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Open Access Issues and Potential Solutions

Workshop

Executive Summary



This report provides a summary of the discussion and findings of the Open Access Issues and Potential Solutions workshop held as part of the End-to-End Project. The workshop was highly interactive and feedback received indicated it was extremely valuable, stimulating a useful exchange of ideas.

The key observations included

- The vast array of publishers policies and terminology is demanding to administer and fraught with potential for error.
- A large amount of resource is required to administer open access due to complexities and immaturity of systems and processes.
- It is difficult to ensure that all parties understand and engage with what is required.
- It can be difficult to obtain information about publications and relevant versions of articles at a sufficiently early stage to offer support. Authors and administrators may be unaware of requirements.

Key Recommendations

- Publisher policies and open access guidance should be provided in a standard format with standard terminology. For example making clear. What versions can be used for green open access, and having clear terminology around licences and embargoes.
- Work with publishers to clarify process and address financial issues:
 - A list of fields (metadata profile) for open access should be agreed as a national standard via The Consortia Advancing Standards in Research Administration Information (CASRAI-UK)¹ Open Access Working Group.
 - Questions should be clarified with REF.
 - Questions should be clarified with RCUK (RIOXX profile).
- Make system amendments to perform basic support such as embargo management and compliance reporting.
- Pathfinder projects and Jisc work together on resources to support engagement with Open Access
- Improve processes for managing financials.

1 Outline

The workshop, held on 4th September 2014 brought together a group of over 40 stakeholders in administration of open access funds primarily from research organisations. These included managers of research support and repository services, information technology support services and policy makers.

The workshops aimed to help promote working together across discipline and organisational divides as an Open Access community to address issues associated with management of Open Access (OA) rather than 're-inventing the wheel'.

The introductory talks included an update from Jisc on initiatives they are working on to provide support in complying with OA requirements and addressing some of the issues raised at this workshop.

Action: An update on the Jisc initiatives is being prepared and will be widely advertised.

The workshop consisted almost entirely of discussion groups:

¹

http://www.jisc.ac.uk/whatwedo/programmes/di_researchmanagement/researchinformation/casraipilot.aspx

- Looking at information requirement for open access. What fields are required to deliver against OA requirements?
- Walking through open access processes to identify common issues, good practice, and potential actions.

There were many excellent ideas and examples given from local experiences.

As expected a list of questions and actions arose - for funders, solutions providers, and Research Organisations. We will attempt to address these actions during the course of the Pathfinder projects.

We are aware of a number of related initiatives already taking forward some of the actions identified and we plan to liaise with these where appropriate.

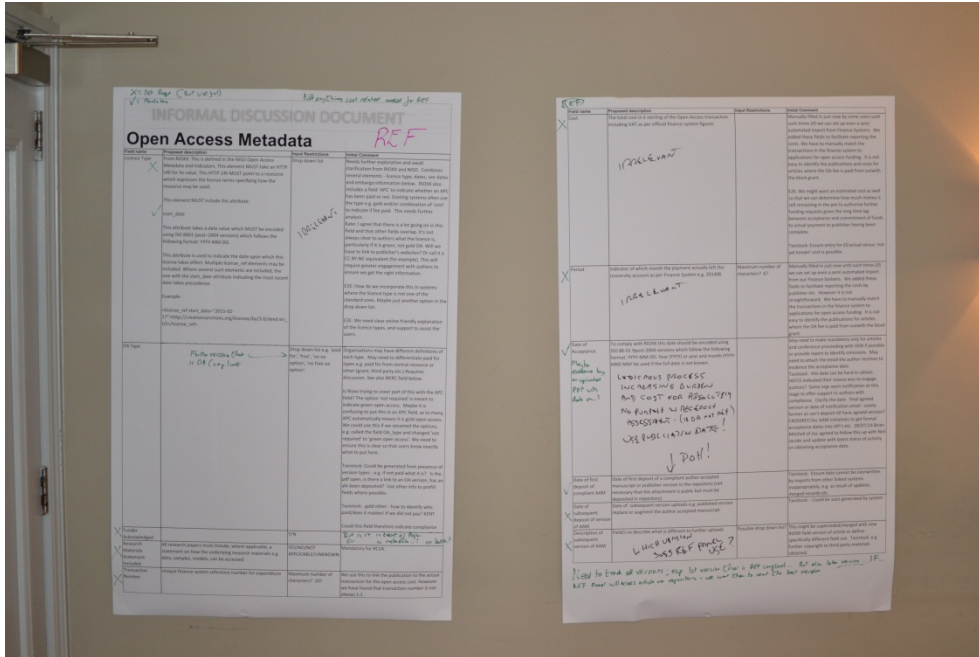
2 Information Requirements

This part of the workshops aimed to gather views on fields required to cover OA requirements. The current position meant that many organisations were trying to bring together data from many different sources.

