Access Act – S 2695

<http://www.arl.org/sparc/advocacy/frpaa/institutions.html>





And we have been joined by some powerful voices.

---

In the US

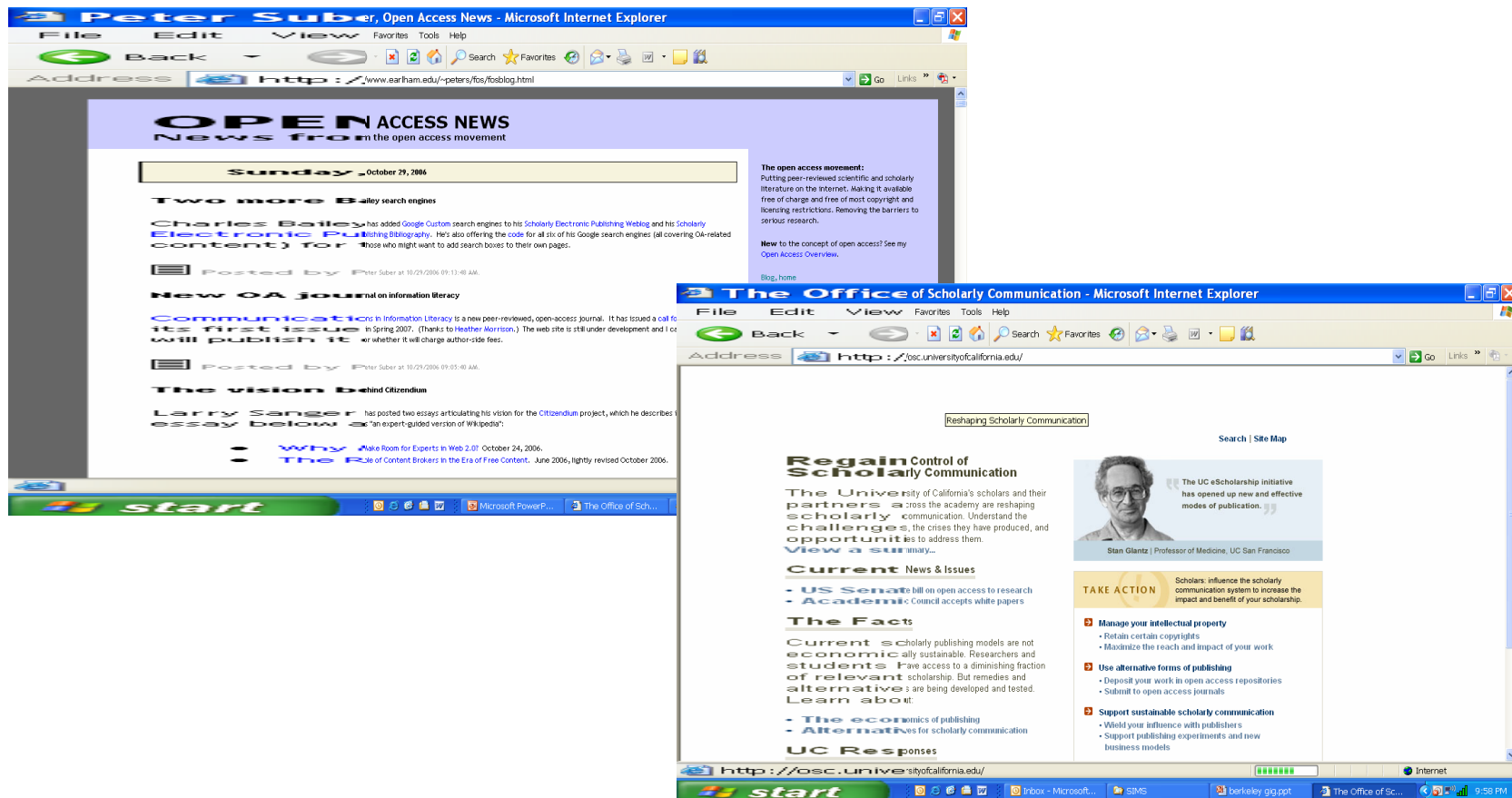
- NIH

And elsewhere

- Wellcome Trust
- UK Research Councils
- European Union
- NII Japan



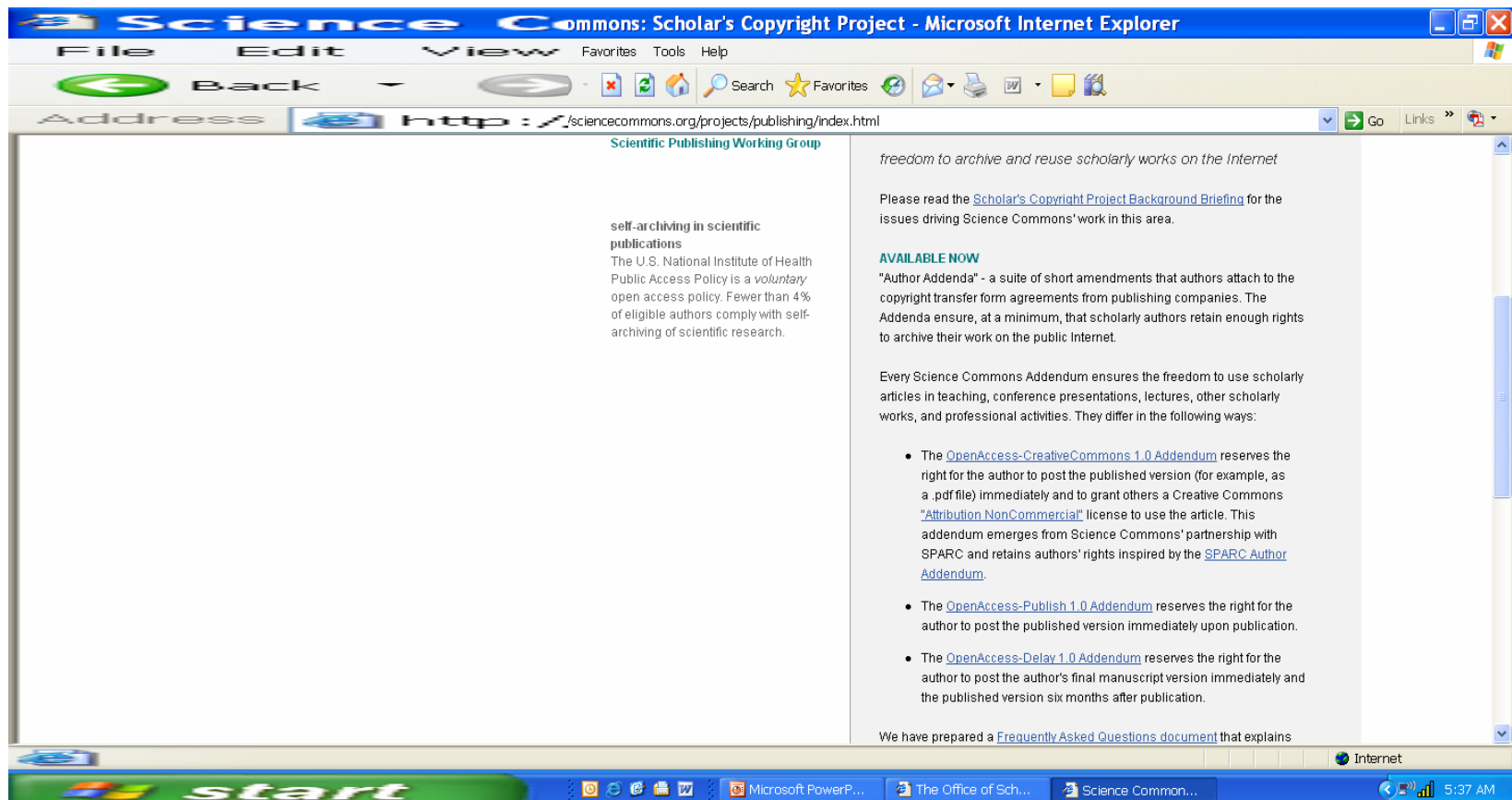
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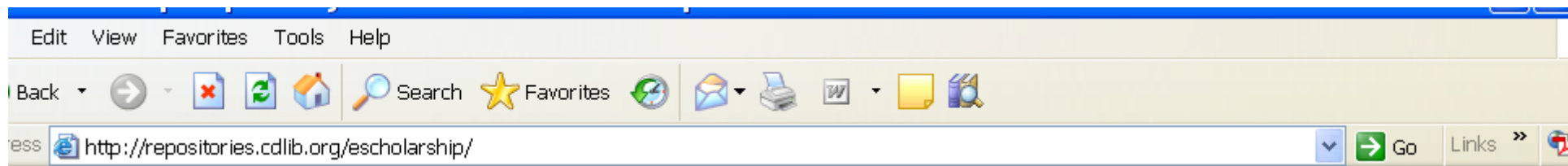




