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SPARC Japan NewsLetter
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The 4th SPARC Japan Seminar 2013

"Accessing and Publishing of Academic Information—Think Globally, Act Locally"

Thursday, December 19, 2013: Kyoto University
Clock Tower Centennial Hall III (Attendees: 63)

Seminars on information distribution by open access were held from a variety of standpoints again in 2013, with each of them being acclaimed as a success. This seminar, which wrapped up the year's events, consisted of two sessions. Session A concerned libraries (access). It covered topics from methods for the practical task of organizing the documentary materials scattered around the Internet (e-resources) to the issues for keeping track of institutional usage, including open access, and how to read information useful for choosing which journals to subscribe to. Session B looked at the kinds of issues involved when academic societies and publishers seek to boost availability of information through the open access option. It also took up the APC [article processing charges] mechanism and how it is seen by universities, research institutions, and the research community. Will open access as learned from the West be a chance to open up roads to information access and publishing in Japan? I believe this was an ambitious seminar, consisting of two sessions in which the audience was able to participate in the thinking process, with each of the sessions being led by five facilitators. "Think Globally, Act Locally" chosen as a subtitle of this seminar was taken from the session theme of the Society of Scholarly Publishing meeting held in San Francisco last June. What it means is, no matter what country is in the center of the world map, a common theme across the globe is to learn about the world and put those lessons to work in your own country.

The Current State of and Issues for E-Resource Management in Kyoto University

Mayumi Shiono (Kyoto University Library)

It has been six years since Kyoto University began e-resource management, the key of which was introduction of an ERMS (Electronic Resource Management System). With the objective of smooth navigation and stable provision of e-resources, the system aims to maximize the cost-effectiveness of resources. Management features enable aggregating, compiling, and sharing of subscription/license information, price information, access management, and other such information. In addition, e-resource management centering on a knowledge base makes use of the latest metadata collected from around the world. Another advantage is the ability to simplify management of e-journal holdings in the packages. On the other hand, there are a number of issues with the system.

The first relates to metadata. The lack of metadata for open access journals and for domestic titles is a particular problem. License information statements are not standardized across publishers and the information is troublesome to input into the system. Nor does the system support academic paper rentals or titles that can be read by registration as a private individual. Another issue is about metadata granularity. The knowledge base has title-level metadata, but doesn't have article-level metadata. Therefore, for example, navigation of a hybrid OA journal, which is only partially open access, is not supported. What needs to be established is a framework for comprehensive provision of access to e-journals.

In the case of domestic titles the ERDB prototype development project offers hope for partial improvement. ERDB (Electronic Resources Database) is an e-resource version of NACSIS-CAT bringing together license information, JUSTICE negotiation titles, and free metadata in Japan.

A second issue has to do with measuring the impact of resources. Kyoto University has yet to introduce statistical tools. We do calculate Cost Per Use (cost per one download of a paper of a given journal) based on the COUNTER[1]-compliant reports of each publisher, subscribed title lists, and price lists; but there are many errors in the ISSN used as a key, complicating the task. What we would like is an ID standard across as many distribution processes as possible.

As for measuring the impact of open access journals, not being aware of the APC amounts we cannot make comparisons with subscription titles. Further, in the case of hybrid OA journals, statistics on per-article use are needed.

Regarding metrics, even if Cost Per Use can be calculated, it would not be appropriate to assess all

resources on that basis alone. One issue is what kind of metrics to adopt.

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1 COUNTER (Counting Online Usage of Networked Electronic Resources): A nonprofit organization set up in 2002 by librarians and publishers to standardize statistics on online information service usage. Given the need for credible, comparable, consistent, and compatible usage statistics, the COUNTER Code of Practice (content and format of usage statistics, etc.) is observed by librarians, vendors, intermediaries, and their professional organizations throughout the world. (description taken from http://www.nii.ac.jp/content/justice/documents/justice-companion_excerpted_201203.pdf published by JUSTICE: Japan Alliance of University Library Consortia for E-Resources)

Management of Electronic Resources by the NIMS Library of Materials Science

Kosuke Tanabe (National Institute for Materials Science [NIMS])

The Library of Materials Science of the National Institute for Materials Science (NIMS) provides information mainly in the materials science field, including 25,000 volumes of electronic books and other books and around 660 online journal titles. Partly due to budget constraints and rising prices, as a rule new subscriptions are now being limited to e-books, and subscriptions to journals that lack an online edition are not being renewed, as funds are being concentrated on e-resources. In this process, an urgent issue for measuring the impact of e-resources is keeping track of information on their usage.

