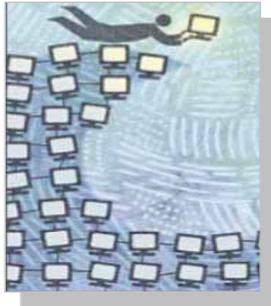




Scholarly Publishing & Academic Resources Coalition
An initiative of the Association of Research Libraries

www.arl.org/sparc

SPARC:



What Is It?

What Is It Achieving?

Rick Johnson • Executive Director, SPARC
Waseda University Symposium • March 24, 2005



About SPARC & SPARC Programs



About SPARC

www.arl.org/sparc

- Coalition of academic & research libraries (200 in North America + 100 in Europe)
- Initiative to **correct market dysfunctions in the scholarly journal publishing system.**
- Pragmatic agenda -- stimulate emergence of new systems that:
 - unleash promise of networked digital environment to serve scholarship
 - expand dissemination of research
 - reduce financial pressures on libraries.
- Practical assistance to innovative scholarly communication initiatives



3 strategic thrusts

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1. EDUCATION

Enhance awareness & price signaling

Present options for action

Present success stories

2. ADVOCACY

Lobby for public policies

Build coalitions

Advance cultural & institutional change

3. ACTION

Aid Editorial Boards & non-profit publishers

Build capacity & scale in non-profit sector

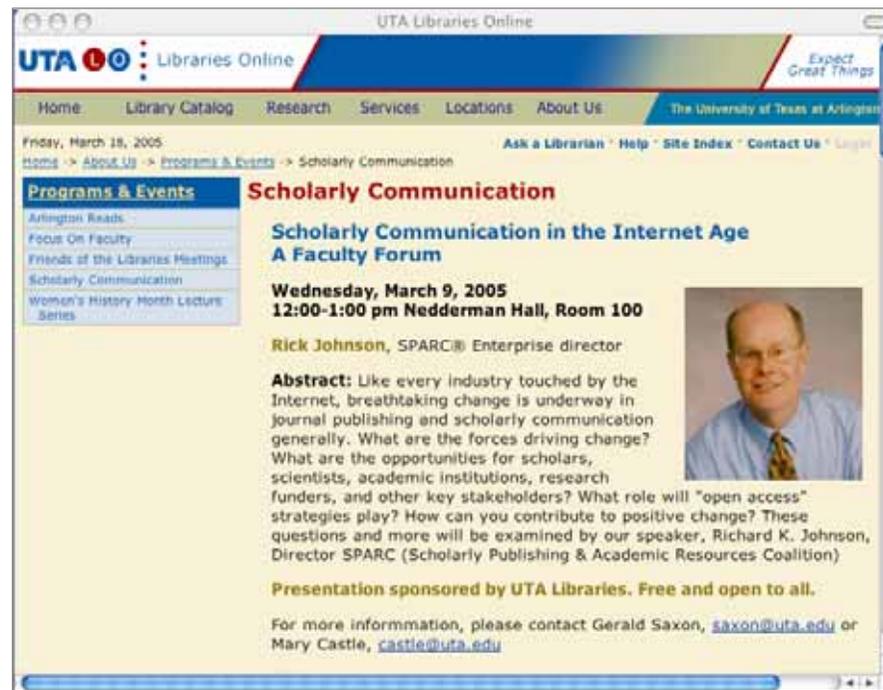
Reduce startup/entry risk



1. Education

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- **Raise author/researcher awareness of current problems and opportunities**
e.g. ● publicity ● campus speakers bureau





1. Education

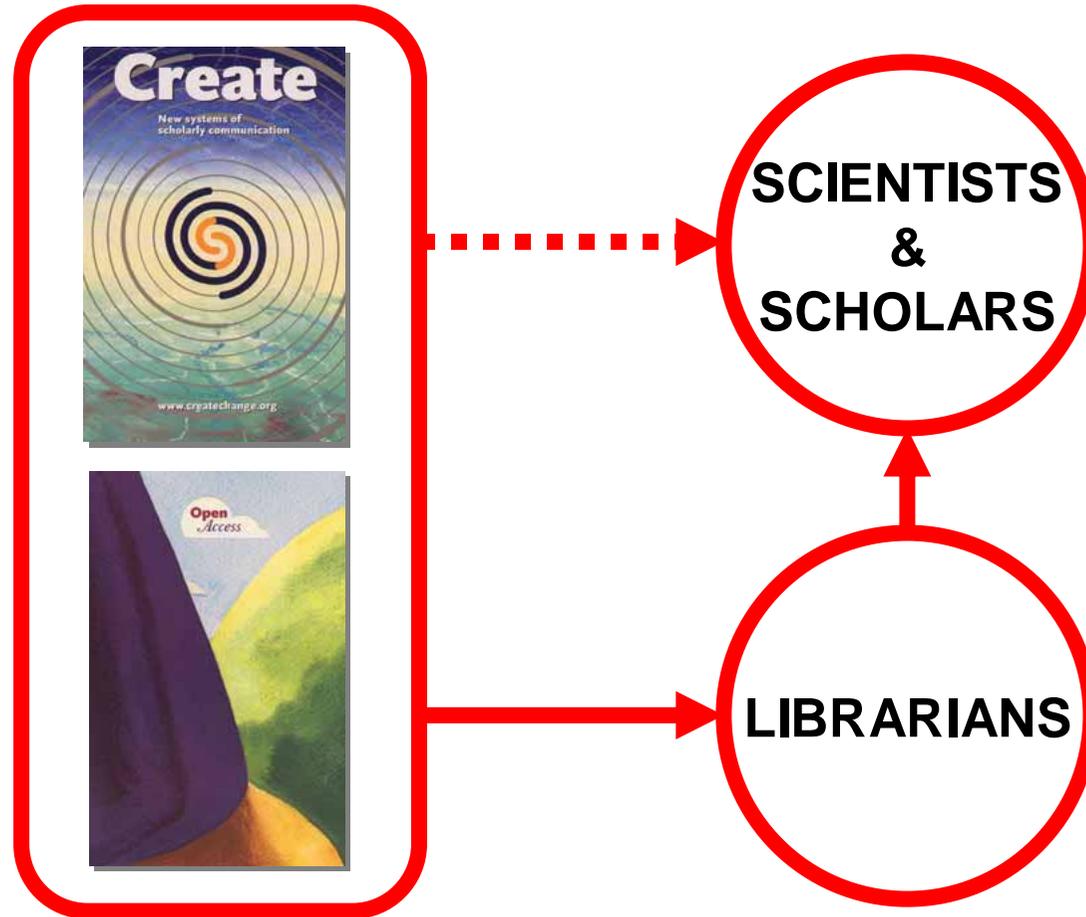
- Raise author/researcher awareness of current problems and opportunities
e.g. • publicity • campus speakers bureau
- **Support libraries and administrators in educating faculty**
e.g. • brochures • newsletters • web site





Support for campus education

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These brochures available at www.createchange.org/resources/brochure.html.
Japanese Create Change web site at
<http://wwwsoc.nii.ac.jp/anul/j/projects/isc/sparc/create/home.html>.



