

openCost: the road to publication cost transparency
Expert Workshop

oaSwitchboard

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Hamburg, 7 October 2022

Agenda

1. What is OA Switchboard?
2. How does OA Switchboard support publication cost transparency?
 3 Scenarios
3. How to deal with the myriad of dashboards, systems and processes?

1. What is OA Switchboard?

The OA Switchboard is a mission-driven, community led initiative designed to simplify the sharing of information between stakeholders about open access publications throughout the whole publication journey

for research
institutions,
libraries and
consortia

who want to:
connect with their research
and simplify their
workflows

for academic
publishers

who want to:
support a smooth and
compliant author journey
and report on OA
publication output

for research
funders

who want to:
demonstrate the extent
and impact of their
research funding and
deliver on their
commitment to OA

OA Switchboard at a glance

- Initial meeting of key stakeholders in 2018
- 2019-2020 Project delivers MVP and key principles
- Stichting ('foundation') OA Switchboard founded (Oct '20)
- Live as operational solution since 1 January 2021

→ Mission-driven community

→ Practical tool

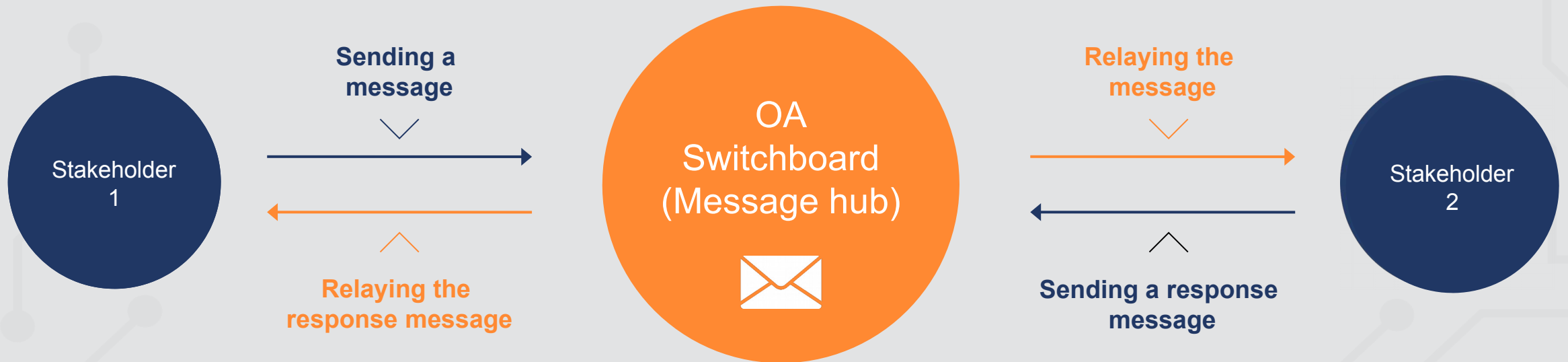


209,226 messages
(Jan 2021 – 25 Sep 2022)



Central metadata exchange hub

Standardised messaging protocol and shared infrastructure





Supports many use cases



Can be integrated with stakeholders' systems



GRANT
ASSIGNED



MANUSCRIPT
SUBMISSION



'ACCEPT'
DECISION



ARTICLE
PUBLICATION

Research, analysis,
and writing



Peer review



Production

We currently support two Use Cases:

1. Reporting Made Easy & 2. Matching Publication Costs with Publication Funds



When it comes to 'Improving scholarly publishing metadata', we've learned a thing or two

See our latest blog:
[www.oaswitchboard.org/
blog-post-29-september-2022](http://www.oaswitchboard.org/blog-post-29-september-2022)

Principles:

