

Challenges in Coding Information on Article Processing Charges (APCs) into Institutional Systems



The EC/OpenAIRE Gold Open Access Pilot (OpenAIRE2020 WP5)

The screenshot shows the OpenAIRE website interface. At the top left is the OpenAIRE logo. To its right are navigation links: a home icon, 'PARTICIPATE DEPOSIT, JOIN', 'SEARCH PUBLICATIONS, DATA, PROJECTS', and 'STATISTICS OA, PROJECTS, TOPICS'. The main content area features a news article titled 'Pilot Launched: Funding Open Access for Post-Grant FP7 Publications' with a date of 'on 23 February 2015.' Below the title are social media sharing buttons for Twitter (3 shares), LinkedIn (33 likes), and Google+ (4 shares). A yellow banner highlights the article's title: 'Gold Open Access Pilot for post-grant FP7 publications'. To the right of the banner is a large text block: 'European researchers to benefit from €4m fund to cover the costs of Open Access publishing for post grant FP7 publications'. Below this is a paragraph of text: 'Launching in Spring 2015, a pilot aimed at stimulating publishing in Open Access journals in Europe will provide funding to cover all or part of the costs of post-grant open access publishing arising from projects funded under the Seventh Framework Programme (FP7). The pilot forms part of the EU-funded OpenAIRE2020 project.'



The Gold OA Pilot: Some Basic Facts (I)

- **EUR 4m** funding provided by the EC to support Open Access publications from **post-grant FP7 projects** finished **no longer than 2 years ago**.
- Maximum of **three publications per project** to be funded (research articles, monographs, book chapters, contributions to conference proceedings) which meet the requirements described in the Pilot policy guidelines (to be shortly released).
- **No publications in hybrid journals** will be funded, only in fully Open Access titles. A €2,000 funding cap is in place.
- Pilot (soft) launched **beginning of May 2015**.
- A **central funding request system** available at the OpenAIRE portal, <https://goldoa-pilot.openaire.eu/>, for collecting requests from eligible FP7 projects, which researchers will be able to deliver either directly or via their institution.



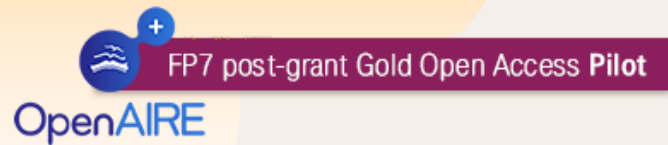
The Gold OA Pilot: Some Basic Facts (II)

- A **pool of European institutions** covering all OpenAIRE regions will work with LIBER during the Pilot kick-off stage in order to **align their strategies** for reaching out to eligible FP7 project researchers and their **OA publishing workflows** (including APC management).
- The **results of the work** carried out by these institutions will be presented and discussed at the LIBER 2015 Annual Conference in London, where a **Gold OA Pilot workshop** will be held, <http://www.liber2015.org.uk/workshops/#OpenAire>.
- There will be specific Gold OA Pilot outreach activities for the **OpenAIRE NOADs** in order to benefit from their collaboration for the Pilot dissemination and implementation
- More information on the Pilot, its planned workflows and its policy guidelines to be released soon. For collecting up-to-date news, please register with the Gold OA Pilot Newsletter at <https://www.openaire.eu/newsletter/view>



The Gold OA Pilot: Central Funding Request System

[SIGN IN](#) | [REGISTER](#)



[HOME](#) [SUPPORT](#) [CONTACT US](#)

Requesting funds for post-grant FP7 publications?

Use this service to request and monitor funding for Open Access publishing fees as described in the [EC FP7 post-grant Gold Open Access Pilot](#).

- **Researchers:** request funding through a guided process
- **Project Coordinators:** see funding opportunities and monitor project results
- **Institutions:** claim funding on behalf of your researchers, monitor your institution's FP7 post-grant traffic
- **Publishers:** deliver information on APCs, manage invoices, monitor journal FP7 post-grant traffic

SOME IMPORTANT INFO

- Only publications that fulfill [our guidelines and technical requirements](#) will be funded. Please read carefully before you proceed.
- Our service integrates data from various sources ([CORDA](#), [OpenAIRE](#), [CrossRef](#), "Open access article processing charges May 2014" database by Heather Morrison) so as to make the process as user-friendly as possible. Let us know how we can improve.

