

**SPARC Japan**  
**(International Scholarly Communication Initiative)**

**Annual Report**  
**FY2013**

National Institute of Informatics (NII)

## Table of Contents

Foreword.....	1
1 Overview.....	3
1.1 Overview of Phase 4 Activities .....	3
1.1.1 Basic policy for phase 4.....	3
1.1.2 Project plans for phase 4.....	3
1.2 Trends in Fiscal 2013.....	4
1.2.1 SPARC Japan Seminar .....	4
1.2.2 Surveys of overseas trends.....	4
1.2.3 Support for SCOAP <sup>3</sup> .....	5
1.2.4 Support for arXiv.org.....	5
1.2.5 Study of a pilot project for open access support .....	5
1.2.6 Gathering basic information about Japanese academic journals .....	6
2 Record of Meeting .....	8
2.1 SPARC Japan Governing Board.....	8
2.2 Working Group for Survey on Submission to OA Journals.....	8
3 List of Members.....	8
3.1 SPARC Japan Governing Board.....	8
3.2 Working Group for Survey on Submission to OA Journals.....	9
3.3 Working Group for SPARC Japan Seminar 2013 .....	9
4 Record of SPARC Japan Seminar 2013.....	11
5 History .....	12
6 Publication.....	23
6.1 SPARC Japan NewsLetter.....	23
6.2 Reference for SPARC Japan Seminar 2013.....	23
7 NewsLetter .....	26

## Foreword

Begun in 2003, the project of the International Scholarly Communication Initiative (SPARC Japan) is now in phase 4, the first year of which has ended. Here we provide an annual report summarizing the activities carried out in fiscal 2013.

Looking back, scholarly communication has been affected in various ways during this time, and the role of university libraries is changing greatly as a result. The common theme in all this, however, is open access (OA); and the aim of our Project regarding this major issue has been to facilitate the smooth and forward-looking advancement of activities by Japan's university libraries and the academic community as a whole.

In fiscal 2013, the Project more clearly emphasized its role of providing a forum for promoting OA. A new working group was formed to plan and carry out the SPARC Japan seminars that are a main activity of the Project, and a total of five seminars were held. The working group consists not only of librarians but also of a wide range of experts involved in research and scholarly publishing. They have come to serve as the core of OA promotion. The first seminar of the year featured Heather Joseph of SPARC in the US as special guest speaker. We also added many presentations by researchers in various fields, as the effort to close the gap with researchers—something which had been missing before—came to be evident. I would like once again to express my appreciation to the members of the working group for their tireless efforts.

International collaboration, which we see as important to the Project, was another area where steady progress was made. We would appreciate further support from university libraries.

Regarding article processing charge (APC) payment as an important issue for open access, we surveyed the APC payment situation in cooperation with the Japan Alliance of University Library Consortia for E-Resources (JUSTICE) and the Japan Association of National University Libraries (JANUL) Committee on Scholarly Information. I believe the survey results will be useful basic data in future discussions regarding APC payments by universities. In addition, we conducted a quantitative analytical survey of research papers emanating from Japan, based on the National Citation Report (NCR), for fixed-point observation of the reach of Japanese academic journals.

These are examples of how SPARC Japan activities are supporting a variety of efforts by the community in the area of open access. We look forward to your solid backing as we pursue new academic communication.

April 1, 2014

A handwritten signature in black ink, appearing to read 'Jun Adachi', written in a cursive style.

Jun Adachi  
Managing Director  
International Scholarly Communication Initiative  
SPARC Japan

# **1 Overview**

## **1.1 Overview of Phase 4 Activities**

### **1.1.1 Basic policy for phase 4**

The basic policy is to take initiatives to promote open access in an international coalition, encourage distribution of academic information, and strengthen the capacity for information dissemination. In phase 4, we are encouraging closer cooperation between university libraries and researchers, while seeking to identify the issues for open access, studying measures to be taken by universities and other institutions, and carrying out related projects.

### **1.1.2 Project plans for phase 4**

Plans for phase 4 of SPARC Japan are being carried out in the following three main areas, as decided in fiscal 2012 by the 2nd SPARC Japan Governing Board.

#### **(1) Cooperating with international OA initiatives**

As in phase 3, we continue to promote international scholarly communication platform provision by strengthening cooperation with SPARC and SPARC Europe, and in the case of individual projects, collaborating with SCOAP<sup>3</sup>, arXiv.org, ORCID, COAR, and other international initiatives.

#### **(2) Deciding measures and creating an organizational structure for dealing with open access issues**

We promote international scholarly communication platform provision while working with the Cooperation Promotion Council which links between the National Institute of Informatics (NII) and university libraries.

For the academic community to deal properly with changes in scholarly information distribution given the major changes in the business climate globally, university libraries, researchers, and the NII cooperate to identify the issues for open access and study measures to be taken by universities and other institutions. We also study ways of dealing with open access journals and the future of institutional repositories.

Advocacy activities continue so as to study issues related to open access. Efforts to gather information on domestic and worldwide trends continue, with the results being released domestically at SPARC Japan seminars and in other ways. These efforts include provision of opportunities for voluntary participation by university libraries, researchers, academic societies, and other members of this community, as well as reports aimed at timely information provision.

### (3) Gathering basic information regarding open access

To gather and assess basic and quantitative information concerning academic society journals, the surveys on the state of scholarly information dissemination in Japan conducted in the previous phases continue in phase 4.

By surveying trends in use of and submissions to open access journals and institutional repositories, we endeavor to gather basic information.

## 1.2 Trends in Fiscal 2013

Based on the Project plans indicated in 1.1, the following were implemented in fiscal 2013.

### 1.2.1 SPARC Japan Seminar

SPARC Japan seminars were held five times during the fiscal year as advocacy activities. Persons were assigned to plan and implement each seminar and put out newsletters after the seminar, including web editions, so as to inform the public in timely manner.

No. 17 (June 2013): *Future Perspective: SPARC and SPARC Japan*

No. 18 (September 2013): *Latest Developments in Open Access in the Humanities and Social Sciences*

No. 19 (November 2013): *Redefining the Impact of Research Outputs in the Age of Open Access: Current State of Reuse and Altimetrics*

No. 20 (January 2014): *Accessing and Publishing of Academic Information—Think Globally, Act Locally*

No. 21 (March 2014): *Winds of Change: The Past, Present, and Future of Open Access in Asia*

### 1.2.2 Surveys of overseas trends

We participated in the following international conferences and gathered information.

(1) Two NII lecturers attended the 8th Annual International Conference on Open Repositories (OR2013) (2013/7/8–12, The University of Prince Edward Island).

(2) One NII staff and one university librarian attended the 16th International Symposium on Electronic Theses and Dissertations (ETD 2013) (2013/9/23–26, Hong Kong).

(3) One NII lecturer and one university librarian attended the Berlin Open Access Conference (Berlin 11) (2013/11/19–20, Berlin).

(4) One NII staff and one university librarian attended the SPARC 2014 Open Access Meeting (2014/3/2–4, Kansas).

### **1.2.3 Support for SCOAP<sup>3</sup>**

Working with a task force under the Cooperation Promotion Council, we handled SCOAP<sup>3</sup> affairs in Japan. On December 10, 2013 we contacted 48 university libraries that have subscribed to SCOAP<sup>3</sup> journals regarding their final intention to participate in SCOAP<sup>3</sup>, and determined that there were 34 participating institutions. On December 4, 2013 we concluded a Memorandum of Understanding (MoU) on SCOAP<sup>3</sup>, signed by NII Director General Masaru Kitsuregawa. The MoU covers SCOAP<sup>3</sup> governance and finances, and matters such as the rights of participating institutions. In the governance area, two Japanese have the right to sit on the Governing Council. Current members are Jun Adachi (NII) and Mitsuaki Nozaki (High Energy Accelerator Research Organization). Mr. Adachi also serves as a member of the Executive Committee.

SCOAP<sup>3</sup> began converting eligible journals to open access from January 1, 2014. At the same time, open access articles became available in the SCOAP<sup>3</sup> Repository (<http://repo.scoap3.org/>).

### **1.2.4 Support for arXiv.org**

We checked with institutions as to their intention to participate in arXiv.org under the 2013–17 membership model, confirmed their contact information, and set up a contact mechanism between participating institutions in Japan and the arXiv.org administrator. A total of 13 Japanese institutions applied for membership.

### **1.2.5 Study of a pilot project for open access support**

With the rapid rise in the popularity of open access journals, publishers using or considering using models for APC payment by institutions are gradually increasing, and some overseas publishers have already introduced such schemes. In Japan, on the other hand, the situation is still not ripe for such moves, given the fact that the status of academic paper availability in OA journals and the status of APC payment have not been sufficiently ascertained. We therefore conducted surveys of researchers in Japan to determine the status of academic paper availability in OA journals and of APC payment, so that the role of libraries can be reviewed in the light of OA journal growth and studies can be carried out on OA journal business models.

The surveys were conducted by the NII (SPARC Japan), the Japan Alliance of University Library Consortia for E-Resources (JUSTICE), and the Japan Association of National University Libraries (JANUL) Committee on Scholarly Information.

Details of the surveys are as follows.

(1) Questionnaire-based survey (December 6–26, 2013)

The survey was made of researchers (not including graduate students) at Japanese universities and other institutions of higher learning, and at research institutions, covering 44 institutions with relatively large numbers of paper submissions to OA journals. It was conducted by means of a written questionnaire on an Internet website.

(2) Interview survey (December 18–24, 2013)

Interviews were conducted with institutions whose willingness to cooperate had been determined in advance by a preliminary survey.

(3) Document survey

Documents were translated to find out recent trends outside Japan.

### **1.2.6 Gathering basic information about Japanese academic journals**

Studies to quantitatively measure the reach of academic society/association journals were conducted during the previous phases of the Project. Through regular surveys, we continue to gather basic information. In fiscal 2013 we conducted the following two surveys, using the Thomson Reuters National Citation Report for Japan (NCR-J) 2007–2011, Journal Citation Reports (JCR) 2011, and statistical data from past reports.

(1) Quantitative analysis of the international reach of Japanese research papers

To gain an objective grasp of the international publishing status of Japanese research papers, SPARC Japan conducted quantitative surveys in fiscal 2010, and in December 2010 issued a paper (in Japanese) detailing the results and providing a quantitative analysis of the role of Japanese academic papers and journals.

To determine the current status of and issues for academic journals and study future policy measures, we surveyed and analyzed the number of research papers issued by major international journals and the ratio per issuing country, and also the number of papers by Japanese researchers published by each journal and their ratio per issuing country.

(2) Statistical survey analysis of Japanese papers appearing in major journals of high-energy physics

A survey was conducted aimed at deriving statistical indicators regarding the state of Japanese research paper publication in SCOAP<sup>3</sup> journals, toward more effective promotion of the SCOAP<sup>3</sup> project. The number of Japanese papers in the 12 SCOAP<sup>3</sup> journals and their percentage of the total papers were determined, and this data was



analyzed based on the number and percentage of these papers originating in each of Japan's major institutions.