2. Advocacy

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ATA

http://www.taxpayeraccess.org/

THE ALLIANCE FOR TAXPAYER ACCESS

ATA

member media birds of a feather

Action

Watch for opportunities or recent progress involving:

- [U.S. Congress](#)
- [NIH](#)
- [ATA](#)
- [You](#)

News

These sources will keep you updated on the latest developments related to taxpayer access:

- [SPARC Open Access Newsletter](#)
- [Open Access News blog](#)

A diverse and growing alliance of organizations representing taxpayers, patients, physicians, researchers, and institutions that support open public access to taxpayer-funded research.

Statement of Principles:

1. American taxpayers are entitled to open access to the peer-reviewed scientific articles on research funded by the National Institutes of Health (NIH).
2. Open access to these reports will lead to usage by millions of physicians, public health professionals, patients, students, teachers, scientists, and others, and will deliver an accelerated return on the taxpayers' investment in NIH.
3. Widespread dissemination of these reports is an essential, inseparable component of our nation's investment in science.

What is "Taxpayer Access"?

Access to scientific and medical publications has lagged behind the wide reach of the Internet into U.S. homes and institutions. Subscription barriers limit U.S. taxpayer access to research that has been paid for with public funds.

Taxpayer access removes these barriers by making the peer-reviewed results of taxpayer-funded research available online, and for no extra charge to the American public.

To achieve this, the ATA supports applying the developing practices of Open Access as defined by the [Budapest Open Access Initiative](#) in February 2002.

Contact ATA

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Coalition building

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ATA Members

- AIDS Action Baltimore
- AIDS Vaccine Advocacy Coalition
- American Medical Student Association
- Arthritis Foundation
- Asian & Pacific Islander American Health Forum
- Association of Maternal and Child Health Programs
- Autosomal Recessive Polycystic Kidney Disease & Congenital Hepatic Fibrosis Alliance
- Barth Syndrome Foundation
- Christopher Reeve Paralysis Foundation
- Coalition for Heritable Disorders of Connective Tissue
- Conquer Fragile X Syndrome
- Down Syndrome Treatment and Research Foundation
- Facing Our Risk of Cancer
- Genetic Alliance
- Global Health Equity
- Inclusion of People with Disabilities
- International Down Syndrome Association
- Medical Sciences
- IsoDicentric 15 Exchange, Advocacy and Support
- Medical Education Online
- Mycosis Fungoides Foundation
- National Alliance for Autism Research
- National Coalition for PKU & Allied Disorders
- National Fragile X Foundation
- National Tay-Sachs & Allied Diseases Association
- New England Biolabs
- Parent Project Muscular Dystrophy
- Prader-Willi Syndrome Association
- Public Knowledge
- Public Library of Science
- Pseudoxanthoma Elasticum (PXE) International
- Spina Bifida Association of America
- Tourette Syndrome Association

**PLUS
colleges,
universities,
libraries &
library
associations**



NIH “Public Access Policy”

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

National Institutes of Health

Policy on Enhancing Public Access to Archived Publications Resulting From NIH-Funded Research

ACTION: Notice; final policy statement.

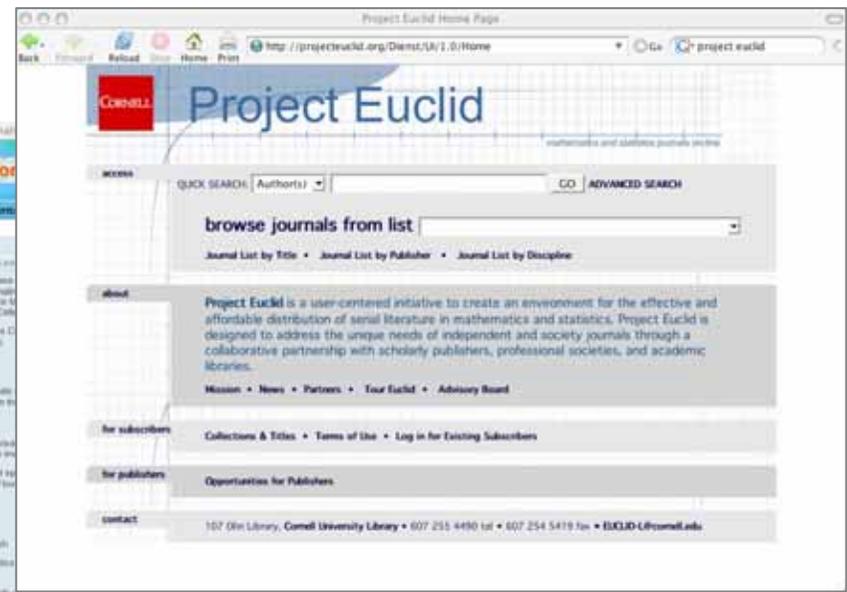
SUMMARY: The National Institutes of Health (NIH) announces its policy on enhancing public access to archived publications resulting from NIH-funded research. Beginning May 2, 2005, NIH-funded investigators are requested to submit to the NIH National Library of Medicine's (NLM) PubMed Central (PMC) an electronic version of the author's final manuscript upon



3. Action

- Incubate new digital publishing channels
e.g. ● BioOne (biology) ● Project Euclid (math)

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3. Action

- Incubate new digital publishing channels
e.g. ● BioOne (biology) ● Project Euclid (math)
- **Provide business and financial planning assistance for journals**

Recent SPARC planning assistance

- *Arkivoc*
- Association of College and Research Libraries
- ASCUS (Academic Serials in Communication Unified System)
- *Biotropica*
- *Directory of Open Access Journals*
- IEEE
- *International Journal of Integrated Care*
- *Journal of Anthropological Research*
- Math Science Publishers
- *Online Journal of Issues in Nursing*
- *Water Quality Research Journal*
- *Women's Review of Books*



3. Action

- Incubate new digital publishing channels
e.g. • BioOne (biology) • Project Euclid (math)
- Provide business and financial planning assistance for journals
- **Increase visibility of alternative publishing models**
e.g. • SPARC marketing partnerships • publicity •
e-mail to SPARC members • web site



SPARC publisher partnerships

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The image shows two overlapping digital documents. The background document is the homepage for Documenta Mathematica, a web browser window titled "DOCUMENTA MATHEMATICA". It features the journal's title in a large serif font, followed by ISSN information (1431-0643 for internet, 1431-0635 for print) and website addresses in Bielefeld, Germany, and Urbana, USA. A note states that information is also available in German. Below this, there are two columns of links: "The Journal Articles" listing volumes from 1 to 10, and "Extra Volumes" listing specific proceedings. An "Administrativa" section includes links for editors, instructions for authors, and subscription information. At the bottom, a SPARC Leading Edge logo is circled in red, and text identifies the journal as a partner of SPARC, an initiative of the ARL.

