

# Knowledge Exchange Consensus on monitoring OA: Recommendations from the Copenhagen workshop



OpenAIRE Workshop: *Impact and Measurement of Open Access*,  
Oslo, February 14



Knowledge Exchange



## Agenda

### ➤ Knowledge Exchange?

### ➤ Workshop series: Utrecht (2015), Copenhagen (2016)

- Background, method and objectives { Scope }
- Community outreach & keynotes { Status }
- Country reporting: monitoring OA { Status }
- Breakout groups: topics and questions { Issues }
- Recommendations { Issues }
- Beyond the workshop series { Outlook }
- Published report & acknowledgements { Outlook }

## Knowledge Exchange - collaboration, expertise & network



**DFG** German Research Foundation

**Jisc** (United Kingdom)

**DEFF** Denmark's Electronic Research Library

**SURF** (Netherlands)

**CSC** IT Centre for Science (Finland)

**CNRS** Centre national de la recherche scientifique (France)

KE are six national organisations working together in Europe to support the development of digital infrastructure to enable open scholarship.

## Background & method<sub>{Scope}</sub>

### → **Activity: Monitoring Open Access**

Formed Task & Finish Group within KE Open Access Expert Group

### → **Mission**

Planning & scoping a workshop series around international collaboration  
addressing challenges & recommendations to monitoring of OA publications  
& derived cost data

### → **“Mixed method”**

- Integration of qualitative & quantitative data based on KE partners' status reporting & relevant community keynotes on monitoring OA
- Provide baseline for breakout groups to discuss KE scoped topics & questions & come up with practice-based recommendations on how to solve the challenges

## Objectives<sub>{Scope}</sub>



**Goal:** *pushing transparency in exchange of OA metadata and cost data*

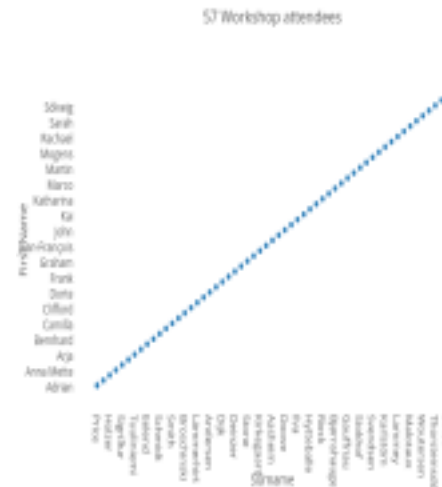
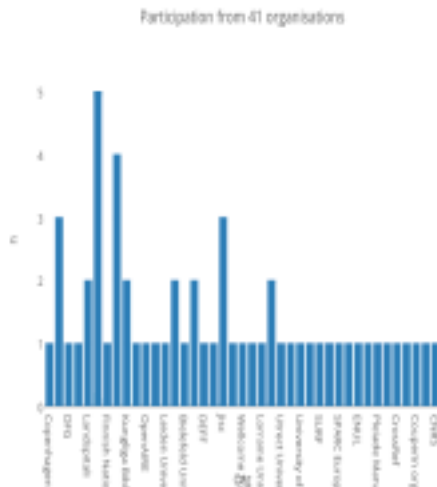
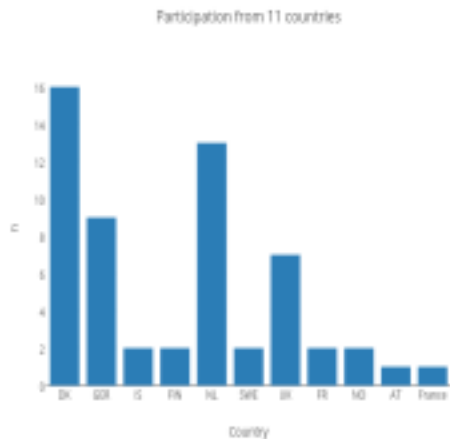
**Aim:** *influencing evidence based policy making &  
promote better outcomes in negotiations with publishers*

# Workshop meta-monitoring {Scope}

- 1) **international** knowledge exchange
- 2) **inter-organisational** knowledge exchange
- 3) **knowledge exchange** among licensing & Open Access experts



**#KEOA16**





## Community outreach & keynotes {Status}



*Revealing the true cost of publishing: Towards a public data infrastructure of scholarly publishing costs* (by: Stuart Lawson, Birkbeck, University of London)



*Collecting and disseminating OA metadata from publishers at Crossref: the story so far* (by: Rachael Lammey, CrossRef)



*Collecting cost data and information from offsetting contracts* (by: Kai Geschuhn, MPDL & Graham Stone, Jisc Collections)

## Country reporting on OA monitoring {Status}

[GER]: *The contribution of INTACT to the international monitoring of OA publication and cost data* (by: Dirk Pieper, Bielefeld University Library)

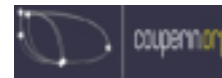
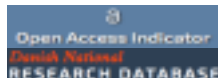
[UK]: *Monitor Local & Monitor UK* (by: Frank Manista, Jisc)

[DK]: *The Danish Open Access Indicator* (by: Mogens Sandfær, DTU)

[NL]: *Monitoring Open Access articles in the Netherlands* (by: Just de Leeuwe, UKB)  
+ *Open Access* (Robert van der Vooren, VSNU)

[FIN]: *OA publication and cost data in Finland* (by: Jyrki Ilva, National Library of Finland)

[FR]: *Monitoring OA publication & cost data in France?* (by: Sandrine Malotiaux, Couperin) +  
*Gold OA publishing & APC in a University* (by: Jean-François Lutz, Université de Lorraine)



All presentations are available for reading and further examination: <http://bit.ly/2jY9jDp>



## Breakout groups to address topic & questions {Issues}

### 1. Data collecting & sources

*Quality in collecting data from available sources*

LEAD: Maurits van der Graaf (Pleiade Consultancy)

## Breakout groups to address topic & questions {Issues}

### 2. **Workflows** *Efficiency in monitoring workflows*

LEAD: Kai Karin Geschuhn (MPDL)

## Breakout groups to address topic & questions {Issues}

3.

