UTSePress:

UTS Advancing Scholarly Publication

Version 5

29 April 2003

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Executive summary

UTS has an opportunity to apply the new information and communication technologies to enhance its international standing in scholarly publication through the establishment of UTSePress**.** UTSePress will publish peer reviewed scholarly literature in areas of strategic priority for UTS and attract the involvement of leading international scholars in the relevant fields. A variety of epublications will be created, some may transfer to digital format from a previous print form, others may be 'born digital'.

In common with the eScholarship program of the University of California, hosted by UC's California Digital Library, UTSePress will explore and enable new modes of scholarly publication, including:

- repositories for research and scholarly output, including pre-publication scholarship as well as
- peer-reviewed content
- web-based dissemination of digitally reformatted publications
- support for presentation and dissemination of interactive publications and teaching materials
- technologies that enhance peer review while accelerating dissemination of scholarly publication
- electronic editions of academic monographs of interest to both scholarly and general-interest readers.

As this list indicates, the establishment of UTSePress is a natural extension of the work of the University Library and builds on the considerable and innovative investment in electronic information resources, interfaces and infrastructure as well as the significant expertise which has been developed within the Library.

The benefits for UTS of establishing a presence in this new area of scholarly publication include:

- High visibility as a technological university making use of new information and communication technologies (in counterpart to the implementation of eLearning technologies and participation in the Australian Digital Theses program).
- A high profile for UTS scholarship in key research priority areas including those of the research institutes.
- International enhancement of research priority areas by inviting prominent scholars in the field to serve on the relevant editorial advisory board. For a very small commitment on behalf of the scholars, UTS can establish an association with them.
- Active involvement in international alliances to return balance to scholarly publishing.

The cost of entering this area is low since it builds on existing infrastructure in the University Library and can be developed incrementally. The costs of establishing the infrastructure will be borne by the University Library while the costs of editorial functions will be borne by the 'content specialists', the scholars in faculties, institutes and partner organisations. The infrastructure will be built gradually beginning with the core loading, storage and publication features. Peer review and rights management will be handled by email initially with support systems added in a later phase. Ecommerce could be supported by downloadable forms initially with full ecommerce features added when justified by the level of activity.

A cautious development strategy is recommended beginning with a UTSeScholarship research archive (a prototype has already been implemented at http://epress.lib.uts.edu.au). That will be followed by the launch of UTSePress with Practice Press Occasional papers and the first ejournal (which should preferably be "born digital"). The second ejournal and other forms of publication will follow later. However, in order to obtain the maximum benefits from the initiative it will be important to emphasise novel and leading edge activities such as those undertaken through the research institutes and their collaborators. UTSePress will provide a base for research in the emerging domain of epublishing and related areas, becoming a demonstration site for reflexive practice.

An evaluation methodology will be developed in conjunction with FIT and other relevant areas at UTS (preliminary discussions have been held with FIT). UTSePress will provide a base for research in the emerging domain of epublishing and related areas, including aspects of ecommerce.

The case for establishing UTSePress

UTS has made significant investment in leading edge research areas, especially in the focal areas of the recently established research institutes:

- Institute for the Biotechnology of Infectious Diseases
- Institute for Information and Communication Technologies
- Institute for Nanoscale Technology
- Institute for Sustainable Futures
- Institute for Water and Environmental Resource Management

By their very nature, these institutes are working in novel fields of growing international importance. Because the research literature they draw upon and contribute to is developing its own parameters, there is an opportunity to establish a prominent position in the vanguard of publishing for them. UTS could become one of the key publishers of research information by employing the new technologies discussed below. This move will draw attention to the institutes and provide a means for engaging with other leading researchers in the fields by including them on editorial advisory boards, using them as referees for papers, and, of course, publishing their research outputs.

The means exist to achieve these goals economically by harnessing the new information technologies which are being used for scholarly information access (Crow, c2003a).

Unprecedented desktop access to scholarly information has been made possible by the introduction of digital libraries. The powerful combination of digital publications, specialist and generalist databases, sophisticated search systems and portals enables scholars and students to rapidly examine a great variety of the literature in their own disciplines and those new to them. Access is available globally 24 hours a day without geographical limitation.

New scholarly publications are being developed by applying the same technologies. They are enabling individual universities and scholarly bodies to establish electronic journals, e print servers, discussion boards etc to promote scholarly interchange in specific fields with or without the involvement of the large publishing houses. The new scholarly media have all the features of accepted scholarly publication including peer review, indexing and abstracting in appropriate databases but with the addition of desktop access and global promotion via the Internet. Examples include:

- The University of California *UC International & Area Studies Edited Volumes* (http://escholarship.cdlib.org/journals.html) - a series of peer reviewed edited volumes.