## 2 Record of Meeting

### 2.1 SPARC Japan Governing Board

Date	Agenda
March 24, 2014	<ol style="list-style-type: none"><li>1. Report on the activities of SPARC Japan in fiscal 2013</li><li>2. Report on SPARC 2014 Open Access Meeting</li><li>3. Report on survey on submission to OA journals</li><li>4. Plans for the activities of SPARC Japan in fiscal 2015 【discussion】</li></ol>

### 2.2 Working Group for Survey on Submission to OA Journals

Date	Agenda
Aug. 6, 2013	<ol style="list-style-type: none"><li>1. Outline for the survey</li><li>2. Contents and scheduling<ul style="list-style-type: none"><li>• Questionnaire survey for researchers</li><li>• Case study survey (Domestic and overseas situation survey)</li><li>• Allotment of survey</li><li>• Confirmation of the scheduling</li></ul></li></ol>
Oct. 2, 2013	<ol style="list-style-type: none"><li>1. A preliminary survey for questionnaire survey</li><li>2. Targets and items for questionnaire survey</li><li>3. Procedure for case study survey</li></ol>
March 13, 2014	<ol style="list-style-type: none"><li>1. Index and contents of the report and work plan<ul style="list-style-type: none"><li>• Summary for questionnaire survey for researchers</li><li>• Summary for interview survey</li><li>• Summary for document survey</li></ul></li></ol>

## 3 List of Members

### 3.1 SPARC Japan Governing Board

Name	Title / Affiliation
Hiroshi Itsumura	Professor, Master's and Doctoral Programs of Library, Information and Media Studies, University of Tsukuba
Mitsuaki Nozaki	Professor, High Energy Accelerator Research Organization, (KEK)
Hiroshi Imai	Professor, Graduate School of Information Science and Technology, University of Tokyo
Masahiko Sekikawa	General Manager, The University of Tokyo Library
Naohito Abe	Professor, Institute of Economic Research, Hitotsubashi University
Keiko Kurata	Professor, Faculty of Letters, Keio University
Hideyuki Seki	Manager, Keio University Media Center
Syun Tutiya	Professor, National Institution for Academic Degrees and University Evaluation

Kazuhiro Hayashi	Senior Research Fellow, National Institute of Science and Technology Policy
Shigefumi Mori	Director General, Research Institute for Mathematical Sciences, Kyoto University
Yasufumi Tochitani	General Manager, Kyoto University Library
Jun Adachi	Deputy Director General, Director, Cyber Science Infrastructure Development Department, National Institute of Informatics
Koichi Ojira	Deputy Director, Cyber Science Infrastructure Development Department, National Institute of Informatics

### 3.2 Working Group for Survey on Submission to OA Journals

Name	Title / Affiliation
Yoshinori Sato	Professor, Faculty of Letters, Tohoku Gakuin University
Tomonari Kinto	Librarian, The University of Tokyo Library
Hisao Sunaoshi	Librarian, Tokyo Institute of Technology
Akikazu Imamura	Librarian, Waseda University Library
Shinji Mine	Senior Lecturer, Faculty of Humanities, Law and Economics, Mie University
Toshihiro Inoue	Librarian, Kyoto University Library
Yukino Aihara	Director, Scholarly and Academic Information Division, Cyber Science Infrastructure Development Department, National Institute of Informatics
Nanako Takahashi	Assistant Director, Scholarly and Academic Information Division, Cyber Science Infrastructure Development Department, National Institute of Informatics

### 3.3 Working Group for SPARC Japan Seminar 2013

Name	Title / Affiliation
Takao Namiki	Associate Professor, Department of Mathematics, Hokkaido University
Hideki Uchijima	Librarian, University of Tsukuba Library

Mikiko Tanifuji	Office Chief, Scientific Information Office, Planning Division, National Institute for Materials Science
Masanori Arita	Professor, Center for Information Biology, National Institute of Genetics
Megumi Matsubara	Librarian, The University of Tokyo Library
Natsuko Fukuda	Assistant Research Officer, Research Development Office, Hitotsubashi University Library
Takashi Shimada	Librarian, Media Center Head Office, Keio University
Akikazu Imamura	Librarian, Waseda University Library
Ayuko Nishiwaki	Librarian, Meiji University
Kazuhiro Hayashi	Senior Research Fellow, National Institute of Science and Technology Policy
Yuko Nagai	Secretary General, The Zoological Society of Japan, Representative, UniBio Press
Makoto Kuwabara	The Physical Society of Japan, Publication Center for Pure and Applied Physics
Yumi Kitamura	Associate Professor, Kyoto University Library
Yoshiko Higashide	Librarian, Kyoto University Library
Yui Nishizono	Librarian, Kagoshima University Library

## 4 Record of SPARC Japan Seminar 2013

	Date / Place	Title	Speaker	Attendees
1	June 7, 2013 13:30~17:00 Hitotsubashi auditorium	"Future Perspective: SPARC and SPARC Japan"	<ul style="list-style-type: none"> <li>○Heather Joseph (Executive Director, SPARC)</li> <li>○Koichi Ojio (National Institute of Informatics)</li> <li>○Nobuyuki Tose (The Mathematical Society of Japan)</li> <li>○Masahiko Sekikawa (The University of Tokyo Library)</li> <li>○Kazuhiro Hayashi (National Institute of Science and Technology Policy)</li> </ul>	239
2	August 23, 2013 13:00~17:00 National Institute of Informatics	"Latest Developments in Open Access - Humanities and Social Sciences -"	<ul style="list-style-type: none"> <li>○Reiko Aoki (Institute of Economic Research, Hitotsubashi University)</li> <li>○Hitonari Ishii (Graduate School of Social Sciences, Hitotsubashi University)</li> <li>○Martin Paul Eve (Open Library of Humanities)</li> <li>○Tetsuya Suzuki (Kyoto University Press)</li> <li>○Kuniyoshi Ebina (Graduate School of Human Development and Environment, Kobe University)</li> <li>○Kazuko Matsumoto (Information &amp; Media Center of Science &amp; Technology, Keio University)</li> </ul>	95
3	October 25, 2013 10:00~17:00 National Institute of Informatics	"Redefining the Impact of Research Outputs in the Age of Open Access: Current State of Reuse and Altmetrics"	<ul style="list-style-type: none"> <li>○Yui Nishizono (Kagoshima University Library/DRF)</li> <li>○Ui Ikeuchi (Graduate School of Library, Information and Media Studies, University of Tsukuba)</li> <li>○Mark Hahnel (figshare)</li> <li>○Jason Priem (ImpactStory)</li> <li>○Hidemasa Bono (Database Center for Life Science)</li> <li>○Hayahiko Oozono (Okayama University Library/DRF)</li> <li>○Kazuhiro Hayashi (National Institute of Science and Technology Policy)</li> </ul>	107
4	December 19, 2013 13:00~17:00 Kyoto University Clock Tower Centennial Hall	"Accessing & Publishing of Academic Information- Think Globally, Act Locally"	<ul style="list-style-type: none"> <li>○Yoshiko Higashide (Kyoto University Library)</li> <li>○Mikiko Tanifuji (National Institute for Materials Science)</li> <li>○Mayumi Shiono (Kyoto University Library)</li> <li>○Kosuke Tanabe (National Institute for Materials Science)</li> <li>○Yasuhiro Murayama (National Institute of Information and Communications Technology)</li> <li>○Mitsuaki Nozaki (High Energy Accelerator Research Organization)</li> <li>○Shoji Takahashi (Elsevier Japan)</li> <li>○Katsunori Iino (Bukkyo University Library)</li> <li>○Tetsuya Suzuki (Kyoto University Press)</li> <li>○Masanori Arita (Center for Information Biology, National Institute of Genetics)</li> </ul>	63
5	February 7, 2014 13:00~17:15 National Institute of Informatics	"Winds of Change: The Past, Present, and Future of Open Access in Asia"	<ul style="list-style-type: none"> <li>○Yumi Kitamura (Kyoto University Library)</li> <li>○Shigeki Sugita (Chiba University Libraries/DRF)</li> <li>○Choi Honam (Korea Institute of Science and Technology Information)</li> <li>○David Palmer (The University of Hong Kong Libraries)</li> <li>○Paul Kratoska (NUS Press, National University of Singapore)</li> <li>○Syun Tutiya (National Institution for Academic Degrees and University Evaluation)</li> <li>○Shinya Kato (University of Tsukuba Library)</li> <li>○Koichi Ojio (National Institute of Informatics)</li> </ul>	77
	Total			581
	Average			116

## 5 History

Fiscal Year	Council / Governing Board Meeting	Event	Related Event / Others
2003	06/25 The 1st Council Meeting		
	07/14 Recruitment of Participating Journals	07/02 Briefing on Project Concept for Academic Societies, at Japan Education Center	
	08/01 The 1st Governing Board Meeting		
	09/11 The 2nd Governing Board Meeting	08/19 Briefing on Project Concept, at Tohoku University	
	09/17 The 2nd Council Meeting (Adoption of Participating Journals)		
	09/17 Press Release		
	10/08 Joint Meeting of Working Groups		11/05 The 5th Library Fair & Forum “ SPARC Japan: Transforming International Scholarly Communication in Japan” at Tokyo International Forum, sponsored by Japan Council of National University Libraries and Japan Association of Private University Libraries
		01/21-29 Briefing on Project Euclid, at National Center of Sciences, Tohoku University, Kyoto University and Nagoya University	11/20 Japan Council of National University Libraries Task Force on E-Journal started negotiation with publishers in Biological Science, Physics, and Medicine.
		02/23 SPARC Japan Meeting Report and Briefing on Concept of New Journals at National Center of Sciences	
	03/22 The 3rd Governing Board Meeting	03/11 SPARC Japan Seminar “Future Perspective of Scholarly Communication in Biological Sciences -UniBio Press Mission”, at The University of Tokyo library	
2004	03/23 The 3rd Council Meeting		
	05/28 The 1st Governing Board Meeting		
	06/02 The 1st Council Meeting		

	<p>06/07 Recruitment of Participating Journals</p> <p>09/15 The 2nd Governing Board Meeting</p> <p>09/22 The 2nd Council Meeting (Adoption of Participating Journals)</p> <p>10/14 Joint Meeting of Working Groups</p>	<p>07/07 Briefing on Project Concept for Academic Societies, at National Center of Sciences</p> <p>09/27 Project Euclid Meeting, Briefing on DPubS</p> <p>10/15 Symposium “Current Issues on Scholarly Publishing to Advance Scholarly Communication~SPARC Japan as an Example” at Hiroshima University Library, Co-sponsored by Hiroshima University Library, the Japan Association of National University libraries(JANUL) Committee on Scholarly Information, NII</p> <p>10/19 Symposium “Future Prospects on Japanese Scholarly Journals”, at Waseda University Center for Scholarly Information, Co-sponsored by The Society of Polymer Science, The Institute of Electronics, Information and Communication Engineers, Committee of Tohoku Mathematical Journal, The Japan Society of Mechanical Engineers, The Japan Institute of Metals and Materials, The Zoological Society of Japan, The Japan Society for Analytical Chemistry, Japanese Society of Mammalian Ova Research, The Mammal Society of Japan, NII</p> <p>11/05 OUP Meeting “Current Situation of Open Access”</p> <p>11/25 The 6th Library Fair &amp; Forum “Trends in Scholarly Communication: Open Access and Self-Archiving”, at Pacifico Yokohama</p> <p>01/27 Workshop “Business Models for E-Journals and Trends in Scholarly Publishing”, at Japan Education Center</p> <p>03/07 The 3rd Governing Board Meeting</p> <p>03/10 The 3rd Council Meeting</p> <p>03/24 Symposium “Current Trends and Issues around SPARC: Scholarly Journals, Institutional Repositories and Open Access”, at Waseda University</p>	<p>07/01 Presentation on Activities of SPARC Japan at workshop of JANUL(Japan Association of National University Libraries) general meeting, at Osaka University Convention Center</p> <p>10/19-20 Participation in the Project Euclid DPubS Conference, at Cornell University, US</p>
2005	<p>06/06 The 1st Governing Board Meeting</p>	<p>05/19 The 1st SPARC JAPAN Seminar 2005 “Learning from history of Nature - Editorial Policies at</p>	

06/08 The 1st Council Meeting	Nature”	06/29 The 2nd SPARC JAPAN Seminar 2005 “J-STAGE Online Submission and Review System”  07/09-10 Closed Workshop “E-Journals: Current Usage and Future Prospects” at Keidanren Guest House  07/15 The 3rd SPARC JAPAN Seminar 2005 “Theory and Practice of Open Access - Researchers, Library, Academic Journals”  07/20 UniBio Press Initiatives: New Business Model at Academic Societies, sponsored by Ibaragi University Library    09/22 The 4th SPARC JAPAN Seminar 2005 “How do we launch and publish e-journals? -challenges for academic societies and publishers”  10/06 The 5th SPARC JAPAN Seminar 2005 (The 76th Annual Meeting of the Zoological Society of Japan) “What should researcher React? - in the era of E-Journals” at International Congress Center, Co-sponsored by the zoological Society of Japan  11/24 Special Session of The SPARC JAPAN Seminar “Briefing and Demonstration of Online Submission and Review System: Journal of Bioscience and Bioengineering”  11/30 The 6th SPARC JAPAN Seminar 2005 (The 7th Library and Forum) “COUNTER project: Setting International Standards for Online Usage” at Pacifico Yokohama  12/01 Closed Workshop on COUNTER project	06/21-22 Participation in the JISC International Solutions for the Dissemination of Research, London, UK
			07/07-08 Elsevier Library Connect Seminar 2005, “Understanding Users”, in Kyoto and Tokyo, Supported by NII
			09/15 Yamaguchi University Library Lecture 2005 “Status of E-Journals and scholarly communication in Japan - Role and Activities of SPARC Japan” Sponsored by Yamaguchi University Library
			09/16 Symposium on E-journals “Management of academic resources in University: for transforming scholarly communication in era of E-journals” at Kyoto University, Co-Sponsored by Academic Center for Computing and Media Studies, Kyoto University Library and NII
10/13 The 2nd Governing Board Meeting			
10/26 The 2nd Council Meeting (Adoption of Participating Journals)			
			12/09 Nagasaki University Library Lecture 2 “Latest Trends in Scholarly Communication: Role and



