

Collection and Reporting of APC Information

Objectives and deliverables

Options examined

Methodology taken and limitations

Conclusions

Objectives

To design and implement a consistent process for collection and reporting of article processing charges (APCs) in Australian universities to provide better data for institutional decisions relating to:

- open access policies,
- management of “Gold” open access publishing costs, and
- negotiations with publishers

Deliverables

1. Develop options for collecting information on institutional APCs
2. Determine and agree on a process for collecting APC information – recommendations paper delivered
3. *Work with stakeholders to develop an implementation plan*
4. *Implement process - by end of year, for 2019*

Project team

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Options examined

1. Provided by publishers: most unable to supply and no data standard for easy collation
2. Local central reporting
 - a. Central APC fund
 - b. Record in finance system
 - c. Combine from multiple central sources
3. Indirect: combine author with OA finding tools

Options examined: 2 Local central reporting

Survey results from 16 universities in Australia and New Zealand

- 74.4% do not collect data about APC payments
- 80.85% had no central APC fund
- 97.87% receive no APC information from funding bodies
- 57.45% had no agreements or offsetting arrangements in place

Options examined: 2a Central APC fund

- Not aware the fund exists
- Rarely the exclusive source of funding for authors
- Often have exclusions:
 - papers co-authored with outside researchers
 - papers by research students (e.g. PhD), casual, adjunct and conjoint academics and visiting fellows
 - first-come first-served
 - hybrid journals
 - first named or corresponding author only
- Paid by grant provider

Options examined: 2b Record in finance system

- Not aware the code exists
- Use for other publisher charges
- Range of descriptions
- Use other codes
- Cannot identify the articles

Options examined: 2c Combine from multiple central sources

- Central APC fund, finance system code, endowment funds, departmental funds, transfers from local or international partners, grant reports, surveys
- Cross-checks with Web of Science or Scopus showed there were many more OA articles authored by institutional researchers than recorded centrally

Options examined

- X** 1. Provided by publishers
2. Local central reporting
- Central APC fund
 - Record in finance system
 - Combine from multiple sources
- ✓** 3. Combine author with OA finding tools
- Misleading*

Methodology

1. Use Web of Science and Scopus to identify publications
2. De-duplicate on DOI
3. Run the dataset against UnPaywall to find open access publications
4. Exclude publications with at least one international (non-Australia/New Zealand) co-author
5. Use list price on publisher websites and aggregators of APC data such as DOAJ, OpenAPC and FlourishOA, to calculate, broad-brush, how much was paid per APC, using the same foreign exchange rates for all payments

Methodology: corresponding author

6. Assign the APC payment to an institution based on Corresponding (Scopus)/Reprint (WoS) author using the following assumption:
 - When there are multiple Corresponding Authors, assume the first Corresponding Author is the most significant and their institution paid the APC
 - Where the first author has multiple affiliations, assume their first affiliation is the main one, and that institution paid the APC

	One corresponding author with multiple affiliations	Multiple corresponding authors, APC is attributed to:
1	First listed	First listed corresponding author
2	First listed	Last listed corresponding author
3	First listed	Where the first and last list the same institution as their first affiliation, use the shared institution address
4	First listed	Proportional share using the number of times each institution appears against the name of the corresponding authors

AUD	Scenario 1	Scenario 2	Scenario 3	Scenario 4
	First	Last	Shared	Split
University A	\$ 158,588.21	\$161,942.32	\$158,588.21	\$161,842.32
University B	\$ 422,684.71	\$ 414,947.77	\$ 414,947.22	\$ 420,856.29
University C	\$1,276,903.56	\$1,348,756.37	\$1,246,232.27	\$1,352,391.95
University D	\$ 98,369.71	\$ 100,369.73	\$ 98,369.71	\$ 99,369.72
University E	\$ 405,662.12	\$ 410,312.60	\$ 403,974.50	\$ 410,229.78
University F	\$1,339,996.91	\$1,327,270.21	\$1,299,767.22	\$1,366,536.07
Total	\$3,702,205.22	\$3,763,499.00	\$3,621,879.67	\$3,811,226.13

Validation of APC payment by Corresponding Authors

Methodology

- Small, random sample of 20 publications
- Pilot sites confirmed with the Scenario 1 author, if an APC was paid and who paid it
- Overall response rate was 57%, varying from 30% to 75%

Did not contradict scenario 1

Waivers, reductions and discounts

Limitations

- Only part of the picture
- Waivers for Gold and Hybrid
- Web of Science and Scopus weak in social sciences and humanities, and Australia and New Zealand journals
- Omit less prestigious OA journals

Conclusions

Methodology provides robust estimates for minimum APC expenditures

APC charges are likely to be a significant future burden on budgets as new publishing models gain traction

Transparency of total costs, especially APCs, is critical

Recommendations (added since IATUL)

Recommendation

1. That CAUL adopt the following methodology for calculating the amount paid in APCs in Australia and New Zealand at a national level, and at an institutional level, keeping in mind that the data becomes less reliable at the institutional level:

At a national level, use Web of Science and Scopus to identify all publications by Australian authors.