In light of the need for calculating the Cost Per Use of e-resources cheaply and easily, and for simplifying management of e-resource lists, which had been done by manual HTML updating, NIMS developed our own e-resource management system Next-L Enju ERMS (enju_erms), which we use for e-resource management. The enju_erms system not only manages bibliographic information and subscription information of e-resources, but using SUSHI[2] it retrieves COUNTER statistics and cross-checks these with bibliographic information and subscription information to calculate Cost Per Use for each journal. Specifically, the journal information, subscription information, and usage statistics (obtained using SUSHI) are imported into enju_erms, which then reflects these in library portals, Cost Per Use calculation tables, and lists of available e-resources.

Since the system has gone into operation, one of the issues raised is simplifying entry of subscription information into enju_erms, which is somewhat complicated. Another issue is making it possible to set in the package the method of allocating journal prices, such as site maintenance fees and back file prices.

For measuring the impact of e-resources, many different methods have been suggested. Examples of data on which to base the metrics include number of downloads per publisher and downloads per journal field, among others. Databases such as SCImago Journal & Country Rank[3] or CWTS Journal Indicators[4] can be checked and used as reference. Another approach is to assess impact by directly incorporating the voices of researchers. The question here is how these are to be weighted.

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2 SUSHI (Standardized Usage Statistics Harvesting Initiative): A project started in 2005 by the U.S. National Information Standards Organization (NISO) to develop a protocol that automatically collects COUNTER-based usage statistics data. The protocol has already been standardized as ANSI/NISO Z39.93:2007, and by February 2012 some 38 publishers supported the SUSHI protocol. (description taken from http://www.nii.ac.jp/content/justice/documents/justice-companion_excerpted_201203.pdf published by JUSTICE: Japan Alliance of University Library Consortia for E-Resources)

3 http://www.scimagojr.com/

4 http://www.journalindicators.com/indicators

Recent Awareness and Trends in Distribution of Scholarly Information: Promoting Open Access to Academic Journals

Yasuhiro Murayama (National Institute of Information and Communications Technology [NICT])

Openness of information is not limited to scholarly publications but is spreading to open government and to sharing of scientific research data, for example. The principle of open access was discussed at a G8 summit meeting; and Britain's Royal Society, in a country that has been a pioneer in open access, issued a policy report, *Science as a Public Enterprise*, in 2011. Modern science has long advanced by announcing research information. *Philosophical Transactions*, issued by the Royal Society in the 17th century, was the world's first successful attempt to distribute information in the form of an academic journal. The practice of information distribution, by which scientific research results and discoveries are made public enabling their verifiability and reproducibility to be ensured, is an important element of today's science and technology research activities. Following upon publication in paper media, which

has been the mainstream, digital media will become a highly important means of distribution. Worldwide discussions and trials are taking place regarding frameworks and methods enabling not just original papers but also research data to be published, as this helps ensure the reproducibility of research results. Some issues remain in the long-term management of scientific information as digital media, however; and the need is seen to establish the relationship between digital and paper media and to create methodologies for assessing and carrying out quality control of the data to be published. Here I would like to describe how Earth, Planets and Space (EPS), an English-language journal published by five societies in the earth and planetary sciences, moved to open access publication. EPS became fully open access in 2014 when its publication was taken over by Springer. For now it is being funded in part by a Grant-in-Aid for Publication of Scientific Research Results, but it intends to become self-supporting eventually. The article processing charges are set at low rates initially; and discounts are given for letter papers, special issues, and invited papers, as well as for submissions from developing nations. The planning document sets as minimum targets having at least half of submissions be letters and raising the impact factor from 1.5 (2014) to at least 1.8 (2016). The success of the special issue on the 2011 Tohoku Earthquake was helped by worldwide interest in this unprecedented disaster. Nonetheless, the move to open access is inevitable in the larger flow of information openness and can be seen as a choice matched to the needs of the world.