[Need more information?](#)

Is your project eligible?

Type your FP7 acronym/granted or project name to see if you can request funding for your publication

If you cannot find your project in our database, do not hesitate to [contact us](#)

[SIGN IN](#)

[New User? Start here](#)

➤ [View eligible projects by organization...](#)

The Context: Evolving Business Models in Scholarly Comms

The screenshot displays the MPG.PuRe website interface. At the top, there is a navigation bar with links for 'Login', 'Contact us', 'Disclaimer', 'Help', and 'English'. The MPG.PuRe logo and 'Publication Repository' text are on the left. A search bar with a 'Go' button and an 'Include files' checkbox is on the right. Below the navigation bar, there is a dark teal banner with 'START BASKET (0) TOOLS'. The main content area shows 'ITEM ACTIONS EXPORT' and 'Add to Basket' on the left, and 'Item Summary' and 'Item' on the right. A horizontal menu below the banner includes 'Summary', 'Details', 'Release History', 'Revisions', 'Statistics', and 'Local Tags'. The central focus is a publication record with the title 'Disrupting the subscription journals' business model for the necessary large-scale transformation to open access'. It includes a 'Released' icon, a 'Paper' icon, and a list of authors: 'Schimmer, Ralf' and 'Geschuhn, Kai Karin', both from 'Information, Max Planck Digital Library, Max Planck Society;'. The 'Fulltext (public)' section shows a file named 'MPDL_OA-Transition_White_Paper.pdf (Any fulltext), 2MB'. The 'Supplementary Material (public)' section states 'There is no public supplementary material available'. At the bottom, there is a 'Citation' section with a citation icon.

MPG.PuRe
Publication Repository

Login | Contact us | Disclaimer | Help | English

Search: Go
 Include files

START BASKET (0) TOOLS

ITEM ACTIONS EXPORT
Add to Basket

Item Summary
Item

Summary | Details | Release History | Revisions | Statistics | Local Tags

Released **Disrupting the subscription journals' business model for the necessary large-scale transformation to open access** Paper

MPS-Authors

Schimmer, Ralf
Information, Max Planck Digital Library, Max Planck Society;

Geschuhn, Kai Karin
Information, Max Planck Digital Library, Max Planck Society;

Fulltext (public)

MPDL_OA-Transition_White_Paper.pdf
(Any fulltext), 2MB

Supplementary Material (public)

There is no public supplementary material available

Citation

Challenges in APC Management at Institutions

UKSG SEMINAR

Managing open access: the first year of managing RCUK and Wellcome Trust OA funding at the University of Glasgow Library

Based on a paper presented at the UKSG seminar 'Managing Open Access', London, 20 May 2014

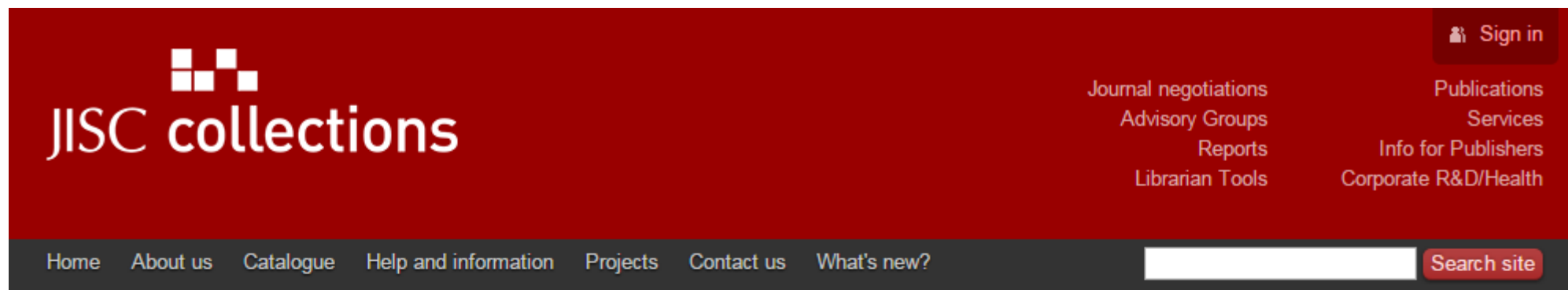
Susan Ashworth Affiliation: Deputy Director,
Valerie Mccutcheon Affiliation: Research Information Manager,
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University of Glasgow Library