.... and by providing a range of copyright management tools







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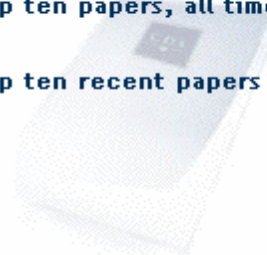
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# The Influence of Academic Values on Scholarly Publication and Communication Practices

CSHE > Publications > The Influence of Academic Values on Scholarly Publication and Communication Practices

The Influence of Academic Values on Scholarly Publication and Communication Practices. Diane Harley, Sarah Earl-Novell, Jennifer Arter, Shannon Lawrence, and C. Judson King. CSHE.13.06. (September 2006)

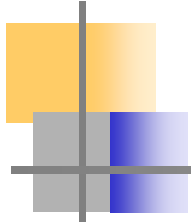
(RESEARCH AND OCCASIONAL PAPERS SERIES)

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**Abstract:** This study reports on five disciplinary case studies that explore academic value systems as they influence publishing behavior and attitudes of University of California, Berkeley faculty. The case studies are based on direct interviews with relevant stakeholders — faculty, advancement reviewers, librarians, and editors — in five fields: chemical engineering, anthropology, law and economics, English-language literature, and biostatistics. The results of the study strongly confirm the vital role of peer review in faculty attitudes and actual publishing behavior. There is much more experimentation, however, with regard to means of in-progress communication, where single means of publication and communication are not fixed so deeply in values and tradition as they are for final, archival publication. We conclude that approaches that try to "move" faculty and deeply embedded value systems directly toward new forms of archival, "final" publication are destined largely to failure in the short-term. From our perspective, a more promising route is to (1) examine the needs of scholarly researchers for both final and in-progress communications, and (2) determine how those needs are likely to influence future scenarios in a range of disciplinary areas.

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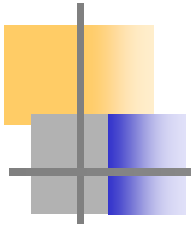


## Have we created two scholarly publishing systems?

---

- One that supports promotion and tenure decisions and is based on subscription-based publications;
- and one that supports scholarship and the dissemination of knowledge?

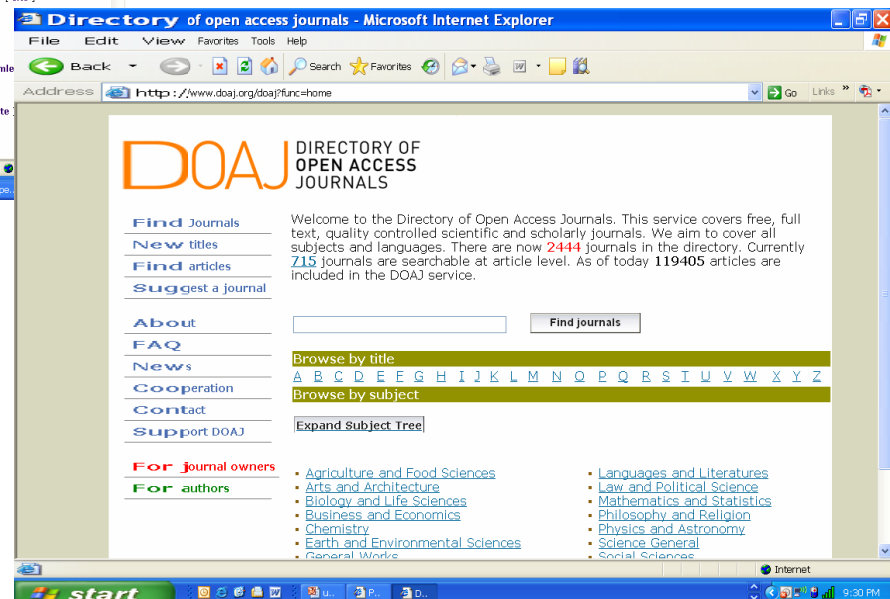
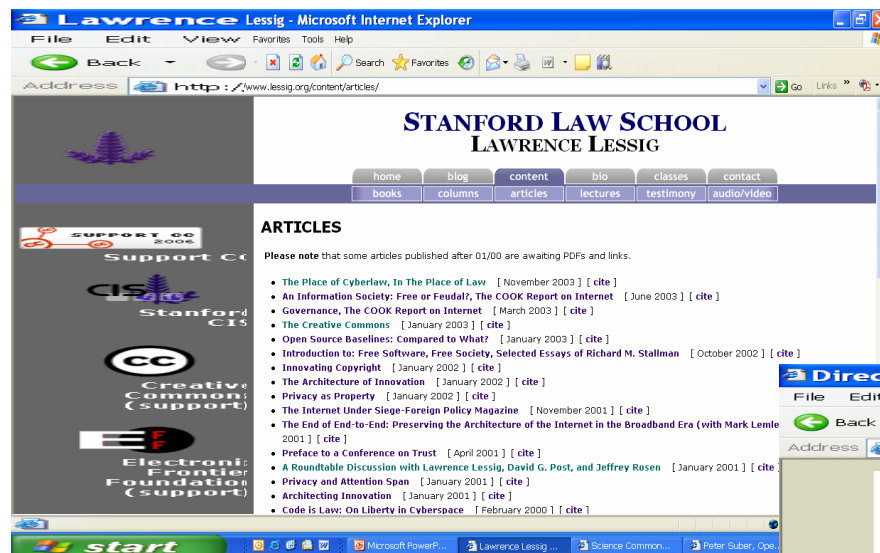




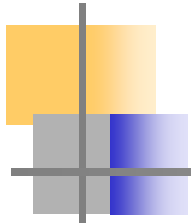
I think we have and I want to pause a moment  
to reflect on the potential impacts of this



