

Transform2Open

Cost monitoring, criteria, competencies, and processes of the Open Access transformation

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openCost expert workshop

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DESY, Hamburg

Transform2Open

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Partners

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- Forschungszentrum Jülich, Zentralbibliothek
 - Bernhard Mittermaier, Irene Barbers
- Universität Potsdam, Universitätsbibliothek
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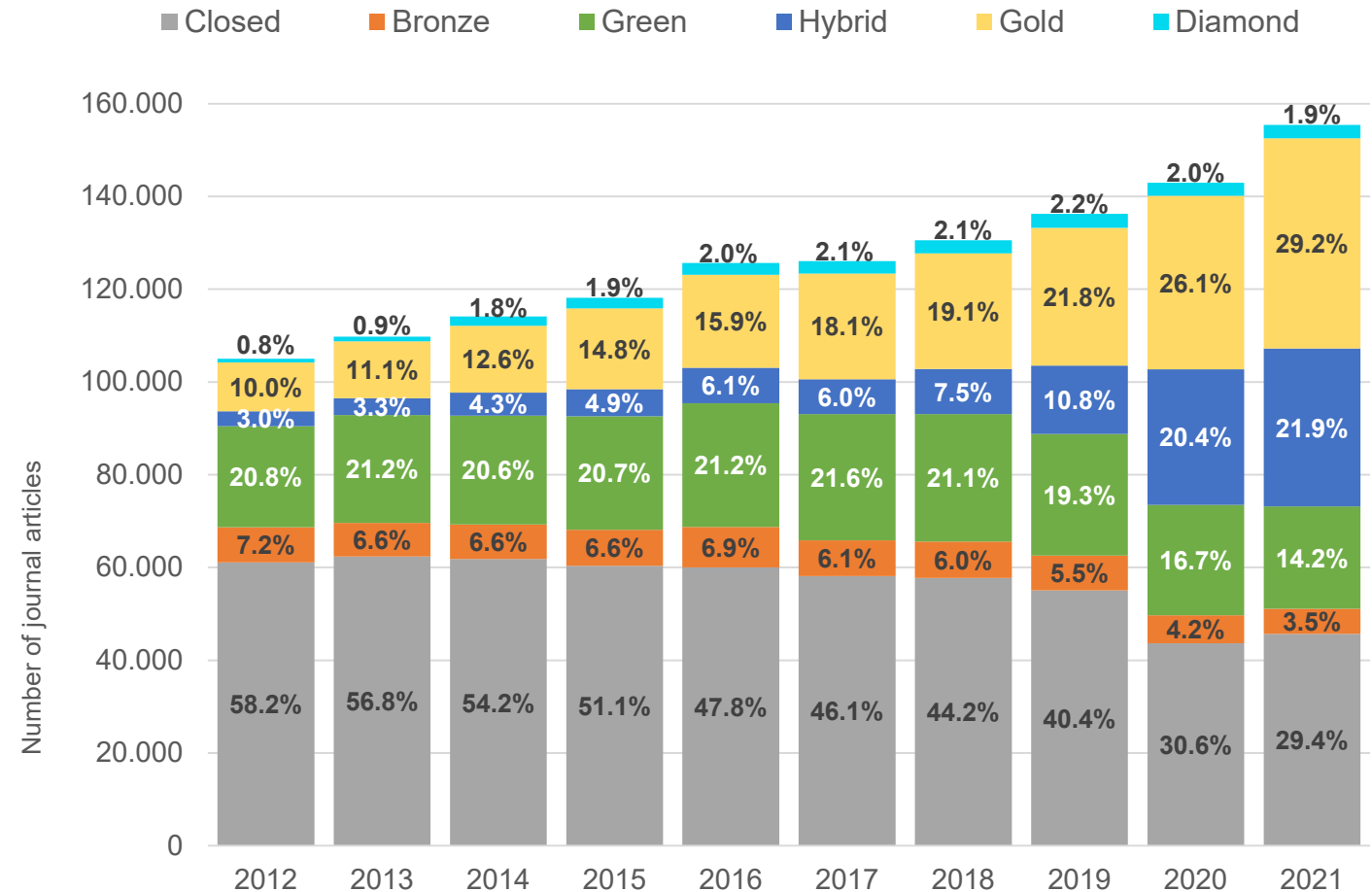
Project objectives

