

SCOAP3: Going Live with the Dream

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SCOAP³: Going Live with the Dream

Ann Okerson, Senior Advisor for Electronic Strategies, Center for Research Libraries

The following transcription is of a live presentation given at the 2012 Charleston Conference on Friday, November 9, 2012. Video of the session is available on the Charleston Conference website at http://katina.info/conference/video_2012_scoap3.php.

Thank you to Katina and the organizers of this conference for giving me a quarter of an hour or so to provide an update about the SCOAP³ project.

SCOAP³ is the Sponsoring Consortium for Open Access Publishing in Particle Physics. And a lot of you in this room will say, “We don’t have particle physics programs. Why is this interesting to me?” But I hope you’ll see that maybe it is. And those of you who know about SCOAP³ may say, “I’ve been hearing about this effort for the last 5 years; what in the world is happening with it?” I’m here to tell you what in the world is actually happening to it—for real, now.

What exactly is SCOAP³? It is an innovative model to achieve open access to peer-reviewed journals in High Energy Physics, or as we call it, HEP. SCOAP³ aims to convert HEP articles in the leading journals from subscription payment to Gold Open Access. SCOAP³ is distinguished by being the first project, I think, that aims at converting an entire discipline online, worldwide.

So the object is to convert content in these journals from the current subscription model to open access while preserving the values and the branding provided by today’s quality publishers and publications. We believe that these values are quality assurance, peer review, editorial services, and provision of the final published versions.

What I haven’t said, by the way, is that participation in SCOAP³ involves no additional cost to libraries (beyond what is being paid locally for your HEP journals), and over time we actually may save a little bit of money in this.

SCOAP³ is a coalition of stakeholders within the worldwide research community, specifically in HEP: researchers, authors, funders, libraries, and publishers. I have to say that this project wouldn’t be happening if it were not for the research and authoring communities who have said that they would like their peer-reviewed journals to continue but would like to see them become open access. Without a community behind you, you cannot work on a project of this sort and expect any success.

CERN, based in Geneva, Switzerland, is the center of the global HEP community, and this entity has led the SCOAP³ efforts. It aims to administer and host the effort going forward. But CERN, for the



SCOAP³ Steering Committee

“to co-ordinate the SCOAP³ tendering process, designing the consortium governance, and bringing the initiative into its operational phase”

- Jun Adachi, NII, Japan
- Paul Ayris, JISC Collections, U.K.
- Stefano Bianco, INFN, Italy
- Miriam Blake, LANL, U.S.
- Martin Koehler, DESY, Germany
- Salvatore Mele, CERN, Switzerland (Convener)
- Joao Moreira, FCCN, Portugal
- Ann Okerson, CRL, U.S.
- Ralf Schimmer, MPG, Germany
- Xiaolin Zhang, CAS, China
- Ivy Anderson, CDL, U.S. (ex-officio TWG liaison)

Figure 1. SCOAP³ Steering Committee



SCOAP³ Technical Working Group

"to address the key question of the price reduction for content today in large-scale subscription packages and eventually to be converted by SCOAP³ to Open Access [...] collect requirements, analyse principles, and suggest ways forward toward a concrete implementation and monitoring"

- Ivy Anderson, CDL, U.S. (chair)
- Paola Gargiulo, CASPUR, Italy
- Anne Gentil-Beccot, CERN, Switzerland
- Paul Harwood, JISC Collections, U.K.
- Carol Hoover, LANL, U.S.
- Tomonari Kinto, Tokyo, Japan [support: Satoru Kinoshita]
- Angelika Kutz, TIB, Germany
- Tom Sanville, LYRISIS, U.S.
- Jiancheng Zheng, CAS, China

Figure 2. SCOAP³ Technical Working Group

last year and a half or more, has been sharing leadership of the project with the global library research community.

What is it going to cost to make SCOAP³ happen? About 10 million Euros per year for each of the years 2014, 2015, and 2016. I'm going to show you a couple of slides listing the composition of the Steering Committee (Figure 1) and the Technical Working Group (Figure 2). These slides are important to show the range of effort and

thinking that has gone into this project on the part of many, many in the worldwide community.

