

*Workshop on
'Sustainable Models for University-based Scholarly Publishing'
523 Butler Library*, Columbia University
Tuesday, June 1, 2004*

1. 8:00-8:20 Breakfast

2. 8:20-8:30 Call to Order and Welcome

J. Robert Cooke, presiding
Professor, Biological and Environmental Engineering
Project Director, *Creating an Open Access Paradigm for Scholarly Publishing*
Cornell University

Welcome to Columbia University

James G. Neal, Vice President for Information Services and University Librarian
Columbia University

3. 8:30-10:00 Presentations

8:30–9:00

Scholarly Communication in Digital World: Lessons from the Myth of Tantalus

Charles E Phelps, Provost, University of Rochester

Abstract: So near, yet so far, complete digital communication seems always just out of reach from scholars, just as in the myth of Tantalus. We have solved some of the problems -- access and distribution most completely, and the ability to carry out full text and even non-text searches far exceeds that available in the world of paper. But some fear (perhaps wrongly) about the durability of the medium, and most importantly, we do not yet have a business model that captures all interested parties' agreement. The missing link centers on the editorial process itself: how can we finance it, how should it work, or do we actually even need it? This problem cannot be solved unilaterally by publishers, universities, government sponsors of research, or learned societies. Rather, all will have to work together to find a common understanding of how this process of "certification" of the quality of scholarly work will carry on in the digital world. Only then will the waters stop receding from our lips and the fruit receding from our grasping hands.

9:00–9:30

Developing an Institutionally-Funded Publishing Channel: Context and Considerations for Key Issues

Raym Crow, Managing Partner, Chain Bridge Group, Arlington, Virginia

Abstract: Cornell's Internet First University Press (IFUP) seeks to explore the practical viability of direct institutional funding for serial and monographic publication of an institution's faculty research. To effect fundamental change, such an institutional funding model must not simply shift the costs from the library to other budgets within the institution. It must disaggregate and restructure the academic publishing value chain to separate the services that facilitate publication from monopolistic control of the material published. To attain this goal in practical terms, the IFUP must demonstrate a sustainable

economic model; achieve scholarly legitimacy within and across academic institutions; and guarantee author autonomy in the choice of publishing venue. This report will review past and current academic publishing initiatives that provide context and practical insight into how an institutionally sponsored publishing model might be designed and implemented to satisfy these essential requirements and effect structural change.

9:30–10:00

Open-Access Scholarly Publishing In Economic Perspective

Malcolm Getz, Department of Economics, Vanderbilt University, Nashville

Abstract: What is the prospect for migrating scholarly journals from paper to digital formats in a way that lowers university expenditures? Although many journals are published digitally, at least so far, the digital format complements paper, increasing university expenditures. Open-access publications that are free to readers and financed by publication fees paid by authors and their agents may both lower costs and allow scholarship to reach a larger audience. However, gains to universities may depend on open-access being quality-assured and controlled by not-for-profit publishers. Potential savings for a typical US research library might be on the order of \$2.3 million per year even as the same level of effort goes to reviewing and editing published articles as at present. To launch the initiative, provosts would adopt policies to support publication fees and not-for-profit publishers would invest in start up funds for editing and marketing open-access journals.

4. 10:00 –10:20 Break and Informal Discussion

5. 10:20– Noon Presentations and Discussion

10:20–10:40

Responsible Publishing: Sustainable Models for Scholarly Communication.

Kate Wittenberg, Director, The Electronic Publishing Initiative at Columbia (EPIC)

Abstract: Kate Wittenberg will discuss the publishing program at EPIC, the collaborative organizational model involving the Press, the Libraries, and Academic Computing, and the business models that are currently sustaining the electronic products that EPIC has published. She will compare and contrast EPIC's business plan with other models in use and under discussion within the scholarly publishing and library communities.