A contribution to shape the Open Access transformation by

- Improvement and further development of cost monitoring
- Promoting the interplay of library budgets, third-party funding, and other financial resources
- Further development and internationalization of recommendations for contracts with commercial publication service providers
- Optimization of workflows around the management of publications and the associated metadata and invoices
- Promoting transparency concerning the financial framework conditions of the OA transformation
- Identifying organizational structures and competency profiles for OA transformation at scientific institutions

Preliminary works

- Forschungszentrum Jülich:
 - Open Access Monitor Deutschland
 - Records systematically all publication costs and types
 - Runs a publication fund
 - Monitors the DFG funding program OA publication costs 2022-2027
 - Gets support from the DFG's OA publication costs funding program 2022-2024

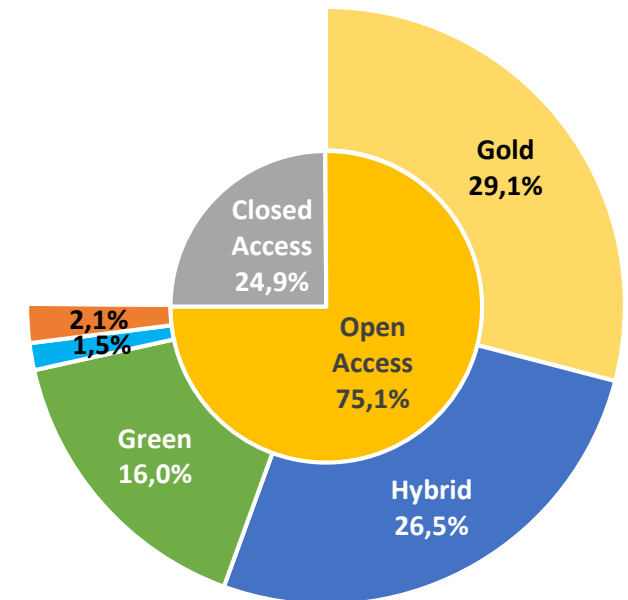


Open Access share in Germany 2012-2021

Source: Open-Access-Monitor: <https://open-access-monitor.de>
 [as of: 2022-09-17 / data basis: Web of Science]

Preliminary works

- Helmholtz Open Science Office:
 - Is involved in a wide range of open science initiatives and projects
 - Organizes the task group OA Transformation in the Helmholtz Association
 - Working on recommendations for transformation contracts in the framework of the Alliance of German Science Organizations
- University of Potsdam:
 - Records systematically all publication costs and types
 - Runs a publication fund
 - Gets support from the DFG's OA publication costs funding program 2022-2024
 - Provides data for the budget distribution model
 - In 2021 75% OA and for the first time Gold OA most chosen publication form



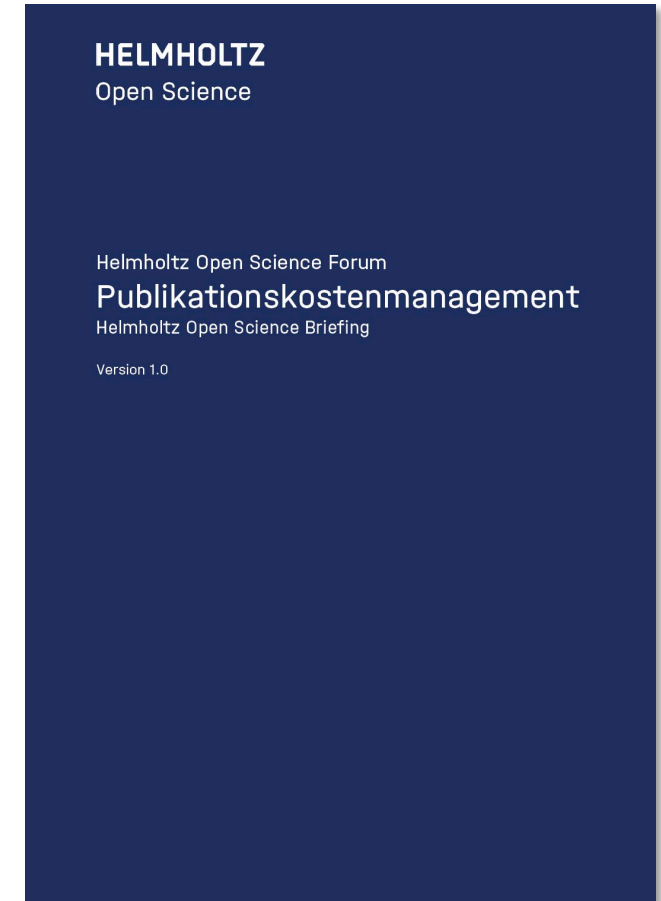
University of Potsdam Open Access quota 2021

