



Knowledge Exchange

Why article-level metadata are important to monitor agreements

Results presented by Anna Mette Morthorst, KE

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The Knowledge Exchange

The Knowledge Exchange (KE) partners are six key national organisations within Europe tasked with developing infrastructure and services to enable the use of digital technologies to improve higher education and research

- **DFG** German Research Foundation
- **Jisc** (United Kingdom)
- **DAFSHE** Danish Agency for Science and Higher Education
- **SURF** (Netherlands)
- **CSC** IT Centre for Science (Finland)
- **CNRS** Centre national de la recherche scientifique (France)



The KE Monitoring activities

The KE Monitoring Open Access (OA) group undertook research on:

- Standards and best practices to monitor compliance with OA policies (2015)
- Monitoring OA publications and monitoring cost data for OA publications (2016) [Consensus on Monitoring Open Access Publications and Cost Data](#)

Leading to this new study

Assessment of major publishers agreements that have OA elements across the six KE countries (2018-2019)

Background

- The purpose of assessing agreements with OA elements relates to...
 - KE having identified the need for common standards, identifiers and data requirements and issued recommendations for CRISs, publishers and libraries
 - ESAC having been discussing the need to develop workflow efficiencies in the negotiation, drafting and management of offsetting agreements and having issued article workflow recommendations
 - cOALition S planning for a full transition to OA by 2021 includes in its guidelines that transformative agreements meet ESAC guidelines and that articles include 'high-quality article level metadata'

OA article metadata – a new assessment of major publishers agreements

The study is aimed at consortia and academic institutions that subscribe to publishers agreements that have or would like to include OA elements.

- Collected information on agreements with 12 major publishers for the six Knowledge Exchange countries
- Classified agreements by type (subscription agreements and agreement with OA elements)
- Analysed agreements with OA elements against an article-level metadata checklist based on the KE and the ESAC recommendations
- Analysed article-level metadata criteria to assess what metadata consortia contracts' and other relevant documentation asked for and to assess if publishers provided the metadata
- Developed a template for publishers to provide article-level metadata to consortia and academic institutions based on the checklist