10:40–11:00

Project Euclid and the ArXiv: Complimentary and Contrasting Elements for Sustainability

H. Thomas Hickerson

Associate University Librarian, Information Technologies & Special Collections, Director, Division of Digital Library and Information Technologies

Abstract: Project Euclid is a new electronic publishing initiative of the Cornell University Library working in partnership with mathematics and statistics

publishers in the U.S., Japan, Spain, Belgium, and the Netherlands . Presently this partnership distributes twenty-two journals, expanding to thirty-five journals in 2004/2005. Entering production in January 2003, this endeavor has received start-up support from The Andrew W. Mellon Foundation and from Cornell University, but expects to reach financial stability by 2006 based on revenues from the sale of journal subscriptions and from providing digital publication services to publishers. The arXiv is an automated repository and distribution system for preprint articles in physics, mathematics, computer science, and quantitative biology. The arXiv provides nearly comprehensive coverage of large areas of physics and serves as an on-line seminar system for scholars in those areas. It contains more than a quarter million documents and boasts a user community of over 40,000 researchers. New submissions are received at a rate of more than 175 per weekday from scientists all over the world, and the submission rate is increasing at about 9% per year. Access is freely available to all, and there were more than 20 million full-text downloads during the 2002 calendar year. Created in 1991 by physicist Paul Ginsparg working at Los Alamos National Laboratories, development of the arXiv benefited from substantial federal research funding, but arXiv operation is now supported in large part by Cornell University, where daily administration is conducted by the Cornell Library. Although having significantly different operational models, Euclid and the arXiv share certain characteristics important to their long-term sustainability.

11:00–11:20

Building an E-Publishing Business Model from the Stakeholders on Up

Susan Gibbons Assistant Dean for Public Services & Collection Development, River Campus Libraries, University of Rochester

Abstract: In the scholarly communications paradigm, writers, readers and editors are the most influential stakeholders. For an e-publishing business model to succeed, it must meet or exceed the expectations of each of these three groups. This presentation will first examine the needs of primary stakeholders and then posit an e-publishing business model for journals derived directly from those requirements.

11:20–11:40

Creating a Sustainable Scholarly Communication System

Kenneth M. King, Project Director, Creating an Open Access Paradigm for Scholarly Publishing, Cornell University

Abstract

The current process of scholarly publication is, to quote University of California officials, "incontrovertibly unsustainable." Ensuring that scholarly information remains accessible to the world's scholars will require the work of a consortium of major research universities. This consortium could be built around a global electronic library constructed from components managed by individual cooperating institutions with a common catalog. Individual electronic libraries could be built on Open Archives Initiative (OAI) compliant servers using open software (e.g. DSpace, developed by MIT and Hewlett Packard) that is currently installed at many universities. The shared library

would enable each university to contribute a full range of materials certified in a variety of ways that it believes to be worthy of sharing.

11:40–Noon
Discussion

6. Noon– 12:45
Lunch Break

7. 12:45- 2:45 Informal Presentations

This time will be divided equally among the invitees wishing to make informal remarks. (PowerPoint and Overhead projector support will be available.)

An Open Source Management and Publishing Solution to Open Access
John Willinsky, Pacific Press Professor of Literacy and Technology,
University of British Columbia, Vancouver.

Abstract: Open Journal Systems (OJS) is freely distributed management and publishing software that has been designed by the Public Knowledge Project (PKP) at UBC to reduce costs, improve management, and enhance the scholarly and public quality of research. OJS, along with PKP's Open Conference Systems and Metadata Harvester, are being installed in universities, research libraries, and university presses around the world as a means of increasing the circulation of knowledge. The software development forms part of a larger economic, epistemological, ethical, historical, legal, and educational analysis of scholarly publishing, focusing on the potential contribution of the open access movement. The software, in demo and downloadable forms, and the Project's published research are available at <http://pkp.ubc.ca>.

An Overview of Scholarly Publishing Activities at UC

Catherine H. Candee, Director, Scholarly Communication and Publishing Initiatives, California Digital Library, University of California - Office of the President

Publishing Activities at U.Va.

Karin Wittenborg, University Librarian, University of Virginia

NOTE: We welcome additional informal reports (5-10 minutes each). A sign-up sheet will be available at the meeting through lunch.

8. 2:45–3:00 Break

9. 3:00–4:00 Organized Discussion
James Neal, moderator

10. 4:00 (sharp) Adjournment

Directions:

Take subway or taxi to 116th Street and Broadway. Enter the Columbia campus through gates on Broadway. Proceed along College walk until you see the large grey Butler Library building on the right. The guard at the entrance will have a list of participants. Proceed to our meeting room, Room 523, on the 5th floor.

Map: <http://www.columbia.edu/cu/aboutcolumbia/maps/sectionH.html>