How are we allocating costs for the SCOAP³ project? The annual allocation of the 10 million Euros is based on each country's contribution to HEP articles. This is what we call "the fair share principle." So the US has the highest target of funds to raise, because in this country, about 25% of NEP articles are produced (Figure 3). The pie chart then shows a rapid drop off, with Germany at 9.1%, Japan at 7.2%, Canada at 2.7%, and so on.



Fair Share Principle

Each country contributes its share of worldwide HEP article publications

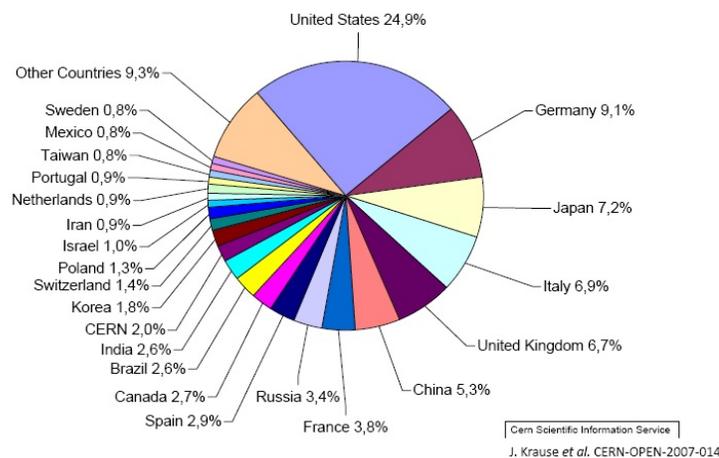


Figure 3. Fair Share Principle

These percentages, converted to a proportion of the 10 million Euros, serve as targets in each of our countries.

Those of you who are saying, “What took you so long,” you’re right: it has taken a while to bring the SCOAP³ project where it is today. The initial consultations with the HEP research and authoring community began in Geneva at CERN in 2005 and 2006, and an early iteration of the business model was developing in 2007. In 2008 to 2010, a number of libraries around the world and in this country were contacted, and many of you submitted Expressions of Interest, which were not binding. These Expressions helped the organizers to determine whether there was really any feasibility to the project. In early 2011, SCOAP³ received a clear “go-ahead” from Dr. Rolf Heuer, who is the Director General of CERN, and in April we actually started to operationalize the project. By summer of 2012, the publisher “Invitation to Tender” was concluded, the results were published, and on October 1 of this year—just last month—in Geneva there was a launch meeting with the national partner leads, and the project outreach began with a go-live target of January 1, 2014. Let me just take a minute to describe the tendering process; what was this? This was the opportunity for publishers of HEP

journals to signal whether they wanted to participate in this project and under what conditions. The Invitation to Tender was sent out in spring of 2012; the publishers were invited to respond, and then in late June the bids were received and there was a qualifying process. Qualification was based on several factors: one of the bases was the price per article that publishers said they needed to receive in order to continue their journals. Another had to do with the quality of the journal, the impact factor, whether the journal was willing to permit a CC-BY license, agree to certain format for delivery to the CERN article repository, and hold per-article prices steady in 2014, 2015, and 2016. Also, publishers agreed to reduce library subscriptions that were being paid to agents or publishers and to let those funds be redirected to SCOAP³ to pay publishers by the article.

This is a chart (Figure 4) which many of you may have seen: it lists the tender results in alphabetical order by publisher. There are not so many HEP journals in the world: in fact, 12 on this list. A couple that submitted bids didn’t qualify in the tender, but they are not 100% HEP journals. So the total number of articles represented in this successful Invitation to tender result is about 6,600 out of a total of 7,000 articles published in



SCOAP³ Tender Results

(alphabetical order)