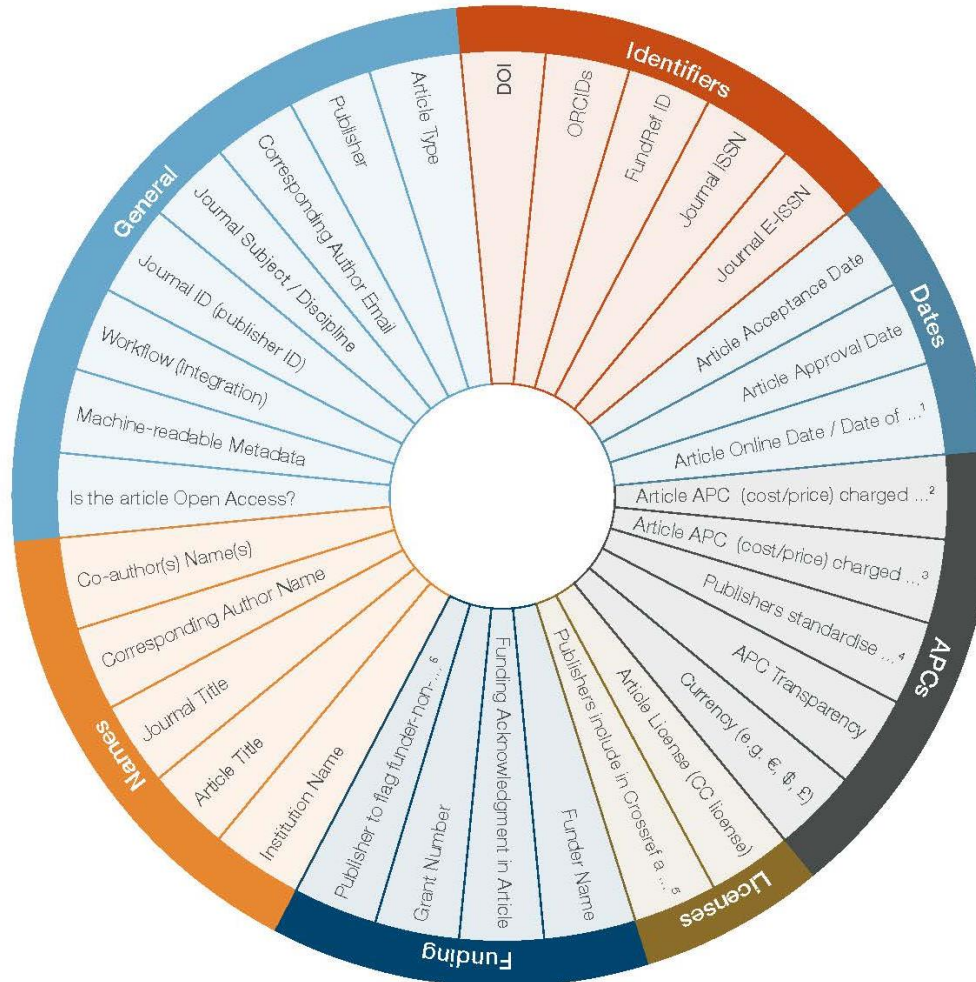
Why OA article metadata is important

- To monitor how many articles are being published OA and non-OA under each agreement, particularly in the cases where there is a cap on the number of articles that can be published OA.
- To monitor how much is being spent on OA publishing and assess the value of the agreements, i.e. whether agreements with OA elements are delivering value for money.
- To improve workflows and enable assessment
- Entities that pay the article processing charges (APCs) have the right to access information about the articles they fund.