The foreground document is the cover of the journal "Evolutionary Ecology Research". It is dated November 2000, Volume 2, Number 7, with ISSN 1522-0613. The cover features a beetle illustration and a portrait of Michael L. Rosenzweig, the Editor-in-Chief. A SPARC logo is also circled in red at the bottom left of the cover. The publisher is listed as Evolutionary Ecology Ltd. with the website www.evolutionary-ecology.com.

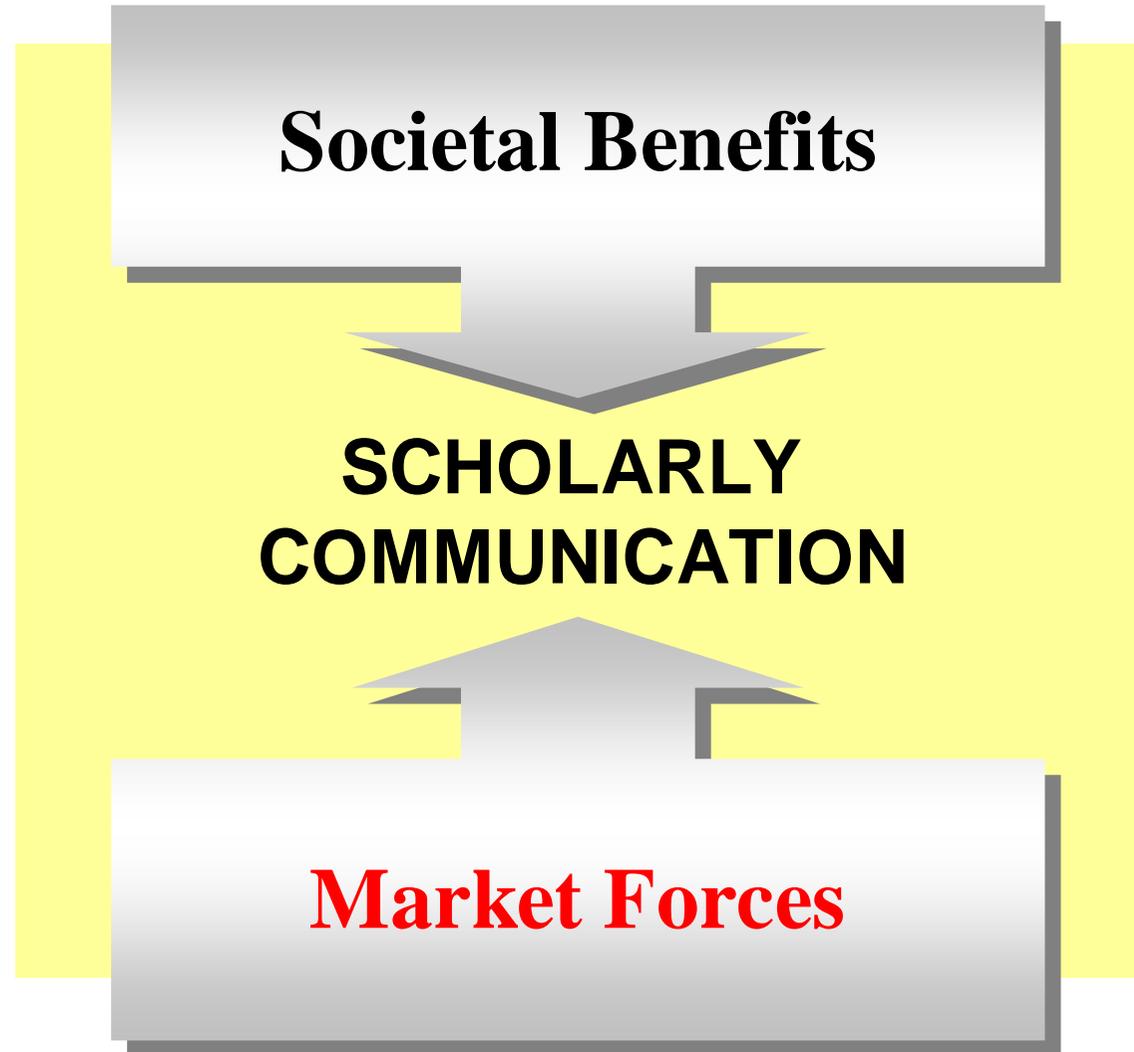


Impetus for change



Impetus for change

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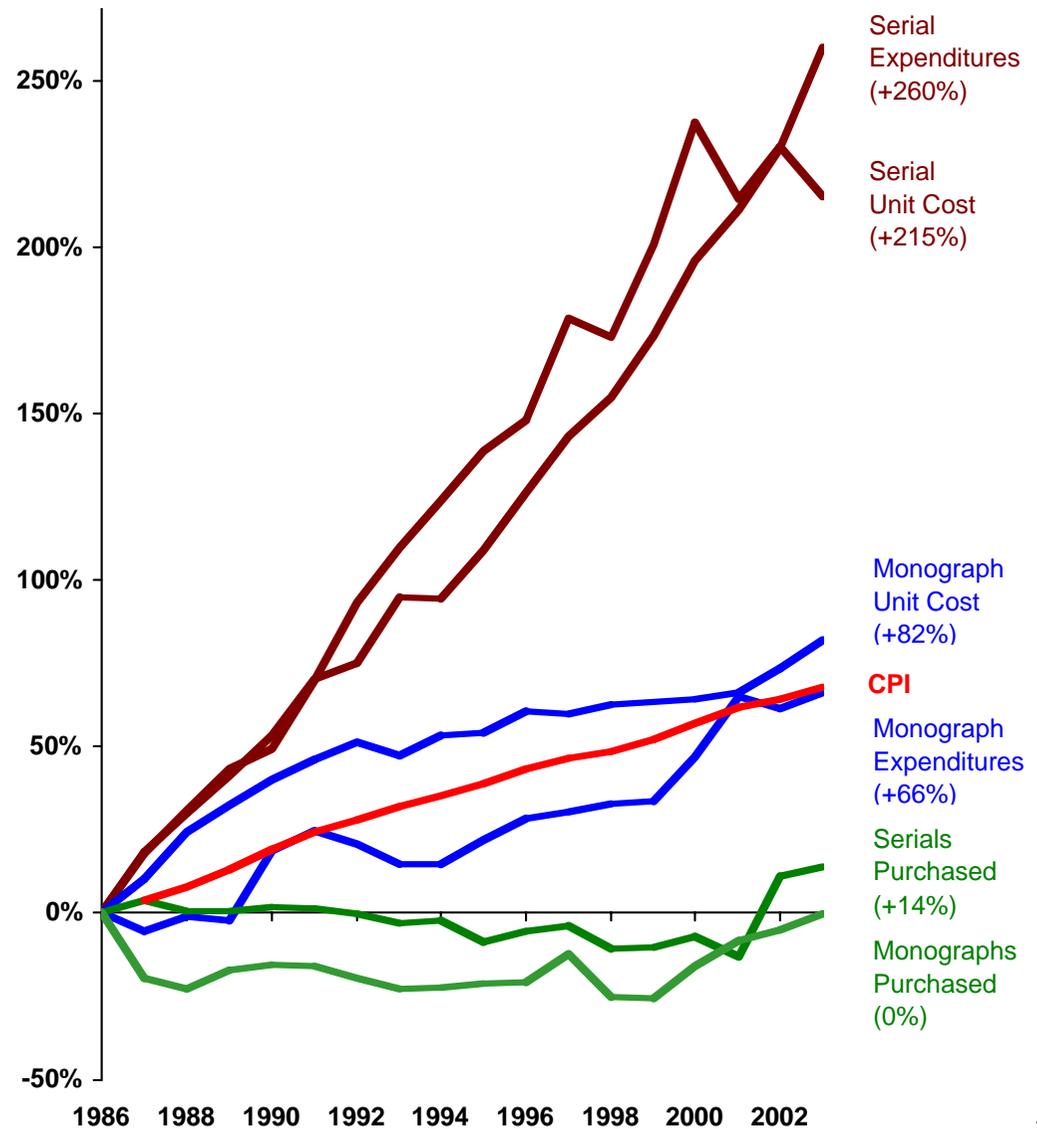
Rising prices

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Serial & Monograph Costs, 1986-2003