- *Dermatology Online Journal* (http://dermatology.cdlib.org/) is refereed and published by the University of California and the California Digital Library.

- *International Studies Perspectives*   (http://www.blackwellpublishing.com/journal.asp?ref=1528-3577 - available through our catalogue under its title) published by Blackwell's for the International Studies Association and based at the University of Connecticut with a small US editorial board.

- *Algebraic and Geometric Topology* (http://www.maths.warwick.ac.uk/agt/) published by Geometry and Topology Publications in partnership with SPARC.

- *Organic Letters* (http://pubs.acs.org/orglett) published by the American Chemical Society with SPARC as an alternative to *Tetrahedron Letters*.

These examples demonstrate that a variety of models can be used and that it is possible for an ejournal established at a middle sized university to have global impact. Some have transferred to digital format from a previous print form, some 'born digital'. Some have been established to challenge high profile and expensive

journals published by the major publishing conglomerates (notably *Organic Letters)*. The appendices include examples of three of the major epublishing ventures. They show the large, and rapidly increasing, number of titles, variety of models of publication and broad spread of disciplines. While to date most have been established in the US, a significant number of titles are produced in other countries including Sweden, Germany, France, Canada and the UK. Although many have focussed on digital journals, a number of initiatives are producing ebooks. For example, more than 500 University of California Press books are available online free of charge through a partnership between UC Press and the California Digital Library[1].

In common with the eScholarship program at UC, UTSePress will explore and enable new modes of scholarly publication, including:

- repositories for research and scholarly output, including pre-publication scholarship as well as
- peer-reviewed content
- web-based dissemination of digitally reformatted publications
- support for presentation and dissemination of interactive publications and teaching materials
- technologies that enhance peer review while accelerating dissemination of scholarly publication
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As this list indicates, the establishment of UTSePress is a natural extension of the work of the University Library and builds on the considerable and innovative investment in electronic information resources, interfaces and infrastructure as well as the significant expertise which has been developed within the Library.

The benefits for UTS of establishing a presence in this new area of scholarly publication include:

- High visibility as a technological university making use of new information and communication technologies (in counterpart to the implementation of eLearning technologies and participation in the Australian Digital Theses program).
- A high profile for UTS scholarship in key research priority areas including those of the research institutes.
- International enhancement of research priority areas by inviting prominent scholars in the field to serve on the relevant editorial advisory board. For a very small commitment on behalf of the scholars, UTS can establish an association with them.
- Active involvement in international alliances to return balance to scholarly publishing.
- A base for research in the emerging domain of epublishing and related areas, becoming a demonstration site for reflexive practice.
- Experience in developing a broad ranging scholarly epublishing capability which will assist UTS in responding to the emerging requirements to preserve erecords for evidential and compliance purposes.

How UTSePress will operate

The eScholarship website (http://escholarship.cdlib.org/) established by the University of California and the California Digital Library is a good model for what we hope to achieve with UTSePress.

Figure 1, UTSePress publication process, illustrates in schematic form how the publication of an ejournal will be performed. At the top is an author who submits a paper electronically to the editor. Its receipt is automatically acknowledged and registered. After an assessment of the paper's suitability for publication in the ejournal, the

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[1] The University of California Press eScholarship Editions can be searched and browsed at http://escholarship.cdlib.org/ucpress. Over 300 of the University of California Press eScholarship Editions are available to the public. The other titles are currently only available to UC faculty, students and staff. Readers outside the UC system may view citations, abstracts and tables of contents, but not the full texts. The eScholarship program converted the books into XML (Extensible Markup Language) to support an interactive user interface. An unlimited number of readers may access a single title at one time, so books do not have to be "checked out" to a single user.

editor sends it electronically to referees who decide, in the normal fashion, whether to recommend rejection or publication with or without changes. The process is tracked electronically including any dialogue with the author. Accepted papers, when in final form, are assigned to an issue of the ejournal, copy edited and formatted for publication. On the date of publication, the issue is announced and subscribers notified. They can read the papers as published or retrieve them later through searches.

Supporting these processes is a range of technologies including the paper registration and tracking system, the editorial system, the publication system and a rights management module (to be added later). Model licenses for scholarly materials will be based on those developed by Creative Commons (http://creativecommons.org).

On the access side there needs to be a portal for the ejournal, a user registration system and epayment and subscription systems (to be added later).

The ejournal's portal might include some additional features for specialists in the field, especially if a scholarly association was involved. Examples of such features are a register of researchers and/or research interests, a bulletin board, an email listserver facility.

