

Open Access and Institutional Repositories

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**From an original document by Claire Warwick and
Isabel Galina**

**This document is part of a collection of presentations with a focus on
Electronic Publishing. For full details of this and the rest of the collection
see the cover sheet at: <http://humbox.ac.uk/3078/>**

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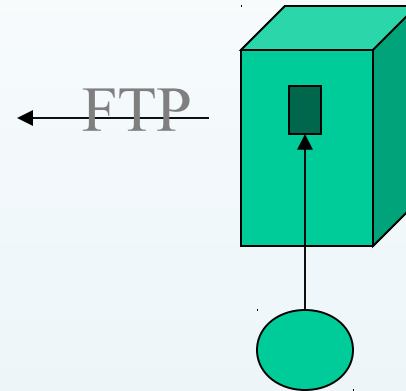
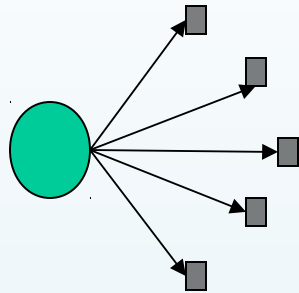
- Open access publishing
 - FOS ('free online scholarship')
- Institutional repository
 - collect, preserve and disseminate research output
 - self-archiving
 - [UCL Discovery](#) (Unlocking UCL research)

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A very brief overview...

- History of institutional repositories
 - Preprint servers
 - Open Archives Initiative
 - OAI-PMH
 - Open Archives Initiative Protocol for Metadata Harvesting
 - Software creation
 - Open Access
 - Self-archiving
 - Defining institutional repositories
 - Content and Objectives
 - Finding repositories
 - ROAR, OpenDOAR, OAIster

Pre-print servers



- 1990's
- E-mail alerts and FTP servers
- 1990 [Bryn Mawr Classical Review](#)
 - Subscribe to list server and send you email (now RSS)
- 1991 [arXiv](#) Cornell University Library
 - Now a searchable repository

Bryn Mawr Classical Review

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Nonlinear Science

Done



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OAI Open Archives Initiative

- **OAI**: "develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content."
- First meeting in 1999
- **Santa Fe convention** of OAI presents:
"a technical and organizational framework designed to facilitate the discovery of content stored in distributed e-print archives. It makes easy-to-implement technical recommendations for archives that – when implemented – will allow data from e-print archives to become widely available via its inclusion in a variety of end-user services such as search engines, recommendation services and systems for interlinking documents. In addition, the convention introduces an organizational framework for making information available about archives that adhere to the technical recommendations of this convention and about trusted parties that build end-user services for data originating from such archives."
- Santa Fe protocol is discontinued on favour of :
Open Archives Initiative Protocol for Metadata Harvesting