North American research libraries

ARL Statistics





Why?

- **Explosion in knowledge, both formats and volume**

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Why?

- Explosion in knowledge, both formats and volume
- **Poor price signaling**
 - Library pays, but author benefits.



Why?

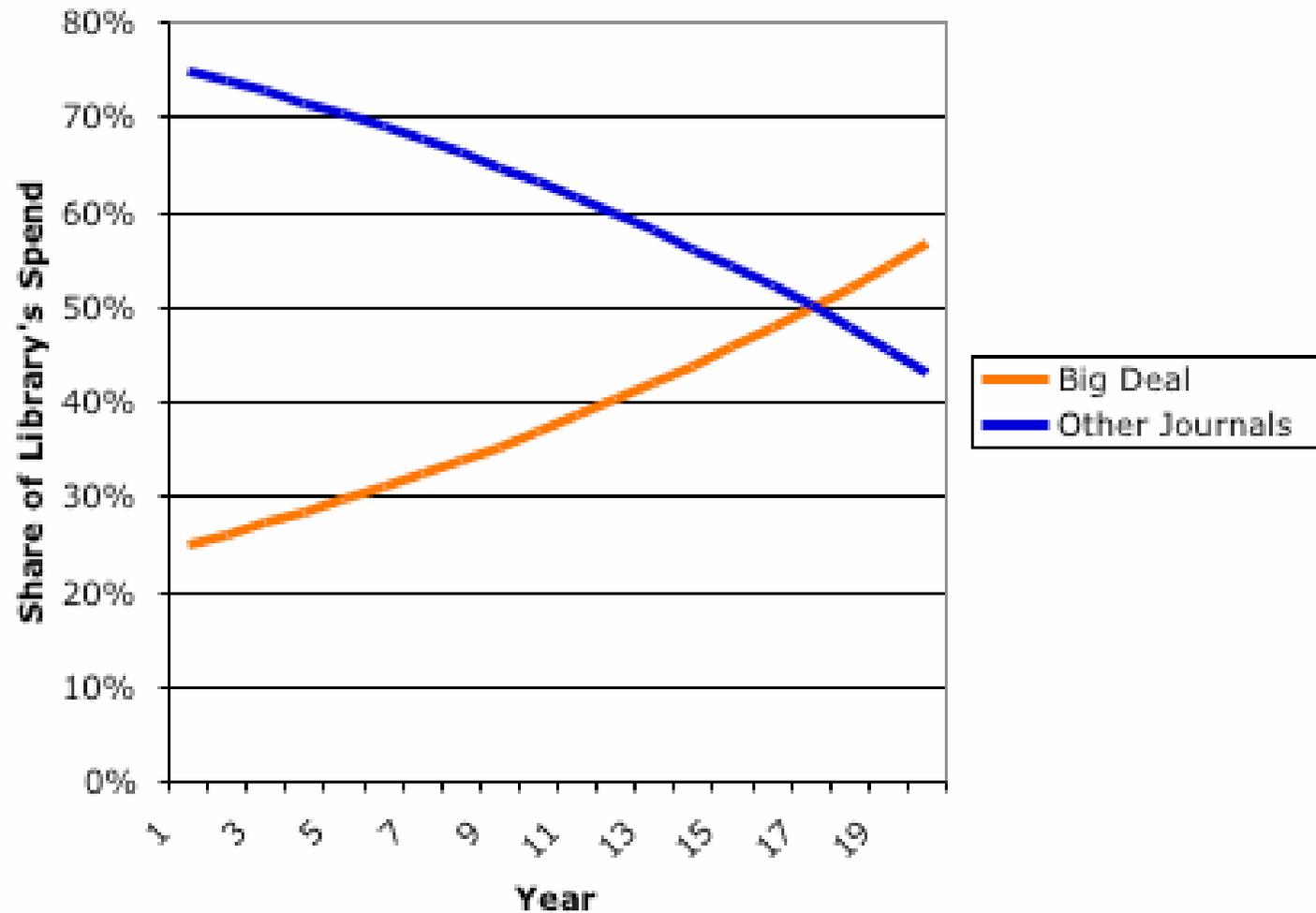
- Explosion in knowledge, both formats and volume
- Poor price signaling
 - Library pays, but author benefits.
- **Publisher monopoly of must-have content**
 - Author transfers copyright (or exclusive license) to publisher...
 - ...whose core incentive is (generally) to maximize financial return, not access.



