



**Usage statistics, publishing data and OA metadata.
Why we need them.**
Carolyn Alderson

Usage statistics, publishing data and OA metadata. Why we need them.

- How assessing usage data (Access) and APC data (OA Publishing) of two major publishers has informed Jisc Collections and the UK academic community about the value of their content
- How developing OA publisher best practices regarding OA metadata requirements supports the accessibility, discoverability and use of content. A Jisc initiative with UKSG member representatives
- Transition to OA

Transition to Open Access

Why it matters to UK research

UK research will increase its **impact** on UK economy by up to £200m p.a.

Open access research is more highly **cited**.

Greater **access** for researchers and students.

All major UK and European funders **require** open access for journal articles and conference papers, including:

- European Commission
- UK Funding Councils through REF
- UK Research Councils/RCUK, Wellcome Trust/COAF
- UK Government departments

Importance of Repositories

UK Governmental OA Policies

2013, 1 April: The RCUK requires funded research to be made publicly available through a repository: 6 months for STEM subjects and 12 months for AHSS subjects. A block grant is available to pay for article processing charges to make articles Open Access at publication under a CC-BY licence if the embargo periods are longer.

2014. July: ['Policy for open access in the post-2014 Research Excellence Framework'](#) requires researchers to deposit publications into their institutional repository within three months of acceptance in order to be eligible for the REF. This came into effect 1 April 2016.

Transition to Open Access

Emotions, Relationships and Pain points

- Mandates, Ideals, Ethics
- Funders, Authors, Institutions/ Librarians, Intermediaries, Publishers
- Constraining costs
Compliance, realizing benefits



Relationship Status:
it's complicated



Constraining Costs

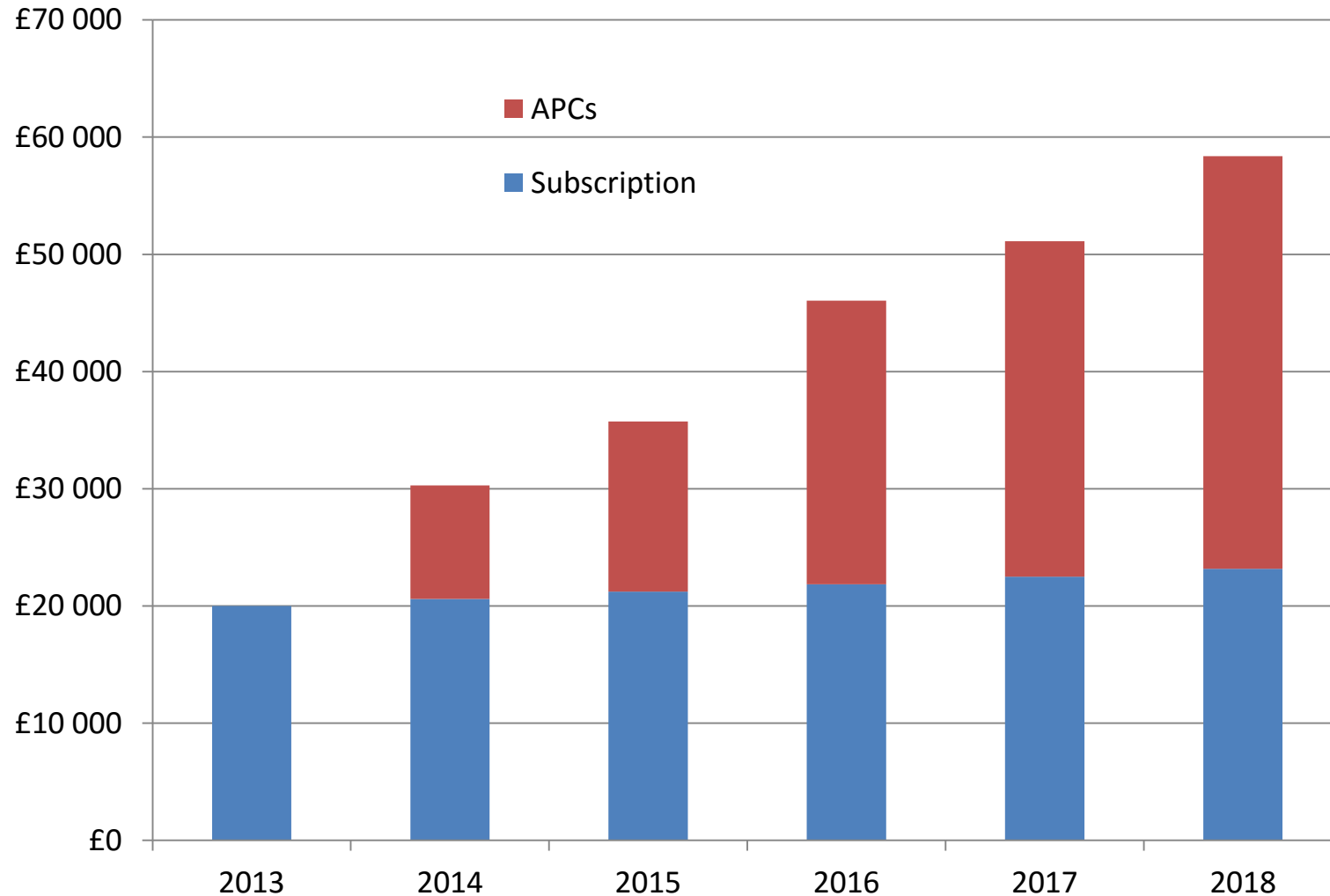
APC data to:

Predict costs

Review value and savings from offsets

Test the effectiveness of a new model

APC data: Predicting costs for Access and Publishing in Hybrid OA Journals



Journal Branding:

Editorial Board members reflect product quality, creating aspiration and brand loyalty

2015: UK Offset Review (34 institutions in sample)

	Wiley	T&F	Sage	IOP	RSC
Subscription spend:	£8,538,468	£5,023,742	£2,540,592	£917,465	£366,297
APC spend:	£1,590,629	£282,790	£60,672	£186,340	£193,806
Total spend:	£10,129,097	£5,306,532	£2,601,264	£1,103,805	£560,103
Number of APCs published under offset deal:	272	157	75	n/a	165
Amount offset:	£489,600	£210,066	£97,800	£148,171	£264,000
Discount on TCP:	4.6%	3.8%	3.6%	11.8%	32%

Report for Jisc Collections by Stuart Lawson, *Figshare*

A standard template is now used to record APC data.

APC funding source	%
RCUK	66.0%
COAF	23.9%
Institutional	10.2%

Clean APC data is still a challenge

Total number of Gold open access articles

Proportion of Gold open access in hybrid journals

Total of Gold Open access articles in pure OA journals

2015 Total Value Estimate

The combined **value** of offset agreements of 5 publisher agreements to the higher education sector in 2015 has been estimated at £2.5m.