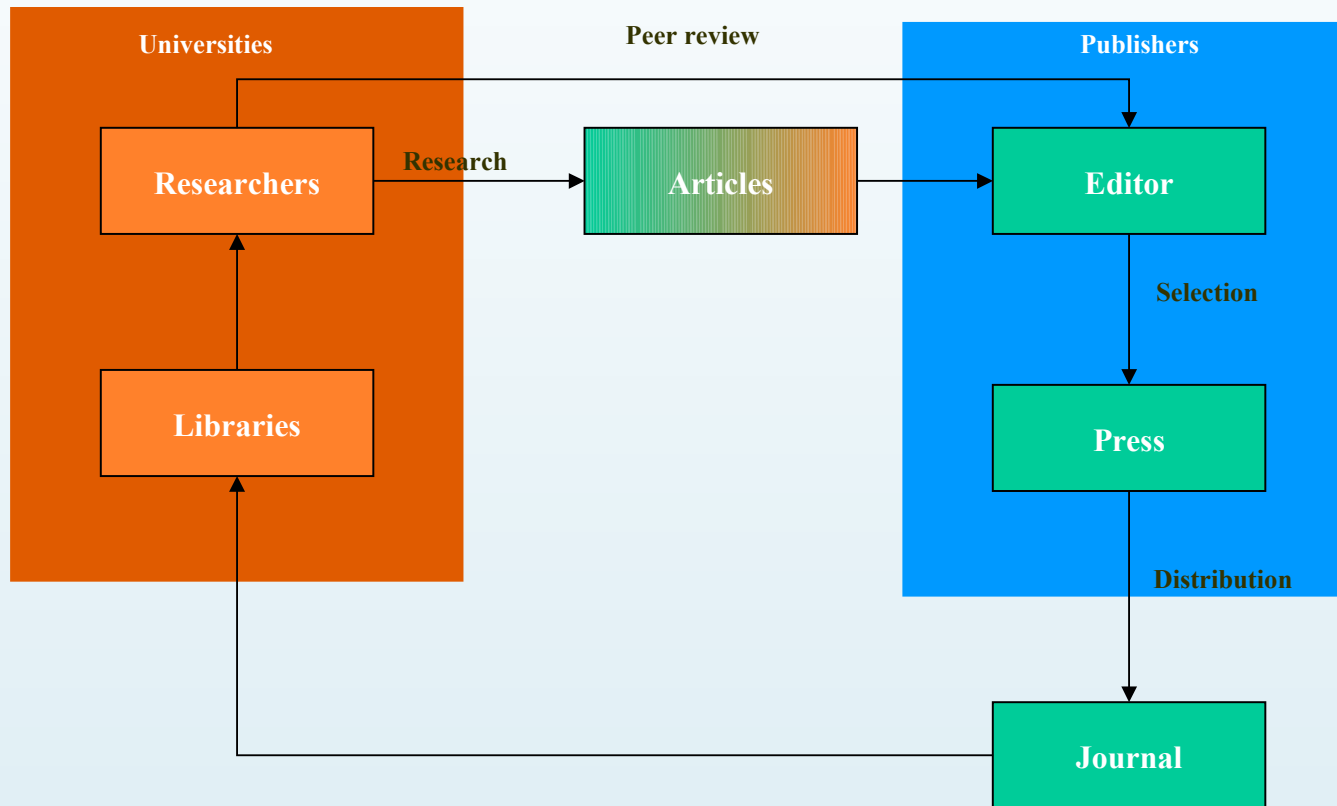
Development of software

- 1999: [BePress](#) The Berkeley Electronic Press
- 2000: [ePrints](#) developed from Cogprints – University of Southampton
- 2002: [Dspace](#) MIT
- 2003: build your own with [Fedora](#) Open Source repository software (architecture not management system)