		<p>12/12 The 7th SPARC JAPAN Seminar 2005 “English Reviewer in Academic Journals in Japan”</p> <p>01/31 The 8th SPARC JAPAN Seminar 2005 “Trends and Technical Standards in Scholarly Communications: Google Scholar, CrossRef, OAI-PMH etc.”</p> <p>02/10 The 9th SPARC JAPAN Seminar 2005 “Wrap-up Session by SPARC Japan Partners”</p>	Activities of SPARC Japan”, Sponsored by Nagasaki University Library
	<p>02/15 The 3rd Governing Board Meeting</p> <p>02/24 The 3rd Council Meeting</p>		
2006	<p>09/08 The 1st Governing Board Meeting</p> <p>01/30 The 2nd Governing Board Meeting</p>	<p>06/30 The 1st SPARC Japan Seminar 2006 “Academic Community in Japan: Views from Overseas Publishers”</p> <p>07/26 The 2nd SPARC Japan Seminar 2006 “Promotion of E-Journal and Licensing: Worldwide Trends and Outlook for Japanese Journals”</p> <p>09/05 Lecture “Introducing ALPSP” by Ms. Sally Morris</p> <p>09/29 The 3rd SPARC Japan Seminar 2006 “Evaluating Online Submission System-Before and After-”</p> <p>11/02 The 4th SPARC Japan Seminar 2006 “Request from University Libraries to Publishers: COUNTER as an Example”</p> <p>11/20 The 8th Library and Forum Fair “TRANSFER Update: to improve procedures and policies surrounding transfer of journals” at Pacifico Yokohama</p> <p>12/14 The 5th SPARC Japan Seminar 2006 “Copyright: for Academic Societies, Authors and Institutional Repository”</p> <p>12/18-19 International Symposium: Future of Institutional Repositories, e-Science and the Future of Scholarly Communication “Standing on the Shoulders of Digital Giants” at Toshi Center Hall</p> <p>01/30 The 6th SPARC Japan Seminar 2006</p>	<p>03 MOU Conclusion with The Association of Research Libraries (ARL)</p> <p>07/03-04 Elsevier Library Connect Seminar 2006, “From “Search” to “Find” -, in Tokyo, and Osaka, sponsored by NII</p>

		<p>“Promotion of E-Journal and Licensing (2) Tips from the Experts”</p> <p>03/05 The 7th SPARC Japan Seminar 2006 “Measuring Performance of Journals/Articles by Bibliometrics”</p>	
2007	<p>06/12 Joint Meeting / SPARC Japan Partners</p> <p>07/19 The 1st Governing Board Meeting</p> <p>12/14 SPARC Japan Partners-University Libraries Joint Meeting “Forming a consortium of SPARC Japan Partners”</p> <p>02/29 The 2nd Governing Board Meeting</p>	<p>07/17 The 1st SPARC Japan Seminar 2007 “Measuring Performance of Journals/Articles by Bibliometrics - Series 2”</p> <p>10/02 The 2nd SPARC Japan Seminar 2007 “Evaluating Online Submission and Review System Part 3 – For Better System”</p> <p>11/02 The 3rd SPARC Japan Seminar 2007 “Current State of Metadata Publishing - Things Needed for Production and Publishing of Electronic Journals”</p> <p>11/09 Presentation at The 9th Library Fair &amp; Forum “Challenges for Japanese Leading E-journals: Proposals from SPARC Japan Partners” at Pacifico Yokohama</p> <p>01/17 The 4th SPARC Japan Seminar 2007 (SPARC Japan-ALPSP Special Seminar) “Journal Publishing and Scholarly Societies”</p> <p>01/18 ALPSP Training Course “Introduction to Journal Publishing”</p>	<p>05/15 UniBio Press Seminar “Challenges for Journal of Biological Sciences: for broader and more accurate dissemination of information” at National Center of Sciences</p> <p>05/17 UniBio Press Seminar “Challenges for Journal of Biological Sciences: for broader and more accurate dissemination of information” at Kyoto University Library</p> <p>08/05-11 Participation in the 41st IUPAC Congress (International Union of Pure and Applied Chemistry), Torino, Italy</p> <p>08/20-22 Participation in the 234th ACS (American Chemical Society) National Meeting &amp; Exposition, Boston, US</p> <p>11/07-09 Participation in The 9th Library Fair &amp; Forum, at Pacifico Yokohama</p>
2008		<p>04/22 The 1st SPARC Japan Seminar 2008 “The Future of Academic Journals as a Means of</p>	<p>06/15-17 SPARC Japan Partners exhibited at the SLA 2008</p>

		Disseminating Research Results”	Conference (Special Libraries Association), Seattle, US
06/24	The 2nd SPARC Japan Seminar 2008 “Academic Publishing and the Approach to XML - Issues in Japan”		06/26 Participation in the 55th General Assembly of JANUL (Japan Association of National University Libraries), at Tohoku University
07/10	The 3rd SPARC Japan Seminar 2008 “The Status of Consortium in Korea - For Expanding our Global Presence”		07/13-15 Participation in The General Conference of the Chinese Chemical, Tianjin, China
09/02-03	The 4th SPARC Japan Seminar 2008 (RIMS Workshop) “Digitization of Bulletin and the Surrounding Issues” at Research Institute for Mathematical Sciences, Kyoto University		08/17-19 Participation in the 236th ACS (American Chemical Society) National Meeting & Exposition, Philadelphia, US
			09/11-12 Participation in the General Conference of JASPUL (Japan Association of Private University Libraries), at Kokugakuin University
			09/16-20 Participation in the 2nd EuCheMS Chemistry Congress, Torino, Italy
			09/25-26 Presentation at KESLI (Korean Electronic Site License Initiative), Daejeon, Korea
10/14	The 5th SPARC Japan Seminar 2008 “What is the most appropriate OA model for Japan?”		10/12-15 Promotion at the 15th North American ISSX (International Society for the Study of Xenobiotics) Meeting, San Diego, US
			10/27-30 Participation in ISAP2008 (International Symposium on Antennas and Propagation), Taipei, Taiwan
11/17-18	SPARC Digital Repositories Meeting 2008, Baltimore, US Co-hosted by SPARC, SPARC Europe and SPARC Japan		11/13-14 Participation in the INFOPRO2008, at National Museum of Emerging Science and Innovation
11/25	The 6th SPARC Japan Seminar 2008 “Beyond IF - we need some different perspectives”		
11/27	The 7th SPARC Japan Seminar 2008 (The 10th Library Fair & Forum 2008, Scientific Information Open Summit) “Open Access Update”		
12/16	The 8th SPARC Japan Seminar 2008		

	<p>12/24 The 1st Governing Board Meeting</p> <p>03/10 The 2nd Governing Board Meeting</p> <p>03/27 Joint Meeting / SPARC Japan Publishing Partners</p> <p>03/27 The 3rd Governing Board Meeting</p>	<p>“E-Journal Platforms that fit the requirements in Japan”</p> <p>01/22-26 Project Euclid-Mathematics Journals Meeting at National Institute of Informatics, Kyoto University and Tokyo Institute of Technology</p> <p>02/13 The 9th SPARC Japan Seminar 2008 “Report from SPARC Japan Partners”</p>	<p>12/17-20 Participation in the International Conference on Embedded and Ubiquitous Computing (EUC 2008), Shanghai, China</p> <p>03/16-20 Participation in the 2009 APS (American Physical Society) Meeting, Pittsburgh, US</p>
2009	<p>10/05 The 1st Governing Board Meeting</p>	<p>06/25 The 1st SPARC Japan Seminar 2009 “Voluntary publication from researchers through a variety of network media in quest of dissemination to the general public”</p> <p>08/04 The 2nd SPARC Japan Seminar 2009 “Sustainability of non-profit publishers - learning from OUP”</p> <p>09/08-09 The 3rd SPARC Japan Seminar 2009 (RIMS Workshop) “Towards a Digital Mathematics Library”</p> <p>09/17 The 4th SPARC Japan Seminar 2009 (Annual Meeting of the Zoological Society of Japan) “ZS Project”</p> <p>10/20 Open Access Week (The 5th SPARC Japan Seminar 2009) “An open access business model and researchers' attitudes”</p> <p>11/11 The 6th SPARC Japan Seminar 2009 (Library Fair &amp; Forum) “NIH Public Access Policy”</p> <p>12/11 The 7th SPARC Japan Seminar 2009 “Status of Social Sciences Journals - Issues of IR, Copyright, E-journals”</p> <p>02/02 The 8th SPARC Japan Seminar 2009</p>	<p>11/25 SPARC Japan Publishing Partners in Chemistry Participated in the APBioChEC (Asia Pacific Biochemical Engineering Conference) 2009, at Kobe Convention Center</p> <p>12/03-04 DRF International Conference 2009 (DRFIC 2009), Co-hosted by DRF and NII, at Tokyo Institute of Technology</p>

	03/23 The 2nd Governing Board Meeting	<p>“Marketing to Libraries Worldwide”</p> <p>02/03 ALPSP Training Course “Effective Journals Marketing”</p>	
2010		<p>06/23 The 1st SPARC Japan Seminar 2010 “Work and Management of Academic Societies”</p> <p>07/06 The 2nd SPARC Japan Seminar 2010 “Journal Publishing - Current Situation of Overseas Academic Societies”</p> <p>08/24 The 3rd SPARC Japan Seminar 2010 “The Work of Libraries - Subscription and Use of Academic Journals”</p> <p>09/16 The 4th SPARC Japan Seminar 2010 (RIMS Workshop) “Towards a Digital Mathematics Library”</p> <p>09/24 The 5th SPARC Japan Seminar 2010 (Annual Meeting of the Zoological Society of Japan) “A look ahead to the next decade of scholarly communications in Japan”</p> <p>10/20 The 6th SPARC Japan Seminar 2010 (Open Access Week) “Open Access Disseminated from Japan”</p> <p>11/08- 09 The SPARC Digital Repositories Meeting 2010, Baltimore, US, Co-sponsored by SPARC, SPARC Europe and SPARC Japan</p> <p>12/10 Joint Symposium “Open Access Policy for the Dissemination of the Research Outcomes from Universities” at Iron Gate Memorial Hall, The University of Tokyo</p>	<p>08/19 Participation in the International Congress of Mathematicians (ICM), Hyderabad, India</p> <p>08/22- 26 Participation in the 240th ACS (American Chemical Society) National Meeting and Exposition, Boston, US</p> <p>08/29-09/02 Participation in the 3rd EuCheMS Chemistry Congress, Nurnberg, Germany</p>

		<p>01/14 The 7th SPARC Japan Seminar 2010 “Author ID: Recent Developments”</p> <p>02/03 The 8th SPARC Japan Seminar 2010 “Impact and Position of Japanese Journals/Articles in the World”</p> <p>03/08 MoU Signing Event between German National Library of Science and Technology (TIB) / German National Library of Medicine (ZB MED) / National Institute of Informatics (NII) Symposium: “The Future of Scholarly Communication Infrastructure in German and Japan”</p>	
	03/16 The 1st Governing Board Meeting		
2011	10/06 The 1st Governing Board Meeting	<p>10/28 The 1st SPARC Japan Seminar 2011 (Open Access Week) “Current Situation and Strategy of Open Access from Viewpoints of Journal Publishing”</p> <p>12/06 The 2nd SPARC Japan Seminar 2011 “Workshop for Contemporary Reference Management Tools”</p> <p>01/31 The 3rd SPARC Japan Seminar 2011 “New Movement of the Distribution on Scholarly Information - Open Access for Researchers and Academic Societies”</p> <p>02/10 The 4th SPARC Japan Seminar 2011 “Distribution of Academic Information: Open the Way to the Future - Crisis of Online Journal and Open Access”</p> <p>02/29 The 5th SPARC Japan Seminar 2011 “Burgeoning Open Access MegaJournals”</p>	<p>08/28-09/01 Participation in the 242nd ACS (American Chemical Society) National Meeting &amp; Exposition, Denver, US</p> <p>09/04-09 Participation in the 14th Asian Chemical Congress 2011, Bangkok, Thailand</p> <p>10/26 Presentation at the 2011 Open Access Korea (OAK) Conference, Seoul, Korea by Jun Adachi “Open Access in Japan: 2011 Updates”</p>

