

# Understanding Reading and Publishing: Distilling the Data that Institutions Need to Manage Transformative Agreements

Researcher to Reader  
21 February, 2024

Michael Levine-Clark  
University of Denver



John McDonald  
EBSCO



Jason Price  
SCELC



Seth Russell  
Taylor & Francis



Heather Staines  
Delta Think

# How do you measure the value of a transformative agreement?

- [“Towards a Model for Assessing the Value of Transformative Agreements for Both ‘Read’ and ‘Publish’ Institutions,”](#) UKSG, May 30-31, 2022
- [“Using Data to Determine Value for Both Read and Publish Agreements: Libraries Evaluate Transformative Agreements,”](#) NASIG, June 7, 2022
- [“Developing ‘Success’ Criteria: Transformative Agreements for both Read and Publish Institutions,”](#) Charleston, Nov. 2, 2022.
- [“Perspectives on Open Access in the Humanities: Exposing the Challenges in Transitioning to Open from a Variety of Viewpoints,”](#) ER&L, March 8, 2023
- [“What did we Read, What did we Publish: Distilling the Data that Librarians Need to Manage Transformative Agreements,”](#) Charleston, Nov. 8, 2023.

John McDonald, Jason Price, Seth Russell, and Heather Staines contributed

What do we need to know ***before***  
entering a transformative agreement?

# Key questions from the institution's perspective

Does the institution get enough value from this publisher?

- Do we publish enough? Do we publish consistently?
- Do we read enough?

How much do we spend with this publisher?

- Subscriptions (Read)
- APCs (Publish)

What are the funding sources for APCs and Subscriptions?

# Where do my institution's authors publish?

- Where do my institution's authors publish as corresponding authors?
- How many of those articles are research articles?
- With which publishers?
- How many articles are already open?
  - Hybrid?
  - Gold?
  - Green?
- How much do we spend on APCs?
- How consistent are those patterns?

# Are we looking at the same numbers?

## 2022 Publishing Output Across 3 Sources

A large red circle with a thick border, containing text about Dimensions.

307 Articles  
45 Gold OA

Dimensions

A large yellow circle with a thick border, containing text about Web of Science.

