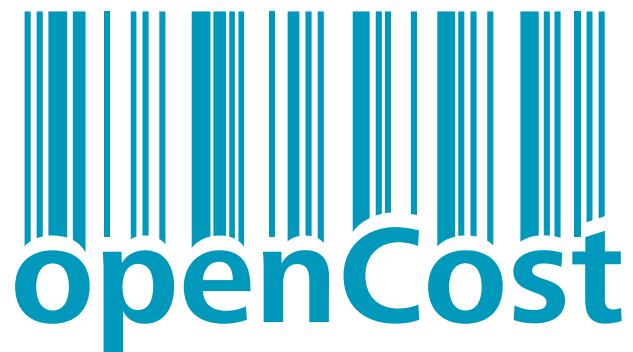


Bianca Schweighofer & Alexander Wagner (Eds.)



The Road to Publication
Cost Transparency

Proceedings of the Expert Workshop
Hamburg, October 05th – 07th 2022



Verlag Deutsches Elektronen-Synchrotron DESY
Hamburg
2023

Proceedings of the Expert Workshop
openCost —
The Road to Publication Cost Transparency



Hamburg, October 05th – 07th 2022

All presentations are available via

<https://indico.desy.de/event/35620>

Verlag Deutsches Elektronen-Synchrotron DESY
Notkestraße 85, 22607 Hamburg, Germany

[DESY-PROC-2023-01](#)

June 2023

ISSN 1435-8077

ISBN 978-3-945931-45-5

doi:[10.3204/PUBDB-2023-02961](https://doi.org/10.3204/PUBDB-2023-02961)



openCost is funded by grant [457354095](#).



This is an Open Access publication distributed under the terms of the [Creative Commons Attribution License 4.0](#), which permits unrestricted use, distribution, and reproduction in any medium, provided the original work is properly cited.

Typeset by lua^BTeX

Transform2Open – Cost monitoring, criteria, competencies, and processes of the Open Access transformation

Heinz Pampel¹

Helmholtz Association, Helmholtz Open Science Office & Humboldt-Universität zu Berlin, Berlin School of Library and Information Science

Tobias Höhnnow²

University of Potsdam, University Library

Lea Maria Ferguson³

Helmholtz Association, Helmholtz Open Science Office

Bernhard Mittermaier⁴

Forschungszentrum Jülich, Central Library

Irene Barbers⁵

Forschungszentrum Jülich, Central Library

DOI: [10.3204/DESY-PROC-2023-01/08](https://doi.org/10.3204/DESY-PROC-2023-01/08)

¹<https://orcid.org/0000-0003-3334-2771>

²<https://orcid.org/0000-0002-3483-6223>

³<https://orcid.org/0000-0002-7060-3670>

⁴<https://orcid.org/0000-0002-3412-6168>

⁵<https://orcid.org/0000-0003-2011-7444>

Abstract

The Transform2Open project addresses the development of budgets, criteria, competencies, and related processes in research-performing organizations around the financial dimensions of the Open Access (OA) transformation. Transform2Open organizes dialogue forums and at the same time develops recommendations for strategies, concepts, and measures to shape the OA transformation at universities and non-university research institutions. Topics of the project include: Improvement and development of cost control methods; promoting the interaction of library budgets, third-party funding, and other financial resources in research institutions in order to create an information budget; developing recommendations for contracts with publishers; optimization of workflows for handling publications and related metadata and invoices; promoting transparency in the financial framework for the transformation towards OA; and determining the competence profiles of professionals involved in the transformation towards OA in research institutions. Transform2Open has been approved by the German Research Foundation (DFG) in 2022 and will formally commence in 2023. Partners of the project are the Central Library of Forschungszentrum Jülich, the Helmholtz Association's Open Science Office, and the University Library at the University of Potsdam. This article provides an overview of the project.

8.1 Introduction

The Open Access (OA) transformation must be shaped locally by universities and other research-performing organizations (RPO) and be embedded in national and international initiatives. Institutions have to implement operational OA activities based on policies and strategic decisions, and ensure that the OA activities are monitored. Addressing the economic dimension and its impact on RPOs is of central importance in the current phase of transformation.

While OA is becoming increasingly widespread, there is also a fragmentation of implementation measures that would potentially have for a more substantial and sustainable impact if bundled together. The results of the Options4OA project show that the handling of article processing charges (APCs) and the associated monitoring of publication costs in Germany is still at its beginning [84].