Elsevier – no offset in current agreement

SpringerCompact – not included in analysis

Test Effectiveness of New Model? Flipping Journals at country level

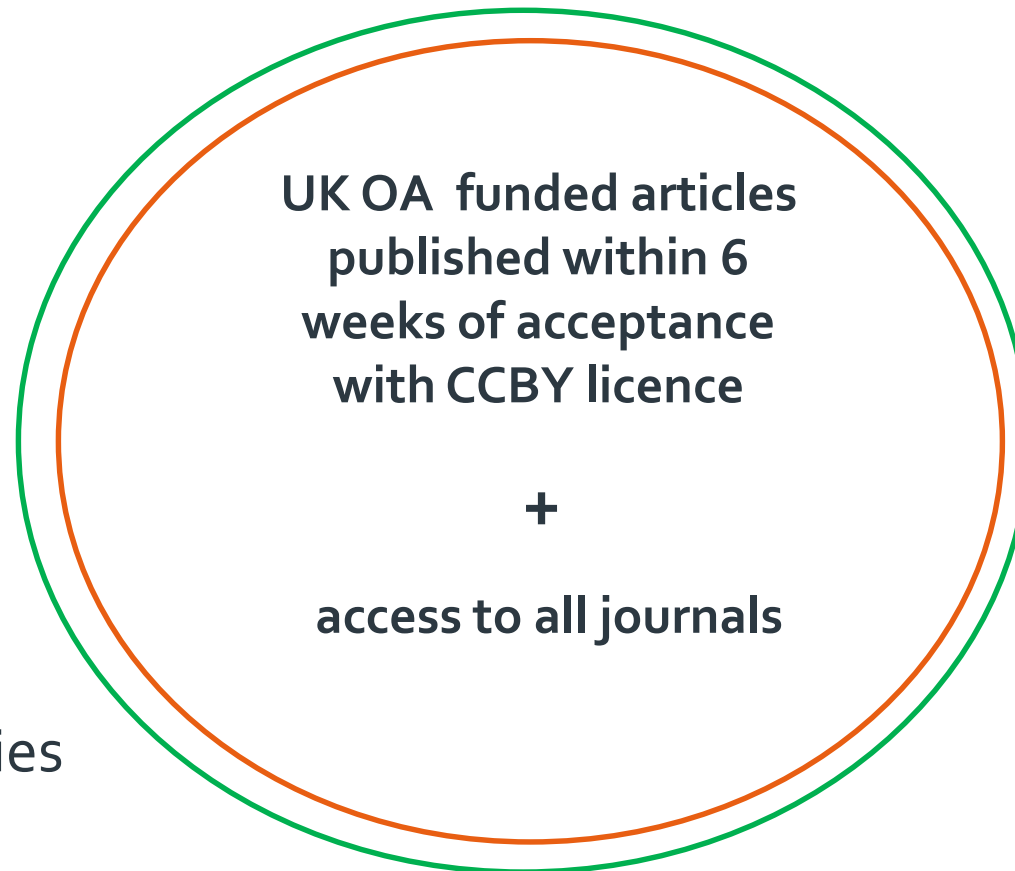
Publishing Plus Access

Managed Transition

Countries with OA mandates and Historical Print Spend

Consortia Management

- Saves Time and Money
- Local Management Efficiencies



SpringerCompact

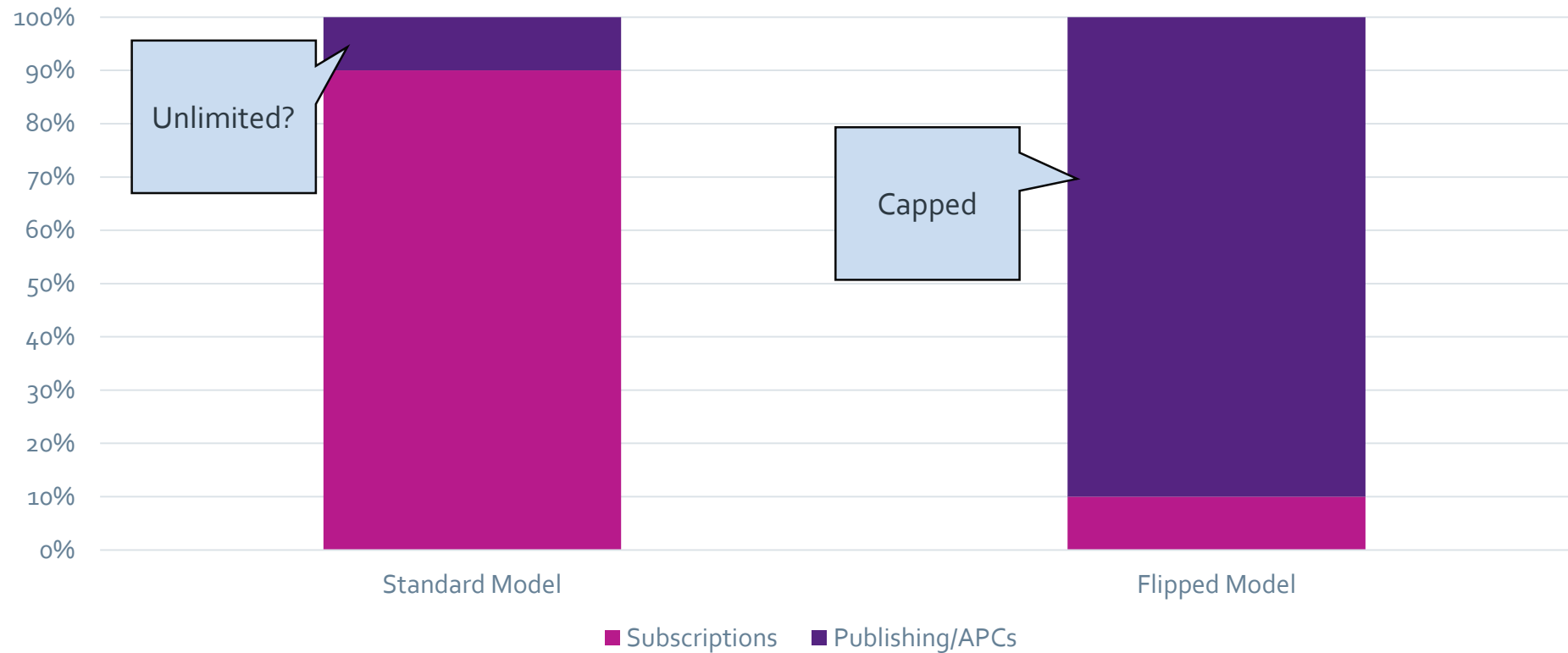
SpringerCompact is a pilot agreement between Jisc Collections and Springer that aims to facilitate a transition to gold open access for UK research outputs and maintain access to Springer's subscription content in a way that is cost effective and administratively efficient.

This is a model where the funds that previously paid for subscriptions will instead be used to fund OA publication in Springer hybrid journals, whilst an additional transition fee funds access and use of licensed journal content.

For an agreed total fee, all articles by UK corresponding authors are made open access in Springer hybrid journals and all participating UK academic institutions have access to 2000 Springer journals.