Journal bundling (or “The Big Deal”)

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Hypothetical Change in Market Share





Mismatched motives

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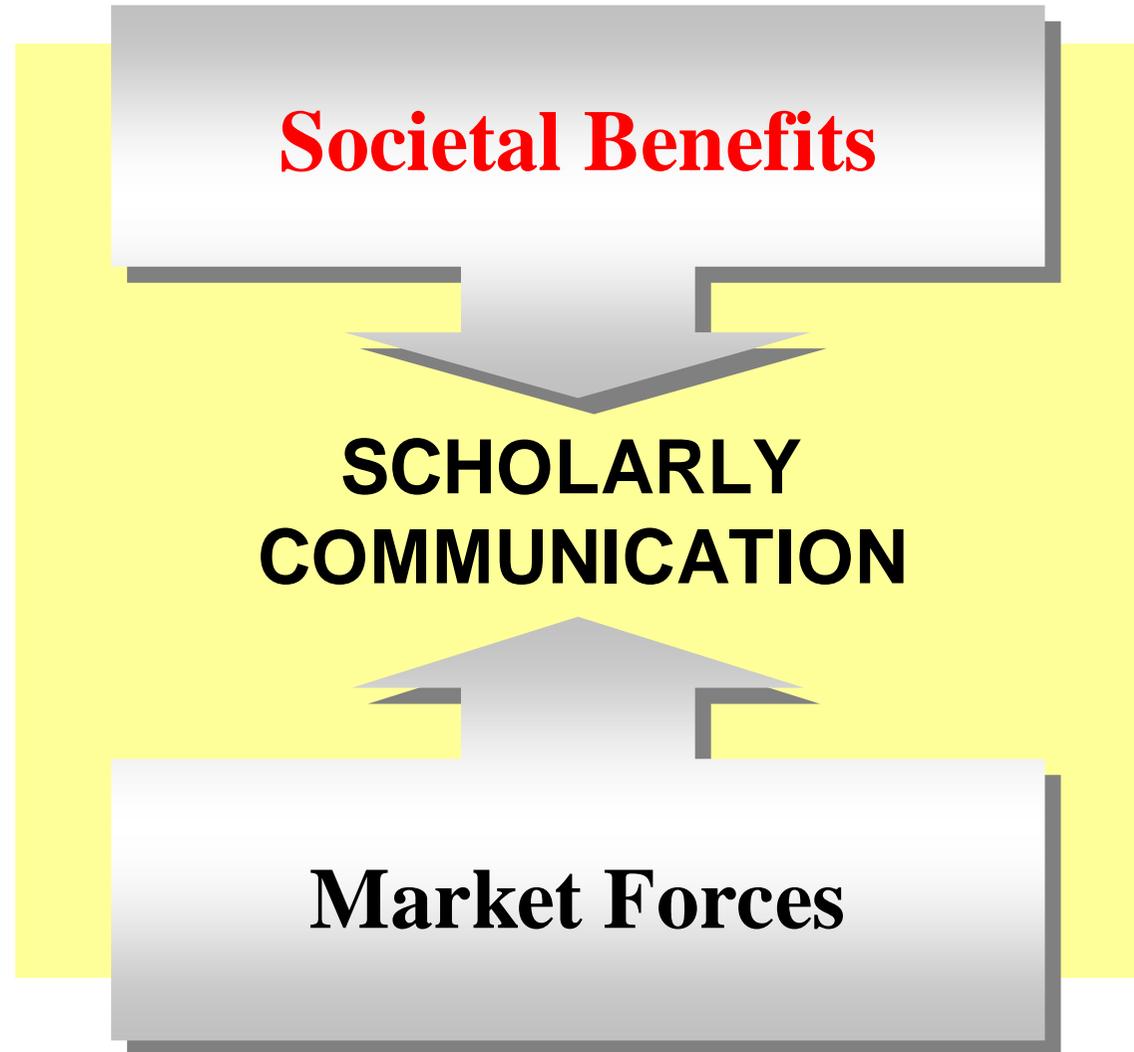
	Author	Publisher
Goal	Wide distribution of work	Increase revenue
Reward	Reputation, P&T, grants	Maximized profit
Strategy	Publish	Control access & price

Need a system that better matches authors' and publishers' incentives



Impetus for change

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Societal benefits

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THE GLOBE AND MAIL

Canada - Apr 15, 2003

Canadian researchers put SARS data on Web

VANCOUVER — The Vancouver researchers who mapped the genetic sequence of the virus believed to cause SARS have put their data on the Internet.



Opportunity for change

New models born of the Web

- Availability of digital publishing technologies
- Availability of ubiquitous network
- Economics of Internet -- low marginal cost of dissemination



The Deconstructed Journal



Change is inevitable

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Outsell (content industry analysts)
report on journal publishing:

**“...it’s clear
the current model
is breaking up.”**

February 2004



Functions of scholarly publication

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REGISTRATION
of intellectual
priority