Source: Open-Access-Monitor: <https://open-access-monitor.de>
[Filter: Universität Potsdam – as of: 2022-08-03 / data basis: Web of Science]

Publication cost management in Helmholtz

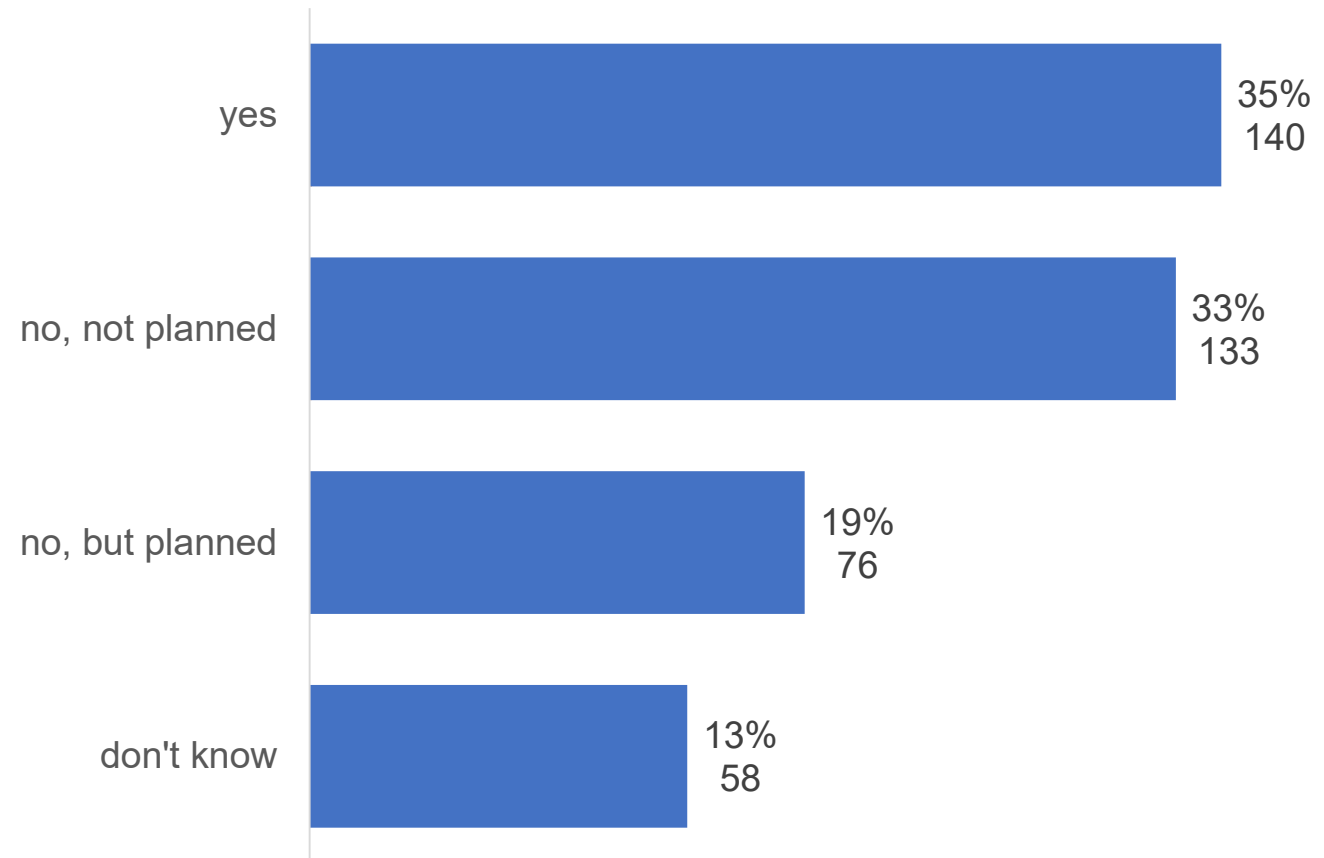
- On September 14, 2022, the Helmholtz Open Science Office hosted a Helmholtz Open Science Forum on the topic of publication cost management.
- The virtual event was dedicated to the challenges of monitoring and analyzing publications and costs in the context of the Open Access transformation.
- Together with the speakers and around 50 participants from Helmholtz, strategies and practices of the Helmholtz Centers and their libraries in this field of action were highlighted.

