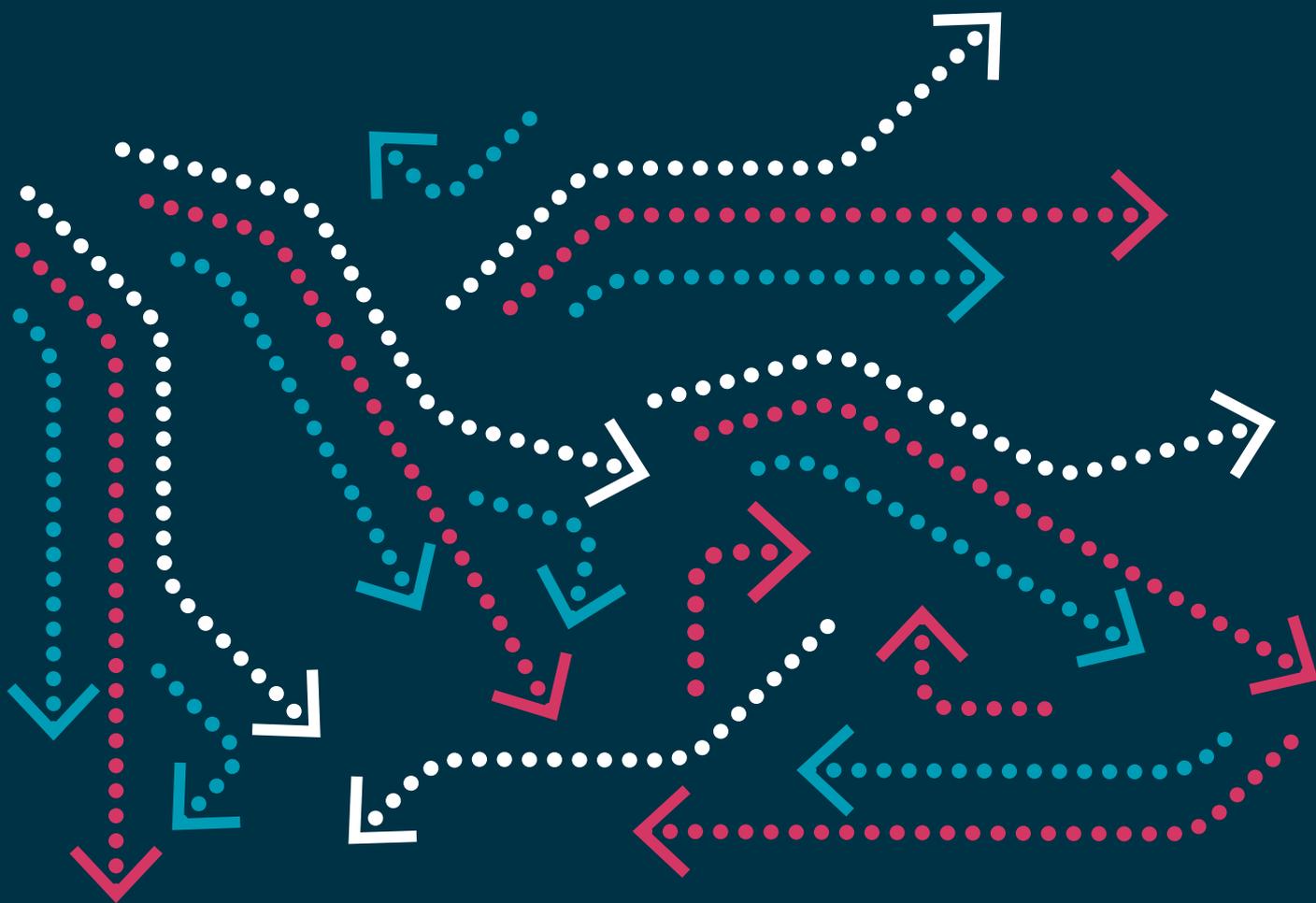


**UNIVERSITIES UK  
OPEN ACCESS  
COORDINATION GROUP**

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**JULY 2018**

**OPEN ACCESS EFFICIENCIES:  
REPORT AND RECOMMENDATIONS**



**Universities UK**

## *Background*

The Universities UK Open Access Efficiencies Identifiers and Communications sub-groups ran a workshop on 5–6 October 2017.

This summary captures the initial findings of the workshop at a high level.