Correspondence: Deputy Director, University of Glasgow Library, Room 810, University of Glasgow Library, Hillhead Street, Glasgow G12 8QE, UK+44 (0)141 330 6703 Susan.Ashworth@glasgow.ac.uk ORCID iDs: Susan Ashworth: <https://orcid.org/0000-0001-8649-5785> Valerie McCutcheon: <https://orcid.org/0000-0002-0705-4832> Laura Roy: <https://orcid.org/0000-0002-6462-7932>

Abstract

Many institutions have been awarded funds by the Research Councils UK (RCUK), in the form of a block grant, to cover the costs of article processing charges (APCs) for open access (OA). This article discusses how this grant (and also the open access fund awarded by the Wellcome Trust) is being managed at the University of Glasgow. It looks at the overall policy for managing these funds at the University and at the systems and processes set in place by the University Library to deal with this new area of activity. **There are significant challenges for institutions in managing individual APCs** and the article discusses some of these challenges. The new Research Excellence Framework (REF) policy on open access was introduced in March 2014 and will have implications for the management of open access by institutions. Finally, the paper looks at where next for OA management at the University.

Cross-Institutional APC Information Collection...



The header of the JISC Collections website features a dark red background. On the left, the JISC Collections logo is displayed in white, consisting of a grid of squares above the text 'JISC collections'. On the right, there is a 'Sign in' button with a user icon. Below the logo and sign-in button, a list of navigation links is provided: 'Journal negotiations', 'Advisory Groups', 'Reports', 'Librarian Tools', 'Publications', 'Services', 'Info for Publishers', and 'Corporate R&D/Health'. At the bottom of the header, a dark grey navigation bar contains links for 'Home', 'About us', 'Catalogue', 'Help and information', 'Projects', 'Contact us', and 'What's new?'. To the right of these links is a search bar with a 'Search site' button.

Jisc Monitor

[Jisc Monitor Publications](#)

APC data collection

[APC data collection spreadsheet - FAQ](#)

[Jisc Monitor Time Lines](#)