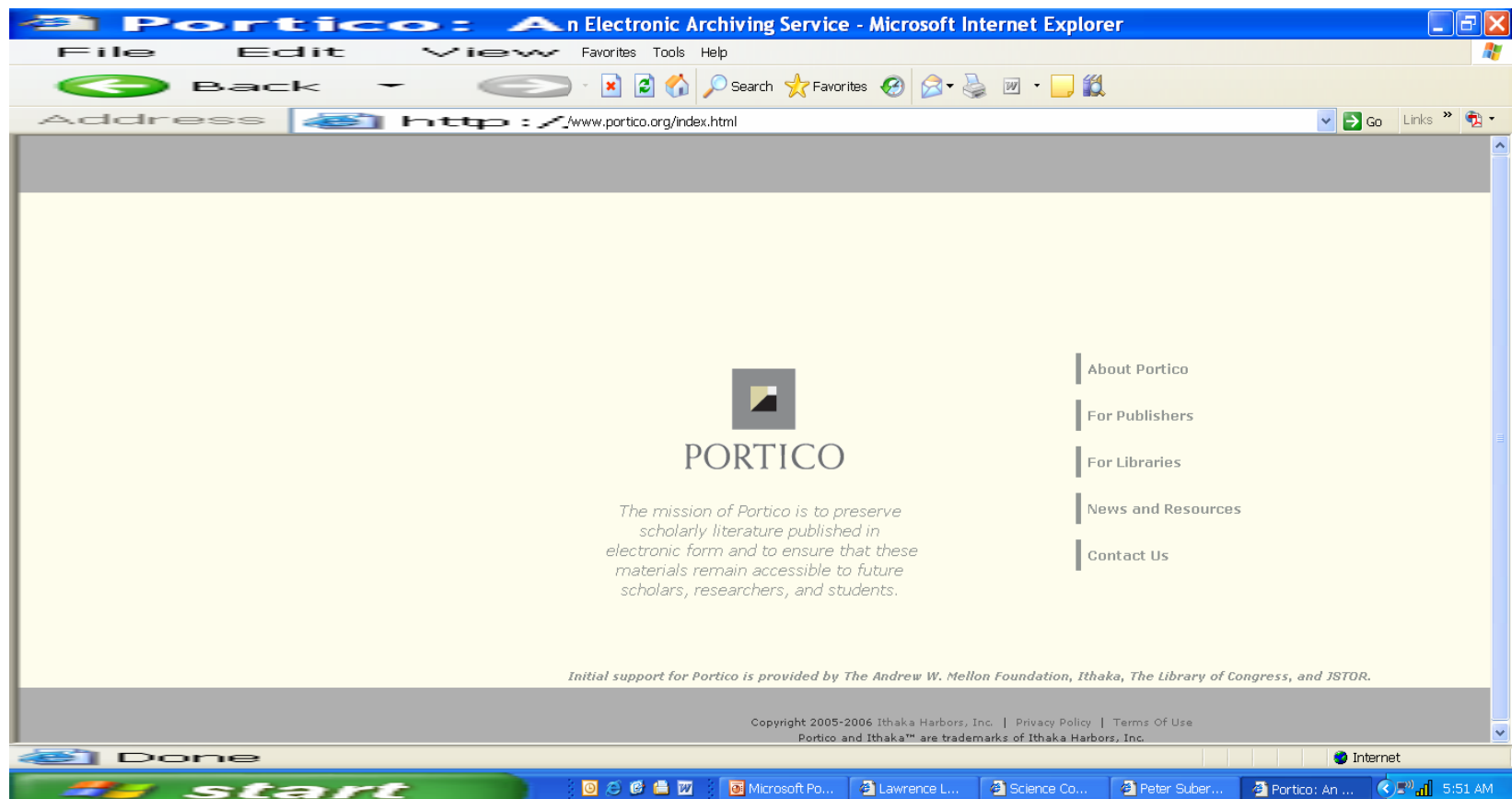
# One publishing system is desperately insecure







# The other system is archived and archival





# One publishing system apportions costs to beneficiaries



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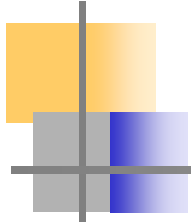
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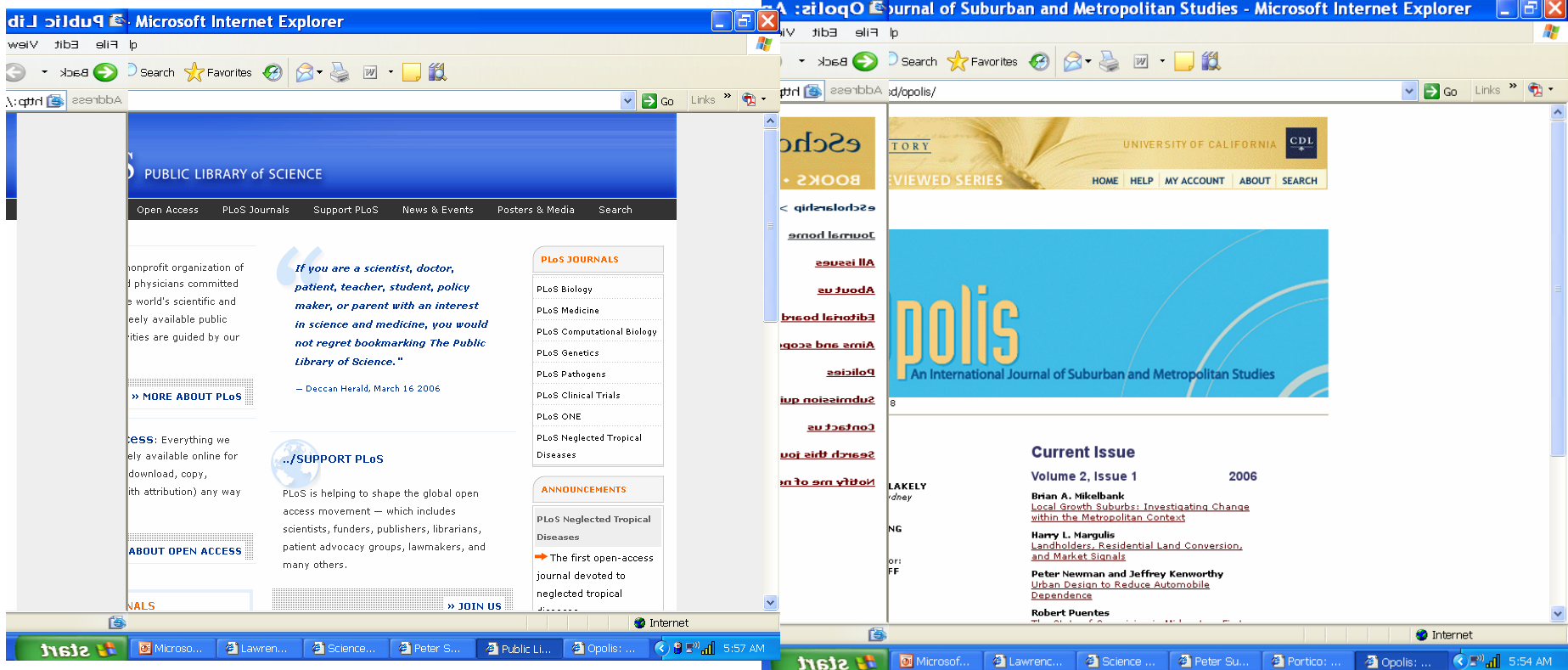




