Administrative Burden and Compliance

Supporting the OA infrastructure

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Commercial Director
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Complexity of the OA Landscape

There are currently 769 registered OA mandates and policies – most with some differences in application and reporting requirement.
Complexity of the OA Landscape - RCUK

RCUK APC reporting requirements:
- PMC ID
- PubMed ID
- Publisher
- Journal, ISSN
- Article title, DOI
- Date of acceptance
- Date of publication
- Fund
- Specific funder of research (e.g. NERC)
- Grant ID
- Publication license

However before any of that can be done then you have to identify which articles have been published by researchers in your institution (and variations of your institution)
OA – move from linear to complex relationship

Subscription publishing

Open Access publishing

Funder  →  Researcher  →  Publisher  →  Library

Funder  ↔  Researcher  ↔  Library  ↔  Publisher
What does this mean for publishers

1. This increasingly complex network has increased the need for standardised identifiers to link information:
   - Object identifiers – DOI’s
   - People identifiers – ORCID’s
   - Funder identifiers – Open Funding Registry (FundRef)
   - Institutional identifiers - ?

2. The administrative burden has been passed from funders to researchers and from researchers to Libraries
   - Places a large burden on libraries
   - Increasingly the market is looking for publishers to assist in solving some of the management issues
     - Creation of JISC Collections OA guidance for publishers

What can publishers do to help?
Mandating ORCID for corresponding author

- We encourage all authors to register at submission
- Articles submitted after 1st March require the corresponding author to have an ORCID account at the time of acceptance
- We publish known ORCIDs for all authors

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0000-0001-6671-192X

Scholarly Contributions [Data Provided by Scopus]

1. Fyn is an intermediate kinase that BDNF utilizes to promote oligodendrocyte myelination, *GLIA*, vol. 64, no. 2, pp. 255–269, 2016.
6. A small peptide mimetic of brain-derived neurotrophic factor promotes peripheral myelination, *Journal*
Working with Identifiers - ORCID

ORCID Workflow

Submission → Peer Review → Accept Decision Articles → Production

All authors encouraged to register ORCID

Corresponding author must have ORCID
Working with Identifiers - ORCID

- Authors can experience faster review times because we will spend less time verifying identities
- Looking at allowing authors to be able to sign in to MTS using ORCID
- Authors will have the option to add peer review information to their ORCID profiles
- We include ORCID information in CrossRef deposits so publications will appear in the author’s ORCID account

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Publisher -> CrossRef -> ORCID Profile
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Linked accounts allow automatic update of profile

No Researcher intervention required
Working with Identifiers – Open Funding Registry (FundRef)

- Currently we manually check the acknowledgments section of each accepted manuscript and extract any funding information
- Check it against the Open Funding Registry and add the funder ID to the metadata

- We can extract information from around 56% of papers
- For about 62% we find a match in the Open Funding Registry
- Allows us to create funder specific Hindawi repositories
Working with Identifiers – Institutions

- We have created our own database of institutional identifiers
- Each paper is linked to all of the institutional affiliations of all of the author on the paper
- Allows us to create institution specific Hindawi repositories
- Proprietary institutional identifiers do not allow cross linking and aggregation across publishers
- Need the adoption of an accepted institutional identifier across all publishers
  - GRiD – Global Research Identifier Database
  - Crossref are working in this field
Case Study – Development of an institutional membership

- Aim to offer more than just financial discounting
- Start to finish OA institutional administration with minimal requirements on author

While maintaining:

- Full visibility for the institution
- Institutional control

And avoiding building lots of redundant features

Started by taking JISC Collections OA recommendations for publishers document
<table>
<thead>
<tr>
<th>Key Issue</th>
<th>Expected Standard</th>
<th>Hindawi Existing</th>
<th>What we can do?</th>
</tr>
</thead>
<tbody>
<tr>
<td>ORCID (Submission)</td>
<td>Include in submission process. Push for co-author details also</td>
<td>Do not ask at submission for corresponding author. Mandated at ‘Acceptance’. Ask for co-authors (not mandated)</td>
<td>Could try to mandate earlier in process, or push harder for co-author ORCIDs</td>
</tr>
<tr>
<td>Co-Author Affiliation (Sub / Accept)</td>
<td>Populate co-author affiliation fields on CR</td>
<td>We do not currently send institutional affiliation data</td>
<td>We should populate on CR as well as PubMed</td>
</tr>
<tr>
<td>Acceptance Letter (Acceptance)</td>
<td>Ensure letter includes relevant information</td>
<td>TBC</td>
<td>Change template to include all information. Deposit article directly into IR</td>
</tr>
<tr>
<td>Accepted Manuscript (Acceptance)</td>
<td>Supply as attachment to letter</td>
<td>We supply final published version</td>
<td>Deposit article directly into IR</td>
</tr>
<tr>
<td>CrossRef (Acceptance)</td>
<td>Register article DOI with CR on acceptance &amp; inform co-authors</td>
<td>Currently register on a daily basis at 9pm on day of ‘Publication’. Authors are informed at acceptance and publication.</td>
<td>Article will be OA within the 12 month window after acceptance so should conform to requirements for REF 2020</td>
</tr>
<tr>
<td>Funding Metadata (Publication)</td>
<td>Populate funding metadata in FundRef &amp; on publisher site</td>
<td>We add the data into the .xml if the authors add the information to their manuscript – currently not mandated. Get FunderID from Online DB that syncs with CR</td>
<td>Investigate capturing funder info at acceptance point – if done, ensure FundRef is populated</td>
</tr>
<tr>
<td>OA Licensing (Publication)</td>
<td>Ensure clarity of article &amp; journal level licensing. Populate LicenseRef</td>
<td>Copyright info included on article page &amp; .xml. All article &amp; journals are CC-BY / Gold OA</td>
<td>Ensure terminology is standardised</td>
</tr>
<tr>
<td>CC-BY (Publication)</td>
<td>Ensure CC-BY is only option when required by funder</td>
<td>All articles (where relevant) are CC-BY</td>
<td>Fully compliant</td>
</tr>
<tr>
<td>Embargo Periods (Publication)</td>
<td>Ensure periods are set with reference to views of funders</td>
<td>Hindawi don’t have embargo periods as fully OA publisher</td>
<td>Not applicable for Hindawi</td>
</tr>
<tr>
<td>Notification (Publication)</td>
<td>Automated notification to institutional representative</td>
<td>Article is populated into the institutional pages on Hindawi.com on publication – no current notification option</td>
<td>As part of the Hindawi Institutional Partnership we can set up alerts at submission, acceptance and publication to a designated email (or emails)</td>
</tr>
<tr>
<td>Dates in Metadata (Post-Publication)</td>
<td>Pass on key dates in metadata through back-office systems</td>
<td>We display the ‘Accepted’ date but have both the ‘accepted’ and ‘published’ dates in .xml metadata</td>
<td>Expose ‘Published’ date on article page</td>
</tr>
<tr>
<td>Data / Text Mining (Post-publication)</td>
<td>Allow unrestricted machine access to content .xml for whole database of Hindawi available</td>
<td></td>
<td>Fully compliant</td>
</tr>
</tbody>
</table>
What did we do

Built an administrative interface into our Manuscript tracking system
- Initial stage was to give visibility to the financial billing of APC’s
- Holds all of the information on any articles processed through the institutional membership

But could be so much more

1. **Visibility on all submitted articles**
   - Allow institution to check and approve applicability to be paid by central fund
   - Push email alerts to administration
   - Use to push discussion with authors earlier in the process

2. **Accepted articles are visible and if cover by the membership they will flow into the financial reports**
   - Alerts on acceptance of articles
   - Funding information is added if available
   - ORCID ID’s are visible

3. **Post publication**
   - Output reporting consistent with funder requirements
   - Push of final published version and metadata to institutional repository
   - Could push directly to funder for reporting
<table>
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<th>ACCEPTANCE</th>
<th>PUBLICATION</th>
<th>POST-PUBLICATION</th>
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<tr>
<td><strong>Data Collection</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Institution affiliation collected</td>
<td>ORCID mandated</td>
<td>Populate Funding Metadata</td>
<td>Capture usage statistics of article</td>
</tr>
<tr>
<td><strong>Author Services</strong></td>
<td></td>
<td>Populate LicenseRef</td>
<td></td>
</tr>
<tr>
<td>Relevant data collected for easy publication process</td>
<td>Acceptance Letter</td>
<td>Register article DOI with CrossRef</td>
<td>Inform relevant parties of publication &amp; ensure proper indexing in AI databases</td>
</tr>
<tr>
<td>Simple &amp; intuitive process for submission</td>
<td>Accepted Manuscript</td>
<td>Pass key Metadata dates</td>
<td>Ability to offer data / text mining capability by exposing .xml for all articles</td>
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<tr>
<td><strong>Institution Services</strong></td>
<td></td>
<td>Populate Co-author affiliation on CrossRef</td>
<td>Make available article level usage statistics in MMS</td>
</tr>
<tr>
<td>Provide customised institutional information &amp; discount based on IP / domain</td>
<td>Admin system to see articles in review &amp; published; Financial information; Notify: Push into Hindawi pages; MMS system updated for reporting; notify institution of publication</td>
<td>Scan full text for Funder info. If found, add FunderID into .xml metadata</td>
<td>Deposit into Repositories &amp; other relevant places</td>
</tr>
</tbody>
</table>

**Working Proposal**
Conclusions (so far)

• The move to OA has created a much more complex ecosystem and all parties publishers, institutions, researchers and funders need to work together

• The wide adoption of unique identifiers can go a long way to making the system work more efficiently...

• ...but we have some key weaknesses
  • We need to find a way of robustly identifying institutions and their many component organisations
  • Funding information is key to reporting and assigning payment correctly but information is poor

• Manuscript management systems need to do so much more in an OA world
  • Serve additional stakeholders – OA administrators, funders
  • Create visibility throughout the publishing process

• Extracting the right information at the right points with as little author burden as possible is key

• Publishers are only part of the scholarly infrastructure and should make their systems as interoperable as possible