APC data collection

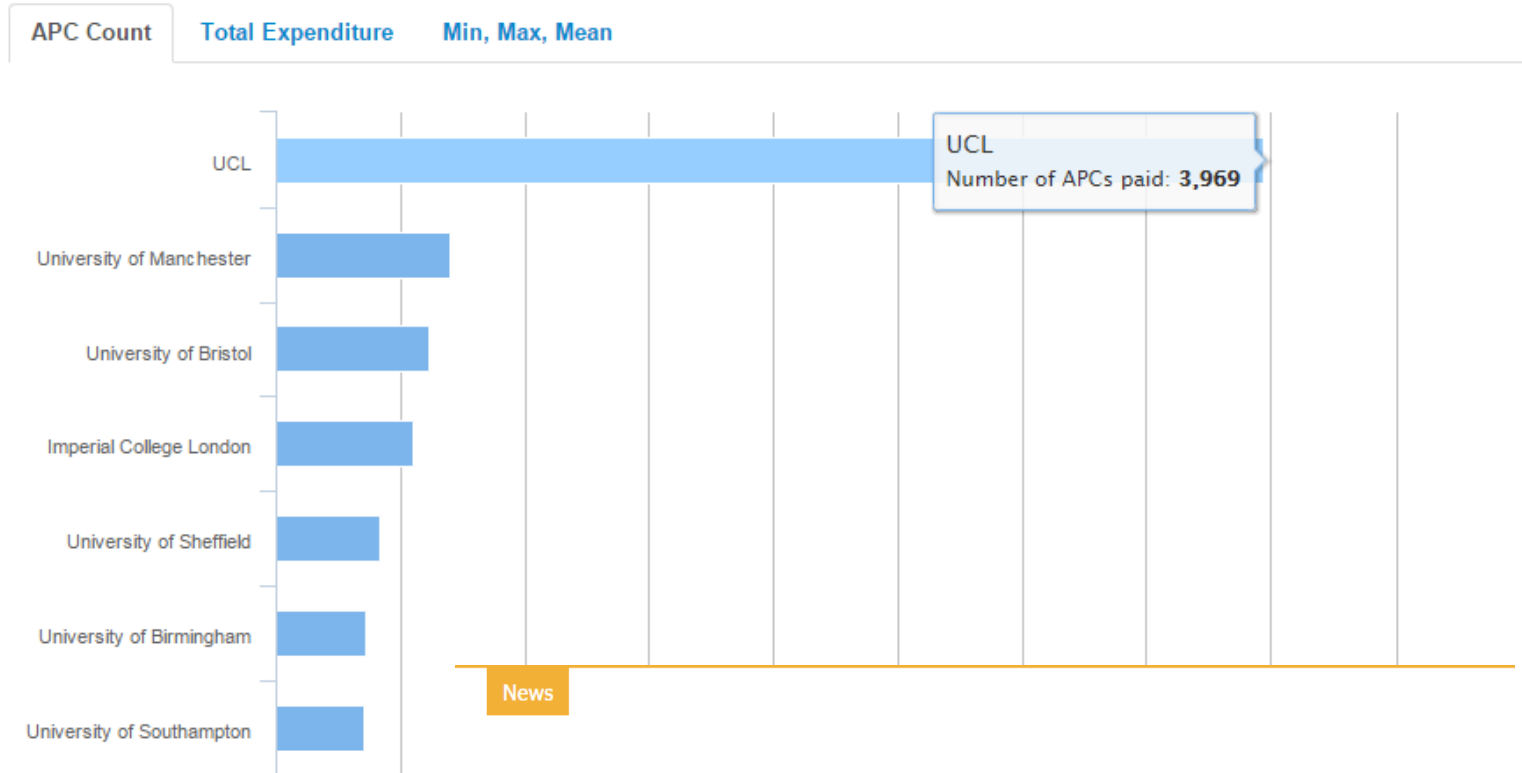
As a part of its work on negotiating the Total Cost of Ownership with journal publishers, in early 2014 Jisc Collections collected some data on **article processing charge (APC) payments** paid by a **sample of UK higher education institutions (HEIs)**. Jisc Collections have made anonymised aggregated copies of this data available, which has helped to raise awareness of the amount of money being paid for APCs, especially to certain publishers who also receive large sums in subscription costs. Jisc Collections has also released non-anonymised data from some institutions (e.g. **Imperial**, **University of Liverpool**, and **University of Sheffield**).

Since the community felt that this was valuable and has encouraged us to continue this work, Jisc Collections is extending its APC data collection to be something that we can help all HEIs with on an ongoing basis.

To download the spreadsheet either make a copy of [this Google doc spreadsheet](#) to work on or alternatively [download an Excel version](#).

... and some of its results

Expenditure Statistics by Institution



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)