The aim of the workshop was to identify actions that can be taken in the short and medium term to make compliance with open access (OA) policies easier for researchers, and more efficient for those who support them, including libraries, research managers, funders and publishers.

The first day focused on how best to incorporate persistent identifiers, such as ORCID into publisher, funder and institutional workflows. The second day focused on how stakeholders can communicate more clearly and consistently.

Around 30 people attended the event based on targeted invites to specific named individuals or organisations that represented the spectrum of stakeholder types including publishers, research organisations, suppliers, funders, and OA specialists and consultants. This range of expertise was used to define the OA life cycle, and to break its major stages down into workflow diagrams.

At each stage, ‘pain points’ and good practice were highlighted. The group then analysed the uses (current and potential) of identifiers across the life cycle as a means of sharing information more transparently, accurately and efficiently. The findings of this exercise were then incorporated into the second day, in which effectiveness of communication to researchers from stakeholders at each point in the life cycle was assessed. The communications day therefore covered communications about OA policies or practices, and identifiers.

## *Recommendations*

The workshop attendees reached a remarkably strong consensus around a number of key recommendations. The group strongly felt that adoption, earlier and more often, of identifiers would significantly reduce the current challenges of communication.

*For the adoption and integration of identifiers, the group recommended:*

- 1. Improve the integration of ORCID iDs into work flows throughout the life cycle**

Each section of the community has a role to play in improving the visibility of connections between researchers and their works and organisational relationships. This should be coordinated between funders, research organisations and publishers, with the explicit goal of reducing the number of times authors have to provide the same information across different systems. The group propose the following practical steps be taken:

- UUK should support a move for ORCID to be mandated for REF.
- Funders should collect or require ORCID iDs early in the life cycle, during grant applications.
- UUK to encourage institutional verification of ORCID IDs.
- Common integrations should be improved to enable data transfer in both directions between the ORCID registry and:
  - grant application and management systems
  - research Organisation Information Systems
  - publisher submission systems

## **2. Register Digital Object Identifiers (DOIs) for articles at the point of acceptance**

Crossref supports the registration of DOIs ahead of publication. Publishers can provide a valuable service to their authors (and in turn, their employers and funders) by registering DOIs and preliminary metadata with Crossref (including funding IDs and ORCID iDs for authors wherever possible) at the earliest possible stage in the article publication process. This has the potential to aid REF-compliance for green OA, and to smooth processes for gold OA payments and administration. Automatic notifications of new articles will then be sharable both with researchers and their institutions, exploiting tools and connections that already exist.

## **3. Provide clarity and consensus around IDs for policies and licences**

Resolvable, persistent identifiers for licences and policies will help to make them machine readable, streamlining and automating checks and verifications at multiple stages in the life cycle. This will simplify and accelerate communication with authors, and significantly reduce administrative burden for each stakeholder group. Furthermore, as a practical goal, the group propose:

- Drive forward creation of an independent, open, community-governed site that defines the licensing status of any object in a machine-readable format.

## **4. Drive consensus around, and adoption of, a common Organisation ID**

There has been a lot of work in recent years to seek to address the lack of a commonly adopted, community governed, open identifier solution for scholarly organisations. The stakeholders in the UUK Open Access Coordination Group have the power to leverage that work and accelerate the consistent use of organisation identifiers across the research and publishing landscape.

## **5. Support the creation of a database of funding IDs for grant/awards**

At the moment, initiatives such as the Open Funder Registry (formerly FundRef) provide identifiers for funding organisations. However, grants and other funding awards are identified using internal, often opaque, numbering or naming conventions. Embedding machine readable identifiers into funding data will provide a means to expose and connect data about organisations and people in receipt of funding with their outputs, collaborations and subsequent impact, as well as enabling the automatic processing of policy compliance decisions and reporting. Work currently underway at Crossref and ORCID could provide the means to create and to share these identifiers.