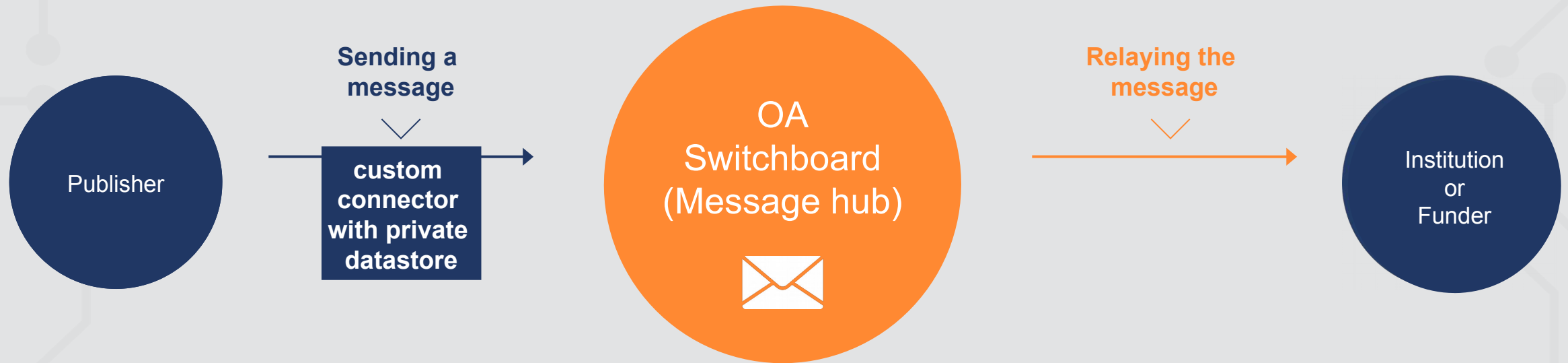
1. Authoritative data from source
2. Time-specific metadata values