# The other apportionments its costs

to authors (and is discipline-bound even if viable)

or to institutions (and so entails massive free-riding)

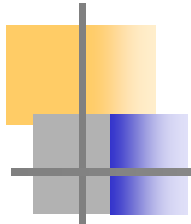




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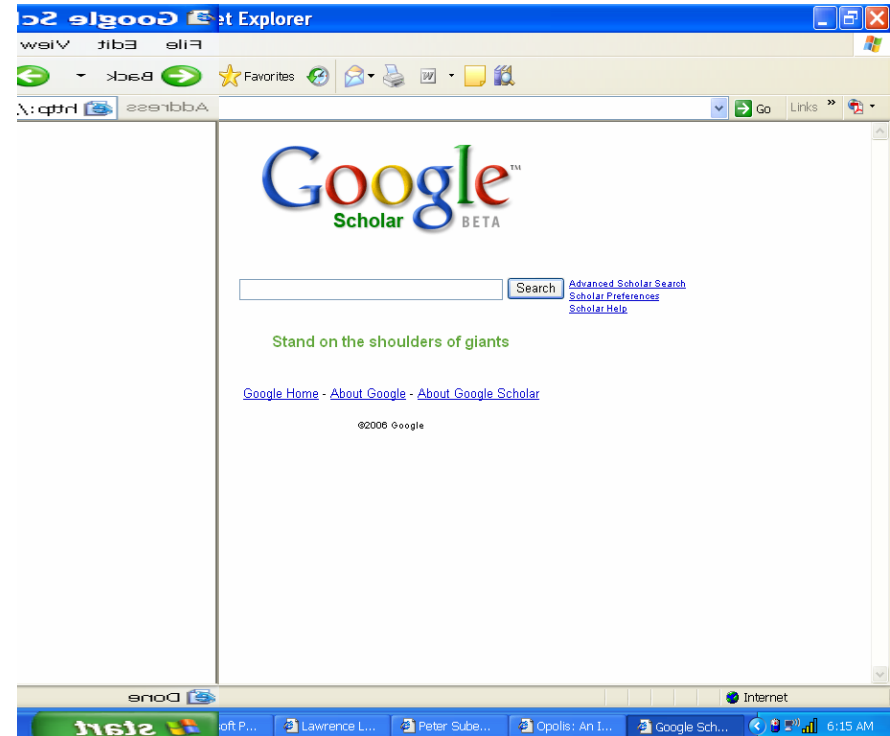
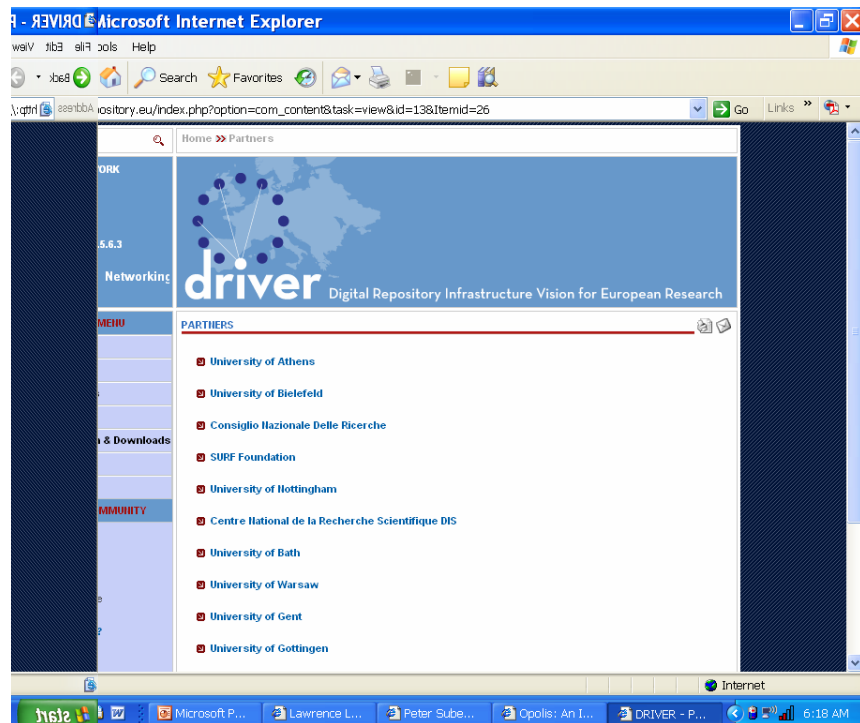




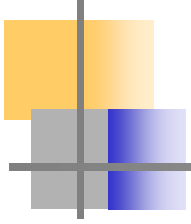
...the other, to

**fragmentation**

**and undifferentiated indexing**







We have clearly made some very significant  
gains

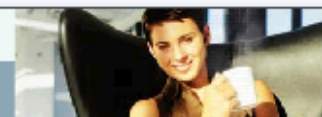




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## Elsevier Allows Open Access Self-Archiving

by Robin Peek

June 7, 2004 — In a move that has stunned both the publishing community and the academic world, major journal publisher Elsevier is going to permit open access self-archiving for almost all of its journal titles. Under the new policy it will permit authors to self-archive their materials. This move will not change Elsevier's subscription model for funding.

"An author may post his version of the final paper on his personal Web site and on his institution's Web site (including its institutional repository). Each posting should include the article's citation and a link to the journal's home page (or the article's DOI)," stated Karen Hunter, Elsevier vice president for strategy. "The author does not need our permission to do this, but any other posting (e.g., to a repository elsewhere) would require our permission. By 'his version' we are referring to his Word or Tex file, not a PDF or HTML downloaded from ScienceDirect—but the author can update his version to reflect changes made during the refereeing and editing process."

"We are not only announcing the extension or further liberalization of our policy, we are also reaffirming prior policy, to ensure that our authors' needs are being met," said Arie Jongejan, CEO, Elsevier Science and Technology.

Calling this "the breakthrough that it seems to be," Peter Suber, in the SPARC Open Access Newsletter, observed that: "We may disagree about how well it matches public definitions of 'open access,' how it weighs against other Elsevier policies, or even how much it was foreshadowed by earlier Elsevier actions. But there is no question that it marks significant progress for OA. Permission for postprint archiving is all that authors need to provide OA to the