The attendees were divided into three groups who looked at a draft list of possible fields that could be captured in support of OA monitoring and compliance.

The detailed field level comments for each group can be viewed will be available on the blog <http://e2eoa.org/> by 10th October 2014.

Group 1 Looked at Research Excellence Framework (REF) Requirements. The consensus was that the list broadly covered all of the REF requirements but that additional information was required to record exceptions and reasons for this with a means to include narrative and supporting file uploads. There were some questions arising for REF.



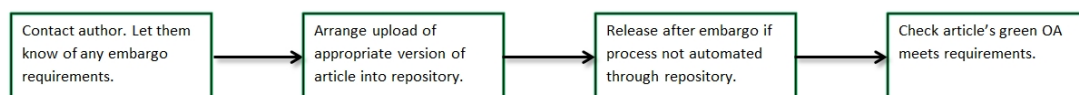
Group 2 Looked at Research Councils UK (RCUK) requirements based on the RIOXX specification that RCUK are expected to adopt. At the time of the workshop we were awaiting a final version of this RIOXX specification. The attendees noted that considerable clarification is required. One noted 'RIOXX scares me a little bit and the discussion has prompted me to learn more'

Group 3 considered other fields required for OA management. These included financial information, European Union (EU) requirements, and internal checks for compliance. Value was seen in capturing and utilising a number of additional fields but there were also concerns about resource requirements to do so.

3 Process Review

The summary below contains comments as gathered during the day. They are generally verbatim excepting some adjustment to clarify the meaning for readers or generalise some comments to make them anonymous. We felt this approach gives the best flavour of attendee's views rather than us reporting just our interpretation thereof. There is some repetition of topics across sections which we have left in for completeness.

Green (free) Open Access Route



The most important issues identified were:

- 1) Version identification: many find it difficult to differentiate between pre- and post-print versions². Authors may send published pdfs to repository staff and often these cannot be used as 'green' versions.
- 2) Obtaining green versions from authors.
- 3) Interpreting and setting embargos.

Initiation of green OA process:

- What is the starting point in the process, i.e. who uploads to the repository, the author, library staff, other administrators?
- Authors are sometimes misled to thinking they need to pay gold open access or approached by 'rogue' OA publishers who may not have robust editorial processes.
- Negotiating copyright transfer agreement can be complex.
- Unable to bulk upload to Researchfish.
- Interpreting and locating embargo requirements.
- Retrieving articles from the author, especially if they are not the primary author.

Uploading publication to repository

- Identifying the appropriate version - difficulty in differentiating between earlier pre-print (e.g. submitted) and post-print versions (author accepted manuscript or published version).
- Some manipulate version to make it more presentable but in doing so make it different to the published text and potentially not compliant with funder requirements or what the publisher allows.
- Adding covers sheets – some do, some don't.
- Some universities don't allow pre-prints in their repository.
- Keeping/restricting more than one version can cause complexities.
- Setting embargo dates. What is the start date (accepted, early online publication date?) It was clarified that it was the publication date though there was some discussion as to whether this was early online or official publication date. Some systems do not automatically calculate embargo release date.

Release of Full Text (often after an embargo)

- Some systems such as EPrints automatically release appropriate full text versions after the embargo period. Some e.g. DSpace, do not.
- For those that use spreadsheets or other methods to track embargos it is very time consuming.

² Some people don't use the terminology pre and post print or interpret it in different ways

- Should we replace the author final version with publisher's version?
Depends on the publisher rules for that journal case-by-case.