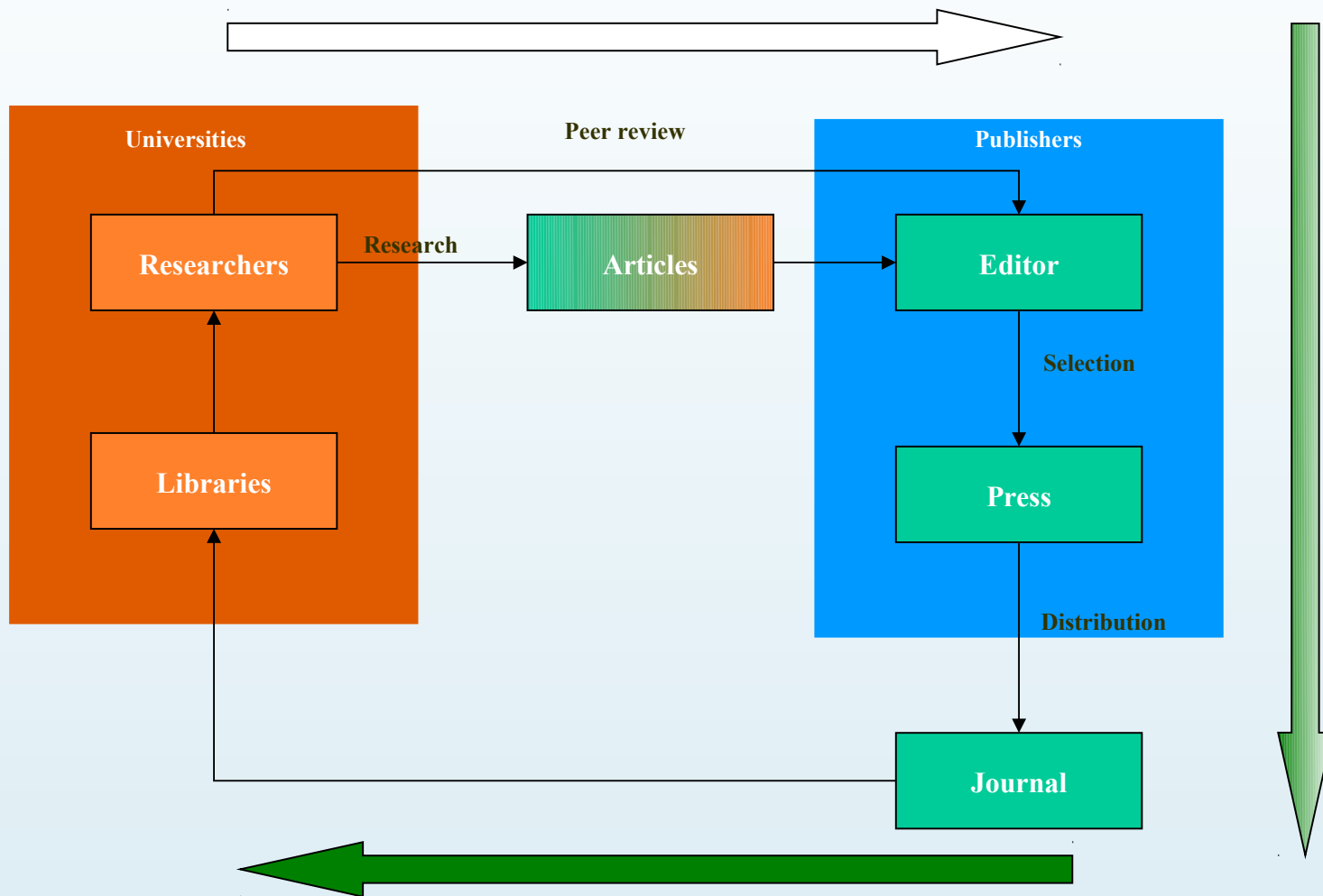
Background to Open Access

- Serial pricing crisis
 - Increase in amount of research
 - Increase in specialization of research (#'s)
 - ISI Impact factor - Core journals
 - Institute for Scientific Information: number of citations
 - [ISI Web of Knowledge](#) (now Thomson Reuters)
 - Monopoly of market and lack of flexibility
- Consequences
 - Visibility - Science is built on science
 - Publish to be read
 - Small, specialized readership
 - Publish not for profit
 - Access
 - Library budgets