To foster the development of OA in Germany in a coordinated manner, dialogue forums are needed to discuss and develop best practices for shaping the transformation of scholarly publishing from closed to open. The need for such dialogue forums to address the financial aspects of the OA transformation is currently

evident in the discussion of the concept of information budgets in Germany [70, 84] Challenges for RPOs are, for example, the implementation of national agreements with publishers at the local level and the consideration of international developments (e. g., Plan S). Considering the continuous increase of the OA share in German publishing, a joint and coordinated approach paves the way for RPOs to successfully deal with the challenges associated with the OA transformation.

8.2 Project

Transform2Open supports transformation activities at research institutions in Germany through the following actions [49]:

1. Improving and developing cost monitoring methods;
2. promoting the interplay of library budgets, third-party funding, and other financial resources at research institutions to create overarching information budgets;
3. developing international criteria for contracts with commercial publication service providers;
4. optimizing workflows around the handling of publications and associated metadata and invoices;
5. promoting transparency around the financial framework of the OA transformation and identifying organizational structures;
6. determining competence profiles for professionals involved in OA transformation at research institutions.

Transform2Open organizes dialogue forums and develops recommendations for strategies, concepts, and measures to shape the OA transformation at universities and non-university research institutions.

Transform2Open enables the networking between actors in RPOs and the staff active in the context of information infrastructures, e. g., research libraries, regarding model development and standardization. The project further supports the engagement with the economic dimension of the OA transformation in Germany. Additionally, it promotes the transfer of knowledge within the international context.

The Transform2Open project ensures the successful interaction of various transformative efforts with DEAL [122, 123] openCost [69], and other initiatives and projects in Germany and internationally.

Partners of the Transform2Open project are the Central Library of Forschungszentrum Jülich, the Helmholtz Open Science Office, and the Potsdam University Library.

8.3 Work program

To support transformative activities at research institutions in Germany, Transform2Open operates in the aforementioned six areas (see above) and implements these via the following work packages (WP):

WP 1 Cost monitoring

This WP deals with strategies for monitoring publishing costs at scientific institutions. The goals of WP 1 are to document the current status of cost monitoring and to develop proposals for its further development.

WP 2 Cross-organizational use of financial resources

This WP deals with the organizational perspective towards consolidating library budgets, third-party funds, and other financial resources to improve the cost monitoring of the OA transformation at research-performing organizations. WP 2 aims to develop a handout for scientific institutions on how to implement integrated information budgets; this will be prepared by an expert workshop, and accompanied by a close exchange with the community.

WP 3 Further development and internationalization of a set of recommendations

WP 3 continues activities of the Alliance of Science Organizations, who formulated recommendations for transformative agreements with publishers. These recommendations were published in November 2022 [124]. The objective of WP 3 is to further develop, spread, and internationalize this set of recommendations.

WP 4 Process optimization

This WP is dedicated to optimizing workflows related to handling publications and the associated metadata and invoices. WP 4 aims to improve the cooperation between institutions and publishers, and by focusing on electronic invoice processing and metadata management.

WP 5 Transparency Initiative

This WP addresses transparency in the OA transformation. Currently, the influence of confidential traditional subscription contracts is still at work. There is a need for action in this field to achieve more openness and transparency. The goal in WP 5 is to develop a concept for a national transparency initiative to promote sustainability in scientific publishing and to implement this approach as a standard.

WP6 Competencies

This WP deals with the organizational aspects of the OA transformation in libraries. WP 6 aims to develop flexible organizational structures and competence profiles for library professionals. In this, WP 6 especially focuses on the changes regarding the framework conditions as a result from the OA transformation.

WP 7 Project management and public relations

The WP ensures the project's management and organizes the overall internal as well as external communication work of the project.