### Standards

*Aggregation of OA publications & costs via standards*

LEAD: Frank Manista (Jisc)

## Breakout groups to address topics & questions {Issues}

### 4. **Governance & Policy**

*Trust in monitoring OA & alignment across policy making*



LEAD: Angela Holzer (DFG)



## Recommendations {Issues}

### 1. *Data collecting & sources:*



#### Green OA

- identify corresponding author in metadata schema
- identify potential green OA via Sherpa/RoMEO API
- monitoring of OA after end of embargo

#### Gold OA

- matching metadata from the CRIS with DOAJ or ISSN-Gold-OA list in order to identify pure Gold articles
- APC & administrative handling costs of handling APCs (by authors or by APC funds)

#### Hybrid OA

- requirements for publisher data in offsetting agreements: corresponding author, licence information, exact publishing date, standardized data formats for author affiliation

## Recommendations {Issues}

2.

*Workflows:*

OPEN  ACCESS

COST  DATA

- in offsetting contracts (e.g. in terms & conditions) publishers should include in Crossref a license statement for each publication
- OrcID as solution to workflow challenges, e.g. Crossref auto-updating ORCID profiles
- using CrossMark as a possible container for OA metadata on versions & costs
- capturing the cost & license related metadata, making it visible in invoices: DOI, funder & license info, author names & affiliation, funder identifiers & ORCIDs
- investigate the complexity of many-to-many payments to look at 3. party e-commerce solutions between universities and publishers



## Recommendations {Issues}

3.

*Standards:*



- use standards when depositing articles (check via library validation process)
- be specific about standards from publishers (fx JISC best practice for publishers: <https://scholarlycommunications.jisc.involvement.org/wp/files/2016/04/OA-Publisher-Compliance-document-for-publishers.docx>)
- adding a new field for APC/publication to the OAI-PMH
- mixing and matching staff (accounting, licensing, technical, metadata) working with the data entry points
- ensure technical feasibility for publishers to provide data to the repositories (e.g. by using the SWORD API protocol)

## Recommendations {Issues}

### 4. Governance & policies:



- measuring more broadly: include more types than articles (e.g. books)
- funders (and all stakeholders) should use clear OA definitions in the policies:
  - i) support filtering;
  - ii) help clarifying if target goals are met, aligning the monitoring results across nations
- monitoring to look beyond current systems to ensure flexibility & adaptability over time
- collecting all cost data in one system. Datasets should be set up in a standard way that the data can be collected & exchanged
- institutional processes making it clear what the *total costs of publication* (TCP) are (including APC, administrative costs, infrastructural costs, and “other costs” like page & color charges)

## Beyond the Workshop series {Outlook}

### Key stakeholders - priority areas & future action points

- CRIS - *a key factor for successful monitoring of OA publications*
- Improve the integration between CRISes and institutional repositories
- Ensure that CRISes follow the OpenAIRE interoperability guidelines.
- Integrate different categories of Open Access in CRISes
- Use CRISes to collect and report data on Green, Gold and if validated hybrid OA
- Create DOI-linkage between accounting systems and CRISes.

## Beyond the Workshop series {Outlook}

### Key stakeholders - priority areas & future action points

- PUBLISHERS - *are essential actors in monitoring since they hold crucial information*
- recommended to use standardized data formats for author affiliation, license statements and indicating status: Green, Gold or Hybrid OA
- libraries & funders must be specific about metadata they require from the publishers & include these requirements in offsetting or licensing contracts
- publishers should include all cost & license related metadata in their invoices: DOI, funder info, license info, author names + affiliation, funder identifiers, ORCIDs



## Beyond the Workshop series {Outlook}

### Key stakeholders - priority areas & future action points

- LIBRARIES - *have central knowhow in monitoring of Open Access*
- collect as much data as possible and ensure the data to be open (via API) and to be FAIR (findable, accessible, interoperable, reuseable)
- obvious as centralized OA funding offices regarding apc administration
- require transparency to all costs related to everything that has to do with publishing, i.e. non-disclosure agreements should be avoided
- have processes to openly monitor an institution's *Total Costs of Publication* (TCP)

## KE superior workshop statement {Outlook}

A photograph showing four hands of different skin tones holding a white rectangular sign against a black background. The sign contains text in a blue, italicized, sans-serif font.

*“If the monitoring of  
Open Access is not  
open, it will fail!”*



Thank you



Questions?

#### *Acknowledgements*

The work presented in these slides was funded by Knowledge Exchange (<http://www.knowledge-exchange.info/>) and was performed by the contributions and constructive discussions by all participants in the workshop series.

Published report out very soon!

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