CERTIFICATION
of quality/validity
of research

ARTICLE

AWARENESS
of new research
by potential users

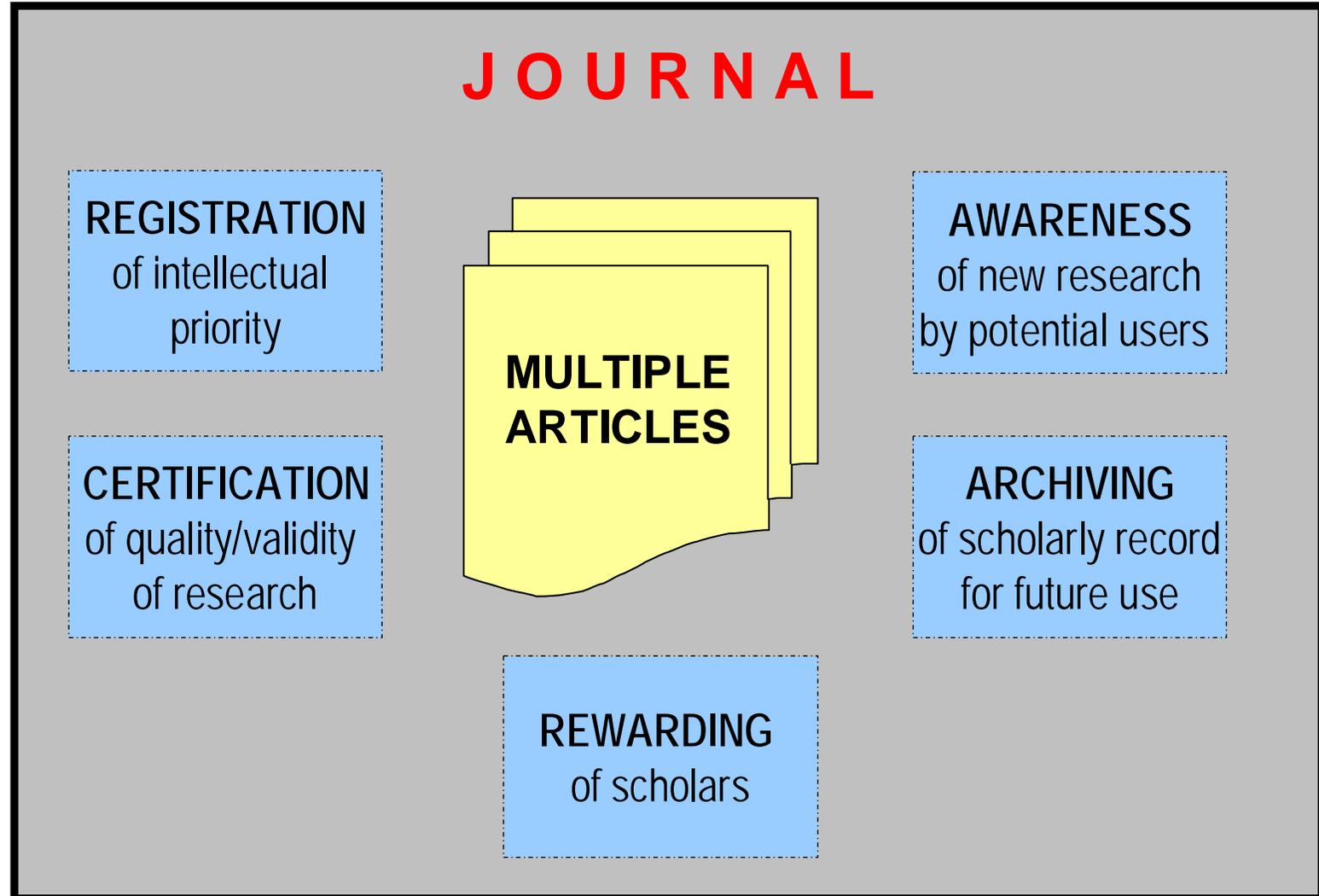
ARCHIVING
of scholarly record
for future use

REWARDING
of scholars



Bundling of functions

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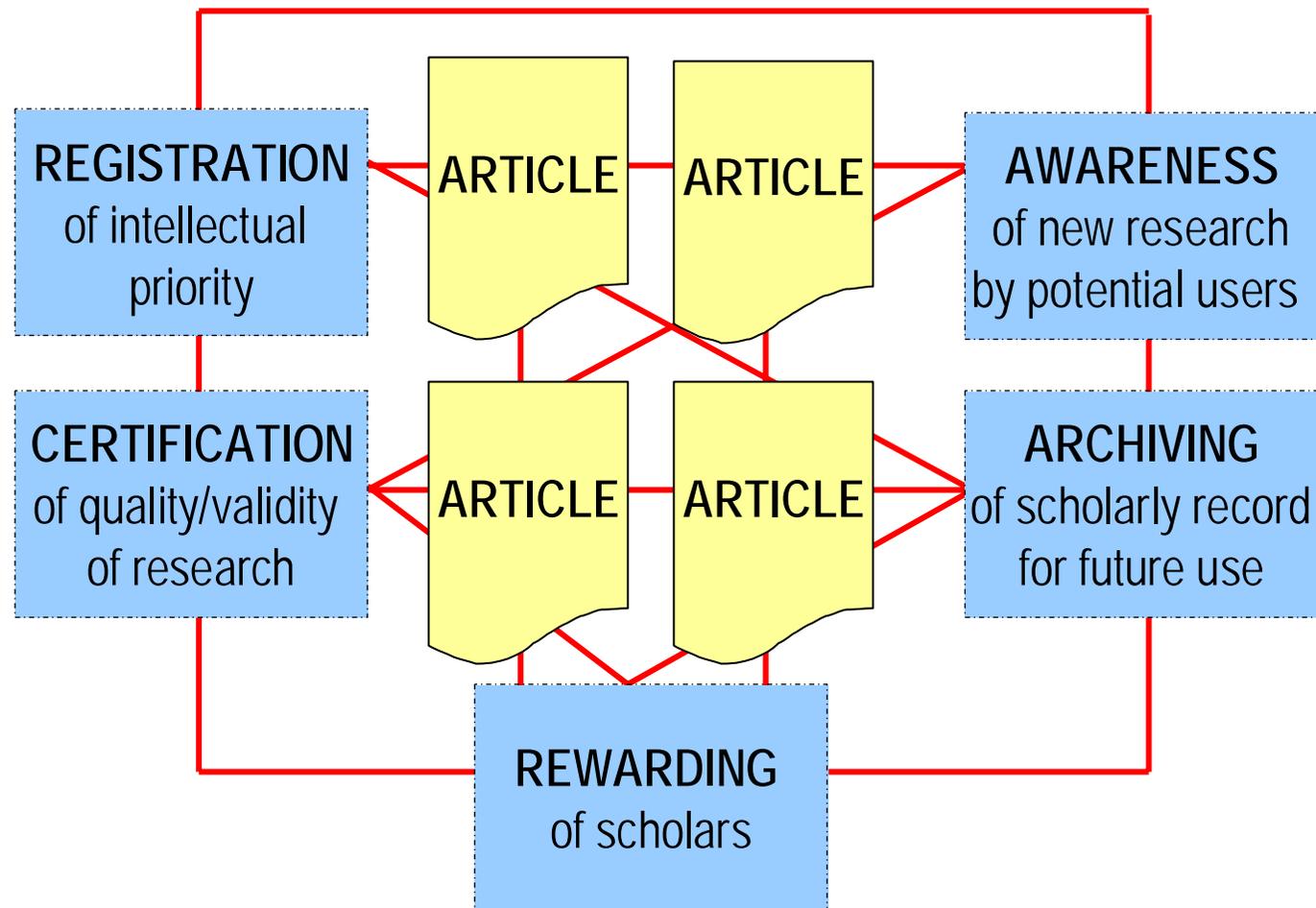




Unbundling of functions

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DECONSTRUCTED JOURNAL





Squeezing out inefficiency

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Today, cost efficiencies achieved in any link in the value chain are not passed along to subscribers as price reductions.