News

Wiley and Jisc announce new open access agreement

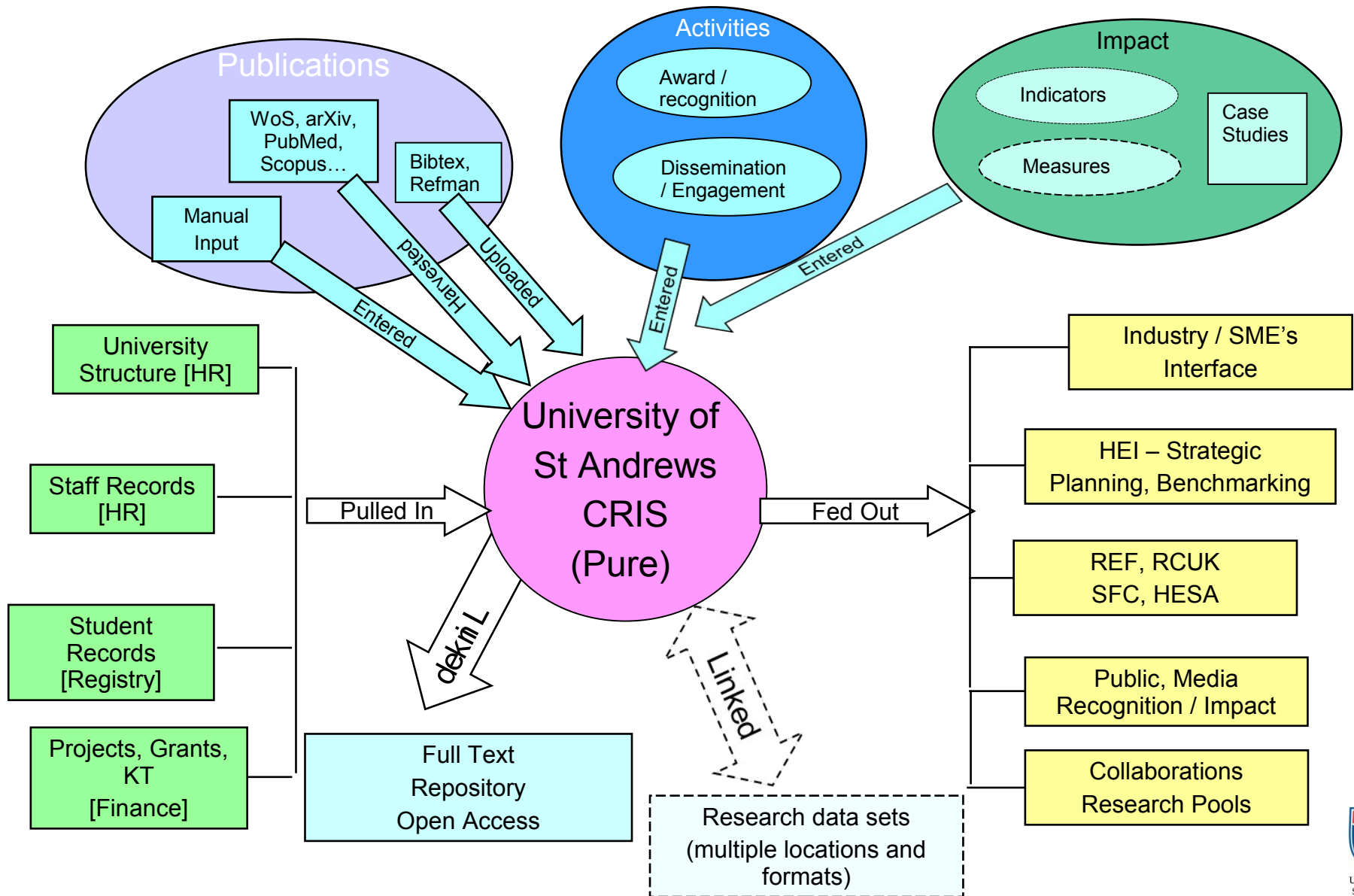
19 December 2014

Spreadsheets: a Suboptimal, Time-Consuming Option

Licence	Date paid / reported as paid	Gold	Payment method	Title	Publisher	Journal title (journals only)	DOI	Conference title	UCL author	Research Council (1)	Research Council (2)
CC BY	26/03/2014	Gold	Invoice	IL-21 Promotes CD4 T Cell	American Association of Immunologists	Journal of Immunology	10.4049/jimmunol.1302082		Lucy Waite	MRC	
CC BY	09/10/2013	Gold	Invoice	Electron Beam-Induced W	American Chemical Society (ACS)	Journal of Physical Chemistry	10.1021/jp405640a		Geoff Thorpe	EPSRC	
CC BY	09/10/2013	Gold	Invoice	Shedding light on structure	American Chemical Society (ACS)	Macromolecules	10.1021/ma401311s		Martijn Zwambag	EPSRC	
CC BY	16/12/2013	Gold	Invoice	Lysine and arginine cont	American Chemical Society (ACS)	Molecular Pharmacology	10.1021/mp4004749		Jim Warwicker	EPSRC	
CC BY	05/02/2014	Gold	Invoice	Loop Interactions and Dy	American Chemical Society (ACS)	Journal of the American Chemical Society	10.1021/ja408184x		Micha B. A. van Meijeren	BBSRC	
CC BY	05/02/2014	Gold	Invoice	Computing Clinically Rele	American Chemical Society (ACS)	Journal of Chemical Theory and Computation	10.1021/ct4007037		Dave Wright	EPSRC	
CC BY	02/04/2014	Gold	Invoice	Bio-inspired hydrogenas	American Chemical Society (ACS)	Organometallics	10.1021/om400691q		Katherine M. Lancaster	EPSRC	
CC BY	14/04/2014	Gold	Invoice	Modelling excited states	American Chemical Society (ACS)	Journal of Chemical Theory and Computation	10.1021/ct4010273		Enrico Berens	EPSRC	
CC BY	23/04/2014	Gold	Invoice	Imidazol-1-ylethylindazo	American Chemical Society (ACS)	Journal of Medicinal Chemistry	10.1021/jm401881q		David Selwyn	MRC	
CC BY	14/05/2014	Gold	Invoice	Contact-free scanning an	American Chemical Society (ACS)	Analytical Chemistry	10.1021/ac402748j		Guy Moss	BBSRC	EPSRC