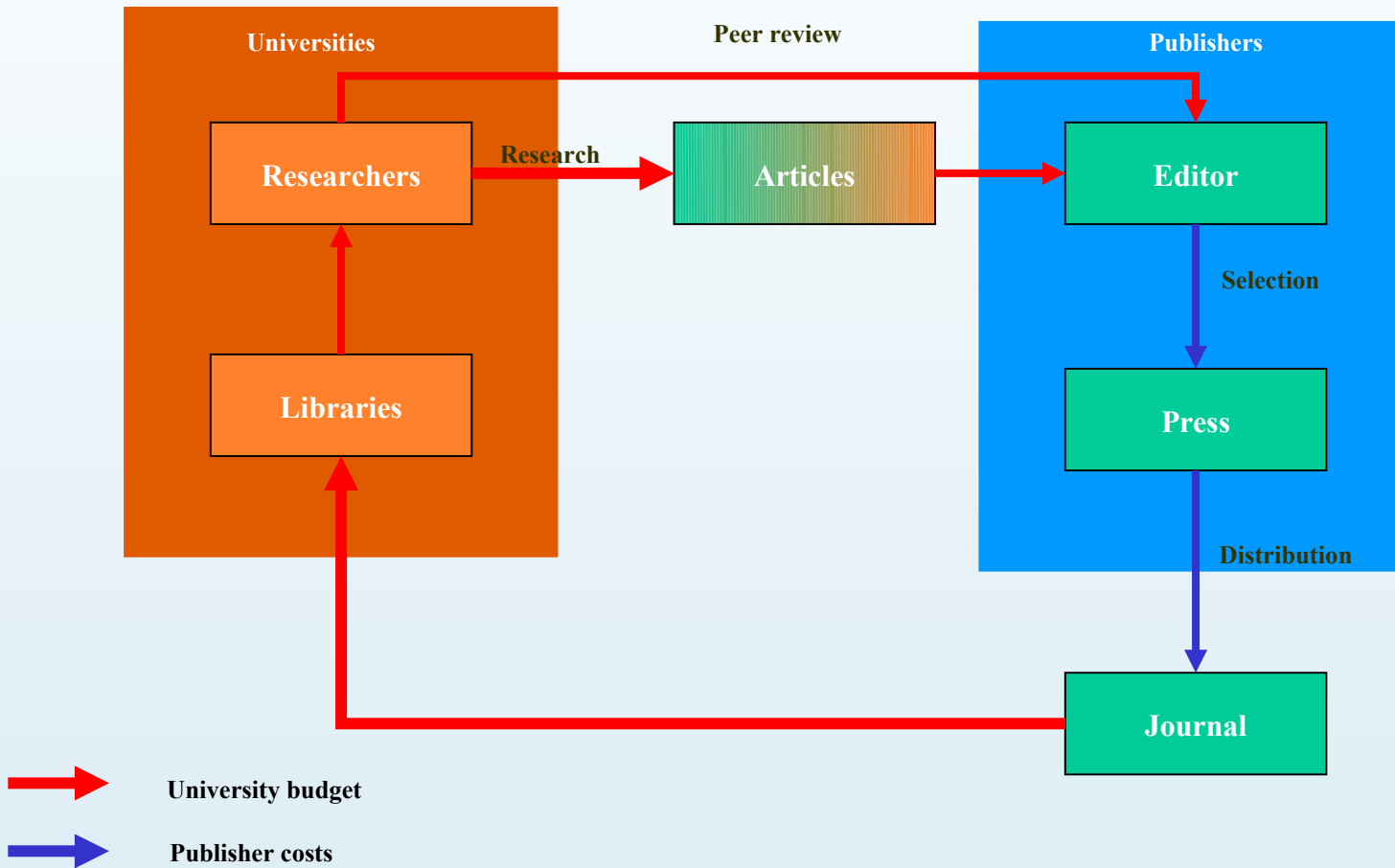
Journal publishing process



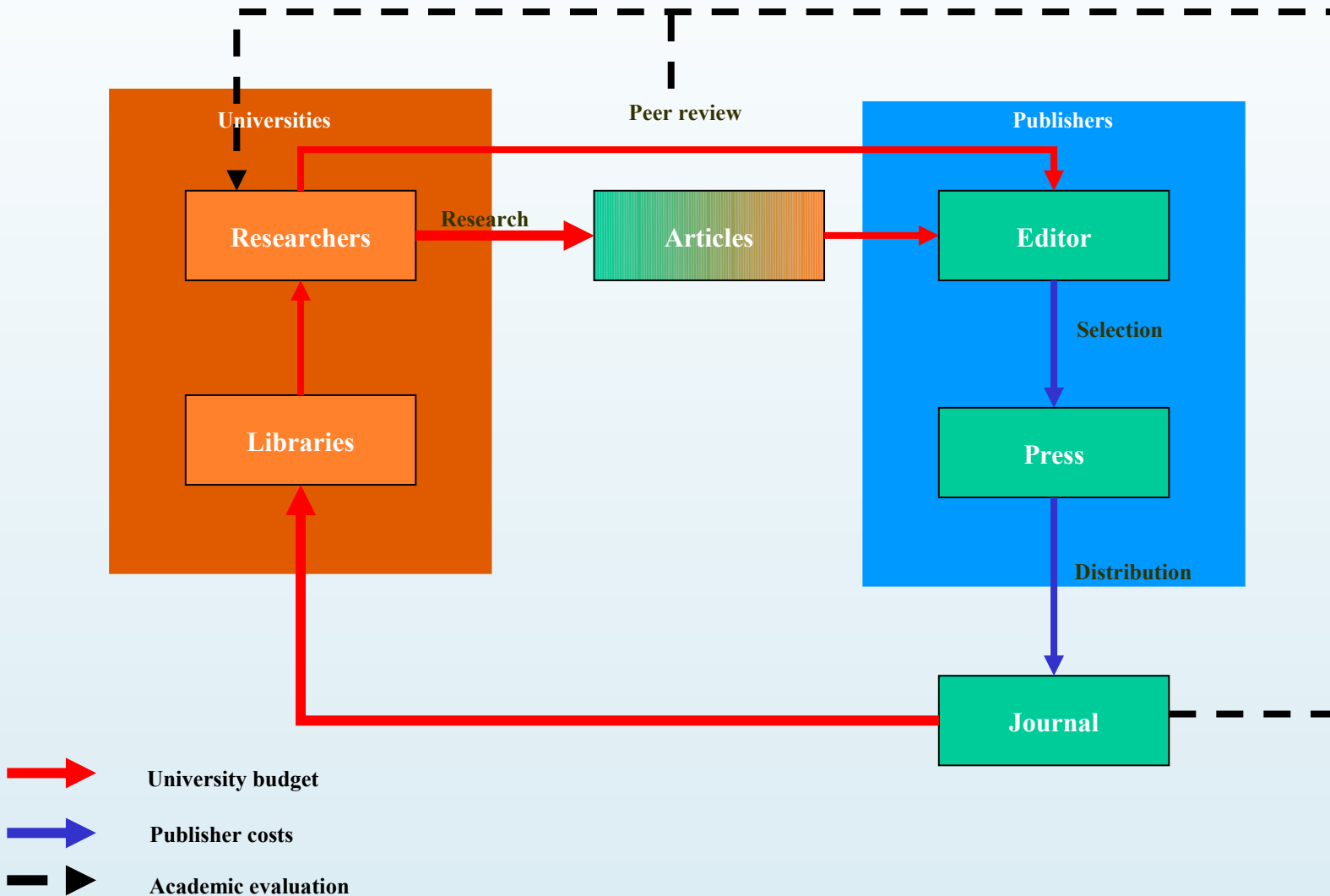