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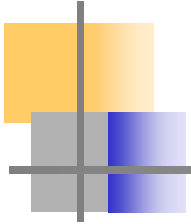
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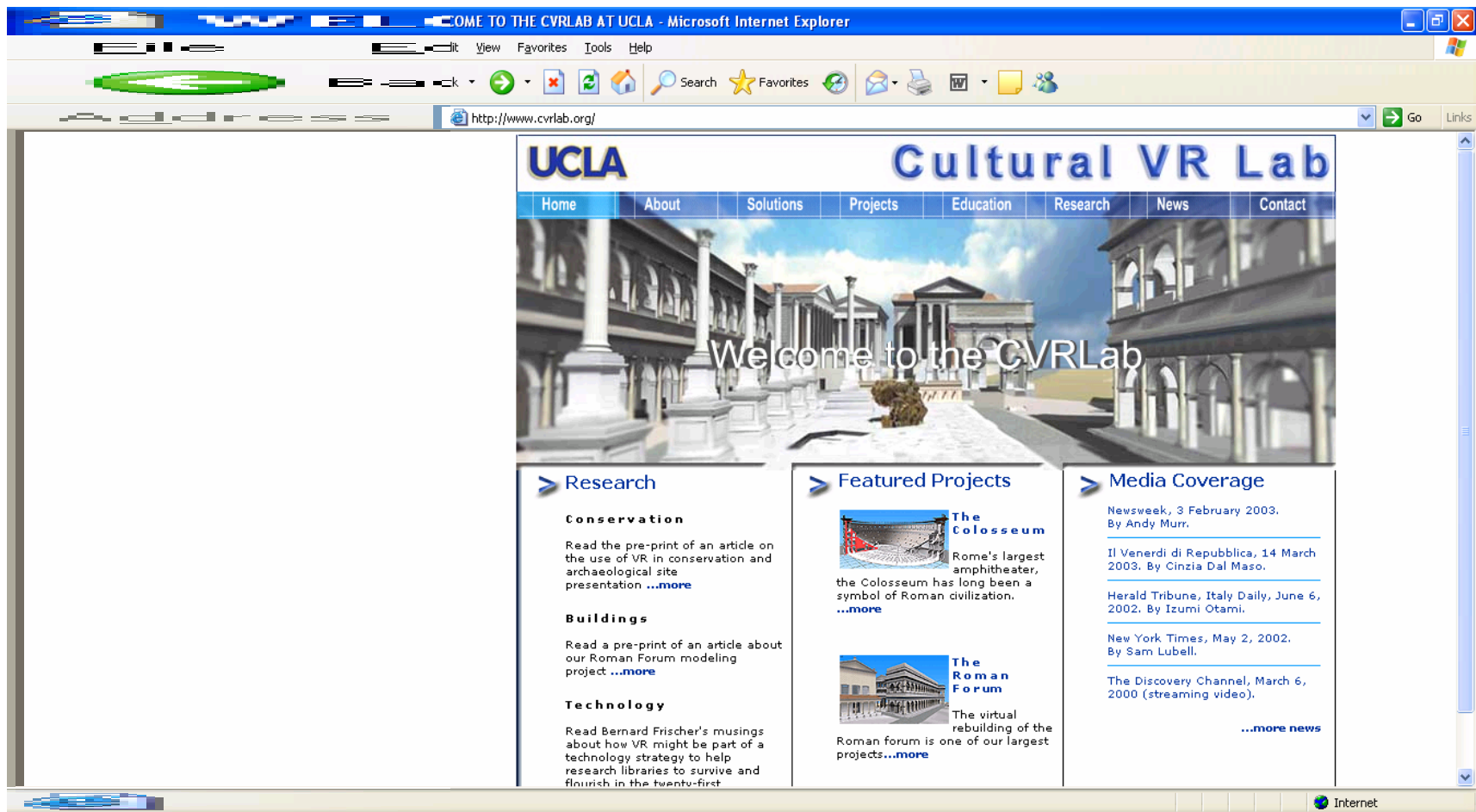


Not only is there irrationality in our supporting two systems of scholarly publishing (one for reward, the other for access), but there is significant real and opportunity cost?

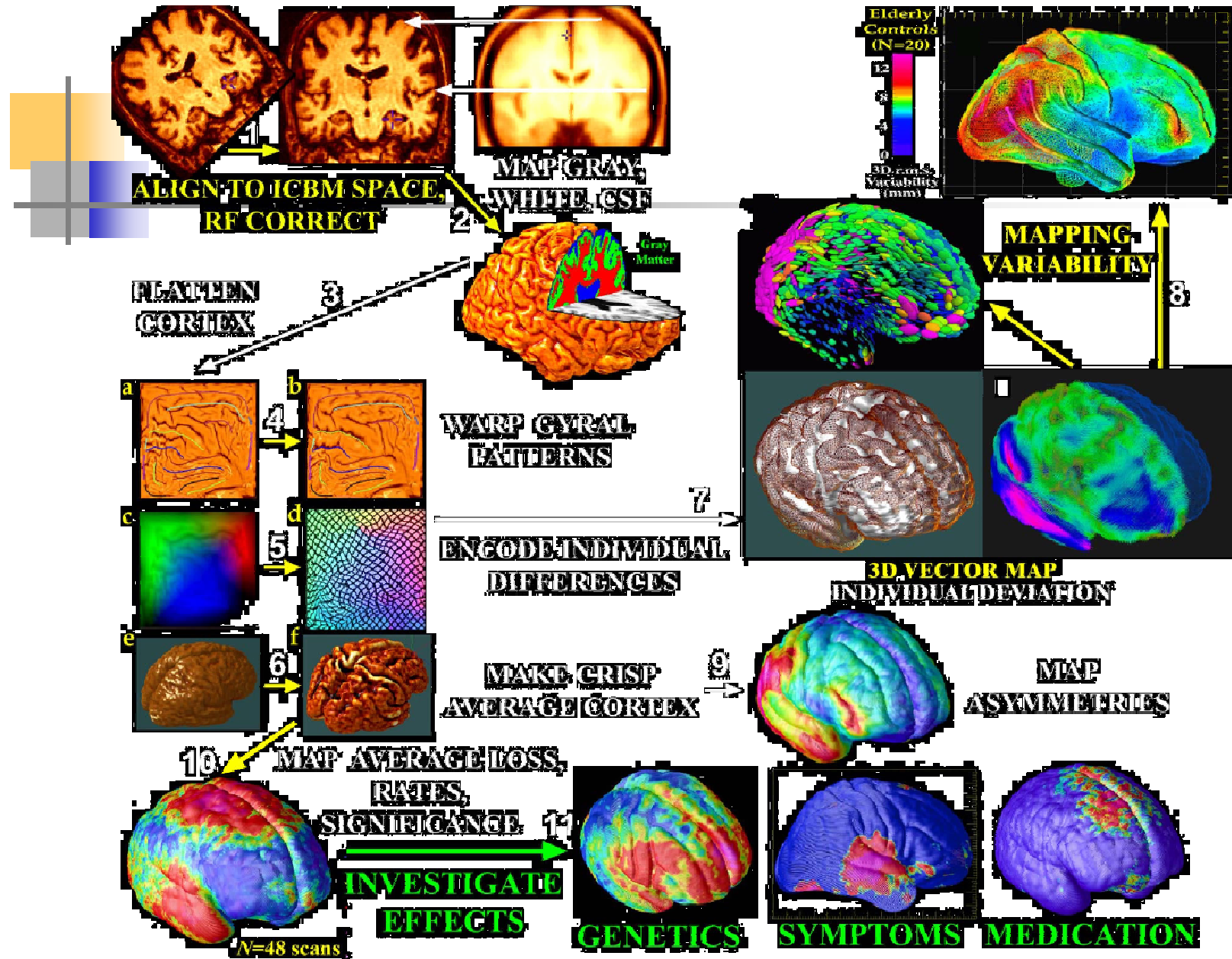
By supporting both systems we consume scarce resources that



...are needed to address other scholarly publishing crises...