	03/27 The 2nd Governing Board Meeting	03/26 The 6th SPARC Japan Seminar 2011 (Project Euclid & Mathematical Society of Japan, Joint Workshop) “Workshop on Mathematics Publishing”	
2012	12/10 The 1st Governing Board Meeting	05/25 The 1st SPARC Japan Seminar 2012 “Review of Research Assessment”  06/19 The 2nd SPARC Japan Seminar 2012 “Further Progress of Journals - Focusing on Platform Transfer”  07/25 The 3rd SPARC Japan Seminar 2012 “Reform: Grants-in-Aid for Scientific Research (Publication of Research Results/Scientific Periodicals)”  08/23 The 4th SPARC Japan Seminar 2012 “Open Access Journal: Funder-Researcher Collaboration in Science Communication”  10/26 The 5th SPARC Japan Seminar 2012 “Open Access Week - Open Access in Japan, Last Decade and Next Decade”  12/04 The 6th SPARC Japan Seminar 2012 “How Open Access Can Change Libraries & Librarians - Course on Open Access for Libraries & Librarians”  02/19 The 7th SPARC Japan Seminar 2012 “Libraries' Financial Support for Open Access”	07/02-07 Participation in the 6th European Congress of Mathematics (ECM), Kraków, Poland  08/19-21 Participation in the 244th ACS (American Chemical Society) National Meeting & Exposition, Philadelphia, US  08/26-30 Participation in the 4th EuCheMS Chemistry Congress, Prague, Czech Republic  12/26-27 Keynote Speech at RIMS Joint Research, Kyoto University

	03/26 The 2nd Governing Board Meeting		
2013		06/07 The 1st SPARC Japan Seminar 2013 “Future Perspective: SPARC and SPARC Japan”  08/23 The 2nd SPARC Japan Seminar 2013 “Latest Developments in Open Access - Humanities and Social Sciences -”  10/25 The 3rd SPARC Japan Seminar 2013 “Redefining the Impact of Research Outputs in the Age of Open Access: Current State of Reuse and Altmetrics”  12/19 The 4th SPARC Japan Seminar 2013 “Accessing & Publishing of Academic Information- Think Globally, Act Locally”  02/07 The 5th SPARC Japan Seminar 2013 “Winds of Change: The Past, Present, and Future of Open Access in Asia”	08/06 The 1st Working Group Meeting for Survey on Submission to OA Journals  10/02 The 2nd Working Group Meeting for Survey on Submission to OA Journals  12/04 MOU Conclusion on SCOAP <sup>3</sup> with CERN  01/27 Keynote Speech at RIMS Joint Research, Kyoto University  03/02 Participation in the COAPI Meeting, Kansas City, US  03/03-04 Participation in the 2014 SPARC Open Access Meeting, Kansas City, US  03/13 The 3rd Working Group Meeting for Survey on Submission to OA Journals
	03/24 The 1st Governing Board Meeting		



## 6 Publication

### 6.1 SPARC Japan NewsLetter

- SPARC Japan News Letter No. 17, June 2013  
<http://www.nii.ac.jp/sparc/en/publications/pdf/sj-NewsLetter-17E.pdf>
- SPARC Japan News Letter No. 18, Sept. 2013  
<http://www.nii.ac.jp/sparc/en/publications/pdf/sj-NewsLetter-18E.pdf>
- SPARC Japan News Letter No. 19, Nov. 2013  
<http://www.nii.ac.jp/sparc/en/publications/pdf/sj-NewsLetter-19E.pdf>
- SPARC Japan News Letter No. 20, Jan. 2014  
<http://www.nii.ac.jp/sparc/en/publications/pdf/sj-NewsLetter20E.pdf>
- SPARC Japan News Letter No. 21, Mar. 2014  
<http://www.nii.ac.jp/sparc/en/publications/pdf/sj-NewsLetter21E.pdf>

### 6.2 Reference for SPARC Japan Seminar 2013

【The 1st SPARC Japan Seminar 2013】 June 7, 2013

“Future Perspective: SPARC and SPARC Japan”

<http://www.nii.ac.jp/sparc/en/event/2013/20130607en.html>

“Open Access: Delivering on the Promise “ Heather Joseph, Executive Director, SPARC

“SPARC Japan - Where We've Been and Where We're Going -” Koichi Ojio, NII

“Expectations for SPARC Activities” Nobuyuki Tose, The Mathematical Society of Japan

【The 2nd SPARC Japan Seminar 2013】 August 23, 2013

“Latest Developments in Open Access - Humanities and Social Sciences -”

<http://www.nii.ac.jp/sparc/en/event/2013/20130823en.html>

Opening Greeting/Outline: Takashi Shimada, Media Center Head Office, Keio University

“Open Access for Economics and Economists” Reiko Aoki, Institute of Economic Research,  
Hitotsubashi University

“Research Method and Environment in History, and Open Access: A Study from the Perspective of  
a Researcher in Japanese History of Modern” Hitonari Ishii, Graduate School of Social Sciences,  
Hitotsubashi University

“Overseas Stream: Front Line of OA in Humanities and Social Sciences”

Martin Paul Eve, Open Library of Humanities

“Scholarly Information and /or Comprehensive Knowledge - UP's relevant Mission to Explore New  
Methodology” Tetsuya Suzuki, Kyoto University Press

【The 3rd SPARC Japan Seminar 2013】 October 25, 2013

“Redefining the Impact of Research Outputs in the Age of Open Access: Current State of Reuse and Altmetrics”

<http://www.nii.ac.jp/sparc/en/event/2013/20131025en.html>

Opening Greeting/Outline: Yui Nishizono, Kagoshima University Library/DRF

Video Letter: Mark Patterson (eLife), Peter Binfield (PeerJ)

“Current Research Data Management Support for Researchers in the U.K.”

Ui Ikeuchi, Graduate School of Library, Information and Media Studies, University of Tsukuba

“The “Reuse Factor” and the Future of Credit for Research” Mark Hahnel, figshare

“Altmetrics: The Next Step for Open Access” Jason Priem, ImpactStory

“Technology Development of Database Integration in Life Science”

Hidemasa Bono, Database Center for Life Science

“Implementing an Altmetrics Service into the Okayama University Science Achievement

Repository (OUSAR)” Hayahiko Oozono, Okayama University Library/DRF

【The 4th SPARC Japan Seminar 2013】 December 19, 2013

“Accessing & Publishing of Academic Information- Think Globally, Act Locally”

<http://www.nii.ac.jp/sparc/event/2013/20131219.html>

Outline: Mikiko Tanifuji, National Institute for Materials Science (NIMS)

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

Mayumi Shiono, Kyoto University Library

“Management of Electronic Resources by the NIMS Library of Materials Science”

Kosuke Tanabe, National Institute for Materials Science (NIMS)

“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)

“What We Learned from Putting Journal Open Access into Practice: A Message from the Research Community” Mitsuaki Nozaki, High Energy Accelerator Research Organization

【The 5th SPARC Japan Seminar 2013】 February 7, 2014

“Winds of Change: The Past, Present, and Future of Open Access in Asia”

<http://www.nii.ac.jp/sparc/en/event/2013/20140207en.html>

Opening Greeting/Introduction: Shigeki Sugita, Chiba University Libraries/DRF

“OA Activities in Korea” Choi Honam, Korea Institute of Science and Technology Information

“OA & IR in 2012; The University of Hong Kong & Greater China”

David Palmer, The University of Hong Kong Libraries

“Open Access in Southeast Asia: Unresolved Issues and New Opportunities”

Paul Kratoska, NUS Press, National University of Singapore

“The “Asian” Future of Open Access”

Syun Tutiya, National Institute for Academic Degrees and University Evaluation



## ■ The 1st SPARC Japan Seminar 2013

“Future Perspective: SPARC and SPARC Japan”

Friday, June 7, 2013: Hitotsubashi Hall (Attendees: 239)

The 1st SPARC Japan Seminar was held on June 7 as part of the Open Access Summit 2013 (June 6 and 7), which theme was "Toward More Open Access to Scholarly Information: Current Situation and Future Perspective". We invited Ms. Heather Joseph, Executive Director of SPARC North America, as the best guest speaker to kick off the fourth phase of SPARC Japan activities. The seminar program and the details are below. (<http://www.nii.ac.jp/sparc/en/event/2013/20130607en.html>)

### Open Access: Delivering on the Promise

#### Heather Joseph (SPARC North America)

In her keynote address, Ms. Joseph described the activities of SPARC in North America and talked about the following three aspects of Open Access.

1. The pressures involved in distribution of scholarly information
  - 1-1. The appearance of new network tools with the advance of the Internet and technology
  - 1-2. The flood of digital information
  - 1-3. Budget constraints faced by libraries
2. Reconfirming the concept of Open Access: Access + Reuse / Efforts toward realization and results
  - 2-1. Surge in Open Access journals and increase in scholars choosing Open Access publishing
    - With sound growth it has become clear that this movement is both sustainable and profitable.
  - 2-2. Growth of Open Access repositories
    - Increase in volume of content and quality
  - 2-3. Copyright and licensing issues
    - Conventional licenses are being made more flexible for the sake of “access and reuse” under Open Access.
  - 2-4. Open Access policies
    - Some are drawn up by institutions, such as universities, and others by governments and support organizations. They reflect growing awareness of and expectations for Open Access, as seen in the mandating of Open Access, for example.
3. Issues and problems in new systems for realizing new Open Access concepts
  - Licensing (establishing a copyright that

enables full reuse) is the most important issue. It will be necessary to further the spread of ALMs (Article Level Metrics), the growingly popular method for assessing a variety of individual papers, to establish more open academic communication, and to promote an academic culture suited to this environment.

The aim is that the SPARC program will continue to develop through global cooperation and joint activities.

### SPARC Japan: Where We've Been and Where We're Going

#### Koichi Ojiro (National Institute of Informatics)

Mr. Ojiro talked about the birth of SPARC Japan and its future outlook.

Whereas SPARC in North America was formed in part for the purpose of putting academic communication back into the hands of researchers and countering the price rise resulting from monopolization by commercial publishers, SPARC Japan has been focused more on solving issues specific to Japan, concentrating first of all on supporting digitalization of journals published by Japanese academic societies and other such organizations.

During the first three phases, the efforts to solve issues and the sharing of information proceeded relatively well, but the issues of tying up with university libraries and supporting Open Access remained to be tackled. With these issues in mind, plans are being made for phase four to enhance our framework, including our cooperation with international Open Access initiatives. Particular aims will be to consider an institutional burden model for article processing charges (APC), and to strengthen ties with university libraries.

## Expectations for SPARC Activities

### Nobuyuki Tose (Mathematical Society of Japan)

Mr. Tose spoke of his expectations for SPARC Japan with regard to the publishing services of the Mathematical Society of Japan and related issues. The Mathematical Society of Japan, getting the opportunity of support by SPARC Japan, successfully completed the digitalization of the entire contents of its Journal of Math. Soc. Japan (JMSJ), as well as many more of its various other publications.

Compared to other disciplines, mathematicians have a variety of means for announcing their research results, such as preparing preprints and posting them to arXiv.org or the like; and the Mathematical Society has shown flexibility in this regard. Among recent activities are publishing abstracts of conference presentations and, in cooperation with Asian countries, recording videos of special lectures. The society is also developing DLM-JP as a Japan-based version of the Digital Mathematics Library created as a portal for international publications of universities.

Expectations for SPARC Japan include consulting on negotiations with publishers, and assistance with monograph digitalization and DML-JP expansion.