What We Learned from Putting Journal Open Access into Practice: A Message from the Research Community

Mitsuaki Nozaki (High Energy Accelerator Research Organization)

Progress of Theoretical Physics (PTP), which was a famous journal among researchers in theoretical physics, went open access in 2012, becoming reborn as Progress of Theoretical and Experimental Physics (PTEP), a journal that also accepts experimental physics papers.

This open access journal, with assistance from six influential institutions in Japan including KEK and RIKEN, succeeded in publishing articles on international joint experiments using the KEK high-energy accelerator. Looking at submissions for the past year, the archiving rate is around 40 percent, and a high number of submissions are from outside Japan. In the current publication arrangement, there is a great deal of freedom thanks to funding from the Grants-in-Aid for Scientific Research (KAKENHI) program. Looking ahead to the day when KAKENHI funding ends, besides publication fees, revenue from institutional support and from SCOAP3 will be important. SCOAP3 is an international consortium of research centers in the field of particle physics that, through negotiations with publishers, is converting select journals in the field to open access. In exchange it pays all publication fees from the funds provided by each of the research centers. Currently 18 institutions from 15 countries are taking part, including the NII as a signatory from Japan. The more institutions band together, the stronger is their ability to obtain funding and negotiate with publishers. While the U.S. is not part of the consortium, it is contributing to SCOAP3 the amount saved on subscription fees as major U.S. journals have become open access. In this sense it is exhibiting the pride and dignity of a major country. This example shows once again the possibility of a journal going open access by setting appropriate publication fees; and it is only natural for the leading countries in science to create a framework for assisting less-developed nations (through open access). As an economic power, Japan can be expected to contribute in keeping with that position. The SCOAP3 partnership was possible because the particle physics field has strong international ties. It is an excellent example of international research cooperation.

Group Discussion

Discussion Themes

A: Choosing e-resources: Analyzing and choosing academic information resources scattered across the Internet

B: The realities of open access: The account book on a new publishing model

---Report from participants: 1---

Theme A of the group discussions was about how to choose e-resources. We heard from early-adopter institutions about using COUNTER data for objectively analyzing whether to adopt or exclude e-resources, which are increasing in number year by year and becoming more expensive. “The realities of open access” was discussed as theme B. What stood out in that discussion as of especially deep significance was the statement by one of the presenters, in response to a question, that “If journals are on the same level, I prefer to submit to one that is open access. The reason is that I myself am a beneficiary of open access.” Perhaps it is only among a certain segment of researchers, but I got the feeling that open access is making steady inroads.

I was able to attend a SPARC Japan seminar for the first time, thanks to its being held at the nearby

Kyoto University. I had kept up with the website and other sources, but by actually attending I became aware that there are things to be gained that cannot be obtained by reading alone. Guided by the information obtained at this seminar, our school will need to go ahead quickly on putting a framework in place. My wish is that in the future seminars will be held not only at the NII but at places throughout Japan, and that Internet streaming and the like will be introduced.

---Report from participants: 2---

In my group, with the recent soaring prices and cheap yen, the majority of institutions said they are now evaluating e-resources from the standpoint of "which content shall we unsubscribe from?" The mainstream metrics approach is using statistics from COUNTER to calculate and compare the unit price per access to each content. Using only that method for assessing e-resources, however, there were cases in which the number of titles in some fields became zero. Now that it has become easy to see and quantify extent of usage, I feel we librarians need to learn to skillfully interpret the usage figures in a way that goes beyond simple application of numbers. For example, we know that readers in mathematics tend to spend more time carefully reading each paper than people in other natural science fields. We need to be able to apply information of this kind to make the best, most rational decisions.

In the second half of the discussions, the participants discussed OA from a variety of standpoints. A librarian reported that the library informed researchers in the school about the APC vouchers that come with a package subscription to RSC, but the researchers made surprisingly little use of them. A researcher responded by pointing to the need for libraries to put a greater effort into communicating about APC. It was encouraging to hear from researchers that it has already been shown that the impact of a paper is increased by OA, and that they themselves prefer OA.