CC BY	11/06/2014	Gold	Invoice	Using Metallic Non-Cont	American Chemical Society (ACS)	ACS Nano	10.1021/nn501785q		David Gao	EPSRC	
CC BY	18/06/2014	Gold	Invoice	A Quantitative Structural	American Chemical Society (ACS)	Journal of Chemical Physics			Chi Pang	EPSRC	
CC BY	04/12/2013	Gold	Invoice	Terahertz imaging of sub	American Institute of Physics (AIP)	Applied Physics Letters	10.1063/1.4836195		Oleg Mitroshin	EPSRC	
CC BY	30/01/2014	Gold	Invoice	3µm aperture probes for	American Institute of Physics (AIP)	Applied Physics Letters	10.1063/1.4861621		Oleg Mitroshin	EPSRC	
CC BY	26/02/2014	Gold	Invoice	Binary droplet collision s	American Institute of Physics (AIP)	Physics of Fluids	10.1063/1.4866146		Kai Luo	EPSRC	
CC BY	14/05/2014	Gold	Invoice	Competition between ph	American Institute of Physics (AIP)	Journal of Chemical Physics	10.1063/1.4874643		Helen Fiel	EPSRC	
CC BY	14/05/2014	Gold	Invoice	Benchmarking the perfor	American Institute of Physics (AIP)	Journal of Chemical Physics	10.1063/1.4871873		Angelos M. Katsoulis	EPSRC	
CC BY	25/06/2014	Gold	Invoice	Imaging of buried phosph	American Institute of Physics (AIP)	Applied Physics Letters	10.1063/1.4884654		Neil Curson	EPSRC	
CC BY	23/07/2014	Gold	Invoice	Deformation t-cup: a new	American Institute of Physics (AIP)	Review of Scientific Instruments			Simon Hurst	NERC	
CC BY	15/01/2014	Gold	Invoice	Choice of boundary condi	American Physical Society (APS)	Physical Review E	10.1103/PhysRevE.89.023303		Rupert W. Eason	EPSRC	
CC BY	29/01/2014	Gold	Invoice	Half-filled orbital and un	American Physical Society (APS)	Physical Review B	10.1103/PhysRevB.88.035440			EPSRC	

Gold CC BY by article /
 Gold other CC_by article /
 Gold not CC_by article /
 Problems_paid not OA_by article /
 Green_by article /
 Gold_by publisher /
 Gold_Green by journal /
 Publication charges_by paper /

Could Alternatives to Spreadsheets Become Available?