Report of the Helmholtz Open Science Forum:
Publikationskostenmanagement. Version 1.0. (2022).
<https://doi.org/10.48440/os.helmholtz.053> (German only)



Options4OA: Cost monitoring

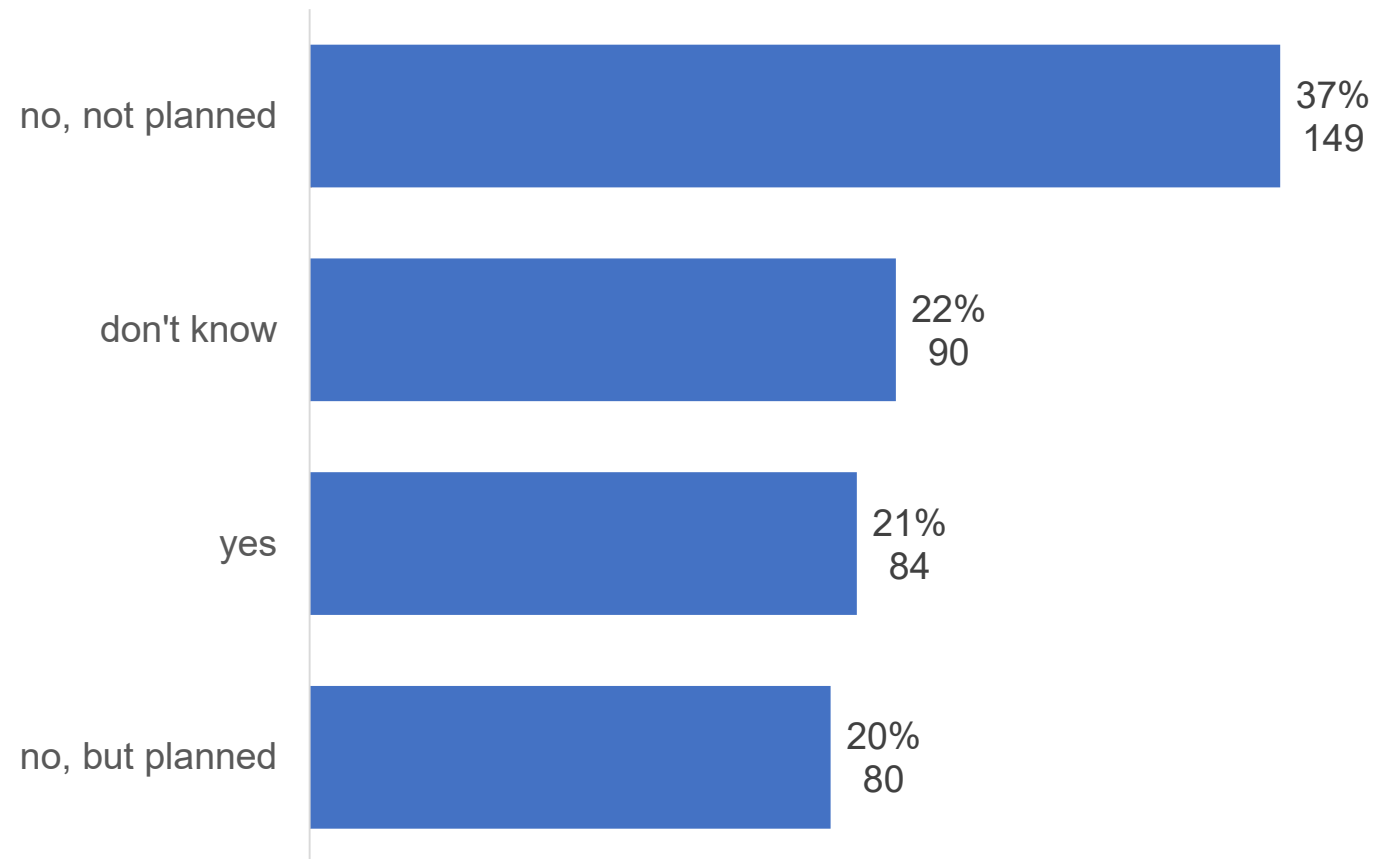
Does your institution measure the percentage of OA publications as a proportion of publication output per year?
N=402