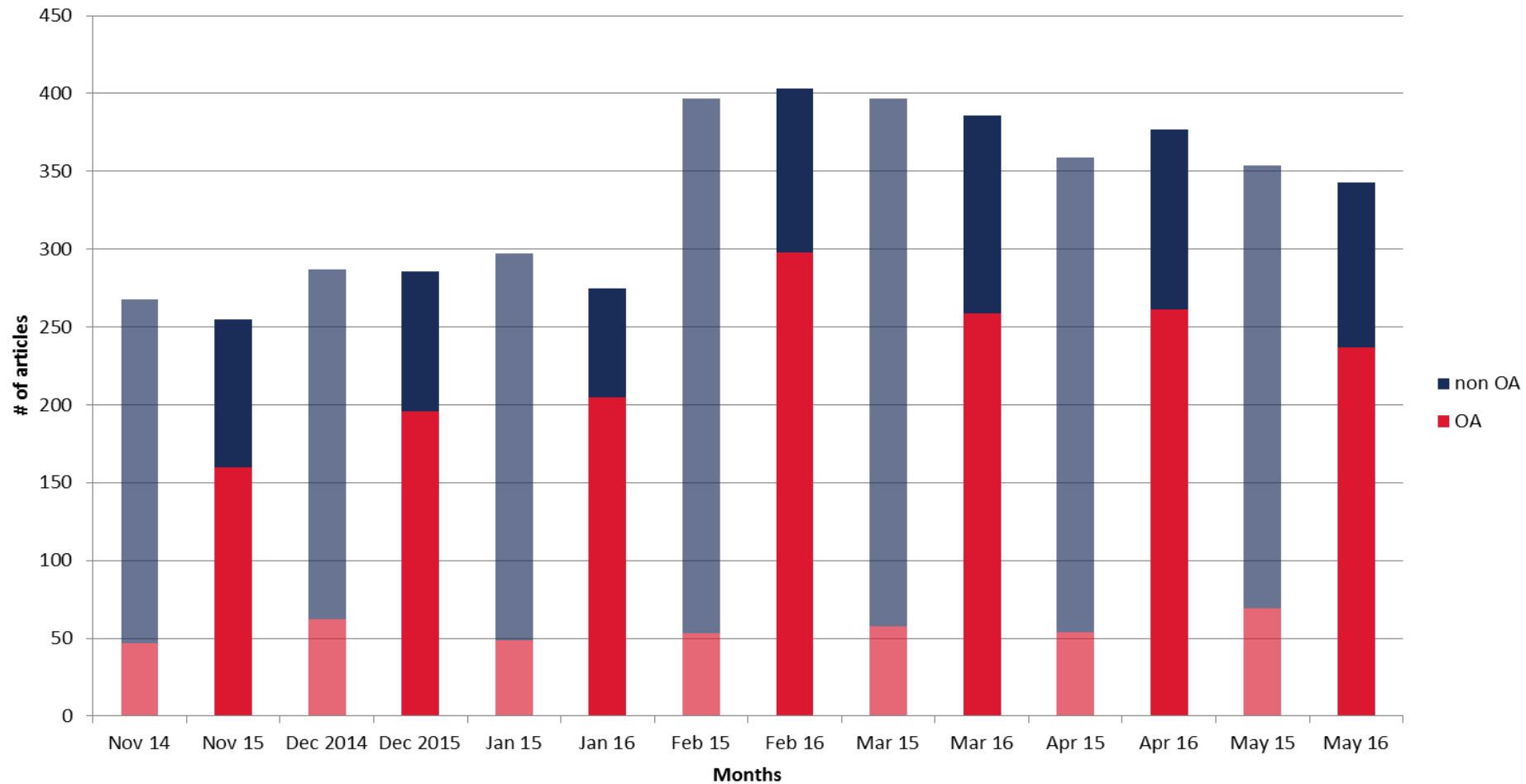
Netherlands, UK, Max Planck, Austria, Sweden.