283 Articles  
16 Gold OA

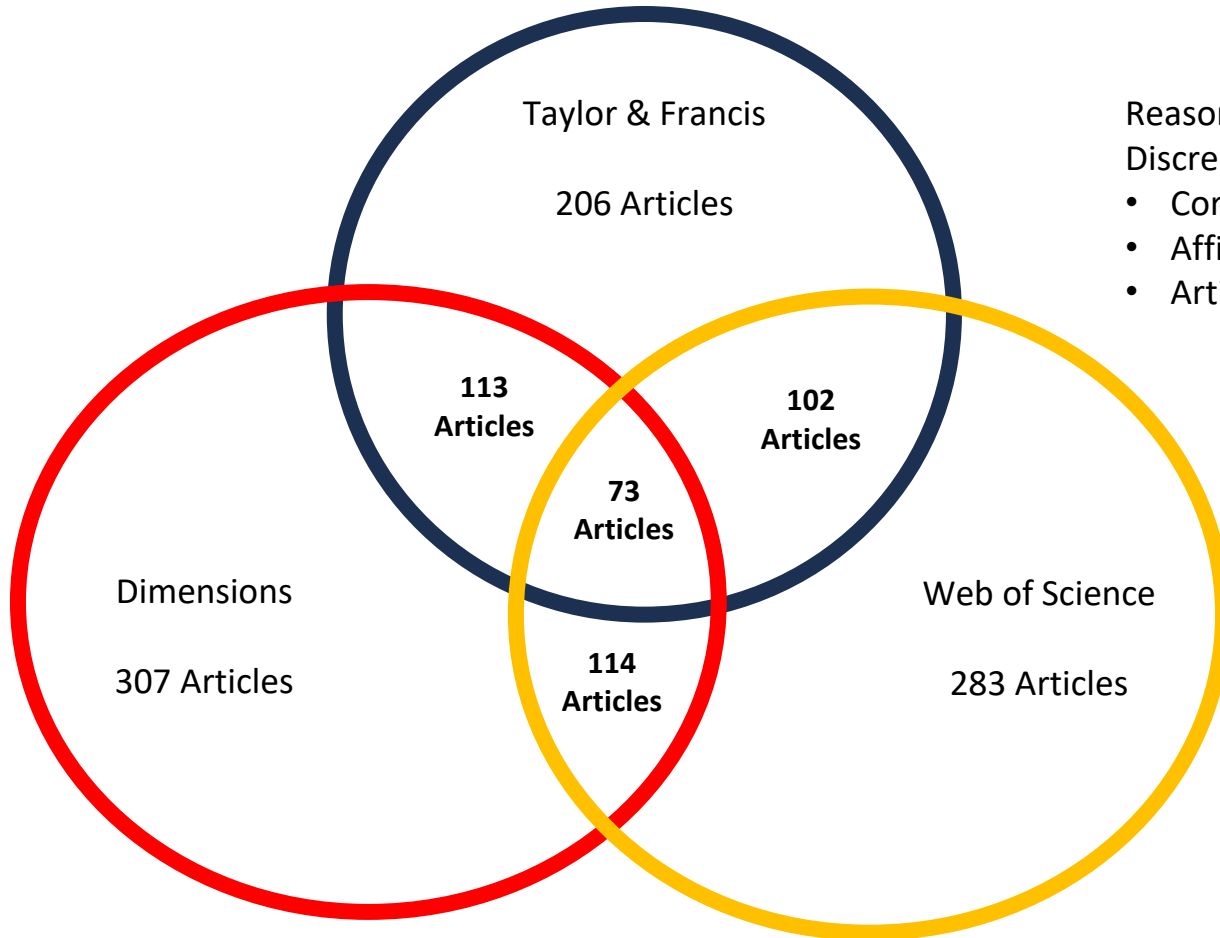
Web of Science

A large dark blue circle with a thick border, containing text about Taylor & Francis.

206 Articles  
22 Gold OA

Taylor & Francis

# 2022 Publishing Output Across 3 Sources



Reasons for  
Discrepancies:

- Corresponding Author
- Affiliation Details
- Article Type



Problem 1: Identifying corresponding author /  
affiliation

# Corresponding author

- Can't limit to corresponding author (with institutional affiliation) in Dimensions, Scopus, WoS (or on publisher sites)
  - Easy to find by looking at an article - but not by searching
- Campus reporting systems don't always indicate author role

# Corresponding author

- Can't limit to corresponding author (with institutional affiliation) in Dimensions, Scopus, WoS (or on publisher sites)
  - Easy to find by looking at an article - but not by searching
- Campus reporting systems don't always indicate author role

Mathematical modeling and optimization of pasteurization for the internal pressure and physical quality of canned beer

[Ruthaikamol Thongon](#)<sup>a</sup>, [Siriypa Netramai](#)<sup>b</sup>, [Thitisilp Kijchavengkul](#)<sup>b</sup>, [Gong Yaijam](#)<sup>c</sup>, [Rojrit Debhakam](#)<sup>d</sup>

**A study of beer bitterness loss during the various stages of the Romanian beer production process**

[Viorica Popescu](#), [Alina Soceanu](#), [Simona Dobrinas](#), [Gabriela Stanciu](#)

First published: 15 August 2013 | <https://doi-org.du.idm.oclc.org/10.1002/jib.82> | Citations: 14

Original Research Paper | Published: 14 December 2015

The use of chitooligosaccharide in beer brewing for protection against beer-spoilage bacteria and its influence on beer performance

[Xue Zhao](#), [Zhimin Yu](#), [Ting Wang](#), [Xuan Guo](#), [Jing Luan](#), [Yumei Sun](#) & [Xianzhen](#)

*Biotechnology Letters* **38**, 629–635 (2016) | [Cite this article](#)

Beer Availability and College Football Attendance: Evidence From Mid-Major Conferences

[Aaron J. Chastain](#), [Stephan F. Gohmann](#), and [E. Frank Stephenson](#)

[Volume 18, Issue 6](#) | <https://doi-org.du.idm.oclc.org/10.1177/1527002515589351>