Options4OA: Cost monitoring

Are expenditures for OA publication costs centrally registered at your institution?

N=403



Cost monitoring

- Allocate the costs for each publication
- Metadata per publication:
 - Bibliographical metadata
 - Legal metadata (licenses, ...)
 - Technical metadata (date information, formats, ...)
 - Contract metadata (if allocated)
 - Financial metadata
 - Type of publication charges (OA fee, hybrid, submission fee, page charges, ...)
 - Amount of publication charges (gross and net amount, currency, ...)
 - Organizational metadata (author/person, organizational unit, funding, ...)

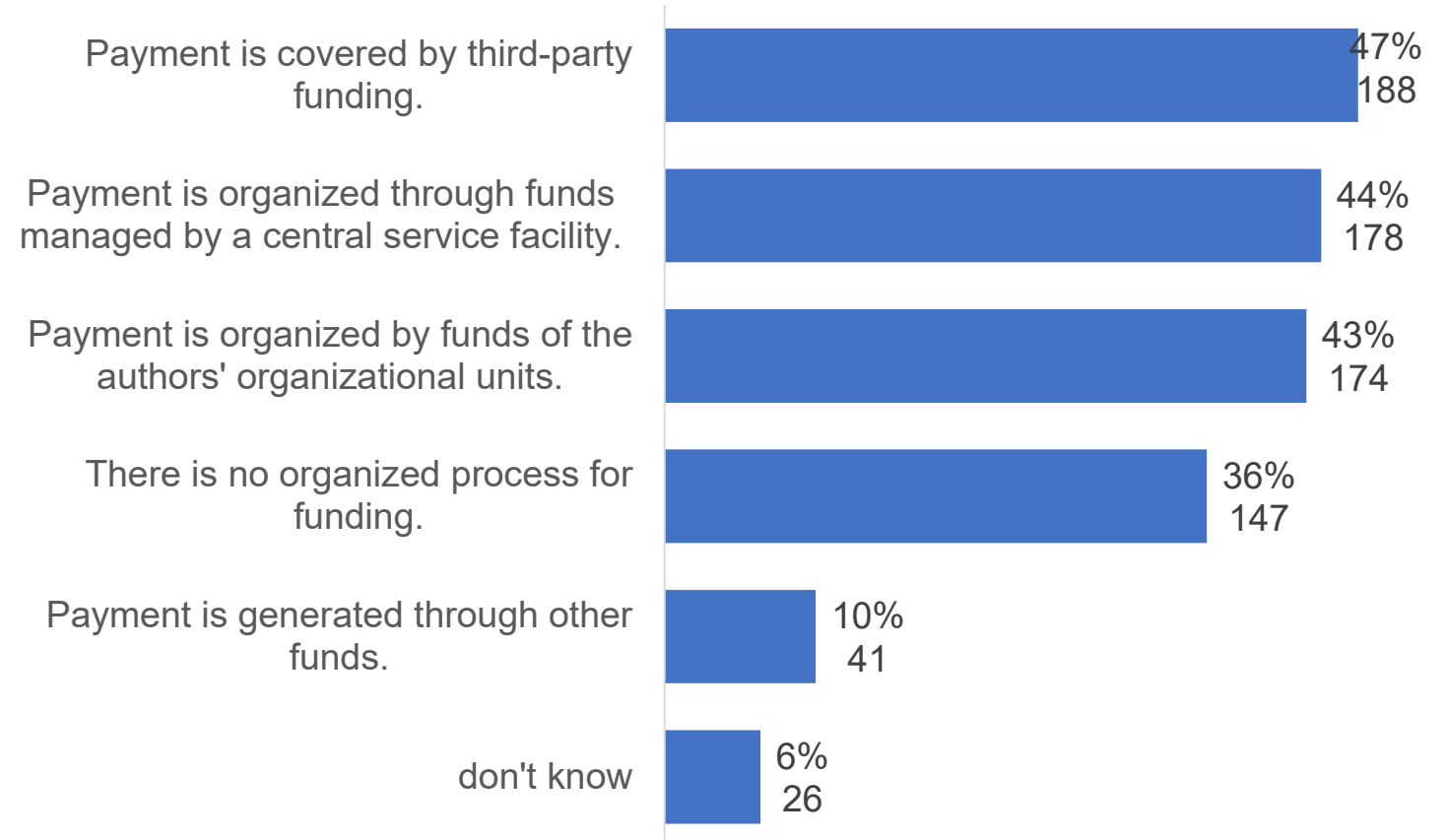
Cost monitoring

- Work package 1, lead by FZ Jülich
- Objectives: Improvement and further development of cost monitoring
- Full overview of the costs for scientific publishing in the institutions
- Elaborate strategies for setting up structures that ensure comprehensive cost monitoring
- Exploring opportunities for the establishment of institutional information budgets
- Input from the openCost project is taken into account
- Tasks:
 - Public workshop: technical and organizational aspects, elaboration of problem areas and needs for action, reporting tool for DFG monitoring
 - Procedere report on cost monitoring: workshop documentation and public comment, experiences from institutions and DFG reporting tool
 - Handout for decision makers at scientific institutions: process design for cost monitoring, establishing an information budget, openCost: recommendations for technical implementation
 - Coordination with openCost: suggestions for metadata scheme and harvesting

Options4OA: Funding diversity

How is OA publication fee funding organized at your institution?

N=403



Cross-organizational use of financial resources

- Work package 2, lead by OS Office
- Objectives: Fostering the interplay of library budgets and third-party funding
- Pooling of different financial resources into one overarching information budget
- Achieving transparency in the financial flows
- Tasks:
 - Experts workshop: elaborating best practices to bring together budgets and funding
 - Overview of existing practices and experiences
 - Handout preparation in interaction with stakeholders: guideline for the centralization of financial resources, feedback as requests for comments process

Criteria catalog

- Plan S and cOAlition S principles
- less coordination in contract negotiations in Germany
- integrative approach on a national level in order to take into account the specifics of the German science system

Criteria catalog

- Work package 3, lead by OS Office
- Objectives: Further development and internationalization of recommendations
- Formation of a minimum standard as a basis for future negotiations
- Standard for the general configuration of publishing services
- Basis for sustainable transformation negotiations at an international level with minimum and maximum demands
- Tasks:
 - Stakeholders workshop: elaborating best practices and further development of the minimum standard, pointing out procedures for implementing the standard
 - Translation and communication
 - International workshop: discussion of minimum standard

Process optimization

- Ineffective workflow
- Manual processing
- High personnel expenditure

Requests Reporting

Search all requests
Search by Manuscript ID, Digital Object Identifier (DOI) or Author email

Filters
Status
 Open
 Approved
 Rejected

Latest update [v] < Previous Page 1 of 26 Next > Showing 1 to 10 of 259 requests

DEAL Hybrid Requested: 01 Oct 2022 | Open

Approved Requests (194) Request Report

Request Date	Request Status	Author Name	Journal	Amount	Publication Status
View 28 Sep 2022	Approved	Maria R.P. Sudiby	Journal of Geophysical Research: Solid Earth	N/A	Published in Issue
View 27 Sep 2022	Approved	Pablo Wessig	ChemistrySelect	N/A	In Production
View 21 Sep 2022	Approved				
View 22 Sep 2022	Approved				
View 10 Sep 2022	Approved				
View 26 Aug 2022	Approved				
View 29 Aug 2022	Approved				
View 23 Aug 2022	Approved				
View 12 Aug 2022	Approved				
View 08 Aug 2022	Approved				
View 04 Aug 2022	Approved				
View 31 Jul 2022	Approved				