## Panel Discussion

### Moderator: Jun Adachi

(National Institute of Informatics)

**Panel members: Heather Joseph (SPARC), Nobuyuki Tose (Mathematical Society of Japan), Masahiko Sekikawa (University Library, the University of Tokyo), and Kazuhiro Hayashi (National Institute of**

## Science and Technology Policy)

The moderator, Mr. Adachi, started off the discussion by noting the underlying theme of the Open Access Summit, that of changing the rules of the game.

One remark that made a lasting impression was by Mr. Hayashi. He pointed out that as mid-level Open Access journals dependent on article processing charges (APC) have begun to flourish, some journals of a dubious nature have appeared. He suggested that libraries should be involved in the appraisal process for deciding where articles should be published.

Ms. Joseph noted that in North America it is common practice for APC revenue to be donated to institutions. Librarians in the United States are a diverse lot, and cooperation with researchers appears to be going relatively well.

Mr. Sekikawa, talking about the standpoint of libraries with regard to Open Access promotion, expressed the view that after many academic journals have adopted an Open Access policy, the role of institutional repositories will need to be considered. He also wondered if there was really any essential difference between APC and subscription fees.

Mr. Tose pointed out that for academic societies in Japan the absence of a publisher selling and promoting academic journals internationally is a problem, which forces them to do their own such promotion individually. Another view given in the discussion was with respect to publications in the humanities and social sciences. It was suggested that more active methods should be incorporated making use of altmetrics.

## -----Comment by one of the attendees-----

Ms. Joseph's presentation was easy to understand. I felt that she explained complex issues quite clearly. The phrase "Open Access = Access+Reuse" simply and powerfully expressed the direction aimed for in Open Access activities. Also, from NII Deputy Director Ojio's explanation I gained an understanding of the background to and characteristics of SPARC activities in Japan, while Mr. Tose's talk was informative regarding the steady accomplishments through the third phase of those activities. The raising of the issue of APC by Mr. Sekikawa and Mr. Hayashi in the panel discussion caused me to think about what can be done by university libraries.

No person on their own can reach the goal on the road to open distribution of scholarly information. It will take researchers, libraries, academic societies, and other concerned people and institutions working hand in hand. The seminar strongly reinforced this understanding for me. (Minako Suzuki, National Institute of Informatics)

## -----Afterword-----

😊 Today when the situation regarding Open Access is undergoing major changes, this seminar provided much food for thought as to whether or not to become involved and how best to be involved in the movement. Jolted into awareness by the request to recommend panel members and speakers just two months before the event was to be held, we managed somehow to complete eve-

rything from preparing flier to issuing the newsletter. We want to thank our speakers and panel members, those who attended the seminar, and the Secretariat for their hard efforts.

(Takao Namiki, Faculty of Science, Hokkaido University)

😊 Not having a clue. I was really helped by

everyone involved in the planning of this seminar. It turned out to be quite thought-provoking in terms of what the role of libraries should be, and made me aware that libraries still have much potential. I also was made aware that it will be essential for libraries to continue building stronger cooperative relationships with researchers. (Ayuko Nishiwaki, librarian at Ikuta Campus of

Meiji University)

😊 This being the first time for us to plan SPARC Japan Seminar by working group, we had to proceed largely by trial and error. Many thanks to the working group members who nonetheless patiently followed through to a successful conclusion. (Secretariat)



Keynote address (Heather Joseph, SPARC North America)



Panel discussion



## ■ The 2nd SPARC Japan Seminar 2013

### Latest Developments in Open Access in the Humanities and Social Sciences

Friday, August 23, 2013: National Institute of Informatics,  
12th floor conference room (Attendees: 95)

The second SPARC Japan Seminar of 2013 was the first seminar to focus on open access in the humanities and social sciences. After presenters gave reports from their respective standpoints, on open access as seen by researchers and on trends in and outside Japan, they all joined in a panel discussion on the future of open access in the humanities and social sciences. This being the first time to venture into the topic area, the discussions touched on a wide variety of matters and continued to pick up momentum as they proceeded. It is hoped that this seminar will be the impetus for further attempts to delve into the issues of open access in the humanities. The seminar was attended by 95 persons in all, including university librarians, publishers, and researchers. See the SPARC Japan website (<http://www.nii.ac.jp/sparc/event/2013/20130823.html>) for the handouts and other details. A summary of the seminar is given below.

#### Open Access for Economics and Economists

##### **Reiko Aoki (Institute of Economic Research, Hitotsubashi University)**

In the specific field of economics, even before the appearance of open access journals, academic information was exchanged by means of working papers. As a means of open access, providing academic information free of charge is efficient since the information is not exclusive and does not get used up. From the viewpoint of economics, then, open access journals can be seen as a logical approach. Moreover, this model matches the interests of both the seller and buyer with their different standpoints in what economists call a “two-sided market,” and so the model works regardless of which side covers the costs. When the academic journal is seen as a two-sided market, it does not matter whether the cost burden falls on the issuer of the information or the recipient or both.

#### Research Method and Environment in History, and Open Access: A Study from the Perspective of a Researcher in Japanese History of Modern

##### **Hitonari Ishii (Graduate School of Social Sciences, Hitotsubashi University)**

Traditionally historical research has tended to favor primary records such as original texts and handwritten manuscripts. Historical researchers, moreover, by their nature have an attachment to tangible historical records, which helps to explain their affinity for publishing culture. A preference for accuracy over speed of reporting is another feature of historical studies. For reasons like these, the needs for open access in historical studies cannot be regarded as high in general; but there are

signs of change. In the latter 1990s, for example, a shift could be seen from empirical toward interpretive studies. Since the latter put greater weight on guarantee of verifiability, interest began to turn toward access to authoritative information sources. Meanwhile, the technology was also changing, as primary sources became available on the web and the inclination grew to publish research outlines as working papers at an earlier stage than before.

#### Overseas Stream: Front Lines of OA in Humanities and Social Sciences

##### **Martin Paul Eve (Open Library of Humanities: OLH)**



#### 1. Open access background and issues

During the same time that consumer prices in the UK were rising 80 percent overall, between 1986 and today, journal subscription prices increased 380 percent, to the point where journal subscription is no longer sustainable. While major publishers reaped huge profits, some researchers were no longer able to access academic journals. In addition there is the problem of journals becoming expensive due to their high reputation.



## 2. Issues for society

The process of papers being submitted, undergoing peer review, and gaining in reputation does not change even with the shift to open access journals. At the OLH, in keeping with our traditional approach, internationally renowned researchers and specialists are asked to serve as Academic Steering & Advocacy Committee members. While preserving quality through a conservative, traditional approach, our desire is to gradually bring about innovations at the point when their benefits become clearly visible.

Even as we continue to focus on publication of papers in the humanities and social sciences, we cannot ignore monographs, and therefore are planning to realize open access publication, in cooperation with four publishers, as a time-limited project of five years.

## 3. Technical issues

We are thinking about making it an “overlay journal,” picking outstanding papers from highly reputed journals, centering on specialists in certain fields, and overlaying these on a megajournal. Also, since there is a tendency among humanities researchers to worry about the permanency of digital preservation, we are thinking of using technologies like LOCKSS or CLOCKSS with their stability and permanency.

## 4. Financial issues

We estimate the cost of this project to be around US\$2.6 million over the five-year term, including the monograph publishing costs. Initially we plan to ask for contributions, and then will aim for self-sustaining operation.

### Scholarly Information and /or Comprehensive Knowledge—UP's relevant Mission to Explore New Methodology

#### Tetsuya Suzuki (Kyoto University Press)

Kyoto University Press began an experimental project five years ago of offering published works for free on the Kyoto University Research Information Repository (KURENAI). When it comes to Green or Gold open access as a whole, the humanities are not necessarily lagging behind the natural sciences. There is a problem, however, in that despite the importance of scholarly works in the form of paper books for obtaining systematic and comprehensive knowledge, conventional academic publication did not meet that need. In deciding what to put in book form and what not to, the respective roles of books, journals, and open access need to be defined. Also remaining is the difficult task of establishing a business model for open access.

## Panel Discussion

### The Future of Open Access in the Humanities and Social Sciences

**Moderator: Kuniyoshi Ebina (Graduate School of Human Development and Environment, Kobe University)**

**Panel members: Reiko Aoki (Institute of Economic Research, Hitotsubashi University), Hitonari Ishii (Graduate School of Social Sciences, Hitotsubashi University), Martin Paul Eve (Open Library of Humanities), Tetsuya Suzuki (Kyoto University Press), Kazuko Matsumoto (Information and Media Center for Science and Technology, Keio University)**



Ms. Matsumoto began by presenting a diverse range of topics from the viewpoint of university libraries, including the status of humanities libraries, the approach of humanities scholars to resources, the current state of digitalization in these fields, and government efforts to promote open access to the results of research funding.

Next Mr. Ebina, the moderator, summarized each of the talks and issues raised, guiding the discussions while engaging the audience as well. Among the issues he noted were (1) The current state of open access: Do the humanities really lag behind natural sciences, and is it an issue of differences in research methods in different fields? (2) Purpose of open access: How should academic research be carried out and how should the results be returned to society? (3) Developing researchers, and (4) Scholarly communication: How should the differences between researchers and ordinary citizens as recipients of information be addressed?

Ms. Aoki suggested first of all that much of the discussion hinged on the kinds of expectations people had of open access, for example, whether the emphasis was on distribution of academic information, or on assessment of academic results, so that a more rational form of publication was called for.

Then Mr. Ishii noted that while history is a discipline that values accuracy over speed of reporting, there is also a need, as with grants-in-aid for scientific research, to make results public in stages, so that some see a high affinity between funded research results and open access.

Mr. Eve stated that despite the need for research results to be returned widely to society, the market in which academic information is traded is



monopolized by publishers.

Mr. Suzuki offered the view that the superiority of paper books is in the area of making discoveries; that is, while digital media are good for pinpoint searches, paper is better at leading to accidental discoveries. He suggested one solution would be to add navigation functions to open access.

Ms. Matsumoto pointed to the major problem of human resource development in library science as there are fewer such specialists today, noting that the training of not only researchers but also librarians is an issue.

The audience was actively engaged in the discussions, offering opinions and asking questions from the floor. To give just one example, someone asked from the floor whether there was not some method by which documents used as paper media could be reused cheaply either as open access or in digital form. In response, it was noted that digital and paper media are complementary, each having their own functions, and that the existence of a PDF actually raises the value of a paper book.

The latter half of the panel discussion took up the issue of literacy of the academic community and the general populace. This issue can be seen also as one of how to approach the recipients of open access.

Mr. Suzuki offered the view that literacy is necessary when clarifying what a book is for, and stressed the need for publishers to make concepts clear.

Mr. Eve pointed out that literacy will not improve without provision of information.

Mr. Ishii talked about the relationship of writers to information recipients. He noted that the recipients of information will be different depending on whether or not open access is assumed, and that authors would write differently with this in mind. He said that the consent of people involved is necessary in either case, whether a paper is to be limited to the academic community or is to be made widely open.

The panel discussion was a most fervent conversation, starting out with the fundamental topic of the purpose of open access and going so far as to discuss the issue of literacy while also highlighting various issues in open access in the humanities and social sciences.



#### -----Comment by one of the attendees-----

##### **Impressions of the seminar**

(person affiliated with university library and involved in academic journal editing)

- It was a good learning experience to hear about open access from multiple standpoints.

(person affiliated with a university library)

- The key points for library involvement in open access were presented clearly.
- Prof. Aoki's remarks about the two-sided market were of special interest. As she pointed out, we cannot decide who should bear the cost burden without clarifying our expectations for open access and its objectives. What also left an impression were the talk about the significance of books, the preference of the humanities for paper, and the point that authors would write differently depending on whether or not open access is assumed.

(university educator)

- I enjoyed participating in the discussions focused on the humanities and social sciences.
- I learned a lot from hearing talks by various people responsible for dissemination of academic information in the humanities and social sciences.
- I was able to get a clearer picture of the status of open access in these fields including overseas trends.

(university researcher)

- This was a valuable chance to hear such discussions from various aspects. I feel it might have been necessary also to present a comprehensive description of the situation. I get the impression that talk about digitalization and open access tend to get mixed together, and in that regard I found the presentation by Mr. Eve to be highly interesting.