However, publication is not limited to peer reviewed ejournals. It could include eprints, digital books, occasional papers, reports, newsletters, interactive research resources (eg maps, diagrams, images), publishing assistance[2] or eLearning materials. Many might be offered without charge, others might require payment of subscription. Ecommerce facilities will be added to support those features. Whether offered without charge or at a price, however, it is strongly recommended that use of all except the most public of information should require registration so that some data on users could be collected. Early applications could include a UTSeScholarship research archive, the UTS electronic theses program and Practice Press.

The UTSeScholarship research archive will provide a central location for UTS academic staff to deposit working papers and other pre-publication research outputs. A prototype has been implemented at http://epress.lib.uts.edu.au. As it develops it could be modelled on DSpace (http://www.dspace.org/) at the Massachusetts Institute of Technology which is intended to capture, preserve and communicate the intellectual output [preprints, technical reports, working papers, conference papers, images] of MIT's faculty and researchers. DSpace is organized by "communities": academic departments, laboratories, and research centres. Communities can develop their own policies of what is included in the research archive and who has access to the materials. By January 2003, the following communities had been established: Center for Technology, Policy, and Industrial Development, Department of Ocean Engineering, Laboratory for Information and Decision Systems, MIT Press Out of Print Books (MIT-only access), Sloan School of Management.

The UTS electronic theses program is well advanced: the first theses will be loaded early in 2003 and made available globally via the Australian Digital Theses program which showcases Australian research theses internationally.

Practice Press will provide an imprint for occasional peer reviewed epublications (including reports and monographs) which fall outside the disciplinary areas mentioned above.

Copyright will need to be respected in all cases. While the requirements and approaches will vary, the general approach will be consistent with that adopted by MIT's Dspace:

> MIT Libraries will not own the content of DSpace but rather will hold a non-exclusive license to distribute and preserve items. It is the aim of DSpace to make all of the content available freely, but there will be certain instances where access to digital objects will necessarily be restricted. However, MIT Libraries reserve the right to limit the amount of restricted content that individual Communities may deposit in DSpace. (Barton and Walker, 2002)

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[2] Publishing assistance could include hints for producing high quality articles and getting them published as well as guidelines on licences such as those developed by Creative Commons (http://creativecommons.org) which allow creators to relinquish some but not all rights to their works.
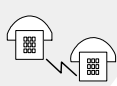
UTSePress
22/01/2003
Publication Process
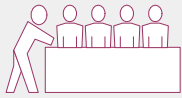
Referees - recommend reject or accept with or without changes

Author

Rights management manual initially. Future implementation of digital rights management system
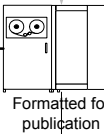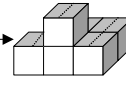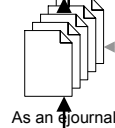
Rights management

Editor

Usage data

Formatted for publication

Archiving

As publication on demand of occasional papers or reports

As an ejournal
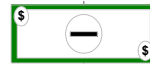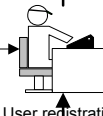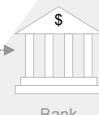
Future printed or CD delivery

Metadata

Pay to

$

Search engines & Databases

User registration

Future subscription system

Future ePayment system

Access to papers via the Internet

UTSePress home page

Bank

A proposed management structure for UTSePress

Figure 2, UTSePress management structure, suggests in broad terms how UTSePress will be administered. It is proposed that a UTSePress Board be established by the Vice-Chancellor to take responsibility for the whole operation. It will be informed by a Technical Committee.

Editorial Advisory Boards will be established in each of the discipline areas in which UTSePress will publish. For the purposes of illustration, Figure 2 includes three hypothetical examples:

- Inconsequential studies which publishes a peer reviewed ejournal, the *Journal of Inconsequential Studies*.
- Sclerotechnology which has its own imprint and publishes peer reviewed *Occasional Papers*, a newsletter *Sclerotimes Online* and a series of peer reviewed digital books.
- Iconoclastic Innovation which has created a fully interactive and downloadable resource based on peer reviewed research findings and developed a range of eLearning modules in collaboration with the Institute for Interactive Media and Learning.

The names of UTS institutes, faculties, CRCs or other entities could be substituted for the hypothetical disciplines indicated in the Figure.

The technical foundations of UTSePress

Figure 3, UTSePress proposed framework, advances a schematic for the initial infrastructure which will support UTSePress. The elements are being built from software available from organisations such as SPARC, with which the UTS Library is affiliated (Crow, c2003b). Most of the software is shareware and thus the costs are low. It is nevertheless most important to ensure that a stable and scalable platform is constructed.

The infrastructure will be built gradually beginning with the core loading, storage and publication features. Rights management will be handled by email initially with support systems added in a later phase. Ecommerce could be supported by downloadable forms initially with full ecommerce features added when justified by the level of activity. Infrastructure establishment will be incremental, following the development pathway described below, but with the opportunity to advance specific modules if required to provide the services needed as UTSePress develops.