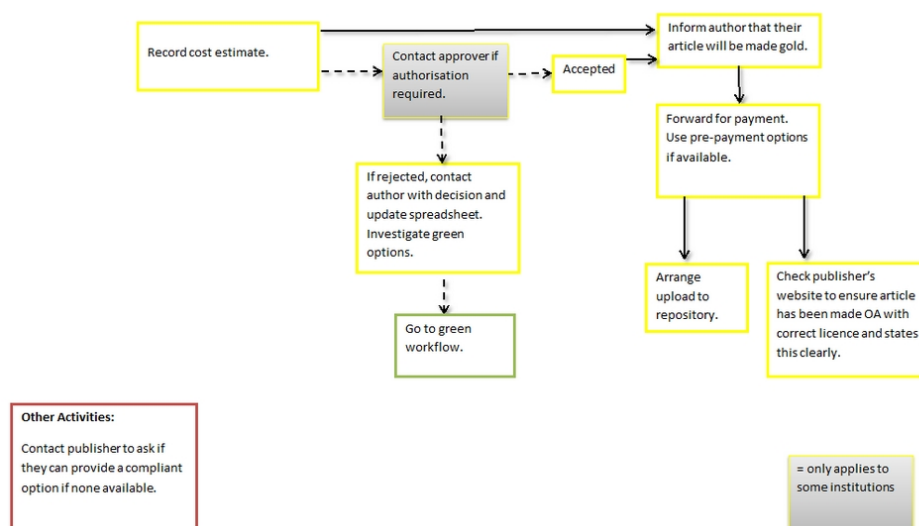
Checking Compliance of Green articles

- Some organisations are trying to keep track of funder compliant articles in subject repositories such as arXiv³ and this is time consuming.
- Compliance checking / checking whether article is OA is time consuming and complex. It is case-by-case. There are several checks required.
- Various strategies and services are adopted to check if articles are freely available off campus as many research organisations have subscriptions so cannot see what the access looks like to a member of the public.

Other items discussed:

- Engagement. Users could use social media e.g. Yammer to publicise downloads or use appropriate web layout tools (e.g. shelves in EPrints) to highlight publications and link staff profiles to records in the repository.
- There should be more targeting of specific research groups by email and other means.

Gold (paid for) Open Access Route



The most important issues identified were:

- 1) Checking at multiple points in the process/is inefficient.

³ <http://uk.arxiv.org/>

A lot of time is required to liaise with academics about what funding is available and what for. There is a need to do more advocacy to cut down on questions.

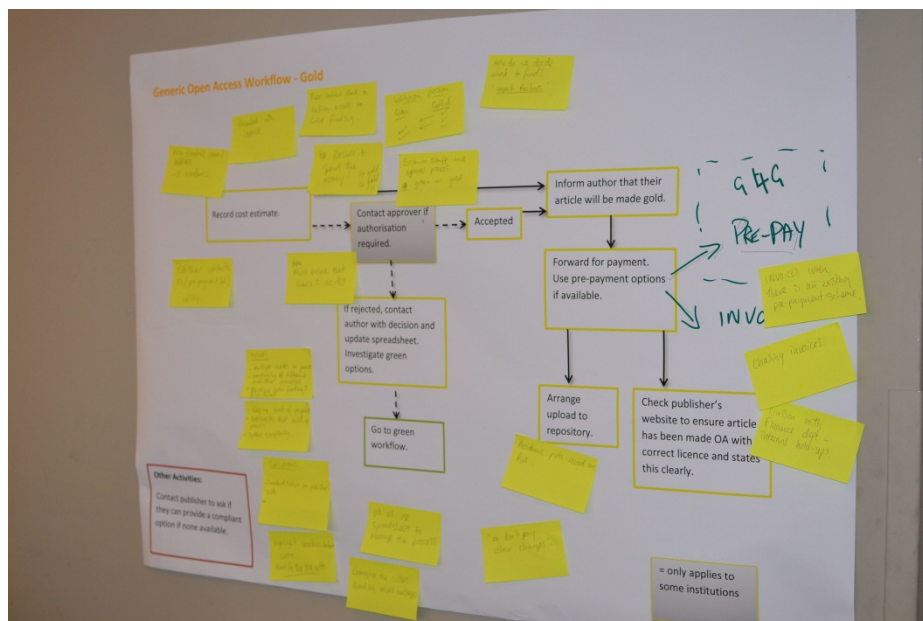
2) Payment of APCs. /

- There is a complexity of different publisher processes and payment methods.
- Some institutions require purchase order numbers to give more control. Finance staff can check to see what was initially offered and whether final payment is the same amount.

Problems with delays in payments - some institutions may batch foreign payments for example.