Springer Flipped

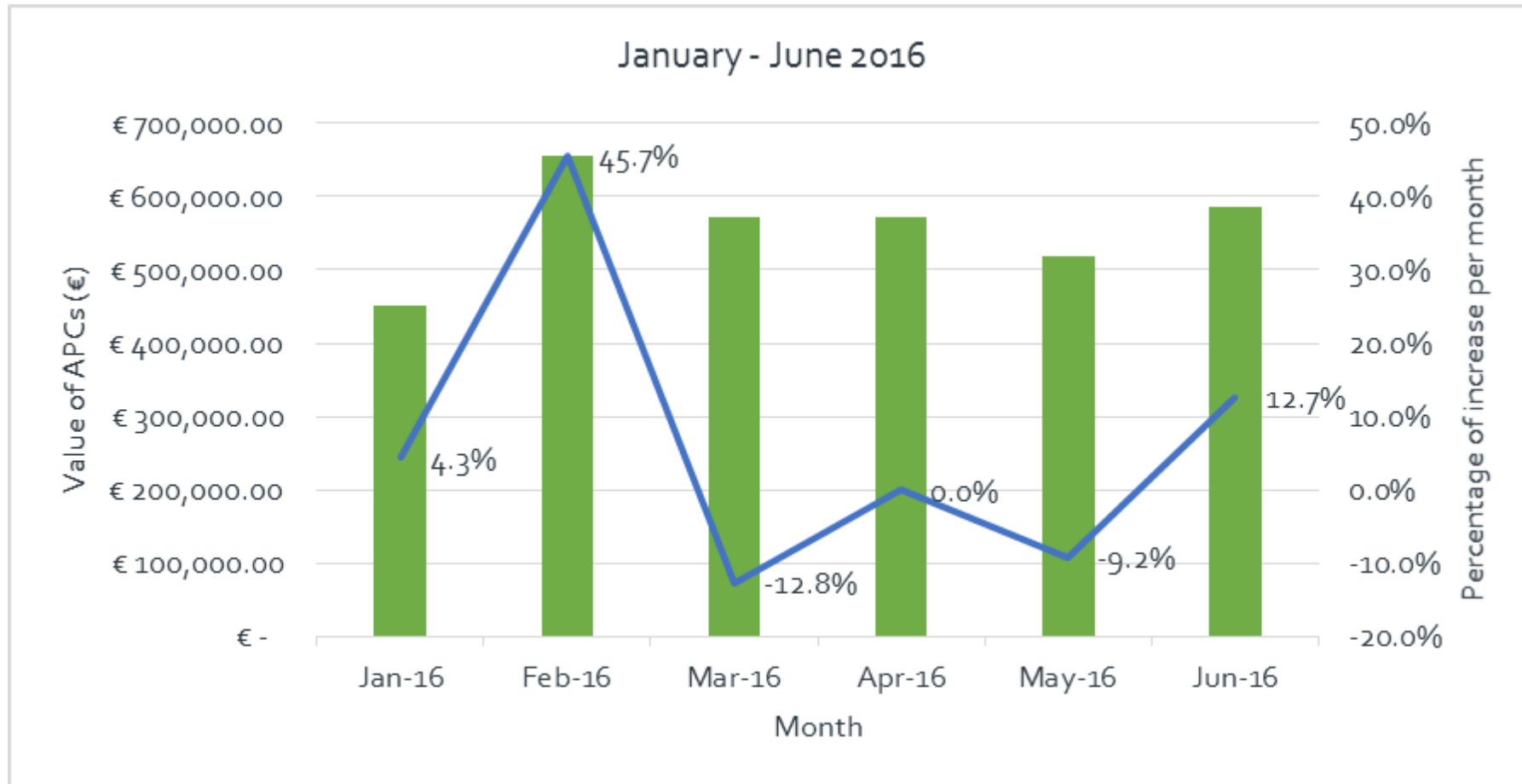


Springer: UK OA and non-OA articles

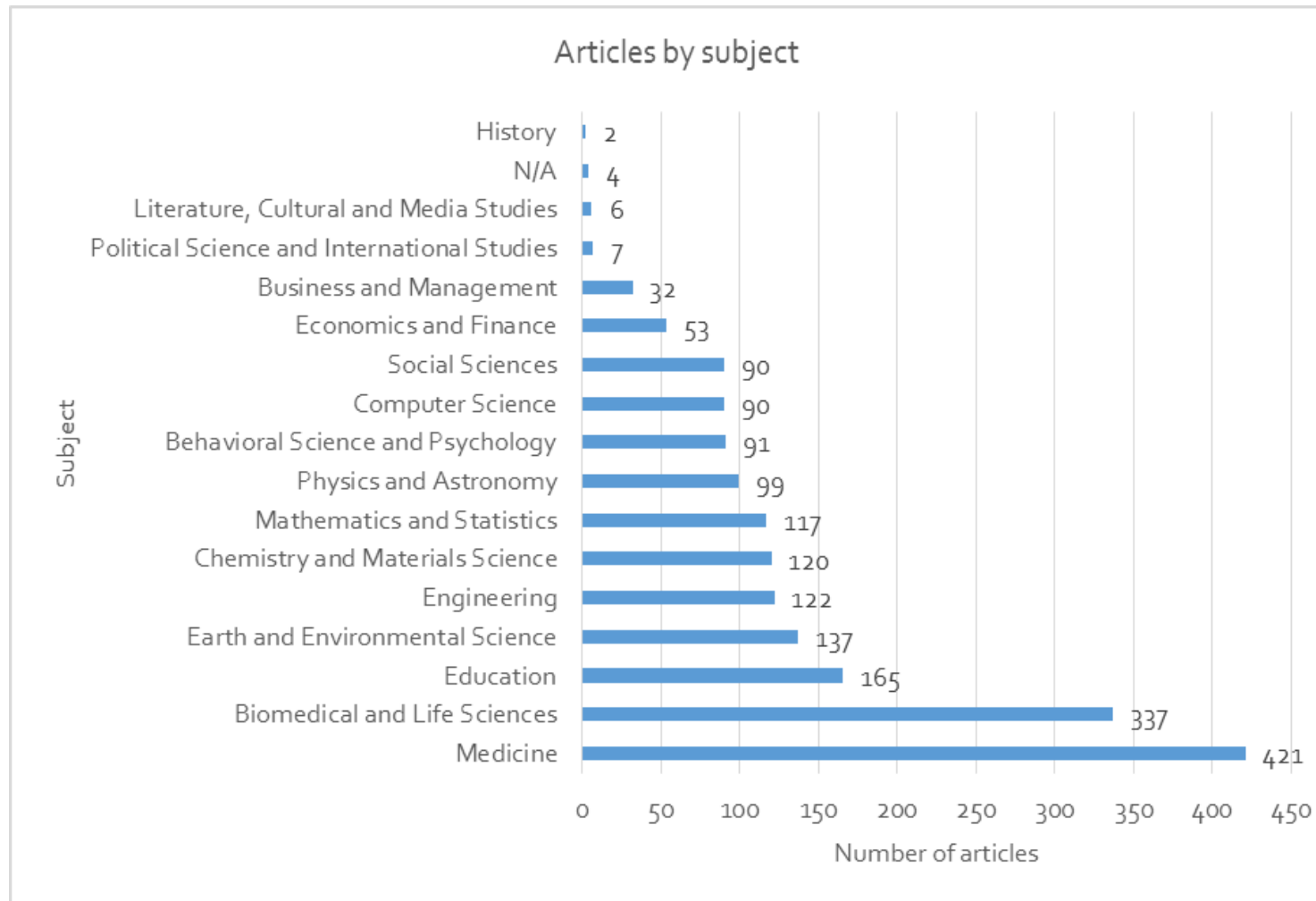
Comparative figures



Value of APCs and percentage increase per month January – June 2016

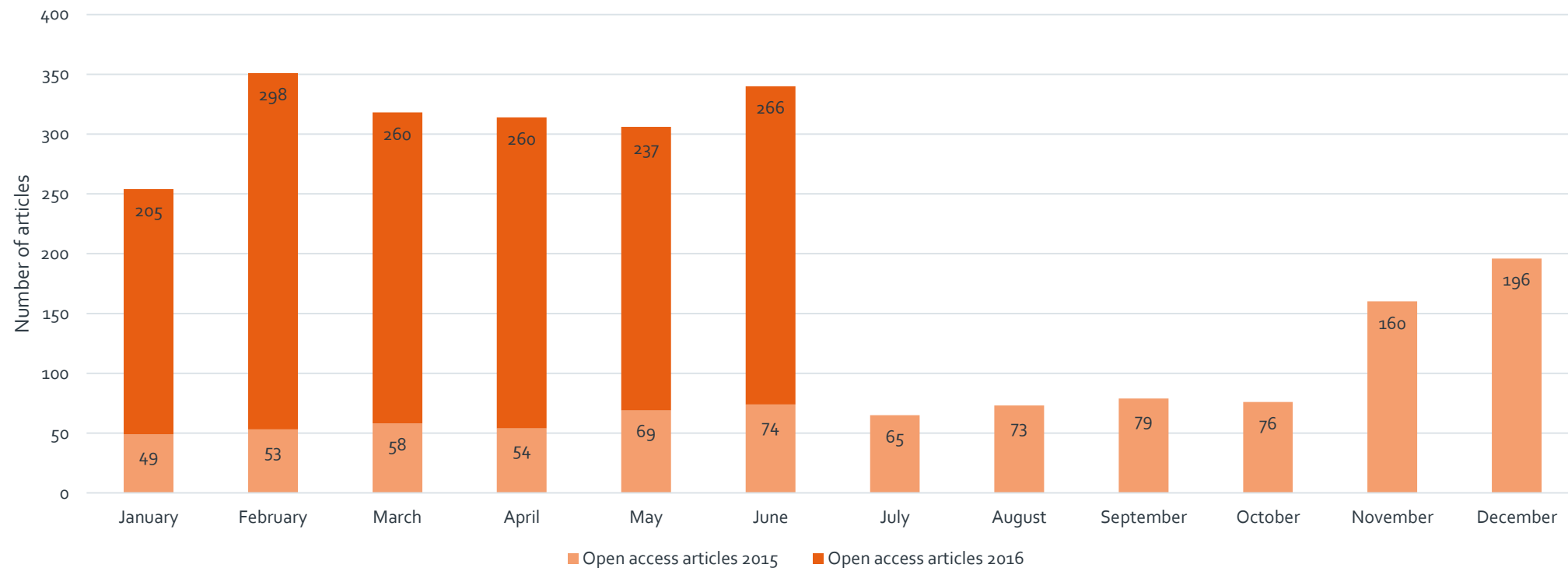


SpringerCompact – UK Articles by Subject



Springer – Comparative increase in UK OA articles published in hybrid journals 2015-2016

Open access articles published in Springer's hybrid journals in 2015 and 2016



Effectiveness of SpringerCompact agreement

- In the period January to May, 78 institutions (86%) effectively capped their 2016 APC spend at 2014 levels. €3.75million
- The total number of articles published in the first five months of this agreement increased by 25% when compared to the total number of articles published on open access in Springer hybrid journals in the full year of 2015.
- All articles were open access immediately upon publication with a CC BY licence suggesting that all articles were compliant with RCUK, HEFCE and COAF funder policies.
- As of **July 2016**, articles with a value of **€4.75 million** had been made openly available through the agreement.

Value proposition

Institutional cost savings:

Sustainable price with increased publishing at no additional cost

One agreement covers Publishing and Access. Open access covered centrally by the university /institute – eases the payment process and reduces costs

Easy to Manage and OA compliant

Constraining Costs

Usage data to:

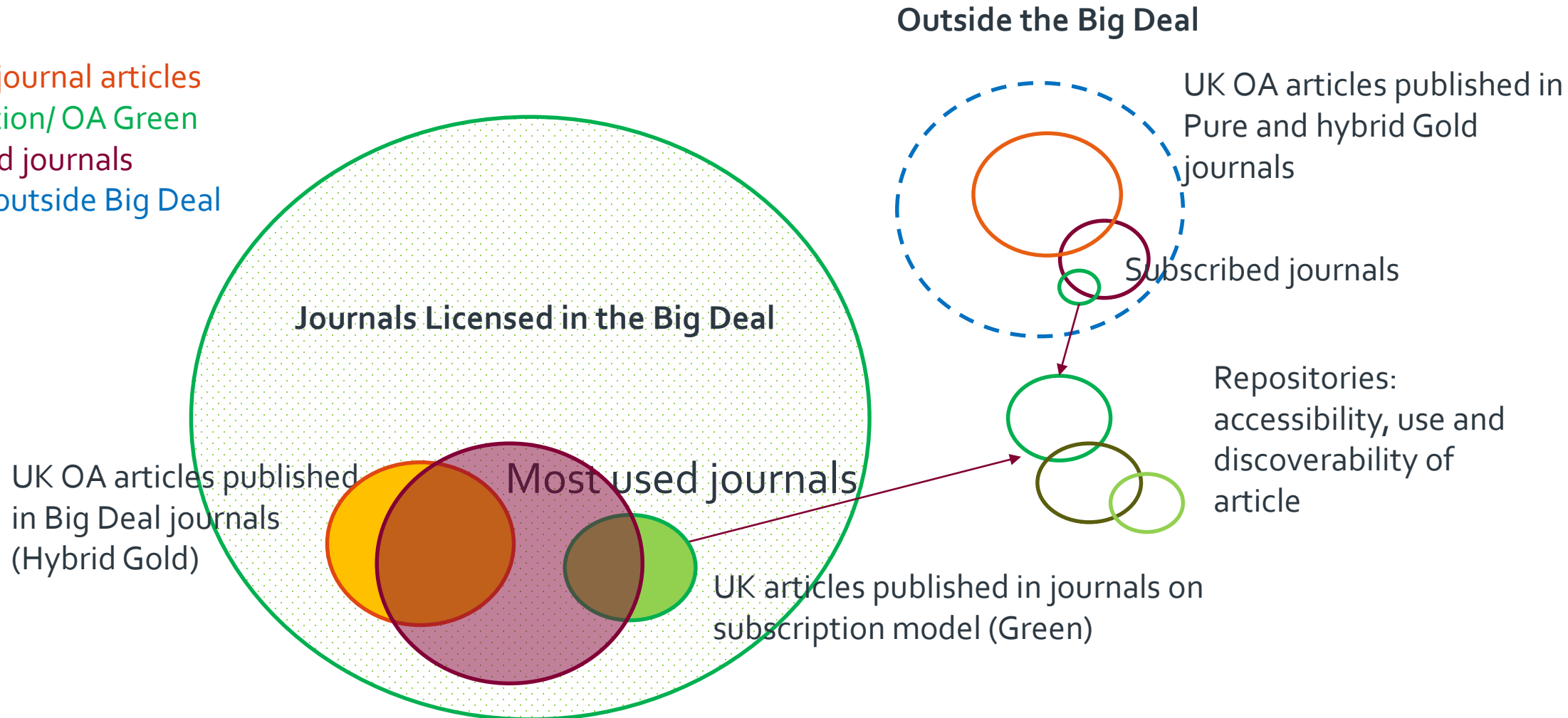
Assess value of content in Big Deal regarding institution's research, teaching and learning activity

Identify 'lower value' content across a library consortium as well as higher usage

Value of content to Institution

Research, Teaching and Learning

- OA Gold journal articles
- Subscription/ OA Green
- Most used journals
- Journals outside Big Deal

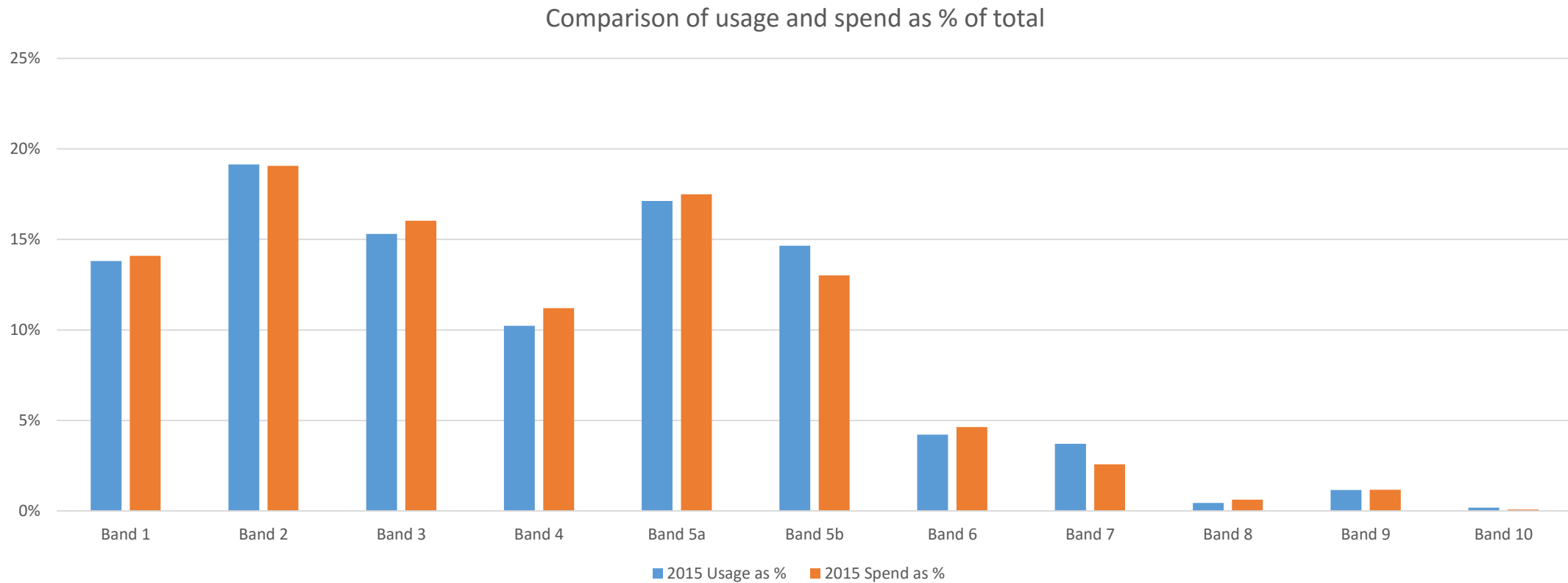


Example Big Deal Consortium Usage

Usage	# articles in journals	Total use from sample year. Frontfile minus GOA	% of total use Frontfile minus GOA	# of journals	Average article multiplier
Top Title	2,266	1,137,346	2%	1	502
Top 75%	249,550	41,726,704	75%	530	167
75-85%	68,882	5,555,986	10%	227	81
Bottom 15%		8,365,630	15%	1510	
Totals		55,648,319	100%	2267	

1510 titles have little value at consortium level

Publisher: % Usage and Expenditure in Jisc Band



Further analysis of Usage Institution X

86% of article downloads were pre-current year

- Do post termination access rights allow for continuing downloads of published and paid content? Or only core titles?
- How much duplication of cost is factored into the current year pricing?