Aggregated value



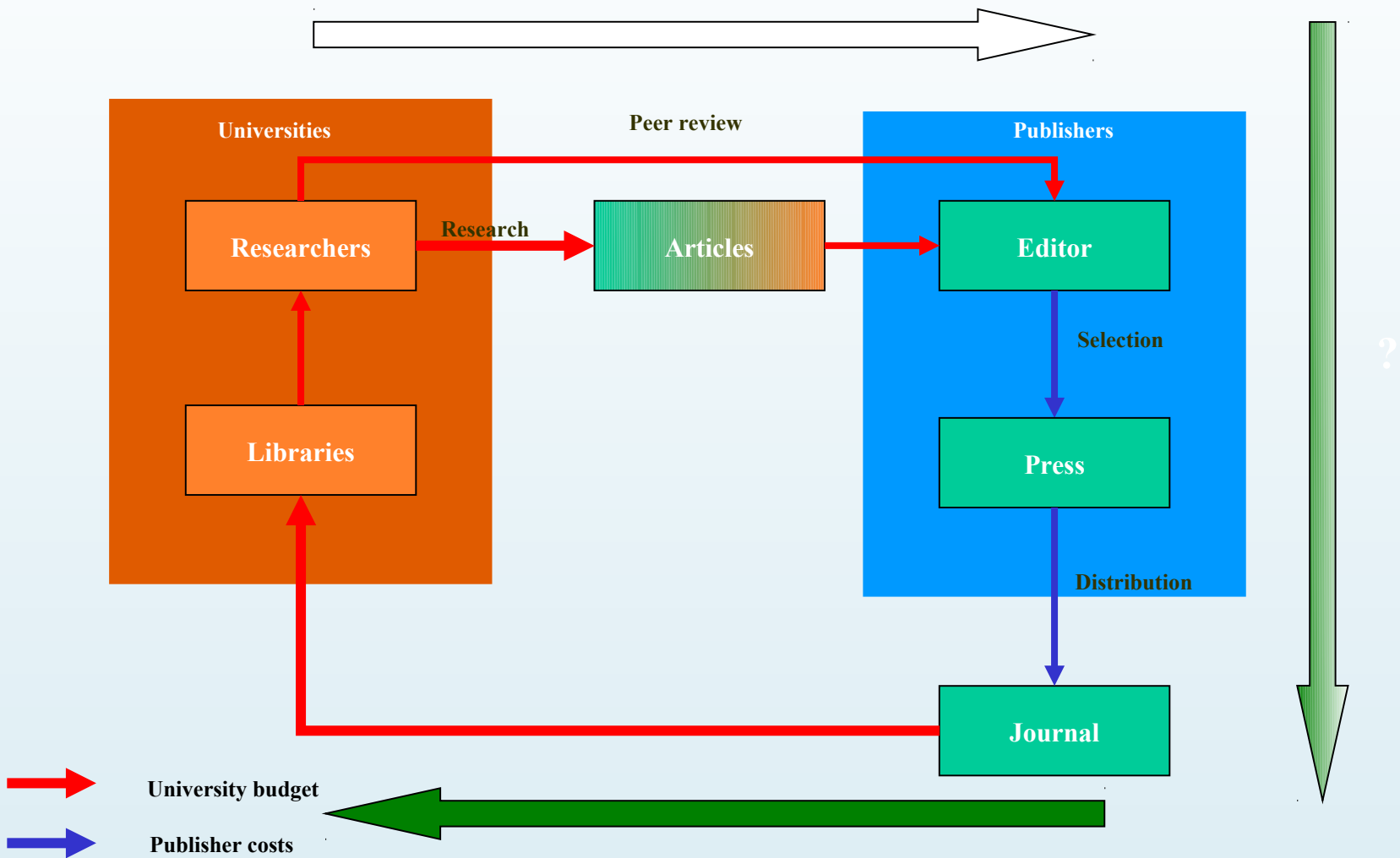
Distribution of costs