A prototype eScholarship archive has already been implemented at http://epress.lib.uts.edu.au to demonstrate the potential. It offers proof of concept and demonstrates the feasibility of establishing UTSePress.

Under consideration for implementation is Open Journal Systems (OJS - http://www.pkp.ubc.ca/ojs/), a journal management and publishing system that has been developed by the Public Knowledge Project in Canada. OJS assists with every stage of the refereed publishing process, from submissions through to online publication and indexing. OJS is open source software made freely available to journals worldwide for the purpose of making open access publishing a viable option for more journals. It features:

- online submission of articles, reviews, and other items
- online management for each stage of publishing
- comprehensive indexing of each article published
- research support tool for each article published
- email notification and commentary for readers.

UTSePress

Management Structure

23 January 2003

Vice-Chancellor

UTSePress Board

Research Publications Audit

UTSeScholarship Research Archive - a location for depositing working papers & other pre-publication scholarship.

Technical Committee

Practice Press
An imprint for occasional epublications including reports & monographs

Manager, Electronic Publishing (University Library)

Australian Digital Theses Program

UTS eTheses

ePublishing Assistant

ePublishing Assistant

UTS ePublications

ePublishing Section (University Library)

Inconsequential Studies Editorial Advisory Board

Sclerotechnology Editorial Advisory Board

Iconoclastic Innovation Editorial Advisory Board

Editor *Occasional Papers in Sclerotechnology*

Interactive Iconoclasm - fully interactive downloadable research findings

Editor *Journal of Inconsequential Studies*

Editor *Sclerotimes Online*

Iconoclastic Innovation eLearning Modules

Series Editor Sclerotechnology Digital Books

Institute for Interactive Media and Learning

Sclerotechology Imprint

Sample areas for publication

UTSePress

DRAFT framework
Nov 02 rev Jan 03

Management

Production

Dissemination

Create online content

Digitise print and other content

Peer review process

Store/archive

Copyright management

Fees administration

Authenticate Authorise

Stipulate supported formats: e.g. HTML, XML, jpeg, etc.

Who are the designated users

Version control

Server management; security systems

Metadata creation: object descriptors; preservation metadata

Which are fee based services? Who pays? How much?

Dublin Core?
NLA's Pandora archive
NLA guidelines for the cration of content Resource Discovery Metadata

A development pathway for UTSePress

A cautious development strategy is recommended beginning with a UTSeScholarship research archive (a prototype has already been implemented). That will be followed by the launch of UTSePress with Practice Press Occasional papers and the first ejournal (which should preferably be "born digital"). The second ejournal and other forms of publication will follow later. In order to obtain the maximum benefits from the initiative it will be important to emphasise novel and leading edge activities such as those undertaken through the research institutes and their collaborators. An initial outline of the development pathway is:

Publication/Service	Launch Date	Comment
UTSeScholarship research archive	Nov 02	Prototype completed
	July 03	Research archive launched
UTSePress	Sept 03	UTSePress launched
Practice Press Occasional papers	Sept 03	
First ejournal	Dec 03	Preferably a "born digital" title
Second ejournal	Jun 04	

Cost of establishing UTSePress

The cost of entering this area is low since it builds on existing infrastructure in the University Library and can be developed incrementally. The costs of establishing the infrastructure will be borne by the University Library while the costs of editorial functions will be borne by the 'content specialists', the scholars in faculties, institutes and partner organisations. Low cost or free software from such sources as MIT's Dspace and SPARC is being investigated to build the infrastructure.

INDICATIVE ANNUAL BUDGET

Operational cost (Library per annum)[3]

Three year amortisation of infrastructure	$ 6,200
Programming/systems development ((System & Web developer)	$28,040
Content management/maintenance (Web and Content maintenance)	$19,237
Admin support	$ 4,358
Project management	$26,247
Other associated costs	$ 3,000
TOTAL Library Annual Operational Cost	**$87,082**

Editorial cost (Faculty/Content producer – for each 'imprint')[4]

Editorial (0.2 level C step 4 with oncosts)	$18,342
Copy editing (level 6.1 casual with oncosts)	$ 1,808
Office assistance (0.2 level 4.1 with oncosts)	$ 8,785
Office expenses	$ 2,400
TOTAL Editorial cost	**$31,335**

A business case will be prepared for each proposed 'imprint' to identify scope, cost, sources of income and benefits. The UTSePress Board will decide whether to endorse the proposal after considering the case.

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[3] Initial costs will be borne from the Library's budget. Major expansion may require additional project funding.
[4] Based on advice from colleagues editing professional and scholarly journals. Most of the editorial cost will be in kind and may be already incurred for existing publications.