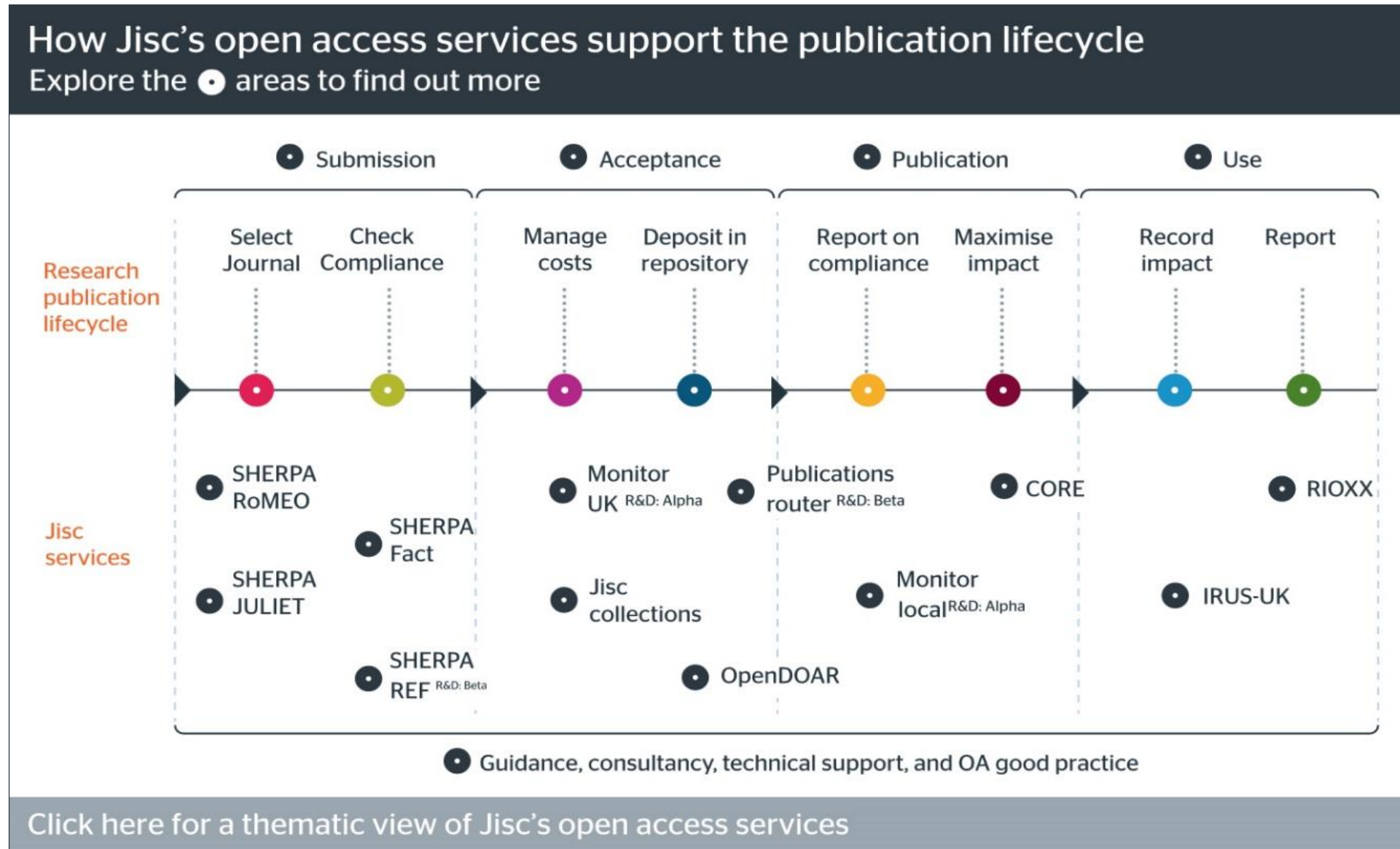
What is the cost per download for current year accesses set against current cost?

Constraining Admin Costs

Metadata to:

Implement OA Compliance – Gold and Green
Manage and Account for APCs to funders

Supporting Institutional Compliance of OA Mandates



How can publishers help institutions comply with and implement Open Access policies? Recommended standards



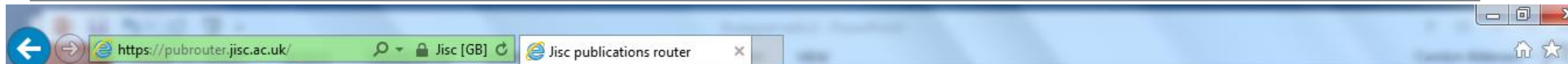
- Jisc has been taking action on aligning OA policies expressed by funders and institutions (OA Policies Schema) with those of publishers
- We have developed **13** recommended standards for publishers to adopt which will help authors and institutions globally to implement open access more effectively and streamline the administrative burden and pain points.
- The standards have been reviewed and endorsed by universities, research libraries, learned societies internationally and by members of the Research Libraries UK (RLUK) and the Association for Research Managers and Administrators (ARMA).
- Developing the adoption of best practice by publishers globally, initiated through a partnership with UKSG.

Ref	Institutional Need	Why?	Recommendation for best practice	Item
1	Identify publishing outputs from a given individual and institution	To populate Institutional Repositories with articles (IRs) relating to the institution and in order to monitor research and fulfil Funder OA compliance requirements.	The publisher should adopt ORCID throughout workflow from submission to publication and expose author ORCIDs in published articles and via A&I services, CrossRef, other discovery services.	Adopt ORCID
2	Notification of the DOI of the Accepted Manuscript (AM) upon acceptance	To enable recording of the DOI of the AM deposited upon acceptance and to facilitate deduplication, e.g. with later updates from various sources upon publication	The publisher undertakes to register the article's DOI with CrossRef upon acceptance, and inform all co-authors.	Register the article's DOI on CrossRef
3	Co-authors' institutional affiliations need to be known as well as the corresponding author's affiliation.	Institutions have to help funders identify all researchers associated with outputs of the research. [Having co-authors properly identified also helps in the general process of analysing bibliographic/metric information.]	The publisher should populate co-authors' institutional affiliation fields on CrossRef (including on acceptance if they register DOI then).	Co-authors affiliations
4	Identify funders of institutional research	In order to report to funders and show compliance levels.	The publisher should populate funding metadata, including funding body and grant number, in Funding Data (on CrossRef) and on the publisher's site.	Funding metadata

Ref	Institutional Need	Why?	Recommendation for best practice	Item
5	Ensure institutional readers/users understand what they may do with a given article and repository staff and related services act upon the correct article licensing terms.	To save time and effort in finding and searching for this information. Avoid duplication of effort. To enable tracking of OA compliance and know whether OA publishing terms have been fulfilled.	The publisher should ensure clarity of licensing terms at the article level and make this information available as soon as content is publicly exposed for each version of the article: Accepted Manuscript (AM) and Version of Record (VoR).	Article level OA licensing terms
6	Repository staff can give their institution's researchers efficient and accurate advice about whether a given journal complies with a given funder's requirements.	Funded authors need to publish according to funder mandates and requirements.	The publisher should ensure clarity of the overall licensing / policy position at the journal level for each version of the article - Accepted Manuscript (AM) and Version of Record (VoR) - including any embargoes for each.	Journal level OA licensing
7	Funded authors use a CC-BY licence when publishing Gold OA	Funders have mandated this and it removes time spent correcting errors.	The publisher should ensure a CC BY option is the <i>only</i> option available for authors <i>when</i> the funder requires this.	CC BY licence for gold OA
8	Institutional outputs deposited in Institutional Repositories comply with funder's policies concerning Green OA.	All institutional outputs must comply with funder's OA policies (in this case Green).	The publisher ensures that its embargo periods for green OA are set with due reference to the funders of the academic research community, and in any case are no more than 12 months for STEM subjects or 24 months for AHSS as absolute maxima.	Embargo periods for green OA

Ref	Institutional Need	Why?	Recommendation for best practice	Item
9	An authoritative letter of acceptance to the author providing all the details relevant to help manage the article correctly, and asking authors to forward the article to co-authors and librarians/repository managers.	This will save institutional staff time and duplication of effort and will prompt the author to upload their article to the Institutional Repository or to ask their IR staff to do so. It will provide clarity to authors and a single version of authority.	<p>The publisher should ensure that the acceptance letter to the author includes:</p> <ul style="list-style-type: none"> - A clear acceptance date - A clear statement on what the author may do with the Accepted Manuscript (AM) - A statement asking authors to forward the letter to their librarian or repository manager, and all of the co-authors (if they have not already been copied in). - The article's DOI (even if it is not yet formally registered on CrossRef but known internally). <p>Ideally a copy of the letter should go to the designated institutional OA contact.</p>	Author's acceptance letter
10	Authors need to upload a copy of their Accepted Manuscript (AM) to the IR at the date of acceptance.	This will save IR staff and publishers time in investigating details of the acceptance date and help to ensure that a correct version is deposited.	<p>The publisher undertakes to supply the author's accepted manuscript (AAM) to the author as an attachment to the acceptance email. This should be in the form that they permit to deposit on an open repository (i.e. already including any disclaimer or other statements that they require under these circumstances).</p> <p>The letter should be emailed to all authors, not just the corresponding author.</p> <p>OR: The letter should ask the corresponding author to forward it, together with the attached AAM, to the other authors.</p>	Author's accepted manuscript

