APC project

CAUL FAIR projects
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Objectives of the project

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

- their open access policies,
- their management of "Gold" open access publishing costs, and
- their negotiations with publishers

Deliverables

- Develop options for collecting information on institutional APCs
- Determine and agree on a process for collecting APC information
- Work with stakeholders to develop an implementation plan
- Implement process - by end of year, for 2019

Less preferred options

4. All CAUL members influence their institutions to create a fund code for APCs in their finance system. Library staff to promote the fund code to researchers and to faculty and School administrators.

5. All CAUL members to request from Finance department, payments to selected publishers under a certain amount (eg $5,000) and then have each invoice checked for APC line items.

6. All CAUL members to ask Finance departments to run a keyword search of descriptors in the finance system that might identify APCs.

7. Institutions to identify authors who may have paid APCs by matching articles they had authored with data from the Directory of Open Access Journals, limited to those journals that charged APCs. Then survey those authors to gather information on APCs paid, by whom, and how much.

8. Obtain reports from publishers with regard to offset arrangements they have with institutions, so that data about APCs paid out of pre-payments or linked to discounts are obtained.

Preferred Option – but we won't recommend

1. Require publishers to provide information on APC payments. Include a clause in our subscription agreements requiring the provision of the information. e.g. "The vendor will report all <institution name> author charges, including, but not limited to, article processing charges and page charges, broken down by charge type".

   The information should include for each APC:
   - amount paid by the paying institution
   - Citation information
   - Whether published in a hybrid journal or gold open access.
   - Corresponding author
   - Discipline area

Second preference – we recommend…

2. At a national level, use Web of Science, Scopus and Dimensions 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
- Use list price on publisher websites to calculate, broad-brush, how much was paid per APC, using the same foreign exchange rates for all payments.
- Assign the APC payment to an institution based on Corresponding author. At a national level it is hoped that it will be easier to identify Corresponding Author, than if the dataset was created at an institutional level

Third preference – same as 2, but different

3. At an institutional level, using a methodology agreed to at the national level all universities analyse their publication data to produce their APC annual costings. The proposed methodology includes:

- Collation of all relevant publications from the institution's repository or research management system and/or Web of Science, Scopus and Dimensions.
- Run the dataset against UnPaywall, using the UnPaywall API to find open access publications.
- De-duplicate on DOI
- Use list price on publisher websites to calculate, broad-brush, how much was paid per APC, using the same foreign exchange rates for all payments.
- Total APCs identified can then totalled to give an estimate of the institution's spend on APCs.

Next: Submit options to CAUL

Questions, comments, feedback?