3) Deciding how funding is distributed

There is an overall feeling that power lies with the publisher - e.g. colour charges, double dipping, /some publishers offering 'loyalty schemes' - the more we publish with that publisher the greater the allocation towards OA charges.



Issues relating to allocation of funding:

- Institutions may have allocated institutional funding but paying for gold OA isn't sustainable in the long term. /
- Some institutions don't have any additional funding internally so although they advocate OA it has to be restricted to RCUK or Wellcome funded research (if they have awards from these funders).
- An institution that had not been allocated any RCUK or Wellcome funding specified that the green route must be adopted unless author/department provides money for Gold.

- Several institutions say there is a recommendation for green but are happy to publish using Gold if the authors want this - while funding is available. Long term preference would be for green. There's a pressure to spend the money "Go Gold! Go Gold!" A poll of this particular sub-set of attendees indicated that most of them were selecting gold in preference to green. (Note this was not necessarily representative of the wider attendance)
- National Environmental Research Council (NERC) official policy is for Gold, although some scientists claim this is a waste of money and prefer green.
- Some use peer review to allocate funding. Comments from early career researchers are that it could be detrimental to them if priority is given to established academics.
- There was discussion within the group that the impact factor of a journal (i.e. a measure of the number of times papers within the journal are cited) is still seen as important when choosing which outlet to publish in. Journals with a higher impact factor are still seen by some academics (especially those in the sciences) as being more important than those with a lower factor. There was a discussion that this might not be so important in future because, by making a paper Open Access, the journal article should be more widely available and should be making its own impact.

At what stage should funds be allocated?

- Some institutions allocate at pre-acceptance stage. They then need to ensure that funds are made available later when accepted
- Most allocate at acceptance stage. This cuts down on administration e.g. checking if a paper has been accepted and funding still needed, re-checking publisher terms as point of acceptance.

Is further approval sought after decision to use gold route? Some organisations require this whilst others rely on criteria to categorise as green or gold and do not need to seek further permission to spend.

Some institutions have a policy or recommendation for green OA and automatically proceed with gold in those cases where:

- No green option
- Funder mandate
- Funds available

First stage of application process: Most use central email address or standard online form for authors to complete.

- May hear direct from publisher (if prepayment scheme) May not have been notified by author previously. May require funding application for publisher to be completed by author (e.g. Wiley)

- Author may appear with an invoice or request to be refunded (if they already paid) without being aware that they needed to get prior approval. Sometimes these are paid, invoices are cancelled, or alternative sources of funding (other than central pots) are sought.

Record estimate and recording data:

- All of the parties in this sub-group were using spreadsheets to record Open Access cases.
- Glasgow /add a metadata record to Enlighten then go back later to check if actually OA
- NERC is compiling stats on colour charges by publisher - significant amount. /

Other stages:

- Asking for guidance on which journal to go with and funding available?
- Evaluating output - watching out for predatory journals
- Cost of staffing has generally had to be absorbed by research organisations. This includes academics if they're involved in additional peer review tasks related to Open Access. .Need to highlight the unacknowledged costs and identify the true costs.

Issues relating to payment for APCs:

- Prepayment schemes - have to check that prepayment discount is applied by publisher. /It takes time to reconcile prepayment scheme balance and same standards aren't applied across publishers - there's no clear way of administering process in standardised way. There have been some instances where the publisher has invoiced when there is an existing prepayment scheme. /If have money in prepayment scheme may be inclined to push that particular publisher.
- Gold for Gold Royal Society of Chemistry vouchers.
- Library administers gold funding via credit card - payments processed quickly.
- Foreign payments are time consuming and need following up with currency conversion.
- Activation of payment can take a month to process due to standard rules set by Finance Offices. Concern that this delay may cause problems for REF compliance.
- How do you define when it's been paid - rely on other depts. for information Payment - agreed to split with other institution but have not been able to recover it yet.
- Most publishers' systems aren't set up to cope with payment of APCs where 2 or more funders are involved.
- Keeping track of payments is time consuming.
- Subscription agents who are acting to manage APC payments are still attempting to get to grips with the process.

- Some institutions create a purchase order for each APC so that they can control the payment terms and it is easier to match up commitments to expenditure.
- Discounts may apply if an author is a member of a learned society or if the institution subscribes to the journal. This adds some complexity if these facts are unknown at the time of filling in the form. There may tick boxes that require to be filled every time e.g. American Chemical Society.
- Some institutions don't pay colour charges, and some do!