Request Report

Institution selection

Email

IP address

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Approved : 29 Sep 2022

Institution selection

Email

IP address

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Overview of Articles

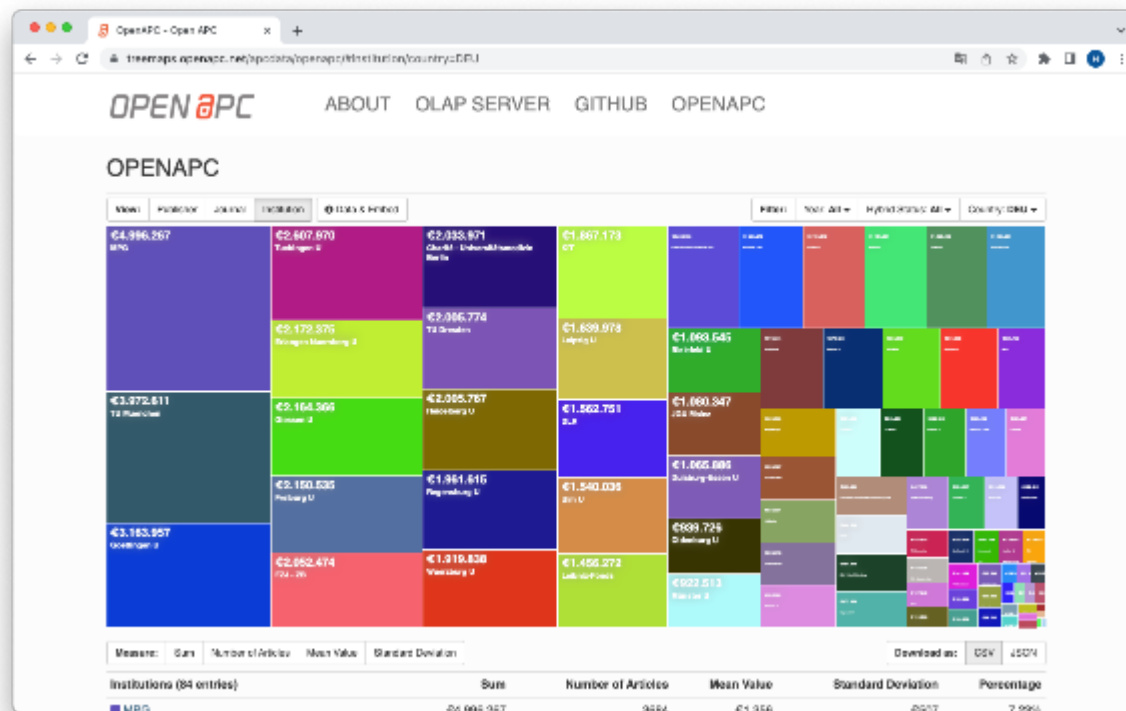
115 All 1 Pending 110 Approved 4 Declined

ID	TITLE	MATCHING REASON	DECISION STATUS	DECISION DATE
1049356	Exercise or Not? An Empirical Illustration of the Role of Behavioral Alternatives in Exercise Motivation and Resulting Theoretical Considerations	Payer-Funder	Pending	
1039534	Dpe2/phs1 revealed unique starch metabolism with three distinct phases characterized by different starch granule numbers per chloroplast, allowing ...	Email	Approved	20 Sep 2022
1033488	The Impact of Social Comparison Processes on Self-Evaluation of Performance, Self-Concept, and Task Interest	Payer-Funder	Approved	20 Sep 2022
1020954	Force parameters decline in the course of 30 repeated maximal adaptive isometric-eccentric muscle actions of elbow flexors and show different behav...	Payer-Funder	Approved	25 Aug 2022
1016401	The Mysterious Adventures of Detective Duke: How Storified Programming MOOCs Support Learners in Achieving their Learning Goals	Payer-Funder	Approved	16 Aug 2022
1012478	Design Thinking Practices for Capabilities in the Digital World: A Bibliometric Analysis of Emerging Trends	Payer-Funder	Approved	20 Sep 2022
1012471	Biomechanics and lower-limb function are altered in athletes and runners with Achilles tendinopathy compared with healthy controls: A systematic re...	Affiliation	Approved	08 Aug 2022
1008545	Measuring the Effects of Course Modularizations in Online Courses for Life-long Learners	Payer-Funder	Approved	08 Aug 2022