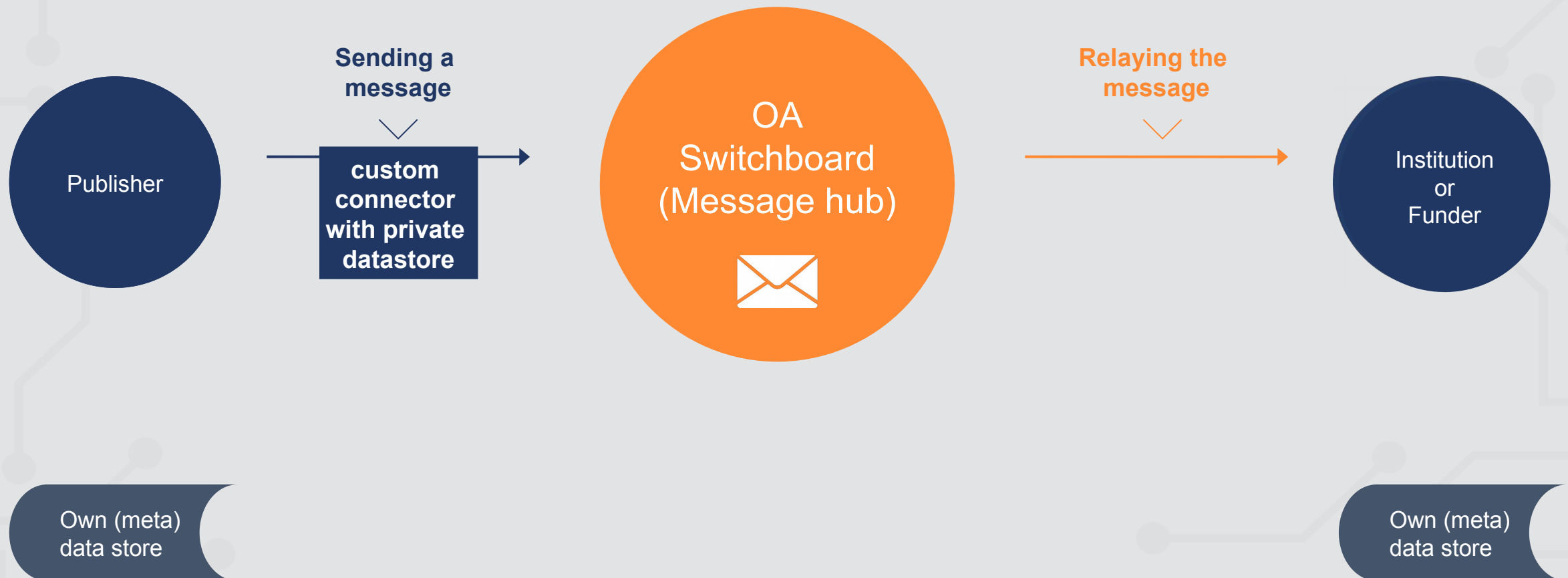
3. Keeping your own data secure

USE CASE 1: Publication notification and reporting

Current set-up for most OA Switchboard publishers



Keeping your data secure... This is what we see shaping



2. How does OA Switchboard support publication cost transparency?

Scenario 1: OA Switchboard P1-messages

Scenario 2: Chase APC in the wild information from own researchers

Scenario 3: Eligibility Enquiries (E1-E2 messages)

2. How does OA Switchboard support publication cost transparency?

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Ambition and intention of the P1-messages

- The basic idea is that a P1-message is sent by the publisher upon VoR publication to the institution (or research funder) who picks up the publication charges.
- This 'picking up the charges' can be via:
 - a prior agreement (with or without information on article-level charges being relevant), or
 - via an individual article-level charge (i.c. an APC)

OA Switchboard schema / protocol

Label in online form (UI)

Field in JSON scheme

Description

Type

Mandatory Y/N

Compose Message for - Publication/Payment Settlement Notification (P1)

Label in form (UI)	Field in JSON scheme	Description	Type	Mandatory Y/N
<i>section: Author x</i>	<i>authors</i>			yes
Last Name	lastName	last name of author x	free text	yes, within author element
First Name	firstName	first name of author x	free text	yes, within author element
Initials	initials	initials of author x	free text	
ORCID	ORCID	ORCID number of author x	free text	
E-mail Address	email	e-mail address of author x	free text	
Collaboration/Project	collaboration	name/reference of specific collaboration and/or project of author x, as relevant for this manuscript	free text	
Author Listing Order	listingorder	author x is listed as author number <#> on the manuscript	free text	
CRedit Roles	creditroles	CRedit roles of author x	Multiple select from pick list P1.1. (array)	
Corresponding Author	isCorrespondingAuthor	whether author x is corresponding author Y/N	Y/N radio button	
Institutions	institutions	all affiliations of author x, as relevant for this manuscript (name(s) as in ROR registry)	Array of objects	
Institution -> Name	institutions.name	name of the institution	free text	yes, within institution element
Institution -> RoR ID	institutions.ror	ror id of the institution	free text	
Institution -> ISNI	institutions.isni	ISNI of the institution	free text	
Current address	currentaddress	Current institution of the author (multiple options available)	Array of objects	
Current address -> Name	currentaddress.name	name of the institution	free text	
Current address -> RoR ID	currentaddress.ror	ror id of the institution	free text	
Current address -> ISNI	currentaddress.isni	ISNI of the institution	free text	
Affiliation, as (to be) printed in the VoR	affiliation	affiliation(s) of author x (as (to be) printed in the VoR)	free text	

Find this file and more via our FAQ
on www.oaswitchboard.org/faq

The repository and documentation can be found here: <https://bitbucket.org/oaswitchboard/api/>

Label in form (UI)	Field in JSON scheme
<i>section: Author x</i>	<i>authors</i>
Last Name	lastName
First Name	firstName
Initials	initials
ORCID	ORCID
E-mail Address	email
Collaboration/Project	collaboration
Author Listing Order	listingorder
CRedit Roles	creditroles
Corresponding Author	isCorrespondingAuthor
Institutions	institutions
Institution -> Name	institutions.name
Institution -> RoR ID	institutions.ror
Institution -> ISNI	institutions.isni
Current address	currentaddress
Current address -> Name	currentaddress.name
Current address -> RoR ID	currentaddress.ror
Current address -> ISNI	currentaddresss.isni
Affiliation, as (to be) printed in the VoR	affiliation