(person in a corporation, involved in academic journal editing)

- I was expecting the talk about costs of open access to be from an economics standpoint, but it turned out to be different.

(person affiliated with a non-university library)

- Because the presenters each talked about different objects of open access, the focus was lost.

##### **Other views and impressions of the seminar program**

(person affiliated with a university library)

- I wish the topics had been more centered on the humanities and social sciences.
- The cost burden and business model for open access in the humanities is a concern.
- This is a valuable program in that it devotes the entire year to learning about open access.



### -----Afterword-----

☺ The way discussions about open access keep growing and diversifying, I have to admit to being unable to get a good grasp of the situation. In this seminar, probably the first in Japan to focus on open access in the humanities and social sciences, perhaps more time should have been devoted to sorting out the themes. It was nonetheless a thrilling experience to listen to the frank views of people involved on the front lines of research, publishing, libraries, and open access publishing, and to be presented with a number of viewpoints that will lead us on to the next program.

(Natsuko Fukuda, Hitotsubashi University Library)

☺ Along with the planning for the seminar, what I enjoyed this time was preparing the fliers for it. We chose green as the basic hue representing the way open access in the humanities and social sciences will continue to

sprout. The cover design may look like leaf veins, but in fact it is not. The motif for the back cover is a certain summer vegetable.

(Akikazu Imamura, Waseda University Library)

☺ I agreed to this seminar without really knowing what open access is all about and, to be honest, I regretted it immediately. As I suspected, I ended up depending on Dr. Fukuda and Mr. Imamura for everything from the seminar preparations to the compilation of this newsletter.

What sticks with me is the approach to carrying forward a project. I have to say honestly that I never did get quite used to the idea of conducting a project by email contact only, without ever meeting face to face.

(Takashi Shimada, Head Office, Information and Media Center for Science & Technology, Keio University)



## ■ The 3rd SPARC Japan Seminar 2013

### Redefining the Impact of Research Outputs in the Age of Open Access: Current State of Reuse and Altmetrics

Friday, October 25, 2013: National Institute of Informatics, 12th floor conference room  
(Attendees: 107)

The third SPARC Japan Seminar of 2013, in keeping with this year's Open Access Week theme of "Redefining Impact," focused on the influence of research achievements. In Europe and America, there is intense debate concerning the reuse of data used to produce a scholarly article as efforts advance to mandate open access to research data. At the same time, interest is growing in "altmetrics," which differs from traditional methods of measuring impact by looking at a broad set of social sources, known as the social web, to gauge the reach of various scholarly output that has become openly available. These developments have made it necessary to expand the traditional definition of both research output and its impact. The seminar featured lectures from people on the front lines of each of these areas, followed by a panel discussion on the future of open access. Members of the audience played an active role, making for a lively seminar. We hope the seminar will help to stimulate broader discussion of these issues in Japan. The seminar was attended by 107 persons in all, including publishers, university librarians, and researchers. See the SPARC Japan website (<http://www.nii.ac.jp/sparc/event/2013/20131025.html>) for the handouts and other details. A summary of the seminar is given below.

#### Video letters

The seminar kicked off with messages in the form of video letters from Mark Patterson (eLife) and Peter Binfield (PeerJ), both of whom are front-runners in open access publishing and have participated as speakers at previous SPARC Japan seminars. In the videos, they talked about their recent activities and gave a message for the seminar. Mr. Binfield closed his video letter with the strong exhortation, "Go, Open Access!"

#### Lectures

#### Current Research Data Management Support for Researchers in the UK

Ui Ikeuchi (University of Tsukuba Graduate School)

The sharing and reuse of research data is growing in various fields, driven by the desire for greater research efficiency, the need to verify research results, and trends among the national government, research funding institutions, and others toward mandating the sharing of research data. Expectations are growing for programs by university libraries that assist with research data management to help achieve this data sharing. In the UK, each university library draws up its own policies and plans based on its scale and circumstances, and provides support services with the help of the Digital Curation Centre (DCC). If a Japanese institution is to embark upon its own research data management support programs in the future, it will be important to obtain an accurate

grasp of needs of researchers at each institution and to provide such services with a clear understanding of where support is needed. Some suggestions



toward these ends are to make use of training programs outside Japan, to use standardized metadata, and to take advantage of suitable outside resources.

### The "Reuse Factor" and the Future of Credit for Research

Mark Hahnel (figshare)

Why do we need to make all kinds of research outputs fully open, and what impact will this have on future research work? A huge amount of data goes into producing a scholarly article, but only a small portion of that data is released when the paper is published. Making all your own research output open and accessible, including research data, is a way of showing how influential your own research is.

As open access to research output progresses, however, resulting in a swelling volume of information, it becomes necessary to measure the impact of that output and perform filtering. At figshare a DOI is assigned to each bit of content (video, dataset, figure, etc.), which is made citable. Registering content with figshare makes it more discoverable, giving it greater impact. Altmetrics makes it possible to measure that impact.

It has been reported that a gap exists between the



percentage of people wishing to use the research results of others and the percentage of those willing to share their own research results. To eliminate this

gap, we will need incentives to encourage researchers to register their research output, along with a compelling force such as National Science Foundation (NSF) policy. Moves to make open access mandatory in the case of research data from funded research projects are spreading not only in the US but in Europe as well. Even if funding agencies set policy mandating research data openness, the corresponding support may not always be provided. This is where support by libraries becomes necessary.

We face many different issues, such as not knowing just how much data is output by a research institute; but what we need to focus on is the common desire shared by both researchers and research institutes that their research output will have a bigger impact, along with the question of how best to measure that impact. The number of citations to published papers is still a highly important measure, but by itself it is not enough. What I have proposed is to measure the impact not just of articles but of data, code, and all kinds of other research outputs by their "Reuse Factor." There are many different ways of measuring research output, among which altmetrics is an outstanding Web-native tool, usable not just for articles but for datasets, videos, and a variety of other research outputs. At figshare, we support the major altmetrics services and have also tied up with publishers.

The problem for data is that no citation markup format has been defined, and data not included in the list of references is likely to be missed by impact metrics. This kind of problem is being addressed by relevant agencies worldwide, but efforts to spread awareness among researchers have not been very successful. Here is another area where libraries should assume responsibility.

In the Web era, openness of both research content and research output is advancing. Thanks to this open research and altmetrics, the next generation of research should be carried out more efficiently.

### Altmetrics: The Next Step for Open Access

Jason Priem (ImpactStory)

The importance of open access goes without saying, but it is only the necessary first step on the way to the future of research. In scholarly communication, the Web is still not being used to full advantage. Currently the innovation made possible by the Web extends only to distribution, whereas it is possible to use the Web also for the four steps of data collection, data analysis, storytelling, and conversation.

Data can be published on the Web using a repository such as figshare or Dryad. Publishing it enables the data to be shared, analyzed, and duplicated. It then becomes possible to talk about the process of carrying out the research, a step called storytelling, making use not only of the conventional article and book formats but also videos, blogs, infographics, and many other ways. The Web being a tool well suited to encouraging conversation, collective knowledge can be utilized.

Thanks to the Web, we are no longer limited to the conventional means of publishing information but can share articles and data on our own, quite easily. Comments on something published on the Web can also take the place of traditional peer review. This does not mean that journals are obsolete, as there is still a need for filtering.

And for filtering, some kind of quantitative metric is needed. The conventional metric of the number of citations can make impact visible, but has the problem of reflecting only part of the story. Now that references to research output are moving to the Web, it is

becoming possible to gauge all impact from all aspects. These kinds of impact can be classified from the two



standpoints of audience (who is seeing) and engagement type (in what form is their involvement). This kind of measurement is called altmetrics, which gets its name from “alternative metrics.”

Right now attempts are being made to apply network-based filtering, like that of Google, to scholarly communication. This will have to be done in an open way, however. ImpactStory aims to build an open database covering all scientists, all products, and all impacts.

With the appearance of the Web, a second revolution is coming to scholarly communication. It is not yet clear what direction it will take, but its coming is a certainty.

## Technology Development of Database Integration in Life Science

Hidemasa Bono (Database Center for Life Science)

At the Database Center for Life Science (DBCLS), in collaboration with related institutions, we are integrating databases in the life science field to make them more usable. Besides providing catalogs of databases (mainly those made in Japan) and database cross-search services, we are taking over operation of databases that have become unmanageable.



Of the DBCLS initiatives, this presentation introduced (1) development of database integration technology and (2) production of reliable content. Regarding (1), database integration has been proceeding mainly by means of RDF (Research Description Framework). In the life science field, vast amounts of base sequence data are being produced by next-generation DNA sequencers, but due to ethical issues this data cannot always be made public in the case of human studies. Another problem is that metadata granularity is not necessarily standardized. To deal with the huge volume of data, a so-called yellow pages service called DBCLS SRA has been created and quality checking of individual data is performed. Also being provided is a service for mapping data with papers using that data, and a service that provides relevant data for each illness classified in the National Library of Medicine’s MeSH (Medical



Subject Headings).

Ambitious efforts are also being undertaken regarding (2). Newly arriving papers by Japanese authors that have been published in top journals are reviewed by the authors in their native language of Japanese. Contents can be reused under a Creative Commons Attribution (BY) license. Rather long transdisciplinary reviews are made by researchers in each discipline and are assigned a DOI. We also provide “Togo TV” as video tutorials on databases in the life science field.

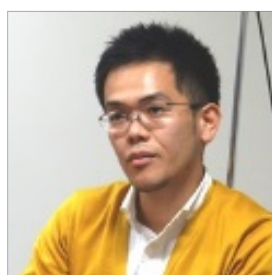
While database integration in the life sciences is being undertaken by the DBCLS and others, the efforts are still at the stage of telling researchers about their existence and having them try the service.

Meanwhile, large amounts of data are being produced day after day. To encourage the sharing of data, it will be necessary to establish citation methods suited to the data and to take steps to deter improper use. Also necessary will be the provision of tracking functions, and the building up of a stock of success stories toward achieving wider awareness of the advantages of data distribution.

### Implementing an Altmetrics Service into the Okayama University Science Achievement Repository

Hayahiko Oozono (Okayama University Library/DRF)

Recently we introduced an altmetrics service in the Okayama University Scientific Achievement Repository (OUSAR). The reason for doing so is that, while currently the main content of the repository is research papers published in bulletins, we would like to have researchers upload other kinds of



content as well. In order to encourage open access to this end, we would like to promote the advantages of the repository by adding the new metrics of altmetrics.

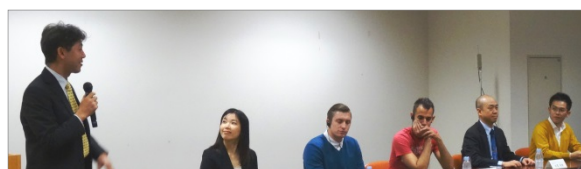
We adopted Almetric.com mainly because it is free, easy to implement, and allows librarians to use

the management tool Altmetric Explorer free of charge. Up to now the repository has been displaying the number of citations using Web of Science and SCOPUS, among others, but now altmetrics has been added. The Altmetric.com badge is displayed on the search results screen and detailed results screen. On screens that can be viewed only by administrators, more detailed information can be displayed by getting the API keys.

After introducing the service, we conducted a comparison of repository download numbers, Altmetric.com score, Mendeley Readership, and Web of Science citations, using journals published in the university as case examples. With this limited number of samples we did not find a correlation between Altmetric.com scores and repository use. We do believe, however, that there is significance to displaying diverse metrics.

In order to expand the repository content, it will be necessary to provide other incentives besides altmetrics to encourage researchers to upload content other than bulletins. Use of identifiers may be one such approach.

### Panel Discussion



Moderator: Kazuhiro Hayashi (National Institute of Science and Technology Policy)

Panel members: Ui Ikeuchi (University of Tsukuba Graduate School) / Mark Hahnel (figshare) / Jason Priem (ImpactStory) / Hidemasa Bono (Database Center for Life Science) / Hayahiko Oozono (Okayama University Library/DRF)

Mr. Hayashi, the moderator, started off by summarizing each of the presentations, and then led the discussion while fielding questions from the floor.