Ref	Institutional Need	Why?	Recommendation for best practice	Item
11	Automatic notification that the paper has been accepted sent to a designated institutional or representative group service	This helps institutions comply with local policies. For example in the UK this helps institutions comply with the Research Excellence Framework (REF) OA policy as efficiently as possible.	The publisher undertakes to deliver an automated notification at or near acceptance of the paper to a designated institutional or representative group service, followed by updates at later stages of the publishing process.	Automated notification of acceptance
12	Key dates: the date of final acceptance, the date of publication and the start and end dates of any embargo period.	To help ensure any embargo period is correctly implemented. These are key dates required for repository deposit.	The publisher should pass on key dates (notably acceptance) in metadata, as well as on human-readable article-level pages. - Date of final acceptance - Date of publication - Start and end dates of any embargo period.	Key dates in metadata
13	Institutional researchers can harvest and text mine the whole of the OA (and non OA) journal content.	In order to do meaningful text and data mining in support of research. In the UK text/data mining is a copyright exception	The publisher should make it clear that they allow unrestricted machine access such as text/data mining to their OA content in hybrid journals: Non-OA content is mineable for non-commercial use. OA content is mineable for commercial use as well. If re-use of results is not allowed it should be explicitly stated.	Data mining / text mining



Publications Router

[Log in](#)[About](#)

Helping institutions capture their research articles onto their open repositories

Publications Router gathers information from content providers such as publishers and passes it on to institutions to help them capture their research articles onto their systems, such as their repositories or CRISs. The system is now open to new institutions.

[Read more about the benefits of Publications Router](#)

[See the list of participating publishers and other content providers](#)

[Read about the development of this project](#)

Find out how to get started if you're an [institution](#) or [publisher](#).

Recently added partners

Publishers

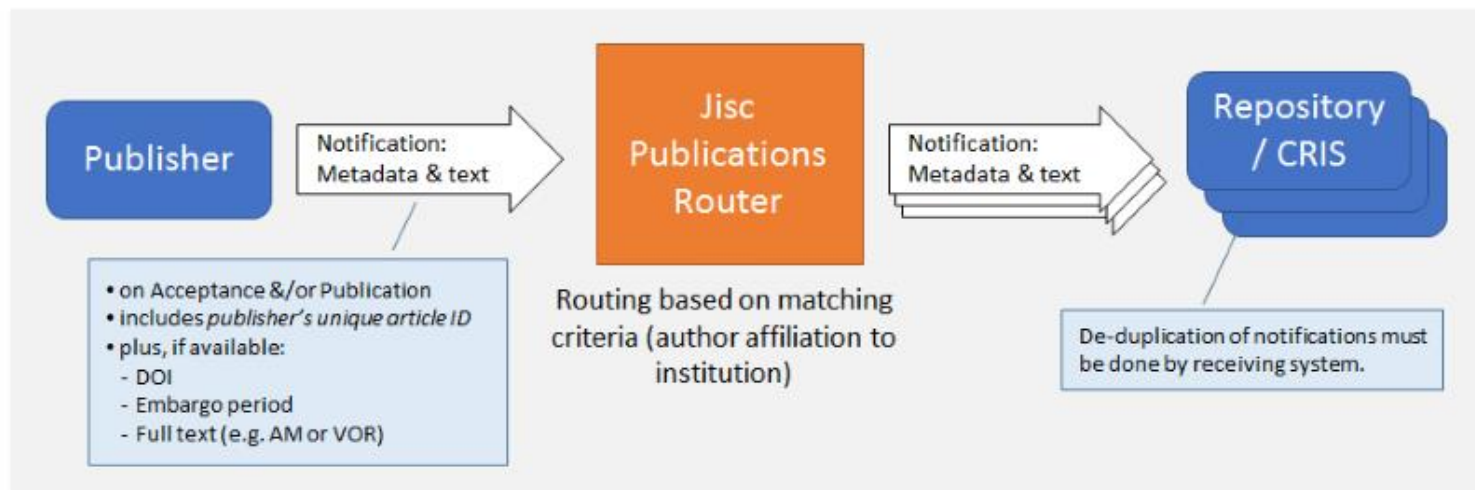
eLife
PLOS
Springer Nature

Institutions

University of Glasgow
University of Reading
University of the West of England, Bristol

How it works

Publications Router examines the affiliations of each article's co-authors to determine the appropriate target repositories (or CRISs), and delivers a notification about it (and often also the article itself) to the appropriate registered repositories or CRISs.



How this helps

By automating this process, the Router reduces administrative effort at institutions, alerts them to more of their outputs than they might otherwise be aware of, and helps maximise each article's distribution and exposure. Importantly, it also helps institutions comply cost-effectively with the open access policies of research funding bodies, notably the policy on open access and the REF.

Publishers

Name	What they provide, when
eLife	Metadata, full text (VoR) as PDF and XML, additional files associated with the article (illustrations, video etc) - daily, upon publication.
PLOS (Public Library of Science)	Metadata, full text (VoR) as PDF and XML, additional files associated with the article (illustrations, video etc) - daily, upon publication.
Springer Nature	Metadata, full text (VoR) as PDF and XML - daily, upon publication, or upon availability of "online early" version. Includes <ul style="list-style-type: none"> • For journals in the Springer imprint, UK co-authored articles that have been made gold OA under the Springer Compact agreement. • BioMed Central OA articles • SpringerOpen OA articles

Other providers

Name	What they provide, when
Europe PubMed Central	Metadata, full text (VoR) as PDF and XML of articles in the OA subset - daily, 30 days after publication to avoid repeated updates.
PubMed	Metadata only - daily upon creation in PubMed. These notifications will sometimes initially reflect versions in advance of final publication (for example, soon after acceptance, or at

Publisher-assisted Green OA: metadata requirements

To enable automated deposit/update into a repository

The information needed by the institution or its employees is:

- Deposit** of the authors' manuscript, **with provisional metadata**, at or soon after acceptance, to enable institutions to create a record in their systems, in compliance with both funder and publisher policies. In more detail, the information needed at this point is:
 - Acceptance date
 - Basic bibliographic information
 - Funder / grant
 - Affiliations of all authors / ORCIDs
 - Authors' manuscript
 - Embargo / release conditions, as far as these are known
 - Some means of matching this record with a later update

- Update** of that record on publication, **with the final metadata**, link to the version of record, etc. In more detail, the information needed at this point is:
 - Bibliographic information
 - DOI
 - Funder / grant
 - Authors' affiliations / ORCIDs
 - Acceptance date
 - Publication date
 - Dated article level CC licences for the authors manuscript
 - Some means of matching this record with an earlier deposit

Jisc Monitor: in development



The screenshot shows a web browser window displaying the Jisc Monitor project page. The main content area features a large, colorful area chart with multiple overlapping lines in shades of orange, pink, blue, green, and yellow. To the right of the chart, there is a sidebar with project details: 'Started 31 Jul 2014', 'Budget: £250k to £1m', and 'Expected outcome: New service'. Below this, there are tags for 'COLLABORATION' and 'OPEN ACCESS'. A search bar is visible with the text 'Are you looking for'. Below the search bar, there are links for 'GUIDE', 'Implementing open access', 'QUICK GUIDE', and 'Complying with open access policies'. At the bottom of the sidebar, there is a button that says 'Visit the project blog'. The browser's address bar shows the URL 'https://www.jisc.ac.uk/rd/projects/moni'. The Windows taskbar is visible at the bottom of the screen, showing various application icons and the system clock displaying '14:33 10/09/2016'.