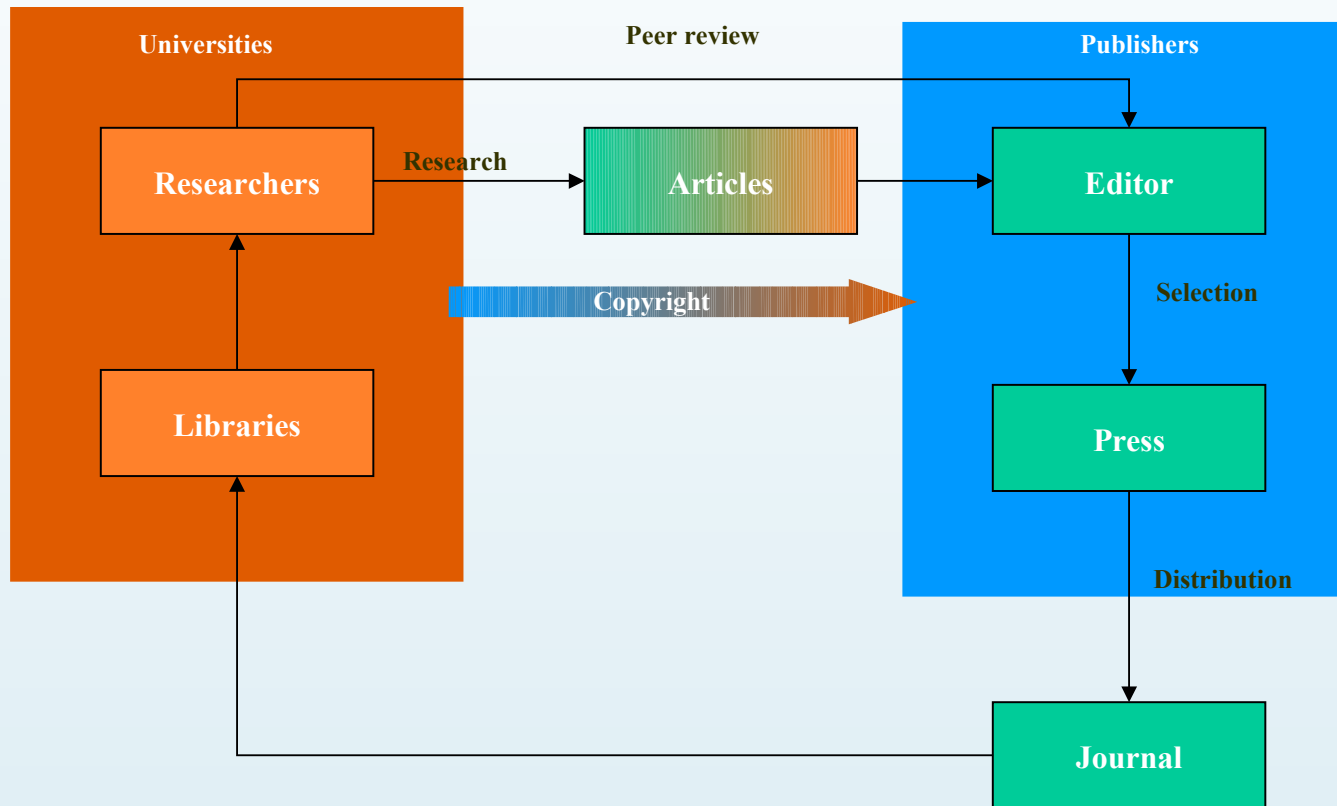
Academic evaluation process



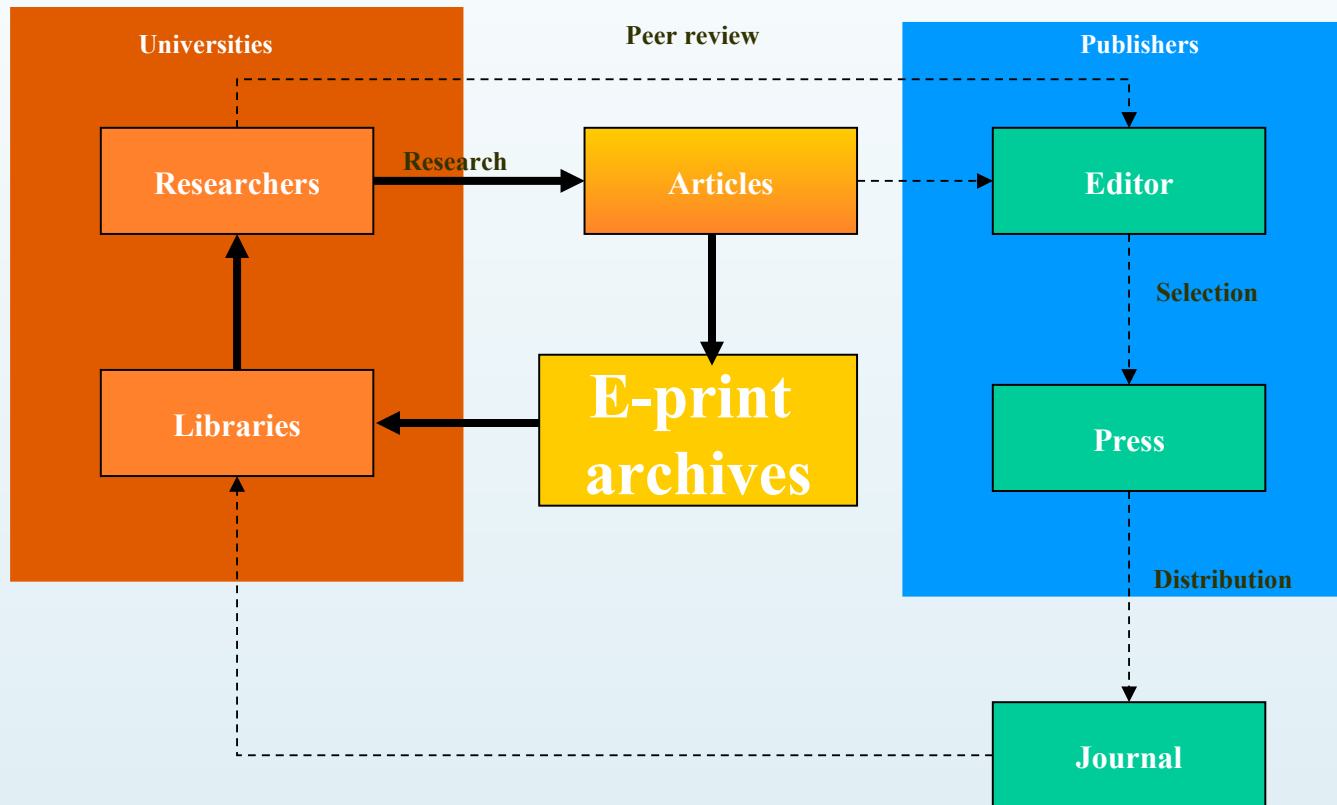