Candidates: Institutional Systems (Repositories, CRISs, Others)

Edit item: Rokhlin dimension and C*-dynamics

Type → Upload → Details → Subjects → Funding → Open Access → rioxx

< Previous Save and Return Cancel Next >

Costs

Estimated Cost: 2000 ?

Actual Cost: 1617.88 ?

VAT Added: 323.58 ?

Date Paid: Year: 2015 Month: March Day: ?

Pre Payment: UNSPECIFIED Yes No ?

APC Fund: UNSPECIFIED COAF RCUK MRC SPHSU Third Party Gold Other ?

★ Type ?

Green Gold No OA Option Outwith Scope Pending No Green Option Other

Some Issues to Tackle

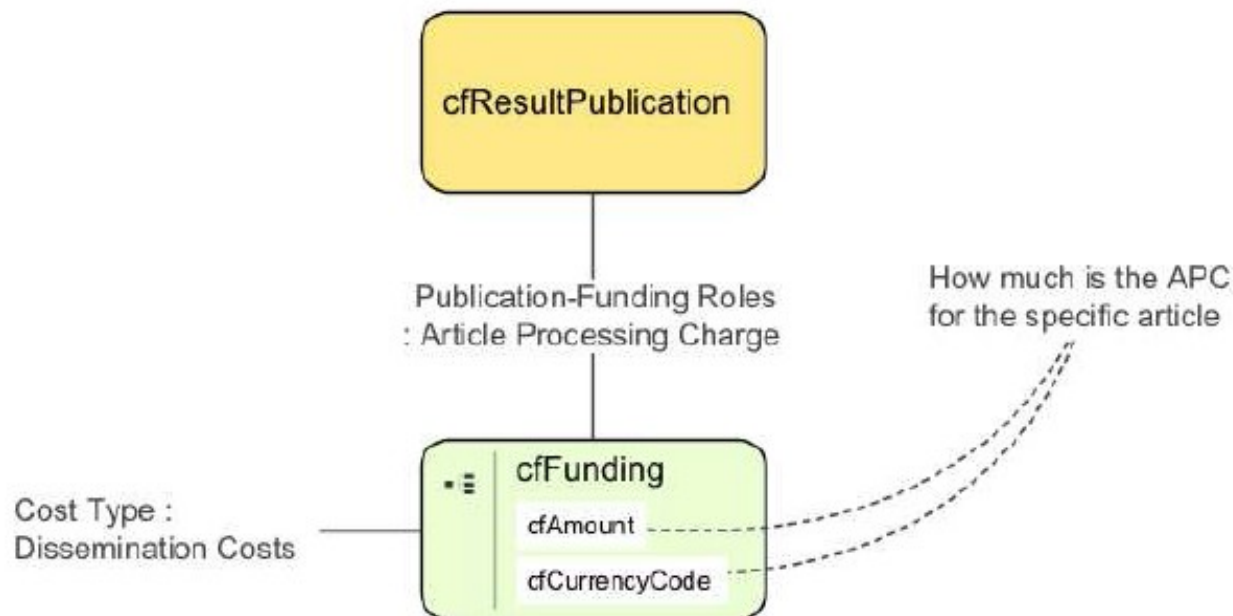
- Information on APC payments includes **both bibliographic and economic metadata**, thus sitting at the crossroads of the Finance module and any research information mgt system (repository, CRIS or any other one).
- The way APC payments get coded **into Finance systems** is suboptimal at the time (far from straightforward too).
- There is a strong culture among researchers to deal with APC payments on their own **without letting the institutions know** about these processes. This does not help collecting a picture of the global Open Access expense incurred by HEIs.
- APC payments should ideally be linked to the **publication**, the **author(s)**, the **project**, the **funder** and the **institution** (often several of them due to co-authorships). This is a complex (*if familiar*) model...

Modelling APC Payments in CERIF

Technically, recording the APC of an article in CERIF is not difficult. CERIF has all the building blocks in place, so we only need to use them to the desired effect.