<i>section: Article</i>	<i>article</i>
Title	title
Type	type
Original type	originaltype
Funders	funders
Funders -> Name	funders.name
Funders -> RoR ID	funders.ror
Funders -> Fundref	funders.fundref
Funder acknowledgement as (to be) printed in the VoR	acknowledgement
Grant Name	grants.name
Grant ID	grants.id
Manuscript ID	manuscript.id
Submission ID	submissionId
Submission Date	manuscript.dates.subr
Acceptance Date	manuscript.dates.acce
Publication Date	manuscript.dates.publ
Preprint Title	preprint.title
Preprint ID	preprint.id
Preprint URL	preprint.url
VoR published in	vor.publication
VoR license	vor.license
VoR will be deposited in	vor.deposition
Research data available with VoR	vor.researchdata
DOI	doi
Journal Title	journal.name
Journal ID	journal.issn
Journal in DOAJ	journal.inDOAJ

<i>section: Charges</i>	<i>charges</i>
Prior Agreement	prioragreement
APC Currency	currency
Charged	charged
<i>sub-section: APC Charges</i>	<i>fees.apc</i>
APC Type	type
APC Charges Total Status	name
APC Charges Total Amount	amount
<i>sub-section: Other Charges & Discounts</i>	<i>fees.extra.items</i>
Type	name
Amount	amount
<i>sub-section: Fees Charges Total</i>	<i>fees.total</i>
Fees Charges Total Status	name
Fees Charges Total Amount	amount
<i>section: Deal</i>	<i>agreement</i>
Deal Name	name
Deal ID	id

Challenges we ran into...

Two scenarios, different challenges, and how we deal with it:

- **Prior Agreement:**
 - A P1-message is sent by the publisher to the institution affiliated to the (relevant) author under whose deal the article is (most likely) charged.
 - It could very well be that the final settlement on this is not (yet) available when the VoR is published.
 - Therefore the P1-message contains additional information to indicate the certainty of the article being *'charged to'* a prior agreement.

Challenges we ran into...

Two scenarios, different challenges, and how we deal with it:

- **No Prior Agreement:**
 - A P1-message is sent by the publisher to the institution affiliated to the (relevant) author who has (most likely) picked up the article-level charges.
 - The article-level charges may have been invoiced to the author, or to the institution.
 - In case the author was invoiced, it could still be that the invoice was passed on to somebody else (e.g. a co-author or their institution), or that the invoice payment was split between the authors.
 - It could also be that the publisher's system doesn't have real-time or completed records on the invoicing when the VoR is published.
 - Therefore the P1-message contains additional information to indicate the certainty of the article being '*charged to*' the institution receiving the P1-message.