We're providing a solution to help institutions monitor their open access activity more effectively.

Background

We carried out a pilot project in 2014 with inputs from over 60 institutions which completed in June 2015. Jisc Monitor examined how institutions (and the broader supply chain) might support and track open access (OA) publication processes, especially compliance and costs monitoring.

Are you looking for

- [GUIDE](#)
- [Implementing open access](#)
- [QUICK GUIDE](#)
- [Complying with open access policies](#)

[Visit the project blog](#)

Jisc Monitor APC Aggregation reports screencast

APC Count | Total Expenditure | Min, Max, Mean

Date APC paid: [Dropdown]

From: 01-01-2014

To: 01-01-2015

Choose publishers to display

Limit by Institution

15 count [Dropdown] OR

- UCL (3588)
- Imperial College London (548)
- University of Bristol (395)
- University of Birmingham (362)
- University of Manchester (123)
- Durham University (107)
- University of Sheffield (96)
- QMU (74)
- University of Sussex (47)
- University of Bangor (45)
- University of Lancaster (42)
- University of St Andrews (29)
- University of Bath (13)
- University of Plymouth (10)

Publisher	Number of APCs paid
Elsevier	1100
Wiley	900
Springer	320
Taylor & Francis	300
BioMed Central	280
Public Library of Science	260
Oxford University Press	250
BMJ Publishing	240
Sage	230
Nature Publishing Group	130

Number of APCs paid

Royal Holloway (8)

2:15 / 8:34

YouTube

Jisc Monitor APC Aggregation reports screencast

home publisher report institution report oa/hybrid report gold vs green duplicates search data

Expenditure Statistics by Institution

APC Count Total Expenditure Min, Max, Mean

Date APC paid

From: earliest date

To: latest date

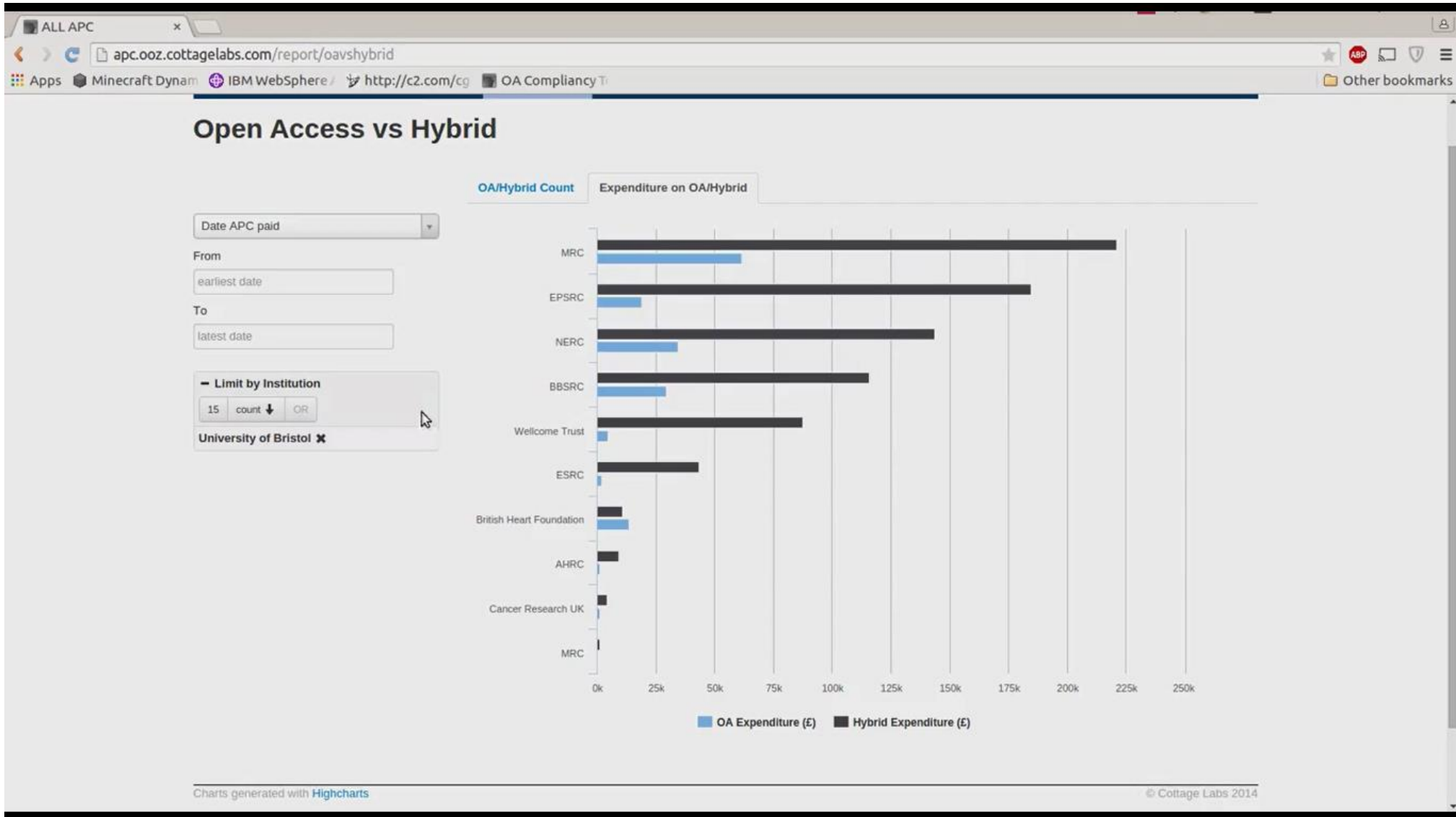
Choose institutions to display

Limit by Publisher: 15 count ↓ OR

- Elsevier (1723)
- Wiley (1477)
- Public Library of Science (511)
- Springer (461)
- BioMed Central (411)
- Taylor & Francis (390)
- Oxford University Press (368)
- BMJ Publishing (312)
- Royal Society of Chemistry (290)
- Sage (281)
- Nature Publishing Group (229)
- American Chemical Society (229)

Institution	APC Count (Approximate)
UCL	4000
University of Manchester	700
University of Bristol	600
Imperial College London	550
University of Sheffield	450
University of Birmingham	400
University of Southampton	350
University of Edinburgh	250
Durham University	200
University of Bath	150

3:37 / 8:34



Jisc Monitor APC Aggregation reports screencast

apc.ooz.cottagelabs.com/.../go-green

Apps Minecraft Dynam IBM WebSphere http://c2.com/cg OA Compliancy T Other bookmarks

home publisher report institution report oa/hybrid report **gold vs green** duplicates search data

Gold Publications for which Green was available

From a total of **8662** APC Records, **5010** could be looked up in [Sherpa Fact](#), and **3652** could not.

Category	Numbers of APCs
Total APCs	8662
Green Available	5010
No Green	3652
Maybe Green Available	~100
Could not tell	~100
Unable to look up	3700

Numbers of APCs

Charts generated with [Highcharts](#) © Cottage Labs 2014

7:36 / 8:34 YouTube

Relieving Pain Points makes the Value Proposition more Attractive to Libraries

Hybrid deals

- Constraining costs
 - Absolute costs
 - Administrative costs
- Compliance
 - Achieving it
 - Demonstrating it
- Realising benefits
 - Discovery
 - Impact

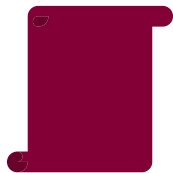


Image CC-BY: <https://www.flickr.com/photos/familymwr/5281262711>

Thank you for listening

A close-up photograph of a hand holding a white rectangular card. The card is held between the thumb and index finger, with the other three fingers visible above it. The card contains contact information in orange text.

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