*For functional and practical improvements in communications and the re-use of information, the group recommended:*

## **6. Improve the consistency and clarity of OA terminology and eliminate jargon**

Researchers and administrators are not helped by the profusion of terms and competing definitions in use in the OA space. OA advocates, individual publishers and different national communities have developed their own terminologies. Communication with researchers cannot be useful or clear when the same term can have multiple competing meanings. The group propose that UUK take the following steps:

- work with standards bodies such as Consortia Advancing Standards in Research Administration Information (CASRAI) to help to clarify and simplify language around OA
- incorporate the results of that process into minimum metadata standards
- promote the adoption and understanding of a refined OA terminology via shared resources and common documentation and guidance

## **7. Identify ways to involve more researchers in discussions**

Researchers were invited to the meeting, but only two were able to attend. Researchers who have the energy and understanding of research information management and publishing workflows are few and far between, and as a result are in unmanageably high demand. The group also identified future benefit in engaging researchers who do not routinely think about the principles and practice of OA. The group felt that stakeholders who ultimately share the goal of supporting researchers should do a better job of asking them specific questions, and sharing their responses to eliminate duplication of effort and wasted time.

## **8. Support initiatives that foster metadata sharing at an early stage**

Several of the top priorities for identifier providers and their partners involved exposing more information in a consistent, human and machine-readable format. However, this data needs to be shared, aggregated and provided to the organisations and individuals that need it to make decisions or administer processes. Services like the Jisc Router, for example, provide the opportunity to provide research organisations with information that is needed at acceptance stage, helping them to plan and manage their funds and activities. UUK should support the development, sustainability, and adoption of activities like those coming from Jisc and Crossref to ensure that their benefits are widely and equitably shared.

## **9. Improve the alignment of policies and processes**

- a. invest in maintenance of, and encourage usage of resources eg SHERPA
- b. standardise submission forms
- c. standardise peer review checklist
- d. standardise licence requirements and embargo periods

All stakeholders readily identified resources they provide to help researchers understand their obligations and degree of alignment between different publishing options and those obligations. The group was unable to confirm how much use is made of these and of centralised resources. Researchers seek information from librarians or research officers, or from publisher sites if they are able to identify the appropriate resource. Publishers reported challenges in providing information at the level of journal homepages and providing other title-specific resources because they are serving researchers globally.

There is a pressing need to make information available to researchers about rights and obligations at the point they are most likely to need it. Researchers engage most with OA at the time they are submitting an article and going through peer review. Submission and peer review processes vary widely at journal level and the group felt there would be significant advantage to aligning the stages at which researchers are presented with choices about OA, and the information they are given/asked for that supports those choices. The group propose that UUK encourage:

- vendors and publishers using electronic editorial office systems to standardise where in submission, peer review and acceptance workflows information is given and requested about OA

This should be a short- to medium-term measure. The group recognised the significant efficiency gains that would be made by researchers being required to obtain and use IDs much earlier in the research cycle. Once this is in motion, vendors of, and publishers using, EEO systems should ensure that IDs can be simply and easily inputted and harvested.

All stakeholder groups except for researchers have some stake in and responsibility for setting license conditions and embargo periods. These were felt to be more confusing for researchers than any other aspect of OA. It is unclear whether UUK can play a role in helping align these, particularly because of the global nature of the publishing stage of research. However, UUK could support a meeting of funders, institutions and publishers to see if there is scope to simplify at least some of this for the UK.

*OA lifecycle*

The ‘OA lifecycle’ mapped and refined during the first day was used as the basis for subsequent analyses of information flow. For simplicity and consistency, we chose to focus on journal articles, and to draw up the lifecycle from the researcher or author’s perspective. To help with the analysis, the lifecycle was broken down into four phases: pre-submission; submission and peer review; acceptance and publication; and post-publication. Some activities spanned more than one of these phases, and these were analysed separately at each stage to highlight any differences in workflows in context.

The stages identified within each phase were mapped out and used to highlight opportunities and challenges across the lifecycle.

*Pre-submission*

Stage	Notes/comments	Identifiers	Communications
Funding and grants management			
Research			
Writing			
Journal selection			
Preparing submission			

*Submission and peer review*

Stage	Notes/comments	Identifiers	Communications
Submit article			
Subscription			
	Pure Gold OA		
	Check APC funding options		
Create metadata			
Link to datasets (data availability statement etc)			
Triage			
Peer review			
Revisions			
Author’s Accepted manuscript (AAM)			

*Acceptance and publication*

Stage	Notes/comments	Identifiers	Communications
Acceptance			
OA choices			
Funding and payment			
Production			
Publication			
Output			

*Post-publication*

Stage	Notes/comments	Identifiers	Communications
Repository deposits			
Embargo management			
Invoicing and payments			
Reporting and compliance			
Publication management (errata etc)			
Promotion and discovery			
Analysis, metrics, outcomes and impact			

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