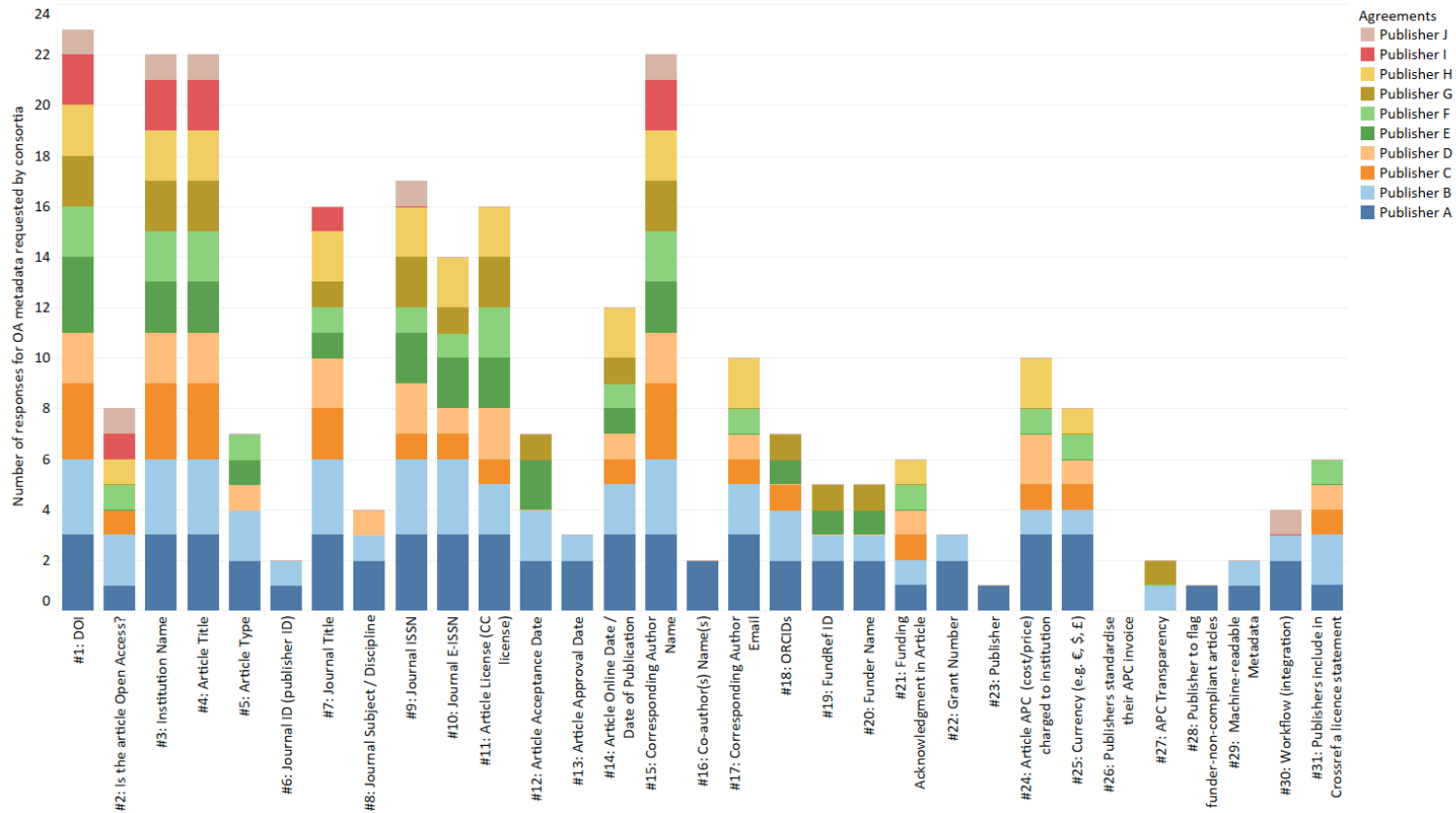
Methodology

- The study focused on the analysis of agreements that KE countries had with: American Chemical Society, Cambridge University Press, EDP Sciences, Elsevier, Oxford University Press, Royal Society of Chemistry, SAGE Publishing, Springer Nature, Taylor & Francis and Wiley.
- Only agreements with OA elements were considered valid for the analysis (eg. Agreements with APC discounts, offsetting agreements, read and publish agreements)
- The agreements analysed dated between 2016 and 2019.
- Agreements with OA elements were analysed against an article-level metadata check-list which was developed and based on KE and ESAC recommendations.