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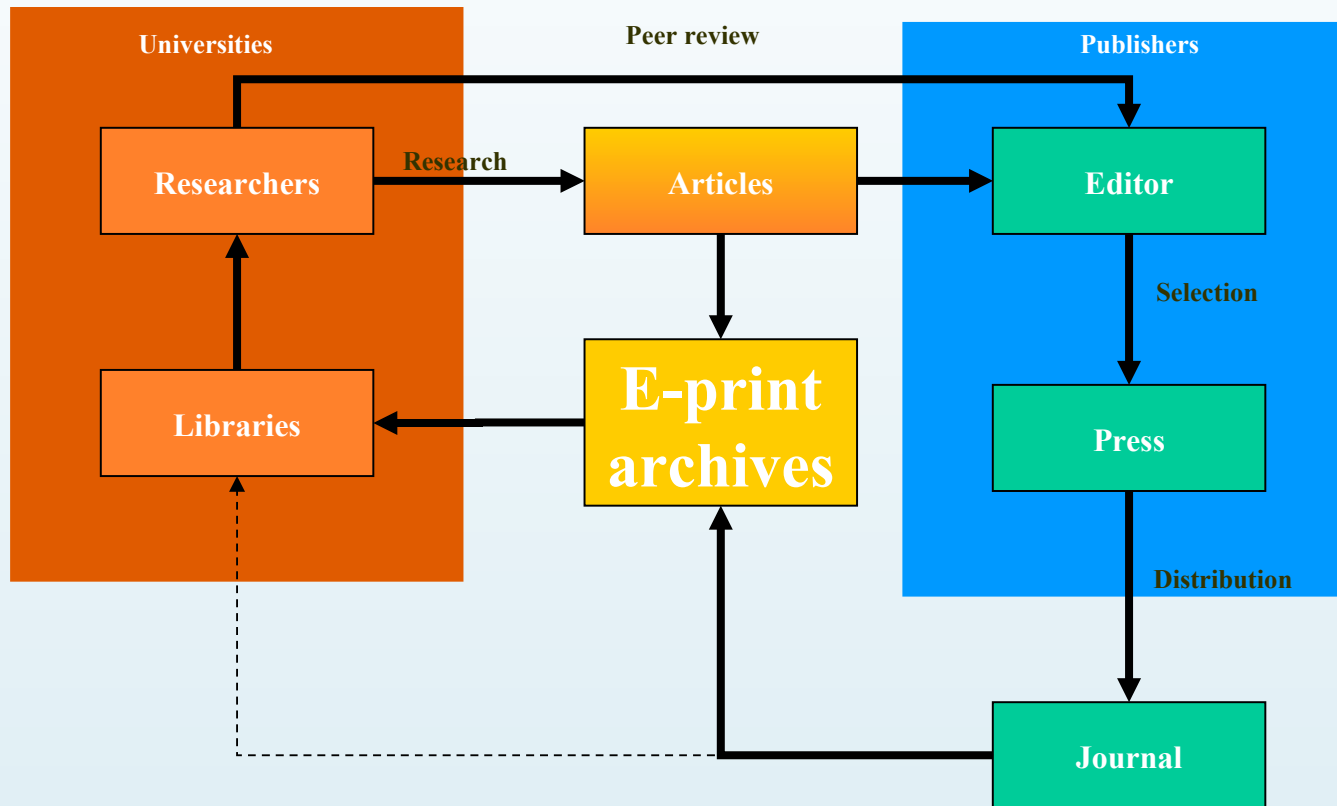
Copyright