# EBSCO Publisher Feeds

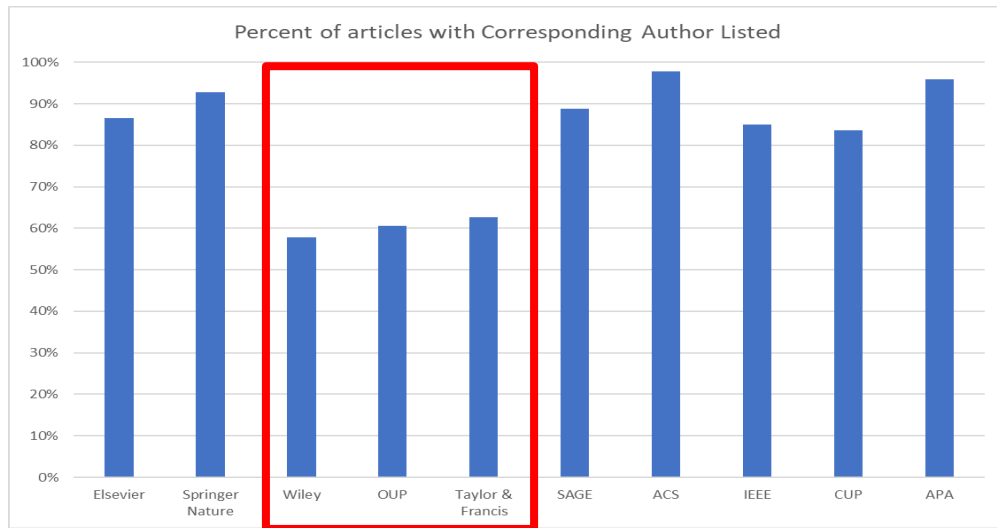
- 48 Major Publishers evaluated on 8 basic metadata elements
  - Author, Article Name, Journal Name, Publisher all present in 48/48
  - 7 Lack Document Type, 2 Lack Publication Date, 1 Lacks ISSN
  - ~~45 Lack Corresponding Author Institution ID~~

[illegible]

# R&P research dataset

- Cleaned Corresponding Author field when applicable
  - Single authored articles
  - Multi-authored articles, all authors from the same institution
  - Multi-authored articles, split by institution proportionally
- Enhanced dataset with ISSNs
- Enhanced dataset with APC prices
- Removed 3 publishers due to lack of corresponding author data

- **7 publishers**
- **20 institutions**
  - **8 R1s\***, Doctoral, Very High Research
  - **12 R2\*\*** to Baccalaureates
- **5845 Journals**
- **106,460 Articles**



# Authorship profiles

Corresponding Authorship Status	Total Articles	%
Single Author	47,206	44.34%
No Corresponding Author from that Institution	42,604	40.02%
Lacks Corresponding Author	13,410	12.60%
1 out of 2	2,461	2.31%
1 out of 3	572	0.54%
2 out of 3	108	0.10%
1 out of 4	75	0.07%
1 out of 5	10	0.01%
1 out of 6	4	0.00%
4 out of 5	3	0.00%
2 out of 5	3	0.00%
3 out of 4	2	0.00%
3 out of 5	1	0.00%
5 out of 6	1	0.00%
<b>Total</b>	<b>106,460</b>	

84%

- 84.3% of the dataset has a single, clear corresponding author or no corresponding author from that institution
- 12.6% lists no corresponding author at all
- The remainder list multiple corresponding authors

# Authorship profiles

Corresponding Authorship Status	Total Articles	%
Single Author	47,206	44.34%
No Corresponding Author from that Institution	42,604	40.02%
Lacks Corresponding Author	13,410	12.60%
1 out of 2	2,461	2.31%
1 out of 3	572	0.54%
2 out of 3	108	0.10%
1 out of 4	75	0.07%
1 out of 5	10	0.01%
1 out of 6	4	0.00%
4 out of 5	3	0.00%
2 out of 5	3	0.00%
3 out of 4	2	0.00%
3 out of 5	1	0.00%
5 out of 6	1	0.00%
<b>Total</b>	<b>106,460</b>	

Of OA articles in the dataset:

- 50.5% have no corresponding author from that institution
- 36.3% have a single author
- 8.8% lack a corresponding author entirely