Open Access



What is “Open Access”?

- Immediate free availability on the public Internet
- Research literature that scholars produce without expectation of payment (e.g., journal articles)
- Recognizes that the value of research increases with use
- Exploits economics of Internet
- An *access* model, not a *business* model

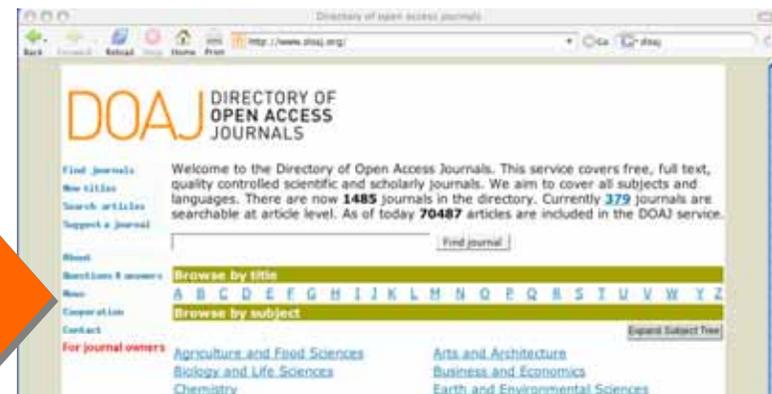


What is “Open Access”?

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Two main approaches:

1. **Open-access journals** – require alternative business models to replace subscription-based models.





Business models

Self-generated income

Input fees

- Author submission/publication charges or article processing fees
- Off-print sales

Affinity relationships

- Advertising
- Sponsorships
- Co-hosting of conferences and exhibits

Alternative distributors

- Convenience-format licenses or distributor format fee

Related products & services

- Journal publication in off-line media (print or CD-ROM)
- Value-added fee-based services

Electronic marketplace

- Contextual e-commerce
 - Community marketplace
-

Subsidies

Internal subsidies

- Dues surcharge

Grants and contributions

- Foundation grants
- Institutional subsidies
- Government grants
- Gifts and fundraising
- Voluntary contributors
- In-kind contributions

Partnerships



What is “Open Access”?

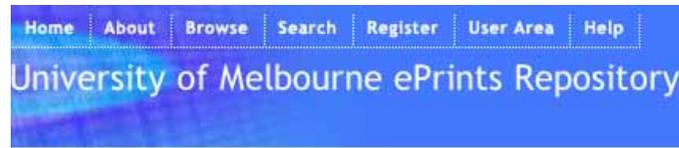
Two main approaches:

1. **Open-access journals** – require alternative business models to replace subscription-based models.
2. **Open-access archives** – publicly available digital repositories, exist alongside traditional publishing.