2. How does OA Switchboard support publication cost transparency?

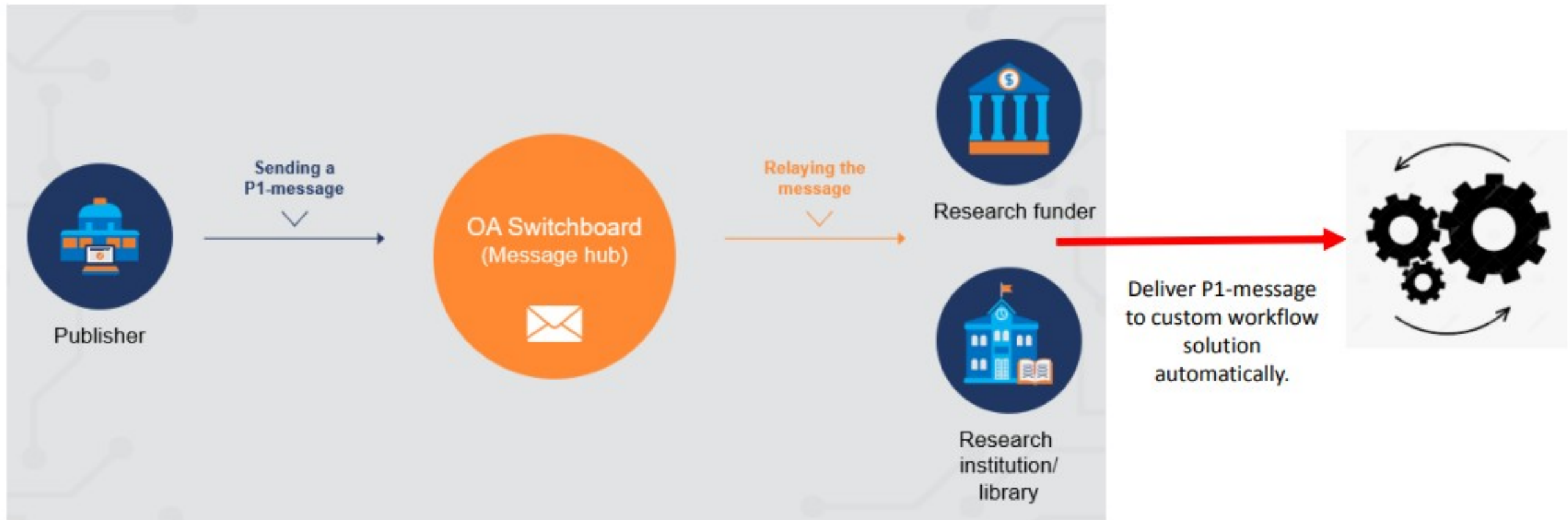
Scenario 1: OA Switchboard P1-messages

Scenario 2: Chase APC in the wild information from own researchers

Scenario 3: Eligibility Enquiries (E1-E2 messages)

A wild idea we've explored with a few institutions in Germany:

Extension for OA Switchboard





Publication notification message

“There is an article published, Open Access (OA), and an author from your institution is involved.”

Data available in the P1-message:

- *Publisher, journal, article metadata*
- *License information*
- *Affiliation*
- *Author information (e.g. ORCID)*
- *(optional) Prior Agreement (PA) vs No Prior Agreement (NPA)*
- *(optional) Charges*

If you paid for this directly, and the publisher's system includes that info in the P1-message, the P1-message will not proceed. Otherwise ...



Assumption: you did not pay directly

1. *Is this really YOUR author? (in other words: is the affiliation the author listed on the manuscript correct? Does the author (still) work at your institution?)*
2. *If yes, ask that researcher:*
 - *How the APC was charged and paid for?*
 - *Who paid it, and where is the cost?*
 - *Charged under a deal? Waiver maybe?*
 - *Was it a "choice" to publish OA?*
 - *Other?*



- 1 Validate incoming P1-message. Store. Decide on further processing.
- 2 Check affiliation. Retrieve additional author information, from ORCID.
- 3 Send email to researcher. Automatic retries. Email contains link to form.
- 4 Researcher to fill out form. Submit form, sends it back to server. Store together with P1.
- 5 Make available combined P1 + form result, to institutional administrator.

2. How does OA Switchboard support publication cost transparency?

Scenario 1: OA Switchboard P1-messages

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A more structural solution: pre-publication eligibility enquiries (E1-E2 messages)

- Check between the publisher and the (corresponding) author's institution during the editorial process: *"Are you able/willing to pick up the charges?"*
- Get the invoice to the institution directly, not to the author
(and have that information in the publisher billing system)
- Build the P1-message (publication notification with VoR metadata) on this