---Report from participants: 3---

I was in Group 3. The discussion of Theme B (Realities of OA) tended to center on the significance of SCOAP3. As background, it was noted that there is no method for lowering total costs (mostly personnel costs) up to publication, and that researchers are forced to turn out large numbers of papers with thin contents in order to achieve the necessary number. On theme A (Choosing e-resources), we made sure we all understood what COUNTER was about, and discussed such topics as the status of COUNTER provision at an e-journal where one of the participants is employed, the foreign exchange market, and the publishing situation as seen by university publishers.

While this may be going a bit beyond the actual discussions, I believe that for fixing the problems with publishing of scholarly papers, the issue for libraries is what kind of feedback we should be providing and to whom. The practice of jacking up editing costs may threaten the continued existence of journals, and correcting this situation will lead to time and cost savings by readers accessing the journals.

In addition to the above points, this seminar was a highly valuable opportunity to learn about specific examples of the accounting situation at OA journals.

---Report from participants: 4---

Even though e-resources are becoming essential items for today's education and research activities, the specifics seem difficult and hard for me to grasp. While I always tend to shy away from e-resources, I decided to attend this SPARC seminar since it was being held locally (a day trip away) and I thought I might improve my understanding if even a little.

I hear the format this time was new, of having group discussions after lectures by a variety of speakers. Given the many and varied standpoints and levels of understanding among the participants, I imagine it was not easy to move the discussions forward; but with the assistance of the facilitators, there were some candid statements and views that seemingly could only have been heard on this occasion. As a rank beginner, I'm not sure how much of it I understood; but I was able to learn about the current situation as to what kinds of things are to be found where, and to learn some of the relevant terminology. For dealing with the complex issues and problems, there is also deep significance to having researchers sit down for discussions with librarians and others. I hope many more people will participate in such events in the future.

-------From attendees---------

(people affiliated with universities/libraries)

- Today's program was filled with highly interesting and significant content. I found it especially meaningful to be able to hear from people from other universities about their situation.
- Being able to learn about how to make use of COUNTER was very useful. I will definitely want to put this to use in our school.
- This was a valuable chance to discuss with researchers on an even footing. I'm glad to know about incentives for researchers to publish in OA journals.
- It was the first time to have such discussions at a

SPARC meeting, but it was a good idea.
- I learned that other universities face the same kinds of concerns regarding e-journal and database management and are trying all sorts of ways to deal with them.
- Unlike other library-related events, this one provided a highly informative chance to hear about OA from actual researchers.
- I was very grateful to have the seminar held somewhere other than at the NII. The group discussions were quite useful.
- It was heartening to learn in the discussions that there are some researchers who recognize the role of libraries in such areas as ensuring the long-term preservation of research results, which most people are not aware of.
(person in academic society, involved in academic journal editing)

-The discussions between recipients and producers of academic information were meaningful, with much to be learned from them.
I thought the exchanging of views between the two sides was very important.
(person in corporation, involved in academic journal editing)
- I would like these to be held in Kyoto once or twice a year. I especially appreciated the chance to hear the views of attendees in the discussions.
(other/other)
- Having two-way discussions was something new and exciting. I thought the presentations from each of the speakers were great.

---------Afterword----------

☺ As noted at the beginning, this seminar was not just for sitting and listening but was the first ever SPARC seminar to feature audience participation. While we faced skepticism initially, that we managed to pull it off successfully is due in large part to the NII Scholarly and Academic Information Division having stepped in with support just when it was most needed. Another key to the success of this event was the facilitators. People active in various fields as well as those whose profession is research, the lead players in distribution of scholarly information, participated on an equal footing in moving the discussions forward, as currently active witnesses. I would like to take this opportunity to offer my deepest appreciation to all who participated.

Mikiko Tanifuji
(National Institute for Materials Science [NIMS])

☺ It was good to have people from many different fields take part in the discussions. This Newsletter is also full of meaningful content, and as a summary of the knowledge gained I hope it helps us to continue improving future seminars.

Masanori Arita
(National Institute of Genetics)

☺ As is clear from the comments by participants, this was a seminar on the overall theme of “Accessing and Publishing of Academic Information” that drove home the relevance of these issues to our profession. I would like to reflect the experiences of this seminar in my daily duties.

Yoshiko Higashide
(Kyoto University Library)