Open-access archives

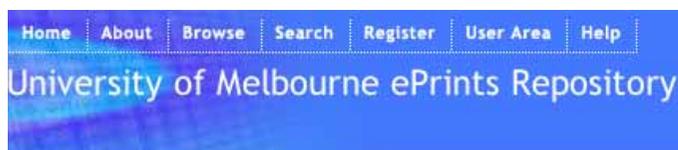
www.arl.org/sparc





Open-access archives

www.arl.org/sparc

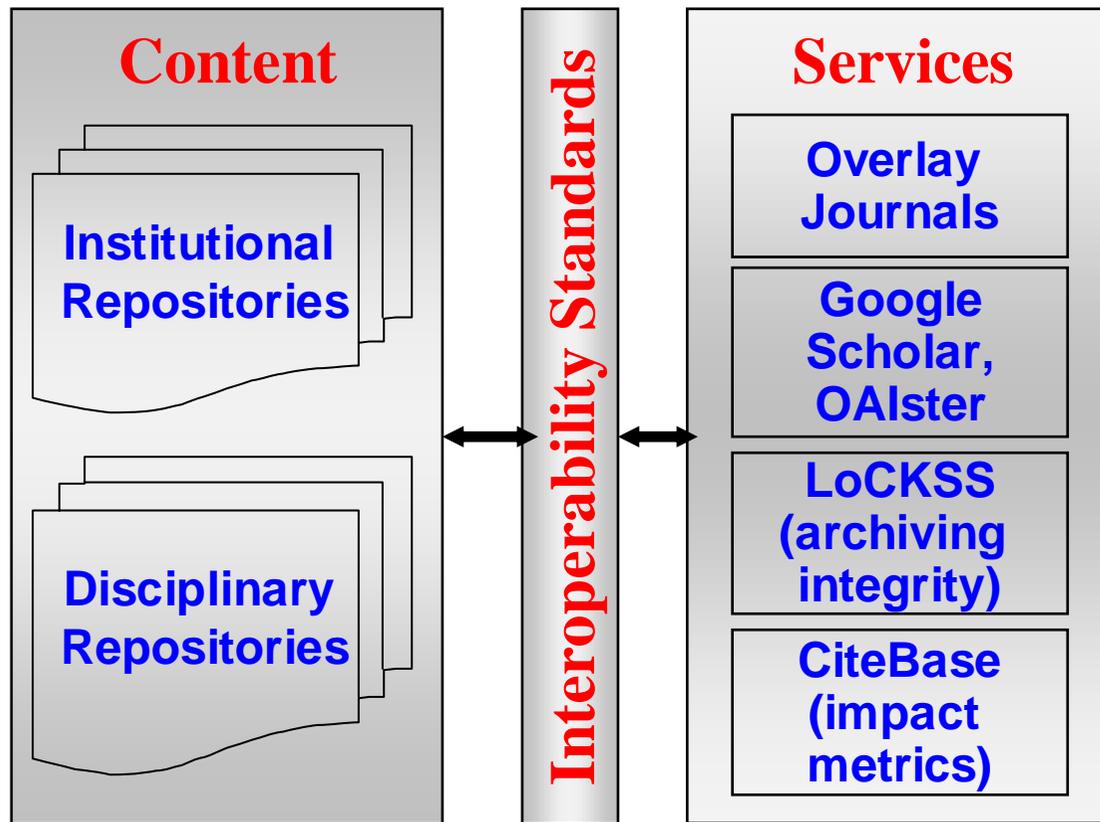


...exist alongside traditional publishing



How the pieces work together

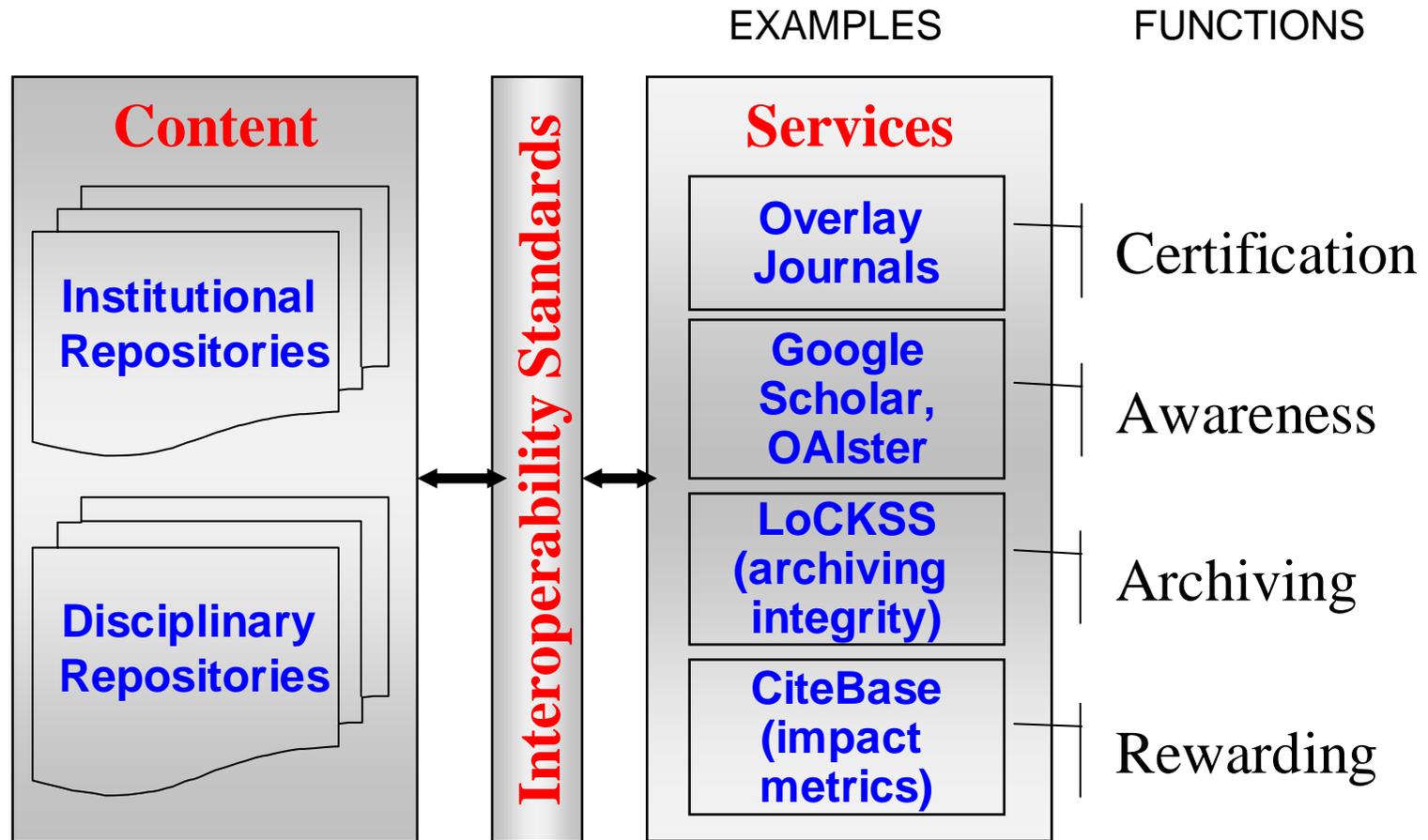
www.arl.org/sparc





How the pieces work together

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What open access can achieve

- Expand information usage and application.
- Remove barriers that make content scarce.
- Weaken the position of publishers that use their monopoly position to support excessively high prices.
- Focus economic return on value addition (rather than content control).
- Eliminate systemic inefficiencies by unbundling functions.
- Introduce price competition.

Benefits outweigh dislocations.



SPARC & Open Access

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Institutional repositories

- Strategic whitepaper
- Practical guides & workshops
- SPARC Author's Addendum

Open access journals

- Business planning guides & services
- Promotional partnerships

Education & advocacy

- “Taxpayer Access” campaign
- Campus education program
- *SPARC Open Access Newsletter*



Societies & Open Access



Challenges facing societies

- Declining circulation for journals
- Tight institutional library budgets
- Aggressive competition from commercial publishers
- Growing demand for change by society members



Societies & open access

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- Societies were pioneers in open access
 - *Journal of Clinical Investigation* ('96)
 - *Optics Express* ('97)
 - *New Journal of Physics* ('98)
- Estimated 20% of titles in *Directory of Open Access Journals* from societies
- Open access a means of driving high impact
- But most societies skeptical of converting subscription journals to open access
 - Fear loss of publishing surpluses
 - Open access decision easier when society has diversified revenue base



Societies & open access

- Each society must assess its own situation
 - *Whether*: internal appeal? external market pressure?
 - *How*: feasibility & internal hurdle; availability of alternative business models
- It's not all or nothing (embargoed access)
- Unpack & examine the business models for programs subsidized by journal profit
- Experiment while there's time



Parting Thoughts



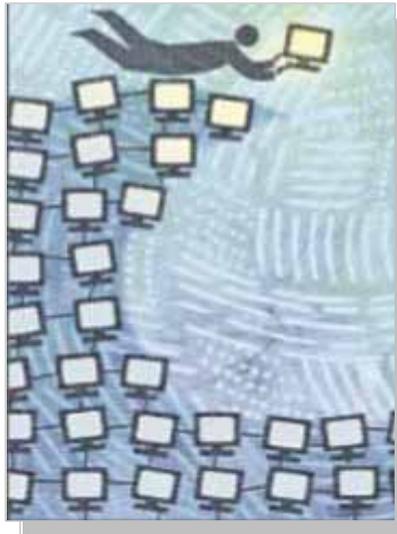
Measures of success

- Governments and funding agencies are recognizing dissemination as part of research
- SPARC supported projects are financially viable and significantly less expensive
- SPARC supported products are attracting quality authors and editors
- New players have entered the STM marketplace (SPARC partners and others)
- Editorial boards are emboldened to take action
- STM journal price increases have moderated
- New models are gaining acceptance



Change is inevitable

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“Once the logjam of business models and ‘who will pay’ is broken, a **tsunami of pent-up frustration and demand** for open access to scientific research is ready to **unleash the true power of sharing on the Web**”

– Outsell (Jan. 2004)