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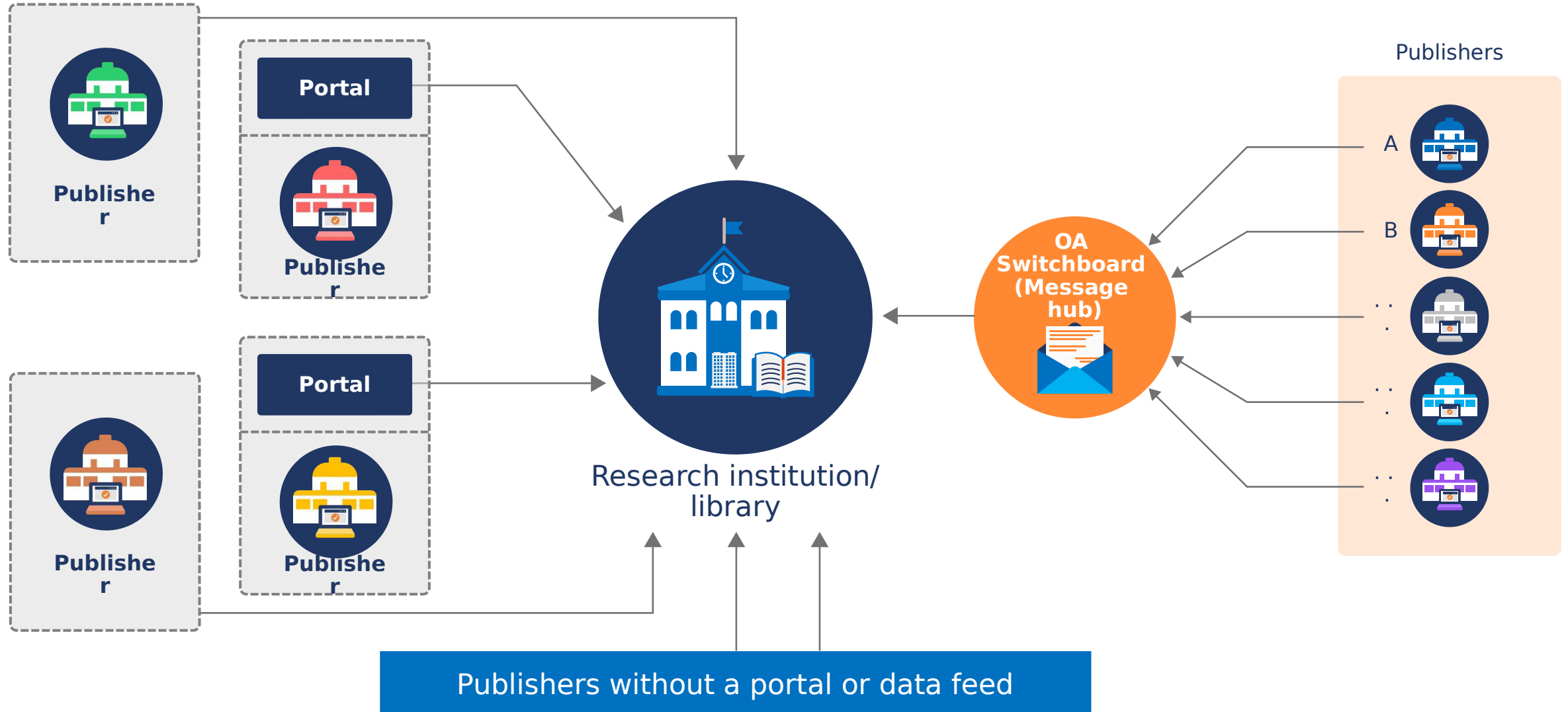
Benefits:

- Relieve the author
- Get the invoice done correctly first time around
- Efficient payment process
- Have correct and complete metadata in the P1-message  in the openCost database
- Reduces the need to investigate APCs in the wild