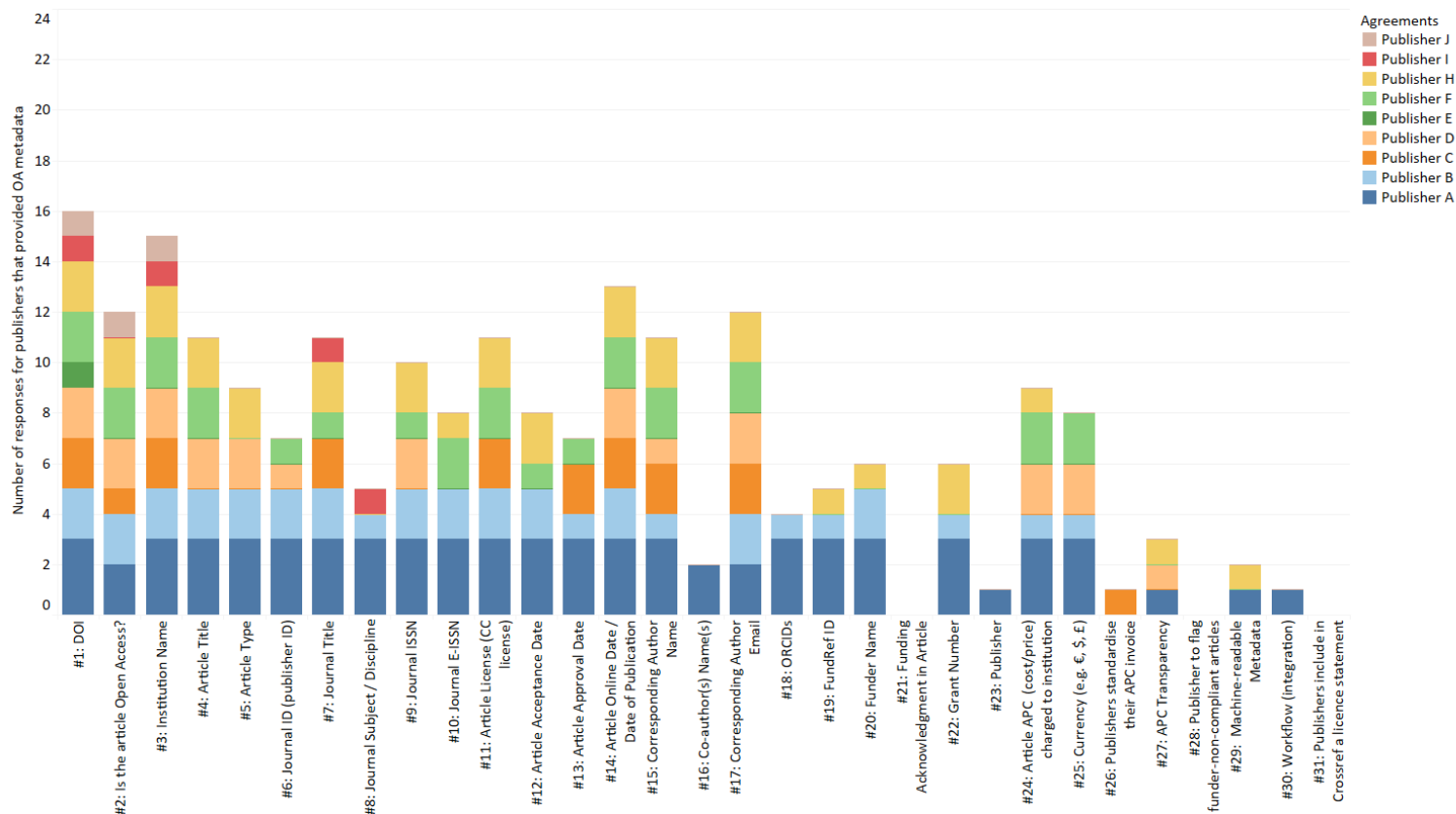
KE article-level metadata check-list



Article-level metadata requested by consortia and academic institutions



Article-level metadata provided by publishers



Summary uptake OA article-level metadata

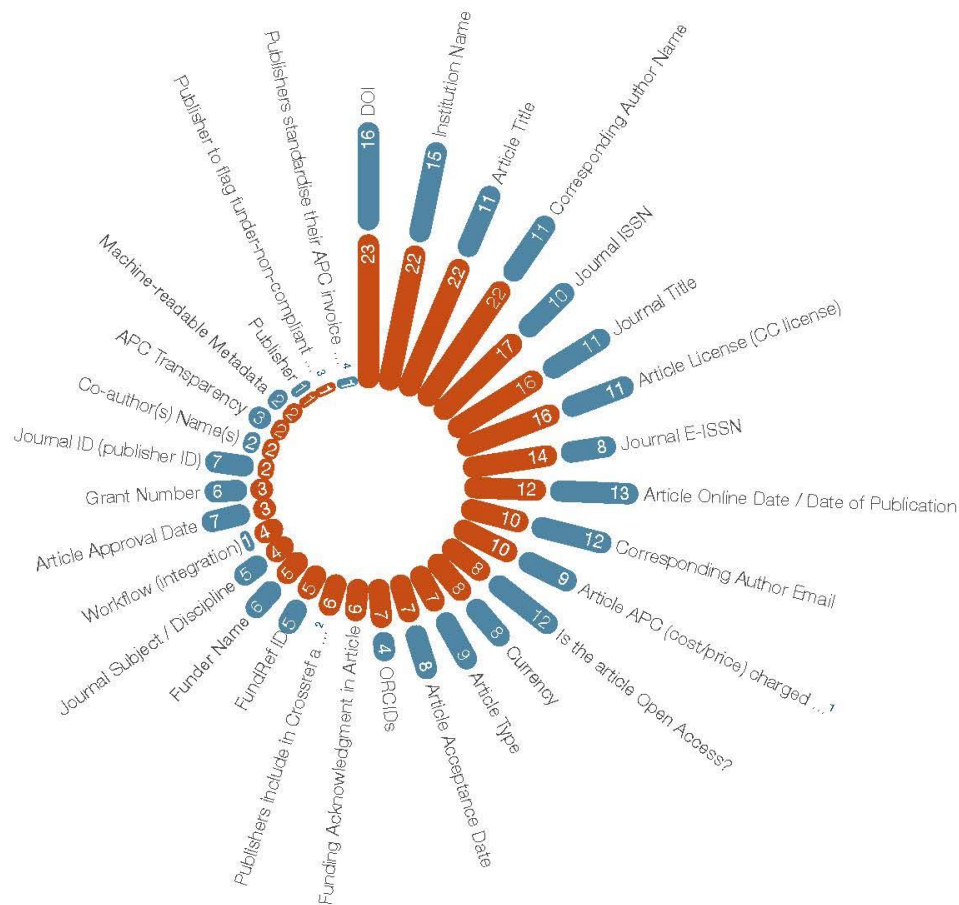
OA article-level metadata criteria

Legend

- OA metadata requested by consortia
- OA metadata provided by publisher

Footnotes

- ¹ Article APC (cost/price) charged to institution (incl. / exclud. VAT)
- ² Publishers include in Crossref a licence statement for each publication
- ³ Publisher to flag funder-non-compliant articles at point of author licence acceptance
- ⁴ Publishers standardise their APC invoice and the invoicing process



Main conclusions

- None of the consortia agreements requested all the article-level metadata recommended by KE and ESAC nor did publishers provide all the metadata.
- Consortia and academic institutions did, however, ask for more metadata than publishers provided.
- The majority of publishers provided less article-level metadata than what consortia requested. The exception were three publishers that provided more metadata than what was requested in contracts or other relevant documentation.
- Publishers did not deliver exactly the same metadata across countries.
- Funding was the area for which publishers provided fewer article-level metadata.