Corresponding Authorship Status	Gold OA Articles	Hybrid Articles	Gold OA APCs	Hybrid OA APCs	% by Articles	% by APC
No Corresponding Author from that Institution	11946	7178	\$32,847,875	\$27,347,317	50.5%	52.4%
Single Author	9607	4148	\$25,125,372	\$14,064,402	36.3%	34.1%
Lacks Corresponding Author	2695	653	\$5,324,065	\$4,025,158	8.8%	8.1%
1 out of 2	905	324	\$2,911,395	\$1,564,350	3.2%	3.9%
1 out of 3	185	119	\$668,930	\$734,620	0.8%	1.2%
1 out of 6	46	2	\$171,880	\$22,780	0.1%	0.2%
1 out of 4	7	15	\$24,980	\$82,280	0.1%	0.1%
2 out of 3	0	6	\$0	\$16,460	0.0%	0.0%
5 out of 6	0	2	\$0	\$6,510	0.0%	0.0%
2 out of 5	0	2	\$0	\$6,510	0.0%	0.0%
1 out of 5	0	2	\$0	\$6,510	0.0%	0.0%
<b>Total</b>	<b>25,391</b>	<b>12,451</b>	<b>\$67,074,497</b>	<b>\$47,876,897</b>		

# What did we learn in this first attempt to gather data needed for evaluating Transformative Agreements?

Data standards vary across different providers

- Journal title variations, Open access definitions & nomenclature

Data granularity varies across different providers

- ISSNs, publisher names. 7% of sample lacked ISSNs
- Articles types, since not all are APC eligible

Corresponding author information/procedures are not standardized across publishers or authors. 12.6% of sample currently do not have an attributed corresponding author

Multi-authored articles are numerous & vary by institution and discipline, making them hard to credit to single institutions.

Variance in publishing volume is confounded with Article type distribution

- e.g. Less research-intensive institutions tend to publish a higher percentage of book reviews



# Consistency in identifying corresponding authors

## T&F's Definition of a Corresponding author

*This person will handle all correspondence about the article and sign the publishing agreement on behalf of all the authors. They are responsible for ensuring that all the authors' contact details are correct and agree on the order that their names will appear in the article. The authors also will need to make sure that affiliations are correct.*

<https://authorservices.taylorandfrancis.com/editorial-policies/defining-authorship-research-paper/>



## Challenges

- No standards for how corresponding author
  - Is listed in a publication
  - Is reported to external sources
- Individual communicating with publisher may not be lead researcher or responsible for APC
- Transformative agreements require a better understanding of corresponding author data than we now have

### Articles

#### How international higher education graduates contribute to their home country: an example from government scholarship recipients in Kazakhstan

Dilrabo Jonbekova, Irina Yevgeniya Serikova, Zhanar Mambulova, Zakir Jamakulov & Alan Kaby  
Chirality 2022, Vol. 34, No. 1, 1-10, DOI: 10.1080/10467088.2021.2019200  
First published: 03 March 2022 | Accepted: 02 Dec 2021 | Published online: 20 Jan 2022

Cite this article | <https://doi.org/10.1080/10467088.2021.2019200> | Check for updates

Wiley Online Library | University of Denver

## Chirality

SPECIAL ISSUE ARTICLE | Full Access

### Stereochemical revision of xlograpatin F by GIAO and DU8+ NMR calculations

Yannan Liu, Tina A. Holt, Sergei Kutateladze, Timothy R. Newhouse

First published: 03 March 2020 | <https://doi.org/10.1002/chir.23189> | Citations: 5

Go to Article Linker

In memory of Professor Koji Nakanishi.  
[This article is part of the Special Issue: In honor and memory of Prof. Koji Nakanishi. See the first articles for this special issue previously published in Volumes 31:12, 32:3, and 32:4. More special articles will be found in this issue as well as in those to come.]

SECTIONS | PDF | TOOLS | SHARE

### Practice, enactivism, and ecological psychology

Jonathan McKinney, Sune York Steffensen, Anthony Chemero

First Published May 27, 2022 | Research Article | <https://doi.org/10.1177/10597123221094362>

Article Information

Article first published online: May 27, 2022

Jonathan McKinney<sup>1</sup>, Sune York Steffensen<sup>2</sup>, Anthony Chemero<sup>1</sup>

<sup>1</sup>Departments of Philosophy and Psychology & Center for Cognition, Action, and Perception, University of Cincinnati, Cincinnati, OH, USA