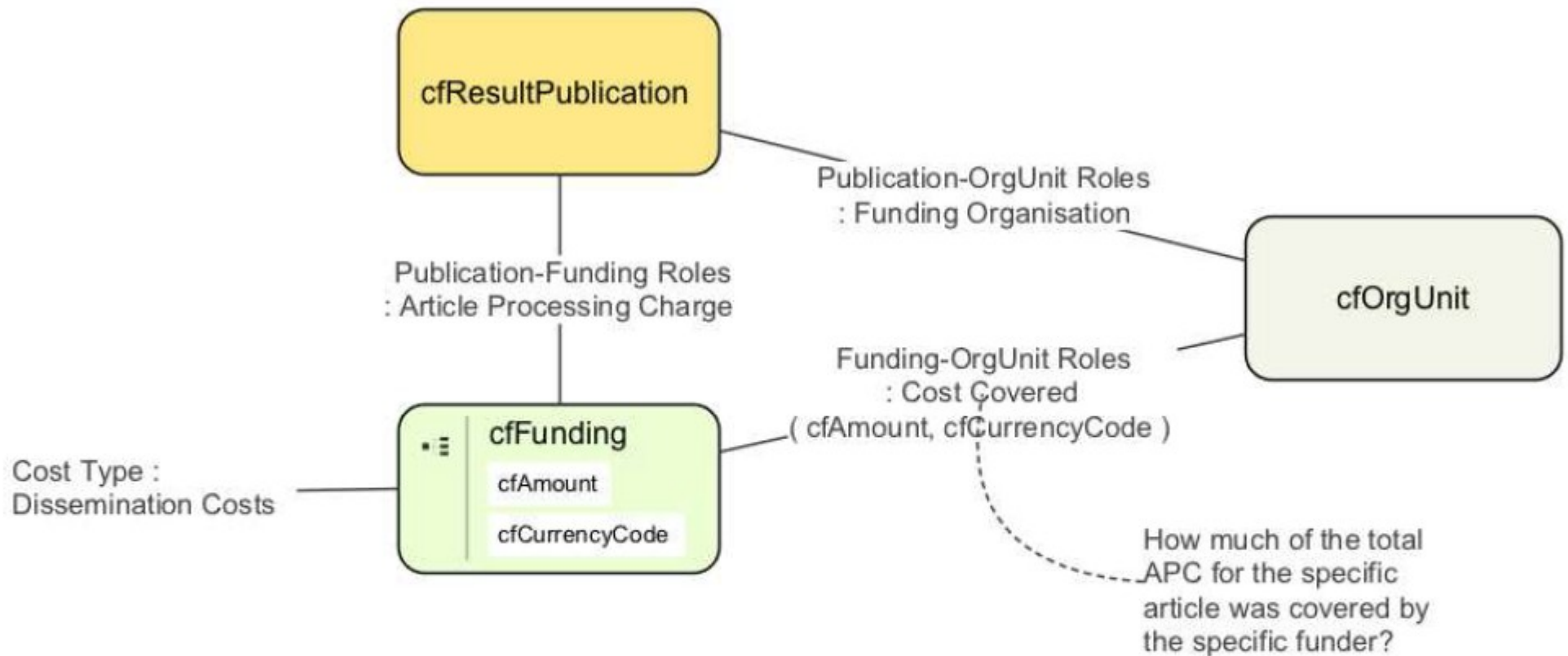
Assume we want to record the APC of an article. That article is represented as a `cfResultPublication` instance. Now we insert a `cfFunding` instance that:

1. records the amount (`cfAmount`) and the currency (`cfCurrencyCode`) of the APC;
2. is typed as “Dissemination Costs” (using a unary classification) – `cfFunding_Classification`;
3. is linked to the article (with a role of “APC”) – `cfResultPublication_Funding`.



Modelling APC Payments in CERIF (II)

In the end it's going to be a funder, possibly several of them:



In this way the APC can be tracked conveniently in CERIF. CERIF's flexibility allows of even greater level of detail. One could, for instance, track the APC invoices from the publishers to the paying institutions. We'll elaborate on this in a later blog post, if there is interest.

Thanks!