- Run the dataset against UnPaywall, using the UnPaywall API to find open access publications.
- De-duplicate on DOI
- Remove publications with international (non-ANZ) co-authors from the dataset
- Use list price on publisher websites and aggregators of APC data such as DOAJ, OpenAPC and FlourishOA, to calculate, broad-brush, how much was paid per APC, using the same foreign exchange rates for all payments. RBA at www.rba.gov.au/statistics/tables/xls-hist/2018-current.xls

2. That CAUL consider scripting to automate the above process for Australia and New Zealand, and for each CAUL institution.

1. That CAUL persuade publishers provide APC payment data by institution to CAUL, thereby obviating the need for the above process.

Next steps

- This project has now finished
- Recommendations are with CAUL

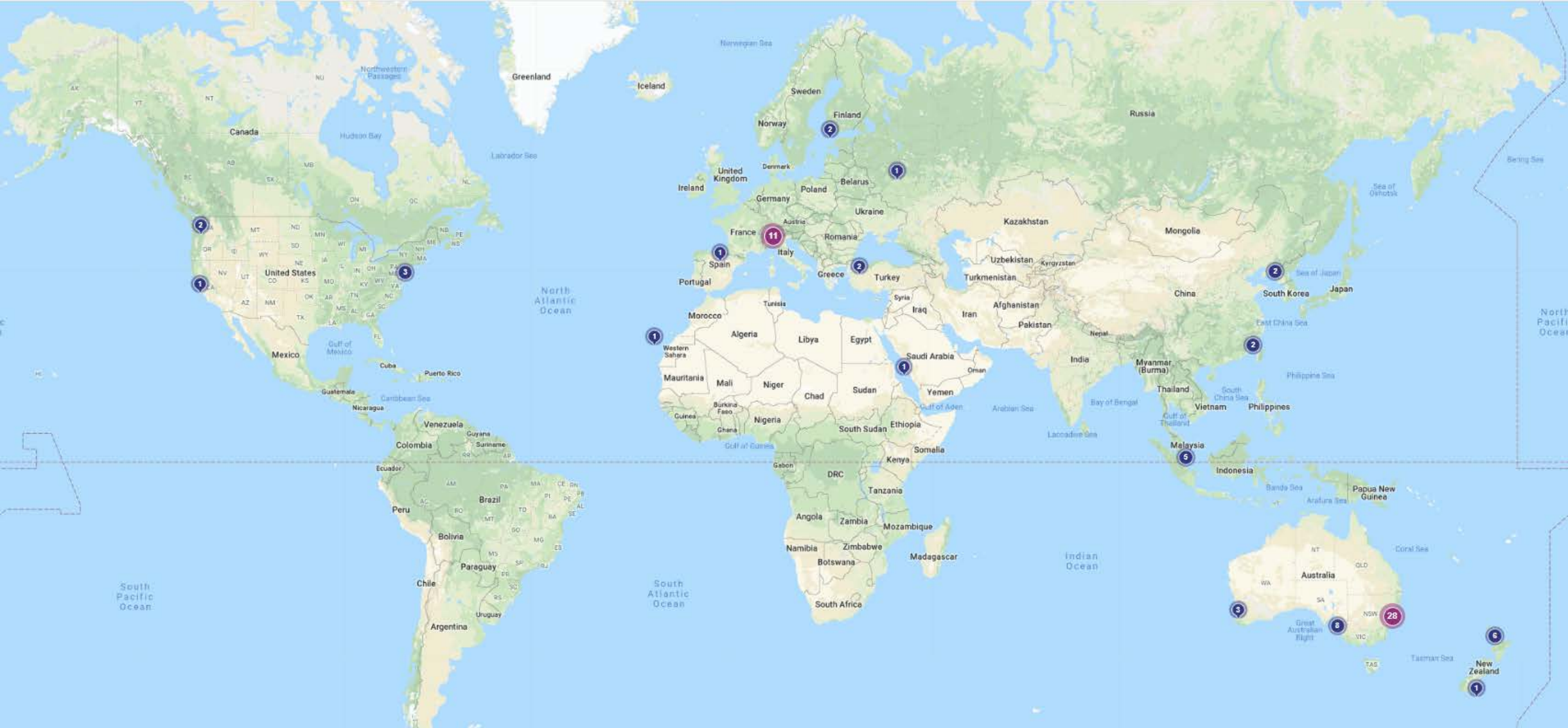
- Outstanding deliverables:

- 3. Work with stakeholders to develop an implementation plan*
- 4. Implement process - by end of year, for 2019*

The IATUL paper

- IATUL paper can be found here:
 - <https://docs.lib.purdue.edu/iatul/2019/fair/2/>
- Usage dashboard can be found here: <https://bit.ly/34aPDiy>
 - <https://readership.works.bepress.com/?authdash=1&userid=3003997&.authP=authdash%2Cuserid%2C.authTX&.authTX=1585665971&.authT=yaDgKZBNqle3kcUhvILwqJhIZAiEDM%3D#/downloads>
 - As of yesterday (28 Oct 2019) : 90 downloads since 14th of August

The IATUL paper



The IATUL paper

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Questions?

(and thank you)