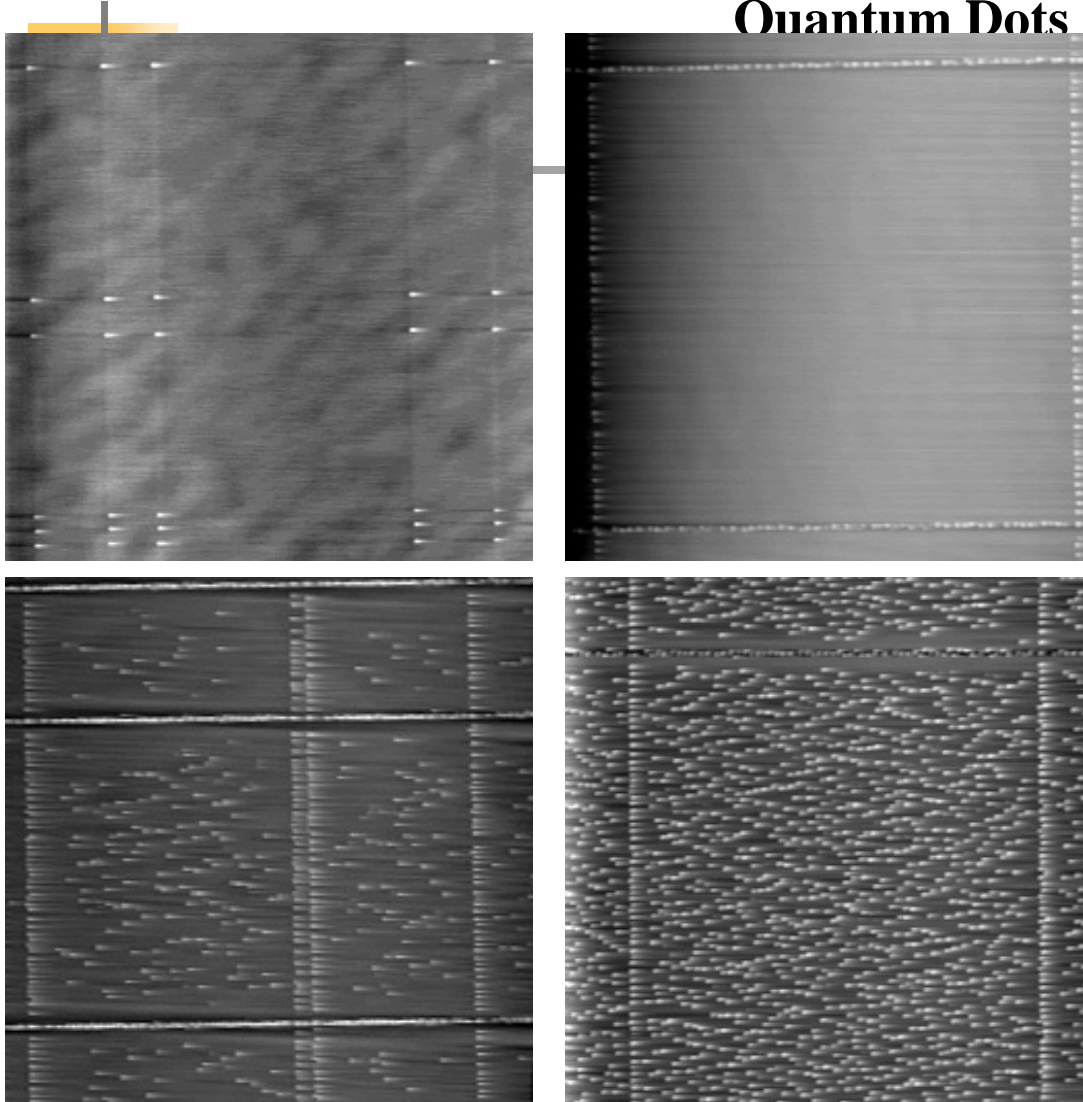








## Directed Self-Assembly of Quantum Dots

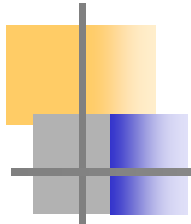


Two-dimensional AFM topographic images of Ge SAQDs with 4-6 Å coverage on a partially relaxed Si<sub>0.9</sub>Ge<sub>0.1</sub> buffer layer, with buried dislocation lines.

Clockwise from upper left:

- 4.0 Å Ge coverage with Ge SAQDs only at site A
- 4.5 Å Ge coverage with Ge SAQDs at site A and B
- 5.0 Å Ge coverage with Ge SAQDs at site A, B, and C
- 6.0 Å Ge coverage with Ge SAQDs at site A, B, and C





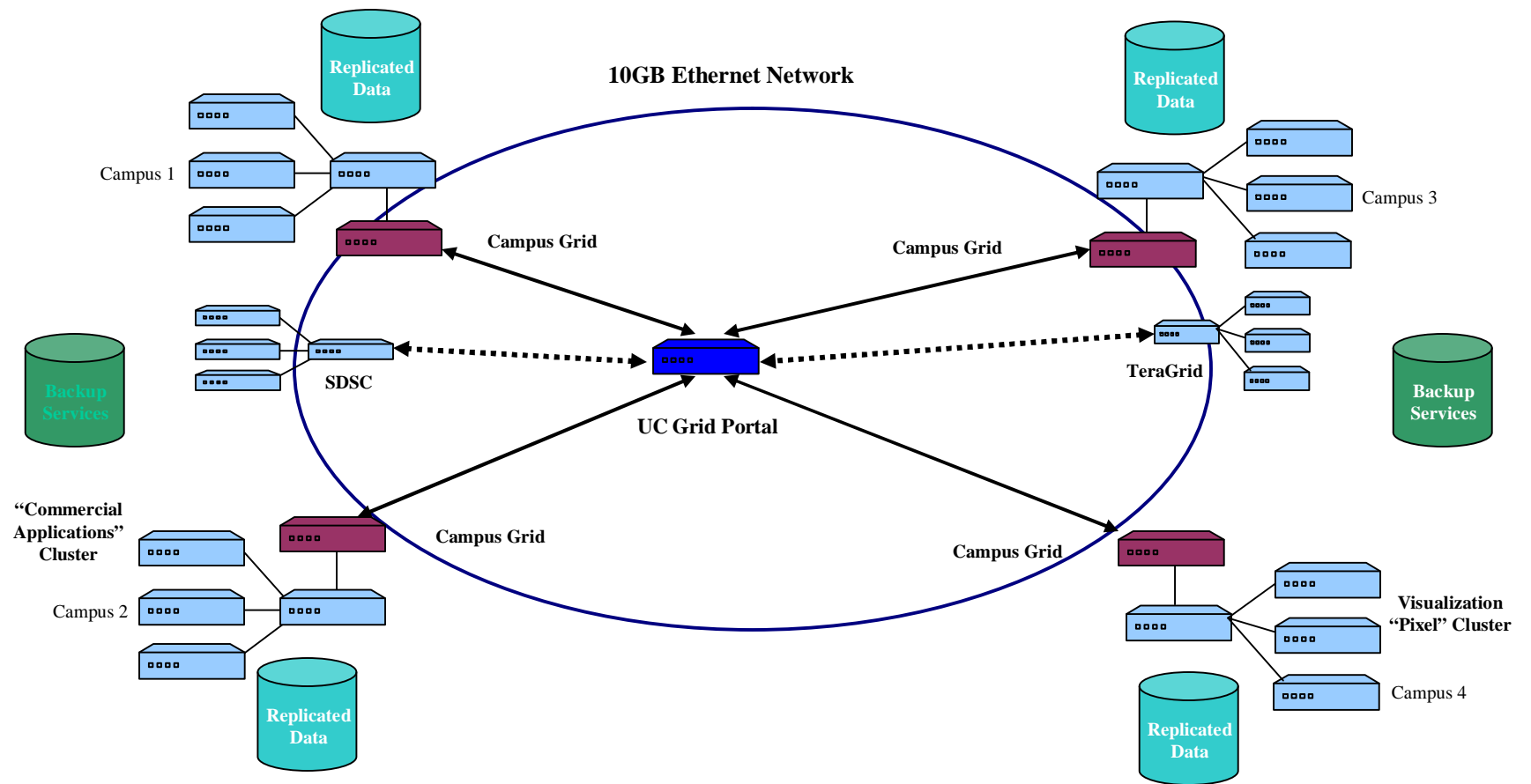
## The question are...