Where Gold isn't acceptable:

- There were very few instances of having to advise of green route because publishers didn't offer compliant gold route.

Meeting policy requirements:

- CC-BY licence. Most organisations stress the importance of using this licence. In most cases advice is given to use CC-BY however checks need to be made to ensure that the licences are applied correctly (sometimes the publisher will apply the wrong licence or omit information).
- We do not capture all of the relevant information to facilitate compliance reporting.
- Publisher's guidance and licences vary and it is not always easy to find clear information about the licence type.

Arranging upload to repository:

- Many institutions do not have central administration involvement - responsibility lies with academic./

Ideas for improvement:

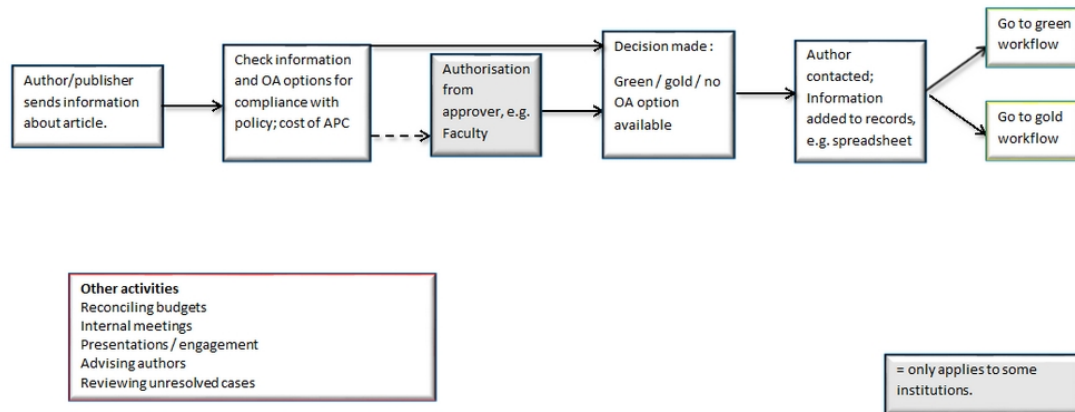
Is there a place for intermediaries for dealing with payment of APCs? Some trials have been unsuccessful and some services have been put on hold.

Have standardised systems across publishers.

Identify true costs

Resolving some of the issues with efficiency means that staff time could be used for other work e.g. engagement activities instead.

Other Open Access Activities



This part of the workshop looked at activities associated with Open Access:

- a) Before any decision is made to go for free (green) or paid for (gold) open access.
- b) Other activities associated with open access that are not associated with processing a free or paid for case.

The most important issues identified were:

- 1) Culture – struggling with ensuring that the correct advice is widely understood and adhered to.
- 2) Resource
- 3) Obtaining information early in the process
- 4) Publisher policies

Firstly we talked around the generic discussion diagram above. It was interesting to note the variety of approaches. At some organisations a decision on open access for an article was based on set criteria whereas at others decision to fund or not was referred to an academic committee. Sometimes the decision was price based or based on internal ratings of publication quality. Many organisations had only the funds made available by RCUK or Wellcome Trust. Some had institutionally funded pots. Some had no OA funds at all. Some organisations have different criteria for spend in different departments.

It was recognised that significant change will be ongoing. There may be some changes required as a result of the RCUK review⁴.



Culture (academic and administrative)

Engagement

⁴ <http://www.rcuk.ac.uk/research/openaccess/>

Need incentives to use a central process e.g. promotion.

It's an economy of scale not megalomania (central 'control').

Always need more advertising – and remember to include the benefits not just 'you must comply'

Is increase in citations a real benefit? Some papers suggest. If there is good evidence and champions for this can this be used to encourage engagement?

Action: Find out if there is other evidence that is believable by researchers.

One organisation mentioned that they ask authors to confirm that all information about all their publications rather than just the case under consideration have been provided for central systems before their APC is paid.

Changing culture – towards quality journals – internal permissions could encourage?

Harvard model of copyright. Would this help?

Action: Investigate pros and cons.

Culture can vary by subject. Authors of biomedical papers tend to be more familiar with rigid requirements.

Concerns that some articles might not be compliant due to action not being taken at the appropriate time. Some organisations have allocated resource to reviewing papers and checking various aspects.

Some organisation only allowed items that have been validated via central process to be displayed on web profiles. Others used personal development and review cycle as a way of ensuring completeness of institutional systems – if articles are not included in the central systems they are not considered for personal review and promotion.