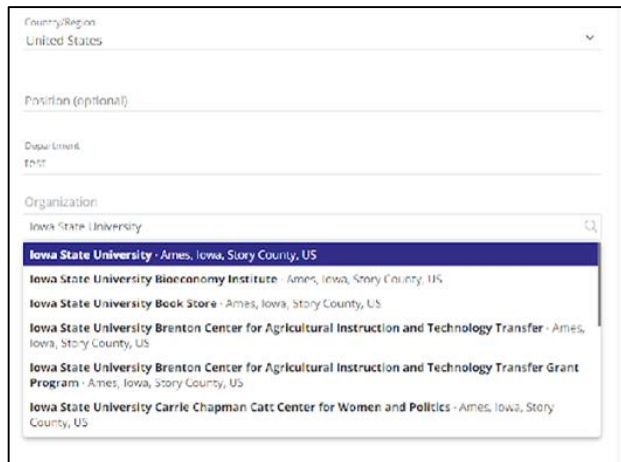
<sup>2</sup>Department of Language and Communication, University of Southern Denmark, Odense, Denmark

Corresponding Author:

Anthony Chemero, University of Cincinnati, ML 0374, Cincinnati, OH 45221, USA. Email: [anthony.chemero@uc.edu](mailto:anthony.chemero@uc.edu)

# Affiliation details are inputted at point of submission

## Submission Portal



Country/Region  
United States

Position (optional)

Date limit  
text

Organization

Iowa State University

**Iowa State University - Ames, Iowa, Story County, US**

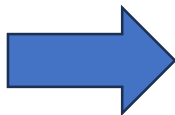
Iowa State University Bioeconomy Institute - Ames, Iowa, Story County, US

Iowa State University Book Store - Ames, Iowa, Story County, US

Iowa State University Brenton Center for Agricultural Instruction and Technology Transfer - Ames, Iowa, Story County, US

Iowa State University Brenton Center for Agricultural Instruction and Technology Transfer Grant Program - Ames, Iowa, Story County, US

Iowa State University Carrie Chapman Catt Center for Women and Politics - Ames, Iowa, Story County, US



## Challenges

- Dependent upon author supplied information
- Authors may have multiple affiliations
- Author affiliation may change by time of article acceptance
- No standardization for affiliation matching
- Should all authors affiliated with an institution be included in a transformative agreement?