---

Has our experience with open access publishing and institutional repositories equipped us to surface an economy that is capable of caring for and feeding, and ensuring scholarly exploitation of this vast amount of digital primary evidence?

Will it (and we) be served by the fragmentation, free-riding, and insecurity that are inherent traits of our open access institutional repositories








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You must be a registered user to submit a site to Archive That. Please [login](#) or [register](#) as a new user.

### New Web Archive On Demand Service



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item remaining) Downloading picture <http://websearch.archive.org/katrina/images/hurricane.jpg...>

Internet





# Web Archiving Service

Capture Today's Web; Build Tomorrow's Archives

## WAS Release 1

The Web Archiving Service is part of the Web-at-Risk NDIIPP project. The goal of Web-at-Risk is to provide tools for librarians to capture, curate and preserve web-based government and political information. The project is a cooperative effort between the California Digital Library, New York University and the University of North Texas.

This is the first of eight scheduled releases for the Web Archiving Service (WAS). This first release focuses on the basic features needed to capture web-based publications. During this pilot phase, WAS is only available to the Web-at-Risk curatorial partners. If you are not part of the WAS curatorial team, you are welcome to explore WAS scope, features and screen images in the **WAS Release 1 Guide**.

WAS Release 1 enables users to issue web captures, view basic capture result reports, and to look at the captured content.

UserID:

Password:

Login

### Further Information

- [Inside CDL: Web-at-Risk](#)
- [Web-at-Risk Wiki](#)
- [CDL Digital Preservation Program](#)
- [WAS Release 1 Guide](#)

The Web Archiving Service is provided by the [California Digital Library](#).

Funding for this project was provided by the Library of Congress' National Digital Information Infrastructure and Preservation Program.

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## Manage Sites

Add or edit sites to capture; delete sites you no longer need.

[Add new site](#)

Site Details	Actions
<b>California Water Science Center</b> <a href="http://ca.water.usgs.gov">http://ca.water.usgs.gov</a> Here is a description for the Calif. Water Science Center.	 
<b>California Department of Water Resources</b> <a href="http://wwwdwr.water.ca.gov">http://wwwdwr.water.ca.gov</a>	 
<b>California Department of Fish and Game</b> <a href="http://www.dfg.ca.gov">http://www.dfg.ca.gov</a>	 
<b>California Bay-Delta Authority (CALFED)</b> <a href="http://science.calwater.ca.gov">http://science.calwater.ca.gov</a> <a href="http://solicitation.calwater.ca.gov">http://solicitation.calwater.ca.gov</a> <a href="http://calwater.ca.gov">http://calwater.ca.gov</a> <a href="http://www.science.calwater.ca.gov">http://www.science.calwater.ca.gov</a> <a href="http://www.calwater.ca.gov">http://www.calwater.ca.gov</a>	 
<b>California Coastal Commission</b> <a href="http://www.coastal.ca.gov/web">http://www.coastal.ca.gov/web</a>	 
<b>Monterey Bay National Marine Sanctuary</b> <a href="http://montereybay.noaa.gov">http://montereybay.noaa.gov</a>	 

### Detailed Guides

 [Selecting sites to capture](#)

### Tips

 = edit site info = delete site

### About Site Deletions

Deleting a site will remove it from the Manage Sites list, and any captures that are configured to archive the site will not archive it in the future. **Past** captures that have already archived a deleted site will not be affected (i.e., previously archived data will not be lost).



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## Add New Site

\*Indicates a required field

\*Site Name:

\*URL(s):

Include "http://", one URL per line.

Description:

### Detailed Guides

[Selecting sites to capture](#)

### Tips

**Site Name:** What you name a site is up to you. A site name does not need to match the HTML <title> text of its pages. During a capture, <title> information is gathered for each page along with the rest of the HTML.

**URLs:** In some cases a web site is delivered from multiple servers. When you create a site entry, you can enter as many server URLs as needed to define the site.










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## Manage Captures

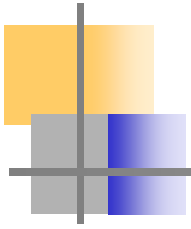
Capture 'Web-at-Risk documents' was created successfully.

Edit existing capture settings or view capture history. You can also [create a new capture](#).

 [Refresh status](#)