Issues arise e.g. authors commit APC before checking if eligible for central funds

There is a lot going on we need to join up OA/Research Data.

Management/Research Integrity requirements.

Action: Pathfinder projects that mentioned advocacy to discuss and decide how we will take this section on engagement forward.

Resource

There is a lot to do and many of us do not have any additional resource to do it.

We need to clarify responsibilities – locally.

Work with local research administration more.

Difficult for smaller organisations to adopt similar economy of scale services to larger organisations.



Accepted status reporting for REF causes concern and work.

Obtaining Information early in process (as early as possible)

How do we capture all the information for future REF requirements?
Engage throughout but acceptance is crux.

Could we get advance information direct from publishers on acceptance or submission? Jisc investigating some options for this.

We talked about open access activities before articles get accepted. These included:

- Consideration of whether open access costs can be included at grant application stage.
- Offering support at the point of award – congratulations on your new grant – please consider open access.....what support do people give/might it be appropriate to give at this point?
- At point of submission to publisher – should we encourage logging of the potential article/offer support in checking publisher and funder policies on a more wholesale basis or is this an overhead? Perhaps this would be necessary if funds were limited or if funders enforced only use of compliant journals. Some organisations have approval/notification processes for submission.
- Is a standard metadata profile for submission desirable – and perhaps already one (rather than many) already exists?

Action: Add this factor to the standard metadata profile discussion.

- First come first served approaches might need to be amended with more criteria in future.

- Some organisations allow for articles to be added to the repository at pre-acceptance stages. The extent to which this is done varies but tends to be low usage.
- Get information earlier in process? Turn the process upside down – proactive, not reactive.
- The relationship is usually between the author and the publisher. How can/should organisations get involved to support researchers without ‘meglomania’?



Publisher Policies

Can the publisher OA rules be clarified in a standard format?

Harmonised publisher policies.

Coherent info on publisher policies please.

It is not always clear what ‘green’ version is allowable. Usually we understand it to be what we call an author final version or author accepted manuscript – the final agreed text but before the publisher adds their logo and mark up.

Can explanations be precise?

SHERPA needs to be better supported so that it can be accurate and helpful.

Action: Lobby for resources for SHERPA.



Is there a sort of vocabularies for publishers?

Work with publishers more. There are some Jisc initiatives. Can we get clarity on what these are for and how we can participate?

Other

Liaise with other services e.g. press office – get them to mention that the article is open access. (Work with them to collate press articles into repository too...)

Generic Comments

There was request to do a similar workshop for research data management metadata and management process.

Action: We will follow up on this action.

Who has an institutional OA policy? If so can this be shared?

At Glasgow we have a publications policy:

<http://www.gla.ac.uk/services/openaccess/managingyourresearchpublications/publicationspolicy/>

This covers open access and we did not see the need for a separate Open Access policy. There are also guidelines on open access available but the process are very simple – email a central email address.

<http://www.gla.ac.uk/services/openaccess/howdoimakemypublicationsopenaccess/>

Perhaps Jisc or someone else could maintain a page similar to the Digital Curation Centre page for data management policies?

What is the new charities OA funding scheme?

<http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Charity-open-access-fund/index.htm>

4 Feedback

The feedback from the workshop showed was very positive. General comments included:

'Discussions with colleagues most useful part of the workshop'

'Good flexibility to allow input in different areas'

'A real eye opener, excellent content and well-paced'

'A really good event – all have so many issues in common – much better to meet than use email etc.'

'Very useful and well planned'

'It's complicated!'

'Great information for me to take back to my institute. Lots of questions raised!'

Presentation and workshop slides are available from:

<http://e2eoa.org/2014/09/08/open-access-workshop-4th-september/>

Jisc is committed to assessing the value/ impact of OA Good Practice, as well as all of its OA-focused activities, as the sector shifts towards full OA implementation as result of research funders' policy changes. The attitude-based questions on the feedback form were developed to monitor institutions' perceived confidence in terms of the manageability and the support received in OA implementation; the aim being to monitor whether these attitudes/ perceptions would change over time as policies and support initiatives are embedded with institutional workflows and processes.

These questions will support a more specific impact/ value methodology by which the outputs of OA Good Practices are more directly attributable to the programme rather than the sea-change happening across the sector as a result of the policy changes.

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