E-print archives



Role of publishers



Open Access

- Budapest Open Access Initiative **BOAI** (2001)
 - possibly defining event of OA movement
 - linked with the growth of the internet
 - academics 'giving away' results of research
- "free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself."
- "The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited."

Proliferation of OA

Institute for the Study of the Ancient World (NYU)

- One Thousand Open Access Journals
- “AWOL's List of Open Access Journals in Ancient Studies now lists one thousand titles.”
- This is only one (although broad) discipline

Why does this matter?

- Fundamentally different model for journal publishing
- Hard to imagine without electronic delivery
- Starts with free e-journals, publishing on websites
- E-print archives depend on electronic delivery and deposit
- Culminates in challenge to financial models of commercial publishers

Financial models

- Someone still has to pay
- Authors, funding councils (in effect the tax payer)
 - So does it work outside STEM publishing?
 - Is it good use of tax revenue?
- Question of balance between economic value of publishing industry and that of academia
- Recent report suggests both sectors of about equal value to the UK economy

IRs for Open Access

- E-print archives
 - Visibility and impact of UK research
- Self-archiving
 - Increase visibility of research
 - Authors need only deposit their refereed articles in 'e-print archives' at their own institutions
 - interoperable archives
 - harvested into global virtual archive
 - contents freely searchable and accessible online by everyone

Registers (check them out)

- **ROAR**: Registry of OA Repositories
 - <http://roar.eprints.org/>
- **OpenDOAR**: Directory of OA Repositories
 - academic and open access repositories (quality controlled)
- **OAlster** (largest harvester of open access collections)
 - now OCLC (Online Computer Library Centre) WorldCat
- **DOAJ**: Directory of OA Journals
 - 'quality controlled scientific and scholarly journals'

IRs for reforming scholarly publishing

- Institutional repositories
 - access
 - can archive data and grey literature as well as published content- changes publishing models
- SPARC: Scholarly Publishing & Academic Resources Coalition
 - *The Case for IRs* (2002)
 - critical component in reforming the system of scholarly communication
 - IRs as a strategic response to systematic problems in the existing scholarly journal system
 - indicator of university's quality- increase visibility, status and public value

IRs as a service

Lynch:

Essential Infrastructure for Scholarship in the Digital Age
(2003)

- A set of services offered to members of university for the management and dissemination of digital materials
 - Broader spectrum of materials
 - Stewardship, long term preservation
 - New forms of scholarly communication
 - Agenda (see earlier slide)?
- Complement and supplement current publishing
 - Advocates see it as a challenge to this

Current problems

- Self-archiving
 - What to do about non-compliance?
 - Mandates from research councils
 - Mandates from universities
- Usage and impact
 - Measurements
 - Citation of articles
 - Growth in number of repositories, number of items
- Metadata records only
 - What about OA?

Critical stance is vital

- There's a lot of hype and advocacy on all sides
 - Reforming anti-capitalist zeal vs protection of jobs and revenue
- Significant resistance to evaluation of usage, uptake, contents numbers and type
- Do they really change publishing models?
 - Or just create another job for libraries?