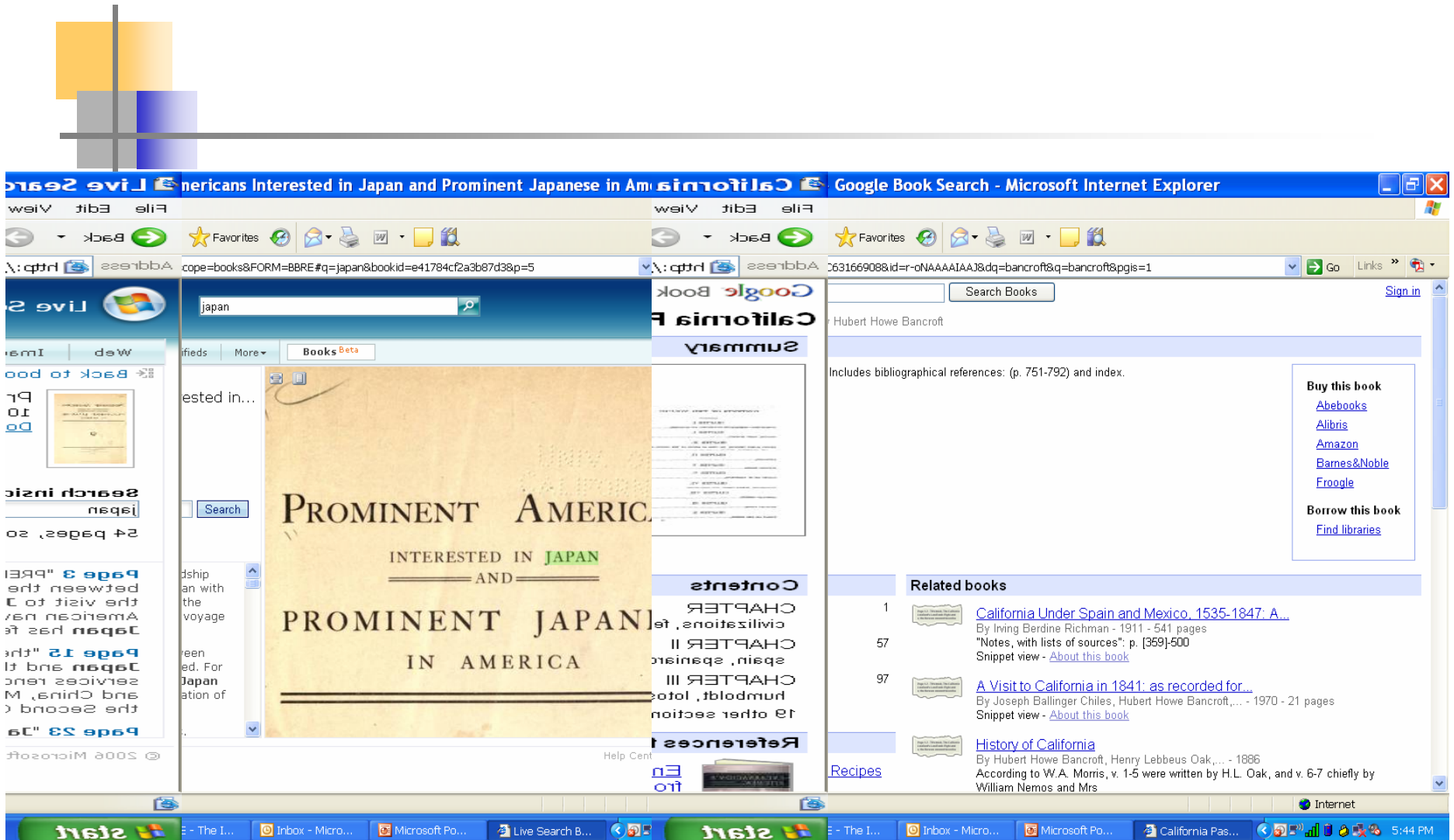
Capture Details	Status 	Last Capture Start Time	Actions
<b>Water Resources</b> Water-related sites of interest to our curators	Ready	Never Captured	 <a href="#">View History</a> <a href="#">Start</a>
<b>Capture Test</b> a couple small test sites	Ready	9/11/06 - 1:19 PM PDT	 <a href="#">View History</a> <a href="#">Start</a>
<b>Signage</b> selected signage sites	Ready	9/11/06 - 1:05 PM PDT	 <a href="#">View History</a> <a href="#">Start</a>
<b>calfed capture</b> testing browse display of multiURL site	Ready	9/07/06 - 3:55 PM PDT	 <a href="#">View History</a> <a href="#">Start</a>
<b>Web-at-Risk documents</b>	Ready	Never Captured	 <a href="#">View History</a> <a href="#">Start</a> 



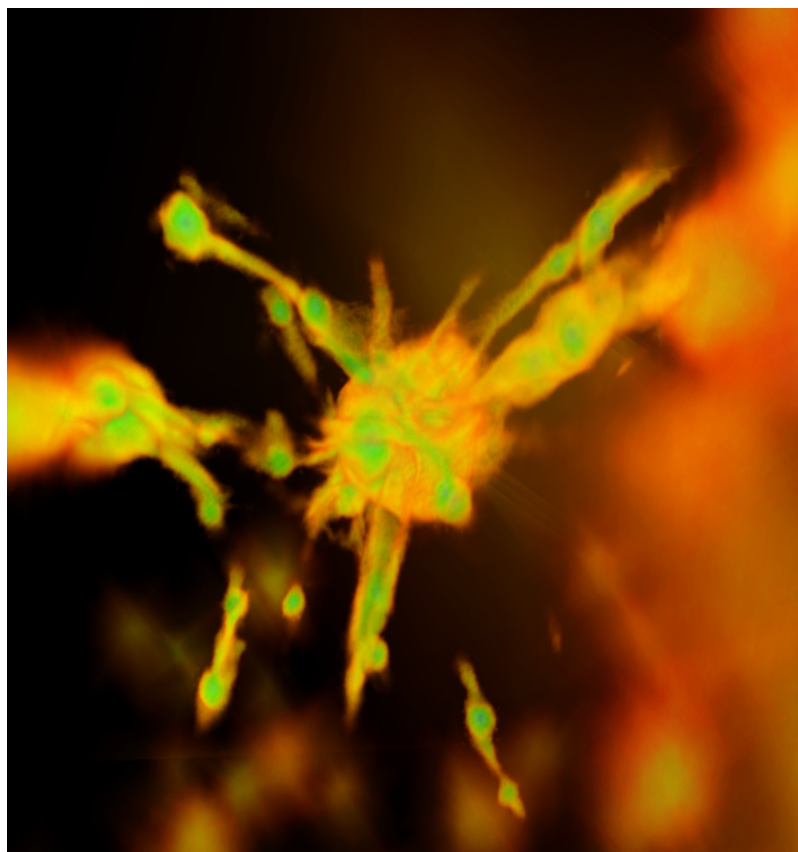
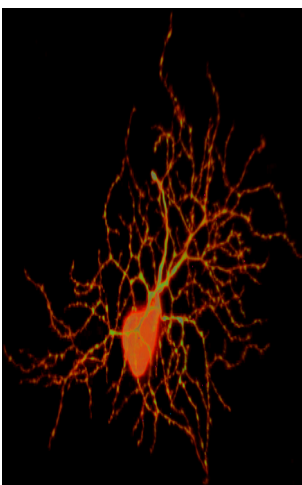
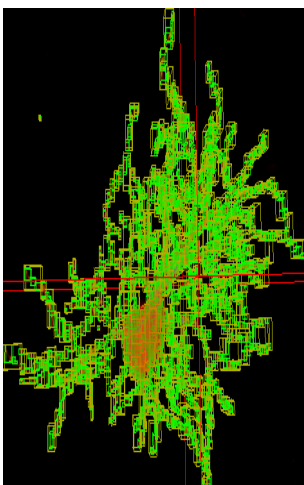
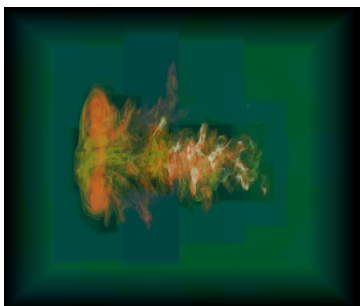
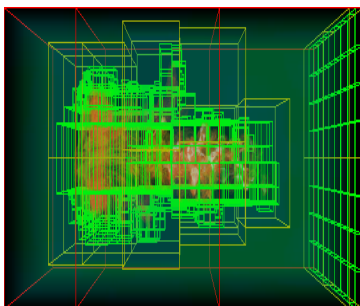
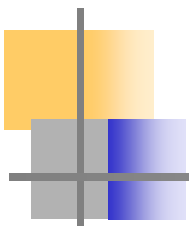


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(Updated Dec. 5, 2006)

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Get involved

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- Collaborate using Sakai
- Read the Project Wiki

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#### 6th Sakai Conference

Atlanta, Georgia  
Dec. 5-8, 2006

Conference podcasts and presentation media

Conference wiki

### Upcoming Events:



#### 7th Sakai Conference

Amsterdam, The Netherlands  
June 12-14, 2007

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