## Publisher Affiliation Checks

Ringgold/ORCiD

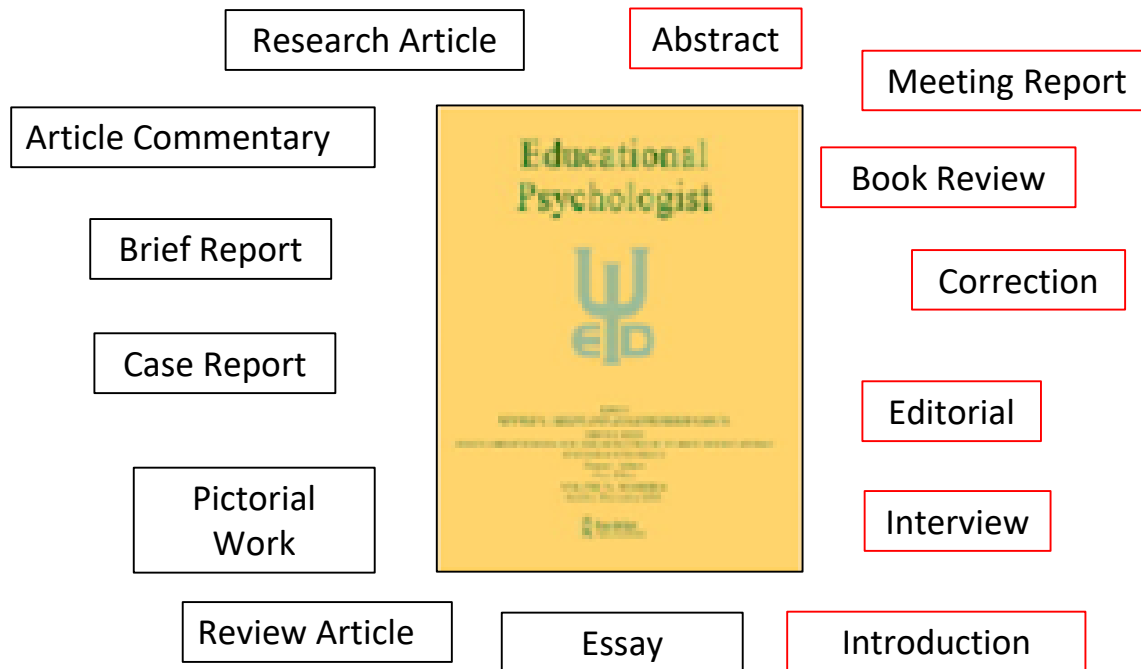
Email

Information noted by  
author

Problem 1: Identifying corresponding author /  
affiliation

**Problem 2: Identifying article type**

# Journals publish a variety of article types, so what is captured in the publishing data?



# EBSCO Publisher Feeds

- 48 Major Publishers evaluated on 8 basic metadata elements
  - Author, Article Name, Journal Name, Publisher all present in 48/48
  - 7 Lack Document Type, 2 Lack Publication Date, 1 Lacks ISSN
  - ***45 Lack Corresponding Author Institution ID***

[illegible]

# What is an article?



## Scopus

# Web of Science™

▼ DOCUMENT TYPE

- |   |     |
|---|-----|
| <input type="radio"/> Research Article    | 654 |
| <input type="radio"/> Research Chapter    | 43  |
| <input type="radio"/> Review Article      | 37  |
| <input type="radio"/> Conference Paper    | 31  |
| <input type="radio"/> Editorial           | 22  |
| <input type="radio"/> Reference Work      | 21  |
| <input type="radio"/> Book Review         | 8   |
| <input type="radio"/> Correction Erratum  | 6   |
| <input type="radio"/> Conference Abstract | 3   |
| <input type="radio"/> Letter To Editor    | 2   |

More

### Filter by document type

Sort by **Number of results** ▾

- ☐ Article
- ☐ Book chapter
- ☐ Conference paper
- ☐ Review
- ☐ Editorial
- ☐ Note
- ☐ Book
- ☐ Erratum
- ☐ Letter
- ☐ Short survey

×

- |     |   |     |
|-----|---|-----|
| 677 | <input type="checkbox"/> Article            | 616 |
| 69  | <input type="checkbox"/> Early Access       | 58  |
| 62  | <input type="checkbox"/> Editorial Material | 44  |
| 48  | <input type="checkbox"/> Meeting Abstract   | 44  |
| 26  | <input type="checkbox"/> Review Article     | 38  |
| 16  | <input type="checkbox"/> Book Review        | 31  |
| 13  | <input type="checkbox"/> Correction         | 5   |
| 9   | <input type="checkbox"/> Poetry             | 5   |
| 3   | <input type="checkbox"/> Proceeding Paper   | 2   |
| 1   | <input type="checkbox"/> Biographical-Item  | 1   |
|     | <input type="checkbox"/> Letter             | 1   |
|     | <input type="checkbox"/> News Item          | 1   |

Row Labels	Count of Publication Type	Count of Document Type
⊗ <b>Article</b>	<b>775</b>	<b>775</b>
	47	47
Book Review	10	10
Conference Abstract	4	4
Correction Erratum	8	8
Editorial	21	21
Letter To Editor	2	2
Other Journal Content	4	4
Research Article	644	644
Review Article	35	35
⊗ <b>Chapter</b>	<b>62</b>	<b>62</b>
	6	6
Reference Work	19	19
Research Chapter	37	37
⊗ <b>Monograph</b>	<b>1</b>	<b>1</b>
	1	1
⊗ <b>Preprint</b>	<b>56</b>	<b>56</b>
	10	10
Research Article	46	46
⊗ <b>Proceeding</b>	<b>41</b>	<b>41</b>
Conference Paper	41	41
<b>Grand Total</b>	<b>935</b>	<b>935</b>

Problem 1: Identifying corresponding author /  
affiliation

Problem 2: Identifying article type

**Problem 3: Identifying APC costs and funding source**



# How much have we spent on APCs?

Libraries have no clue what authors from their institution spend on APCs

- That money comes from many sources
- Often not paid by the institution
- Often not paid by the library

Researchers often resent having to fund publications out of research funds

# Thank You

[michael.levine-clark@du.edu](mailto:michael.levine-clark@du.edu)