3. How to deal with the myriad of dashboards, systems and processes?

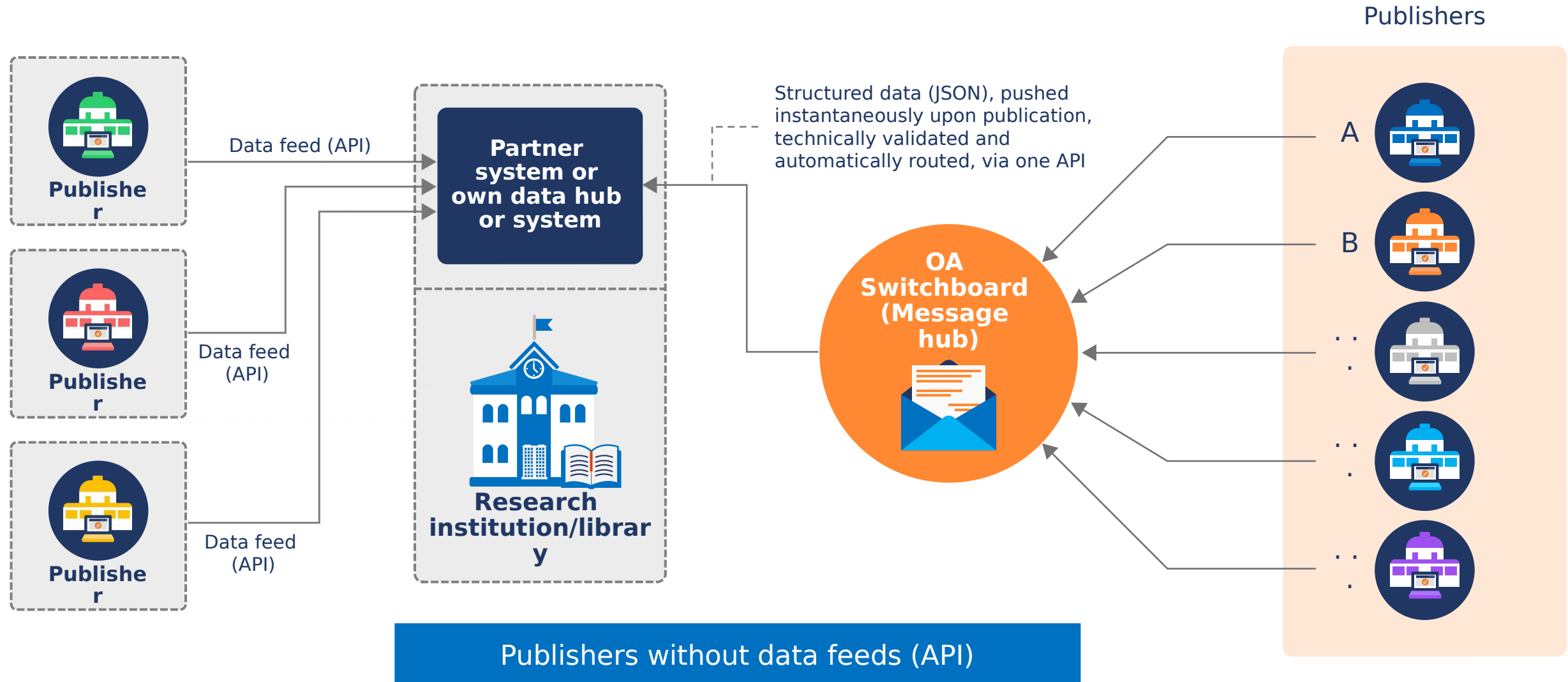
USE CASE 1: PUBLICATION NOTIFICATION AND REPORTING

Institution to retrieve metadata and reports from multiple sources



USE CASE 1: PUBLICATION NOTIFICATION AND REPORTING

Institution seeking to receive automated data feeds



Thank you

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Sign up to our mailing list for regular updates



APPENDIX

Use Case 1: Reporting Made Easy

There is a wide variety on the ‘supply’ (publisher) side

	Scenario to cover publication cost of a specific journal article	
<i>Type of publisher - What’s available & how</i>	Prior Agreement	No Prior Agreement
1. Publishers <u>with</u> their own dashboard/portal Examples: - Big legacy publishers - Largest born OA publishers - 30+ publishers working with CCC	The institution/consortium is expected to download VoR reports manually. This means multiple actions across multiple publishers. The file and data formats all differ, so curation and standardisation is needed before analysis, data visualisation and further reporting.	Is this Use Case supported?
2. Publishers <u>with</u> their own dashboard/portal AND/OR data feed option Examples: - Via email: many - Via API: ??	Via email: Same as under 1. Via API: retrieval/delivery of VoR reports is automated, but multiple integrations across multiple publishers need to be set-up and maintained. Same challenges regarding file and data formats as under 1.	Is this Use Case supported?
3. Publishers <u>with*) or without</u> their own dashboard/portal AND participating in OA Switchboard Examples: see oaswitchboard.org/participants *) It is regarded a complementary service to their institutional/consortia clients and research funders to also report via OA Switchboard	The institution/consortium has the option to: - Download VoR reports manually via the OA Switchboard dashboard/portal (UI) ☑ One action across multiple publishers. ☑ One standardised and structured file and data format across multiple publishers (JSON ‘messaging protocol’; output/exports in Excel or JSON). - Delivery of VoR reports via API ☑ One integration across multiple publishers. ☑ One standardised and structured file and data format across multiple publishers (JSON ‘messaging protocol’; output/exports in Excel or JSON).	