The panelists were asked who should be

responsible for assigning metadata necessary for data sharing, and how formatting should be approached. In response, Mr. Bono noted that even in the life sciences, where sharing is relatively advanced, there is a store of experience that has been given shape, but by no means has all data been standardized. He suggested that these matters should be decided between the people who want to use the data. Ms. Ikeuchi said the ideal would be for researchers to assign metadata, but noted that this would require data to be valued as highly as academic papers. Regarding the valuation of data sharing, an audience member mentioned data journals.

Another issue taken up was how to accurately gauge impact in social media. Mr. Priem noted that there are some impacts that cannot be captured for reasons such as lack of descriptors; but since that bias applies equally across all research outputs, it does not affect the degree of impact. In the long term, advanced data mining should become possible.

Addressing the issue of data and copyrights, Mr. Hahnel indicated that it would be difficult to claim rights to research output resulting from public funding; while Mr. Bono explained that the DBCLS adopts CC BY as the basic license because DBCLS is funded by public grants.

Responding to an audience member who asked about an institutional version of ImpactStory, Mr. Priem said he was hopeful he would be able to meet this need during the coming year. He was also asked about the penetration of altmetrics abroad, to which he explained that currently evidence of the usefulness of altmetrics was mounting. In this connection, Mr. Hayashi made an additional point about the potential of altmetrics, namely, that the

degree of impact of research data shared prior to publication of a paper might serve as a leading indicator of paper citations.

Speaking about the future role of libraries, Mr. Hahnel and Ms. Ikeuchi pointed to the major role in supporting and raising awareness among researchers, while an audience member suggested that the work of librarians was likely to undergo change in line with the needs of the times and of the organization.

One more issue raised from the floor was how to deter misbehavior on the part of researchers such as falsifying data. Mr. Hahnel said that making data public would allow others to reanalyze it, while Mr. Priem said that enabling data to be checked by many eyes and performing pattern analysis of natural numbers should aid in detecting irregularities.

A participant pointed out that various social media will continue to appear in the future, to which Mr. Priem responded by noting that, even if some data sources should disappear, ImpactStory will keep monitoring and collecting data from as many data sources as possible and the interpretation of the data will continue to be left up to recipients.

The audience was actively involved in the discussions from start to finish. The moderator concluded the panel discussion by noting that in the seminars on open access up to now, the discussions centered on how to achieve open access, whereas this one was more about the world after open access and how each of the relevant parties should deal with open access. In that sense, he felt we had come to a new stage, and he hoped each of the participants would put to good use the cutting-edge ideas and discussions.

## -----From attendees-----



### ■ Impressions of the seminar

(People affiliated with university libraries)

“ It was good to be brought up to date on the latest trends in metrics other than impact factor. I also found it quite useful to hear clear explanations of the current state of data

sharing. ”

“ This was very good in that it was the first time for me to learn both about storing data in repositories and about altmetrics. ”

“ Much of what we heard today was new to me; it was very educational. I was especially struck with how today the premise has become open

access, not journals. ”

“ I was hoping to hear about the current state of open access and altmetrics in Japan, but today the presentation was at the level of learning what altmetrics is. ”

“ Funding agencies in the UK and US appear to be aware of the value of data reuse, but today’s discussions made me think about how librarians can convey this to researchers who do not even realize that the Web is changing research. This is something I would like to think more about. ”

“ I get the feeling that Japan’s awareness of data repositories is still behind that of other countries [presumably concerning use of institutional repositories existing in a field] ”

(Other/researchers)

“ Having doubts about the abnormal use of impact factor, I was interested in learning about other metrics. I was generally satisfied with the seminar. I believe one approach would be to keep the unchanged original and make that clear. ”

“ This was very instructive regarding the current state of this field in Japan. ”

“ I thought the lack of data sharing was a problem in the life sciences, but was surprised to learn that the situation is even worse in

other fields. ”

## Content/themes/speakers you would like to hear in the future

(Other/other)

“ I hope there will be a workshop focusing on altmetrics implementation. ”

## Other views and impressions of the seminar program

(Person affiliated with a university library and involved in academic journal editing)

“ It will be necessary to put in motion a practice of collecting altmetrics for Japanese-language papers as well, and to educate researchers about it. ”

(Person affiliated with a non-university library)

“ The content was highly significant, but I am unable to connect it to my own work. Rather than a general discussion, I would like to see a project about actually giving altmetrics a try. ”

(Other/other)

“ In the cyberphysical field, the issue is obtaining high-reliability data. I have the feeling data repositories will come to play a major role in this regard. ”

## -----Afterword-----

😊 Even though I was excited to learn about the future vision of open access, I feel as if I have been handed homework to study what libraries will need to do in order to realize this vision. As someone involving in putting on this seminar, I would like to thank the speakers who gave us their presentations (I’m really delighted we were able to put together this lineup!), Mr. Hayashi who led the project, and Ms. Matsumoto, and the other working group members. A Japanese-language version of altmetrics service was released the other day and I am looking forward to its deployment.

Yui Nishizono (Kagoshima University Library)

😊 My role was to break down the theme I was

given, open access+altmetrics → Open Access Week, and to coordinate with the speakers from overseas. Other than that I was confident in leaving things in the hand of Ms. Nishizono and Ms. Matsumoto. At the Singapore event when I was trying to persuade Jason Priem to make a presentation, I was a bit concerned about how the combination of ImpactStory and the already committed figshare could contribute to Open Access Week. Happily, those concerns turned out to be entirely groundless, as the themes provided by all the speakers meshed well with each other, combining to remind us again of the underlying potential of open access and connecting with the future.

Kazuhiro Hayashi



(National Institute of Science and Technology  
Policy)

😊 As someone who loves to learn about tools, I was very much looking forward to this seminar. With both figshare and ImpactStory there was a sense of speed, and both gave a highly positive and fresh impression. Just as with Mendeley, tools

that find broad acceptance are not just novel, but are backed by solid analysis and also bring with them a bit of a playful spirit. What will have come of these two next year? Will newcomers emerge? I plan to keep watching the trends with interest!

Risa Matsumoto  
(National Institute of Informatics)





## ■ 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<sup>1</sup>-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.

-----  
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](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\_arms), which we use for e-resource management. The enju\_arms system not only manages bibliographic information and subscription information of e-resources, but using SUSHI<sup>2</sup> 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\_arms, 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\_arms, 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<sup>3</sup> or CWTS Journal Indicators<sup>4</sup> 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.

-----  
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](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)

#### -----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])

- 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.

😊 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)



## The 5th SPARC Japan Seminar 2013

“Winds of Change: The Past, Present, and Future of Open Access in Asia”

Friday, February 7, 2014: National Institute of Informatics 12th floor conference room

(Attendees: 77)

Discussions concerning open access have a tendency to center on the West. In SPARC seminars up to now, although Japan has been discussed, the only time the rest of Asia has been taken up as a main topic was, in fact, the July 2008 meeting on the South Korean Consortium. Since 2009, there has never been a speaker based in Asia outside Japan.

In Japan there are already initiatives such as information sharing with other regions, and disseminating information overseas. It would seem necessary going forward to promote information sharing with the rest of Asia and to look into possibilities for cooperation. From such a standpoint, this was the first SPARC Japan seminar to invite multiple speakers from Asian countries outside Japan, for sharing information on open access progress in Asia and aiming to deepen the potential for further cooperation.

At this seminar, information was exchanged on the individual situations of South Korea, China, and Southeast Asian countries, as well as on the overall situation and outlook for Asia as a whole. One of the important lessons we took home from this seminar was the need first of all to meet face-to-face and find out each other's situations, before following up with information sharing and collaboration.

A summary of the seminar is given below. See the SPARC Japan website for the handouts, documents, and other details. (<http://www.nii.ac.jp/sparc/event/2013/20140207.html>)

### Presentations

#### Our Experience These Past Ten Years with Institutional Self-Archiving

Shigeki Sugita

(Chiba University Libraries/DRF)

Ten years ago, I remember introducing OA to a university faculty member and being asked, “Do electronic journals cost money?” Over the ten years since that time, I have kept up a dialog with researchers in order to gain their understanding of OA and its background, and have endeavored to promote self-archiving. Currently there are institutional repositories in around 400 Japanese universities, archiving approximately 1.26 million documents. While sharing various information with other universities, we have learned together. There is still much to be done, however, as by no means are all the papers produced by researchers each day being archived. I would like to find out the situation in other Asian countries and put the knowledge to good use in our future activities.

#### OA Activities in Korea

Choi Honam

(Korea Institute of Science and Technology Information\*)

#### Gold OA in South Korea

In South Korea, the medical field is leading the way in OA, with services like KoreaMed and

Synapse being provided. OA is advancing also in the natural sciences fields, where K'PubS (Korean Journal Publishing Service) is a platform that integrates the entire publishing cycle and can publish globally. In the humanities and social sciences, on the other hand, understanding of and interest in OA are relatively low in the field, although awareness at NRF\*\*, the research funding agency, is rising.

There is growing discontent in South Korea over the need to pay subscription fees in order to read the results of research supported by public funds. There were moves to legally mandate free access to such research results, but this failed to come about owing to the less than enthusiastic attitude of the powers that be. The Ministry of Health, Welfare and Family Affairs does require, however, that papers supported by KNIH\*\*\* grants be made available as open access.



\* Korea Institute of Science and Technology Information: KISTI

\*\* National Research Foundation of Korea: NRF

\*\*\* Korea National Institute of Health: KNIH

## Green OA in South Korea

Nearly all institutional repositories receive funding from the national government, with the support divided among KISTI, KERIS\*\*\*\* and others. While the repository directly set up by KERIS is compliant with OAI-PMH (a protocol for exchanging metadata by automatic data collection), most others are not.

In addition to institutional repositories, there are field-specific repositories funded by the NRF as well as a scientific data repository, P-cube, built by KISTI and with participation by five institutions.

## International and domestic collaboration

Internationally, we take part in such initiatives as SCOAP3\* and WPRIM,\*\* while domestically we are carrying out cooperation with government ministries including the Ministry of Culture, Sports and Tourism as well as with research funding agencies.

## Conclusion

The issue for Gold OA is the low understanding of OA overall. While libraries understand, they cannot act due to a lack of funding and lack of understanding by top management. It is also a structural problem with stakeholders being at odds with each other.

As for Green OA, the main issues are that OA is almost never mandatory, and that most repositories are not compliant with OAI-PMH. The issue for open government data is that no clear decision has been made regarding copyrights and intellectual property rights.

The drivers of OA in South Korea going forward are likely to be KISTI and other national government-level centers, and the medical field. I would like to promote further communication and collaboration.

## OA & IR in 2012: The University of Hong Kong & Greater China

**David Palmer**  
(The University of Hong Kong Libraries)

## The Knowledge Exchange Initiative

The University of Hong Kong established the HKU Scholars Hub as an institutional repository in 2005, then in 2009 a new initiative called Knowledge Exchange started up, as the budget for and interest in institutional repositories have grown considerably. The objective of Knowledge Exchange is “reciprocity” between the university and community.

The Knowledge Transfer concept promoted by eight Hong Kong universities was a forerunner. Along with education and research, universities are

called upon to transfer knowledge. The University of Hong Kong changed the name to Knowledge Exchange, and on that basis began promoting open access.

## Activities of the University of Hong Kong Office of Knowledge Exchange

The University of Hong Kong Library uses the name Current Research Information System (CRIS) rather than Institutional Repository, positioning it in the university’s strategic planning and using it to collect all kinds of research information and effectively manage research performance, while drawing on this information in deciding budget allocation.

The Office of Knowledge Exchange also supports OA publishing, ORCID\*\*\* and other such projects.

In 2000 the University of Hong Kong made it mandatory for dissertations to be archived in a repository. The Library issued an OA policy in 2010 and policy concerning intellectual property in 2011, but these have been ignored by the faculty. The next plan therefore adopts the approach of positively assessing the act itself of archiving OA papers in a repository. The University President has also been replaced, as expectations are rising for improvement.

## Situation in China as a whole

All eight universities in Hong Kong have established institutional repositories, which can be accessed by means of the HKIR\*\*\*\* portal site. Institutional repositories are common in Taiwan, which already has 131 of them. It does not make archiving mandatory. In mainland China, the National Science Library of the Chinese Academy of Science and the China Academic Institutional Repository (CAIR), a joint project led by the Peking University Library, are promoting institutional repositories.