Process optimization

- Work package 4, lead by Univ Potsdam
- Objectives: Improvement of the cooperation between scientific institutions and publishers
- Optimization of workflows related to the management of publications as well as associated metadata and invoices
- Focus on electronic invoice processing and metadata management
- Revision of existing generic standards and shaping an automation workflow
- Potential of intermediary institutions and service providers
- Tasks:
 - Recommendations for action: development of a draft, best practices, measures for the standardization and enhancement of schemas and workflows
 - Public workshop to discuss the recommendations for action, practice-oriented optimization, prototypical implementation
 - Revision and publication of the recommendations for action, guide for implementation

Transparency initiative



- 89 institutions from Germany participating in OpenAPC (as of September 2022)
- Request for stronger transparency with regard to contractual agreements with publishers by BMBF, Alliance of Science Organizations, European Commission

<https://treemaps.openapc.net/apcdata/openapc/#institution/country=DEU>

Transparency initiative

- Work package 5, lead by OS Office
- Objectives: development of a concept for a national transparency initiative
- Transparency concerning the financial framework of the OA transformation, also in the context of traditional subscription contracts
- Cost transparency to negotiate with publishers on an equal level
- Intended cooperation with DEAL, OpenAPC, openCost, OA Monitor
- Tasks:
 - Elaboration of a concept for a transparency initiative: status of transparency initiatives in Europe, status of implementation of BMBF requirements regarding cost transparency, measures to disclose the terms of contracts with publishers
 - Public workshop to discuss the concept
 - Prototypical implementation, publication of the concept

Competencies

- Work package 6, lead by Univ Potsdam
- Objectives: development of flexible organizational structures and competence profiles for people in the context of changed framework conditions resulting from the OA transformation
- Addresses the organizational aspects of the OA transformation in libraries
- Job profiles for the handling of OA tasks and extended service portfolios at scientific institutions
- Tasks:
 - Development of competence profiles at academic libraries: based on current practice and prospective fields of activity, focus on education, training and career changers
 - Public workshop to discuss the competence profiles and organizational aspects
 - Review and publication of the competence profiles

Planned project flow

- Project management and public relations, work package 7, lead by OS Office

	Year 1 (2023)				Year 2 (2024)				Year 3 (2025)			
Quarter	1	2	3	4	1	2	3	4	1	2	3	4
WP 1												
WP 2												
WP 3												
WP 4												
WP 5												
WP 6												
WP 7												
Mile stones	1	6	4	11	2, 9	12, 14	7	5	8, 13	3, 10	15	16

Summary of tasks

WP	Task	Description
1	T1.1	Organization of a public workshop on the topic of cost monitoring
	T1.2	Elaboration of a report
	T1.3	Elaboration of a handout for decision makers
	T1.4	Ongoing coordination with the openCost project
2	T2.1	Organization of a workshop (by invitation) on the topic
	T2.2	Elaboration of a handout in dialog with relevant stakeholders
3	T3.1	Addition of best practices to the recommendations
	T3.2	Translation and communication
	T3.3	Internationalization
4	T4.1	Elaboration of a draft for recommendations for action
	T4.2	Public workshop to discuss the recommendations for action
	T4.3	Revision and subsequent publication of the recommendations for action

Summary of tasks

WP	Task	Description
5	T5.1	Elaboration of a concept for a transparency initiative
	T5.2	Public workshop to discuss the concept
	T5.3	Prototype implementation
6	T6.1	Elaboration of competence profiles at academic libraries
	T6.2	Public workshop to discuss the competence profiles
	T6.3	Revision and subsequent publication of the competence profiles
7	T7.1	Project control
	T7.2	Monitoring of project progress
	T7.3	Public relations
	T7.4	Cooperations
	T7.5	Final report

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2023-2025 | DFG project number: 505575192

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Project proposal:

Bertelmann, R., Mittermaier, B., Kostädt, P., Barbers, I., Höhnow, T., Ferguson, L. M., Pampel, H., Antonia C., S., & Weisweiler, N. (2022). Transform2Open. Kostenmonitoring, Kriterien, Kompetenzen und Prozesse der Open-Access-Transformation. Helmholtz Open Science Office. <https://doi.org/10.48440/os.helmholtz.054>