Results and implementation

- The results show how far consortia and publishers are from being aligned with the KE and ESAC recommendations.
- This information can be used to benchmark how consortia and publishers were performing until early 2019 and in a pre-Plan S scenario.
- The article-level metadata check-list can be used as a template for publishers to use as a reporting tool and for consortia and academic institutions to be aware of what metadata they need to request from publishers.
- The template can be used to track OA publication numbers, to monitor costs, to monitor which institutions are publishing the most/least articles, which journals are the most/least popular, how many articles fees are paid by funders, and so on.

Template for article-level metadata collection

OA article-level metadata template for publishers																												
<p>Note:</p> <p>4 Publishers are requested to fill this template and send it via email to the consortia as well as to all the academic institutions that are part of the consortia agreement. Publishers should provide OA article-level metadata for all the articles published OA by authors from all the institutions in the agreement.</p> <p>5 Publishers are meant to deliver the OA article-level metadata report on a monthly basis (e.g. on the 15th day of every month) and the OA metadata provided should refer to the previous month (e.g. 1 to 31 January).</p> <p>8 Year of agreement (start and finish date):</p> <p>9 Name of agreement:</p>																												
#1: DOI	#2: Is the article Open Access?	#3: Institution Name	#4: Article Title	#5: Article Type	#6: Journal ID (publisher ID)	#7: Journal Title	#8: Journal Subject / Discipline	#9: Journal ISSN	#10: Journal E-ISSN	#11: Article License (CC license)	#12: Article Acceptance Date	#13: Article Approval Date	#14: Article Online Date / Date of Publication	#15: Corresponding Author Name	#16: Co-author(s) Name(s)	#17: Corresponding Author Email	#18: ORCID(s)	#19: FundRef ID	#20: Funder Name	#21: Funding Acknowledgment in Article	#22: Grant Number	#23: Publisher	#24: Article APC (cost/price) charged to institution (excl. VAT)	#25: Article APC (cost/price) charged to institution (incl. VAT)	#26: Currency (e.g. €, \$, £)	#27: Publishers standardise their APC invoice and the invoicing process	#28: APC Transparency	
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Template is available to download from <http://doi.org/10.5281/zenodo.3407214>

Insights article just released !

Marques, Mafalda, Woutersen-Windhouer, and Tuuliniemi, Arja. 2020. Monitoring agreements with Open Access elements: why article-level metadata are important. Insights. <https://doi.org/10.1629/uksg.489>



The screenshot shows the top of a web page for 'Insights'. It features the UKSG logo (four colored squares: blue, purple, teal, green) and the word 'Insights' in white on a dark blue background. Below this is a light grey bar with the text 'Reading: Monitoring agreements with open access elements: why article-level metadata are important' and social media share icons for Facebook, Twitter, Google+, and LinkedIn. The main content area has a white background with a light grey vertical bar on the left. It starts with the heading 'Research Articles', followed by the article title 'Monitoring agreements with open access elements: why article-level metadata are important'. Below the title are the authors: 'Mafalda Marques' (with an envelope icon), 'Saskia Woutersen-Windhouwer', and 'Arja Tuuliniemi'. The section 'Abstract' follows, containing a paragraph of text.

UKSG Insights

Reading: Monitoring agreements with open access elements: why article-level metadata are important Share: [f](#) [t](#) [g+](#) [in](#)

Research Articles

Monitoring agreements with open access elements: why article-level metadata are important

Authors: Mafalda Marques ✉, Saskia Woutersen-Windhouwer, Arja Tuuliniemi

Abstract

Agreements with open access (OA) elements (e.g. agreements with APC discounts, offsetting agreements, read and publish agreements) have been increasing in number in the last few years. With more agreements including some form of OA, consortia and academic institutions need to monitor the number of OA publications, the costs and the value of these agreements. Publishers are therefore required to account for the articles



More information:

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Continue the conversation:

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