Publisher	Journal	SCOAP3 Articles (2011)	SCOAP3 Percentage (2011)	APC
APS	Physical Review D	2989	ALL	1900 USD
APS	Physical Review C	107	9.9%	1900 USD
Elsevier	Nuclear Physics B	284	ALL	1800 USD
Elsevier	Physics Letters B	1010	ALL	2000 USD
Hindawi	AHEP	28	ALL	1000 USD
IOPp/DPG	New Journal of Physics	20	2.7%	1000 GBP
IOPp/SISSA	JCAP	138	30.9%	1200 GBP
IOPp/CAS	Chinese Physics C	16	7.2%	1400 GBP
Jagellonian	Acta physica polonica B	23	22.1%	500 EUR
Springer/SISSA	JHEP	1652	ALL	1000 GBP
Springer/SIF	EPJC	326	ALL	1500 EUR
OUP/PSP	PTP	46	36.2%	1200 EUR

Figure 4. SCOAP3 Tender Results

HEP worldwide. Thus, SCOAP³ captures a very high percentage of this literature.

When does SCOAP³ begin? We have started now—actually a couple of weeks ago. In late 2012 and for the first quarter of 2013, most of the work is being done through contact with libraries worldwide. The identified national contact persons will reach out to potential partner libraries and help them calculate the amount they're paying currently for HEP subscriptions. Some of these calculations are complicated, because some of the titles are part of "Big Deals." In short, we're now doing a lot of outreach and starting the calculations, after which we will input these numbers in to a CERN facility. In 2013, SCOAP³ will establish the HEP article repository, create the attendant services, and negotiate final contracts with the participating publishers. As I mentioned previously, the effective award of final contracts will cover all HEP participating journals in the years 2014, 2015, and 2016 with no per-article price increases.

What comes next—right away—for participating libraries? Participants will work through a designated national contact to calculate and upload the subscription prices for the SCOAP³ "redirection." For this calculation effort, training and documentation will be provided. The Technical Working Group has done extraordinary work and has produced an incredible Calculator Tool, which will make this process a lot quicker and easier than I could have imagined 3 months ago. The cost reductions/redirections that are proposed by libraries and publishers will be reviewed in a reconciliation process to make sure that both parties are agreed on the redirected sums towards SCOAP³. Once the Project is put into place, the operation of the consortium will be overseen by a governance organization with representatives from SCOAP³ partners around the world. We expect that governance structure to take effect sometime in late summer 2013.

Why should anybody here who has nothing to do with HEP in their library care about this? I think of SCOAP³ as an observatory, a case study, an example of something unique and distinctive, and likely very important. We are, in SCOAP³ and in other open-access projects, prompting libraries

into engaging actively with open access. This engagement isn't just a kind of *de rigueur* requirement for SCOAP³ partners: thinking about open access is becoming an important task for almost all academic libraries. As you probably know, in addition to the policies of the Research Councils in the UK and the European Commission Horizon 2020 initiative, there will be a Global Research Council summit next May in Germany; and on its agenda there is something called an "Action Plan for Implementation of Open Access" as the main paradigm of scholarly communications. I don't know where that meeting will go or how it will work, but one of the recommendations already on the agenda is to look for measures that include supporting Gold Open Access and transferring subscription funds of libraries to pay for open access fees. When SCOAP³ started, and even earlier this year, we didn't know any of this was going to happen. What's happening now is not just SCOAP³ and other OA projects, but rather a whole set of initiatives with which libraries, in some way, must engage.

Getting more information. If you're looking for contacts in given countries as they're established, they're on the SCOAP³.org website, or you can sign up to receive notices. In the US, I'm taking care of a number of the library outreach programs, along with Carol Hoover at the Los Alamos National Lab, Tom Sanville at Lyrasis, and Ivy Anderson at the California Digital Library. You should feel free to write to me or to any one of us if you have questions.

In summary, what do you get if you join the project? First of all, I just want to stress that libraries are not paying extra money; they're converting money from one business mode, a subscription, to SCOAP³ in a funds "redirection." SCOAP³ is a new organization, it's evolving in real time, and it's collaborative and open. Contributing partners will reduce their subscription costs to pay for SCOAP³, have a voice in the governance of SCOAP³, have the option to automatically populate their institutional repositories with these articles if they should wish to, and be part of an open-access community that is working in at least one disciplinary corner of the world. We invite you to join us now and thank you for your attention.