During OA Week in September 2013, a China IR Conference was held in Yunnan Province.



-----  
\*\*\*\*Korea Education and Research Information Service: KERIS  
\*An international collaboration project aimed at realizing open access to peer reviewed journal articles in the field of high-energy physics.  
\*\*Western Pacific Region Index Medicus: WPRIM  
\*\*\*Open Researcher and Contributor ID: ORCID (an international organization that aims to assign unique identifiers to researchers around the world)  
\*\*\*\*Hong Kong Institutional Repositories: HKIR



## Open Access in Southeast Asia: Unresolved Issues and New Opportunities

**Paul Kratoska**

**(NUS Press, National University of Singapore)**

I start from the premise that OA has not become established in Southeast Asia, but why is interest in OA so low? What would happen if OA took off in Southeast Asia?

### Basic information

Southeast Asia has from around 900 to 1,000 universities, of which some 40 are considered to be research universities. Most research in Southeast Asia receives central government funding, and the results must be presented clearly. In Southeast Asia, research appearing in highly rated journals is seen as having high value, making it important to be published in those journals. We need to think about what kinds of merits there are for Southeast Asia in open access.

### Unresolved issues

- Article Processing Charge (APC) issues: Can it be made possible to use research grants to pay APC? From the grant-giver's standpoint, for which journals would this be allowable? Setting criteria is difficult since the decision-makers are not experts in the field. Then there is the problem of "predatory journals" that exist only to receive APC.

- Issue of research ownership: The results of research conducted in a company belong to that company, but in Southeast Asia many universities are adopting a similar policy. Archiving in a repository becomes difficult if the rights holder is not clear.

- Issues concerning mandating of OA in the humanities and social sciences: OA is difficult in the humanities and social sciences because of the tendency to publish collections of the results of multiple projects and for papers to be lengthy. There are concerns that costs cannot be covered given current APC prices.

Many researchers in Southeast Asia are not used to publishing in English, and there are many fields where research activities themselves are not carried out actively, so that the merits of OA may not necessarily be enjoyed. There may be merits for universities, however.

### SWOT analysis of OA and academic publishing in Southeast Asia

Let us attempt a SWOT (strengths, weaknesses, opportunities, threats) analysis, particularly of the opportunities. What are the advantages to research if more people have access to the results? Will Asian OA publishing be able to develop a

non-Western pattern? In Southeast Asian universities, there are grants supporting journal publishing. Shouldn't this make possible OA publishing without asking for APC?

I believe cooperation is needed in the Asian region. NUS Press has individual cooperative relationships with university publishing circles in each country, but how can greater cooperation within the Southeast Asia region be pursued?



### Future of OA in "Asia"

**Shun Tsuchiya**

**(National Institute for Academic Degrees and University Evaluation)**

Let me state the following three points as premises.

1. OA is a good thing.
2. There have been discussions about the OA business model, but somehow things will work out.
3. More than a decade having passed since the emergence of OA, we now know it does not affect the price of journals.

As Asia's science and technology production output has grown, the publication of academic papers has also increased. It is unlikely that university library budgets will grow significantly. As the number of papers has increased, the issue is who will be responsible for their publication.

Therefore, the conclusion is that OA is the only way to go. There is no longer enough money to cover subscription fees. If the money is not there, there is no way to pay. We can't pay for it, but we want to publish. OK, pay for it yourself. Will no other conclusion emerge than this one?

There is data suggesting that the R&D budgets in eight major Asian countries exceed that of the United States. The number of papers is increasing as a result. So what is to be done with this increased amount? That is an issue for researchers and universities to think about. Today the question is shifting to one of how to create a model enabling OA in the Asian region. One approach is simply to keep submitting as many papers as possible to OA journals, not worrying about whether they are predatory or whatever. Another possibility would be to have people in Asia make use of Japan's J-STAGE platform. The only thing libraries can do is to redefine institutional repositories as a publishing platform. After they have been thus redefined, they can be let go of as the job of



libraries, or not let go; but in any case each university and each university library will need to start over from zero in deciding

how and by whom they are to be operated.

### Panel Discussion

Moderator: Shinya Kato

(University of Tsukuba Library)

Panel members: Choi Honam / David Palmer / Paul Kratoska / Shun Tsuchiya / Koichi Ojio

Koichi Ojio gave a presentation to start the session off, followed by a discussion.

### Institutional Repositories in Japan: Thinking about the Next Ten Years

Koichi Ojio (National Institute of Informatics)

Including those that are scheduled for release, the number of institutional repositories in Japan is 487. This is the most in the world, exceeding even the USA.

There are a number of regrets, however, one being that during this time, they have not expanded beyond library repositories. Others are that Green OA has not progressed; that policies are weak; that the repositories are still mostly limited to university bulletin papers; and that the results of CSI-commissioned projects have not evolved and spread further.

Here I would like to confirm once again the definition and significance of institutional repositories. The traditional definition is that “An institutional repository is a set of services provided by an academic institution to its community for the purpose of acquiring, organizing, preserving, and disseminating scholarly resources in digital form created by the institution and its members” (Clifford Lynch, 2003). Previously information could be accessed through libraries; but when information became digitalized, a model was established that enabled access without going through libraries. A flow was born that was the opposite of the previous one, in which education and research results emerging in a school were assembled, organized, made part of a collection, and published.

In October 2013 an Institutional Repository Promotion Committee was started up within the framework for collaboration between university

libraries and the NII. The committee is taking up the four areas of policy, system infrastructure, content, and people, as key strategic issues “toward creation of a system for disseminating university knowledge” (the “Takebashi Declaration”).

It is necessary to make institutional repositories more familiar to faculty members, creating a system positioned on the workflow of education and research that is more on the line of flow of researchers. This should bring repositories closer to the definition of Clifford Lynch.

As for cooperation with Asian countries, Japan can be seen as having an obligation to spread its experience and knowledge up to now to the rest of Asia. Recently, for example, a project to build a system using WEKO was started up in Malaysia at Wawasan Open University. By carrying out many more such activities, I believe open access can be spread through institutional repositories.

### Discussion



### Language issues

Paul Kratoska raised the issue of how to bridge the gap caused by language differences in the process of moving to open access. David Palmer suggested that this could be handled by using Google Translate or other machine translation service, and noted that people in each country are encouraged to publish in English. Mr. Kratoska said that forcing people to publish in English comes with the risk of increasing stratification, since publishing papers in English is easy for Southeast Asia countries where education is conducted in English but difficult in other countries. Choi Honam then introduced a translation project where documents uploaded to a database are translated on demand.

### APC issues

On the issue of whether OA would or would not reduce the amount of money paid by libraries, Mr. Kratoska introduced a Duke University study showing that in fact OA was more expensive than journal subscription fees, pointing to the possibility that the university as a whole might end up paying more than before.

### Repository experiences of seminar participants

People attending the seminar were asked, “How many people here have read a paper in an institutional repository?” and “How many of you have registered a paper in an institutional repository?” It was learned that nearly all the people in attendance had read papers in institutional repositories, and that of those with experience writing papers, nearly all had registered a paper with a repository.

### The forces driving OA

Mr. Palmer noted the NIH\* PubMed Central as a success story. He explained that the archiving rate of more than 80 percent is achieved by the system of denying grant money if a paper is not registered with the service. Shun Tsuchiya commented in response that it was not the researchers themselves but the publishers that were uploading the articles, and that it was a “myth” that this system was the reason for the success.

Mr. Kratoska pointed out that it would be better to assume the impossibility of persuading researchers, and that the only choice is for university administrators and research funding agencies to make self-archiving a requirement. Mr. Tsuchiya said that as a researcher he was opposed to such a condition, and that working under such a requirement was not his idea of pursuing sound research.

Mr. Choi offered the view that success depended on top officials having the will to promote institutional repositories, citing the example in South Korea of KAIST\*\* linking institutional repositories and a performance management system.

Mr. Kratoska quoted a Nobel Prize-winning scientist as saying if he were a young researcher today, he would probably not have produced such results, the reason being that young scientists today are always under pressure to publish and do not have the time to complete research that takes a lifetime.

Moderator Shinya Kato observed that the two opposing claims, one that top-down policy is best and the other that research is not like that, are like the claims in the Aesop fable The North Wind and the Sun.

### Future of cooperation in Asia

Mr. Choi commented that first of all a consensus is needed regarding open access, and then a strong desire to carry out the policy, and that a strong push by government to create the legal and institutional framework for OA was needed before activities would reach critical mass.

Mr. Kratoska said that when proposing cooperation between a university publishing office and a commercial publisher, the first step is to visit the publisher many times, getting to know each other well; then you can finally get around to asking about the possibility of doing something together. When it comes to doing something as a region, first you need to get to know each other; and more important than an overarching policy is to accumulate a series of small cooperative efforts. One such step was this session today, and he expressed his appreciation for this seminar.

And with that, the panel discussion was concluded.

### -----From attendees-----

(people affiliated with universities/libraries)

-Learning about the situation and policy in each country was helpful. Asia is a diverse place, after all. It was interesting to hear about the points in common and the differences. The sheer scale of mainland China is something to think about.

-It was good to find out about the current state of repositories and open access in Asia. I would hope that as Asian economies grow, OA will spread through joint research projects and research by exchange students. I believe the important thing first of all is to fulfil your own role.

-It would have been better to narrow the focus, but I felt each of the things learned today was useful.

(person affiliated with university/library, educator, researcher)

-I agree with Mr. Kratoska’s last comment, about the importance of creating opportunities for getting to know each other better in order to build cooperative arrangements in Asia.

(person in a corporation, involved in academic journal editing)

-I thought the seminar as a whole lacked clear concepts and objectives. The relationship between institutional repositories and open access was not clear. Perhaps this is just because the relationship itself is not yet a clear one. I think the overall organization of the seminar could have been better. In the panel discussion, too, it was hard to see what was supposed to be discussed.

(person affiliated with university, researcher)

-As Mr. Ojima said at the end, we should invite people from other Asian countries once again, and maybe next time narrow down the topics a bit more.

-----

\*National Institutes of Health: NIH

\*\*Korea Advanced Institute of Science and Technology: KAIST

### -----Afterword-----

😊 For this seminar we invited to the podium speakers from the three countries of South Korea, Hong Kong, and Singapore, in their different standpoints as researcher in a government institution, university librarian, and university publishing representative. It was a very full program in which they discussed the present situation in their countries from their respective standpoints. Hong Kong and Singapore being hubs for disseminating scholarly information about Asia in English, they are likely to become important places when thinking about cooperation extending beyond Japan and beyond East Asia. Those of us responsible for putting on this seminar will be happy if the attendees found the diversity of Asia to be interesting.

Yumi Kitamura  
(MC; Research and Development Laboratory,  
Kyoto University Library)

😊 Planning an event on the theme of open access in Asia is by no means easy. For one thing, open access itself is diverse; besides, Asia includes many countries. All of these do not fit comfortably under a single rubric. We asked speakers to talk about the situations in each of the selected countries, and their presentations very much reflected this diversity.

Trying to force a single focus would have caused them to deviate from the objective situation. In that sense, I would like to think that if we conveyed that these are the realities in (a few countries of) Asia, we mostly achieved the goals. If the opportunity arises, next time we would like to limit the theme further and share information with Asian libraries and information specialists.

Hideki Uchijima  
(University of Tsukuba Library)

Looking back at the seminar in the course of putting together this newsletter, I felt that it was quite an interesting seminar, introducing a wealth of case studies from different standpoints and covering the university and research circumstances in each country. Mr. Kratoska's comment about first getting to know each other and then accumulating a series of cooperative efforts through small steps was one that left an impression.

Megumi Matsubara  
(Division for Information and Communication  
Systems, The University of Tokyo)

### From the SPARC Japan Secretariat

From this fiscal year we enter the fourth term of the SPARC Japan project. With the basic goals being to promote open access in international cooperation, to increase the distribution of scholarly information, and to strengthen information dissemination, we are engaged in investigative projects and seminar programs aimed at promoting cooperation between university libraries and researchers and dealing with the various issues of open access. We will continue to use this Newsletter to inform you about survey results and the latest overseas trends. We are also planning to hold the Open Access Summit 2014 during OA Week, on October 21 to 22. (Nanako Takahashi, SPARC Japan Secretariat)