8.4 Outlook

As of December 2022, the project is still in its early stages. Central to the project is the cooperation with other stakeholders on the national and international level. In the area of cost management, there will be a particularly close cooperation with the openCost project; Transform2Open was already featured in the openCost workshop in October 2022. Further, the Central Library of Forschungszentrum Jülich will contribute its experience of the Open Access Monitor Germany (OAM) for Germany [125]. Funded by the German Federal Ministry of Education and Research (BMBF), the OAM provides RPOs and funders with a freely available tool to analyze data on publications and related costs from German academic institutions. Additionally, the results of Transform2Open will further contribute to

the OA activities of the Alliance of Science Organizations in Germany. A central activity of the Alliance of Science Organizations is the internationally renowned DEAL. The Transform2Open project partners support DEAL and two of the members of the Transform2Open team are also involved in the DEAL working group. Furthermore, the Transform2Open results will also be presented and discussed in the Digital Information priority initiative of the Alliance of Science Organizations in Germany [126]. With this initiative, the science organizations in Germany cooperate on the challenges of digital transformation in science. The promotion of OA is a core activity of this initiative. The results of the Transform2Open project will be openly and transparently communicated, e. g. in workshops, webinars, and conference talks. All publications of the project will be published in OA, starting with the project proposal [49]. Transform2Open has thus embarked on its journey to contribute to a successful OA transformation in Germany, embedded in the national and international landscape of scientific publishing.

References

- [49] Roland Bertelmann et al. *Transform2Open. Kostenmonitoring, Kriterien, Kompetenzen und Prozesse der Open-Access-Transformation*. de. Helmholtz Open Science Office, 2022. 22 pp. doi: [10.48440/OS.HELMHOLTZ.054](https://doi.org/10.48440/OS.HELMHOLTZ.054) (cit. on pp. 21, 46, 97, 100, 123).
- [69] Bianca Schweighofer. “Projekt openCost auf dem 8. Bibliothekskongress 2022”. de. In: *o-bib. Das offene Bibliotheksjournal / Herausgeber VDB* (2022). Artwork Size: 1-10 Seiten Publisher: o-bib. Das offene Bibliotheksjournal / Herausgeber VDB, pp. 1–10. doi: [10.5282/O-BIB/5862](https://doi.org/10.5282/O-BIB/5862) (cit. on pp. 37, 98).
- [70] German Science and Humanities Council. *Recommendations on the Transformation of Academic Publishing. Towards Open Access*. Position Paper Drs. 9477-22_en. Jan. 2022. doi: [10.57674/0gtq-b603](https://doi.org/10.57674/0gtq-b603) (cit. on pp. 46, 48, 97).
- [84] Heinz Pampel. “From library budget to information budget: fostering transparency in the transformation towards open access”. In: *Insights the UKSG journal* 35 (2022). doi: [10.1629/uksg.576](https://doi.org/10.1629/uksg.576) (cit. on pp. 47, 77, 96, 97, 123).

- [122] Bernhard Mittermaier. “The German DEAL”. In: Open-Access-Tage 2020, Bielefeld (Germany), 15 Sep 2020 - 17 Sep 2020. Sept. 15, 2020. doi: <http://hdl.handle.net/2128/25702> (cit. on p. 98).
- [123] Nina Leonie Weisweiler. “Im Spannungsfeld zwischen Zweckrationalität und Idealismus – Eine Analyse des Fachdiskurses zu Projekt DEAL mit Fokus auf den Begriff „Open Access“”. en. In: *Bibliothek Forschung und Praxis* 45.1 (Apr. 2021), pp. 163–183. doi: [10.1515/bfp-2020-0116](https://doi.org/10.1515/bfp-2020-0116) (cit. on p. 98).
- [124] Heinz Pampel et al. *Recommendations for Transformative Journal Agreements with Providers of Publishing Services. Guidelines of the priority initiative “Digital Information” of the Alliance of Science Organisations in Germany, against the background of the implementation of the Open Access Strategy 2021 – 2025 of the Alliance of Science Organisations in Germany*. en. Priority Initiative “Digital Information”, Alliance of Science Organizations in Germany, 2022. 9 pp. doi: [10.48440/ALLIANZOA.046](https://doi.org/10.48440/ALLIANZOA.046) (cit. on p. 98).
- [125] Irene Barbers, Franziska Stanzel, and Bernhard Mittermaier. “Open Access Monitor Germany: Best Practice in Providing Metrics for Analysis and Decision-Making”. In: *Serials Review* 48.1-2 (2022), pp. 49–62. doi: [10.1080/00987913.2022.2066968](https://doi.org/10.1080/00987913.2022.2066968) (cit. on pp. 99, 115, 117).
- [126] Steering Committee. *Shaping digital transformation in science. Mission statement 2018 - 2022*. en. Priority Initiative “Digital Information”, Alliance of Science Organizations in Germany, 2017. 17 pp. doi: [10.2312/ALLIANZOA.016](https://doi.org/10.2312/ALLIANZOA.016) (cit. on p. 100).