

Standards Workshop at Researcher to Reader Conference, London, Feb 2017: UNREPORT

Workshop leaders : Anna Clements (University of St Andrews) & Valerie McCutcheon (University of Glasgow); scribe/photographer : Tony O'Rourke, Consultant

At the R2RConference 21-22 Feb 2017 we held a Workshop on 'Which Standards Matter and Why.' This is the second time I've attended the conference and two things stood out for me again - the mix of Publishers and Librarians and the enthusiasm and hard work of the delegates for the workshops. The former is very refreshing as it creates an environment for some of the contentious issues around OA publishing in particular to be discussed in less adversarial terms than happens perhaps online via blogs and mailing lists.

The workshop posed the question in relation to existing, emerging and missing standards : 'How can research libraries, publishers and their intermediaries co-operate to solve some of the 'pain points' in rapidly evolving scholarly communications processes?'

We held 3 meetings over the two days of the conference :

Meeting 1 : Monday 10:25 - 11:20 Setting Scene - Collecting information

Meeting 2 : Monday 16:40 - 17:30 Standards in publishing process; usage and gaps/pain points

Meeting 3 : Tuesday 10:30 - 11:20 Priorities & Actions

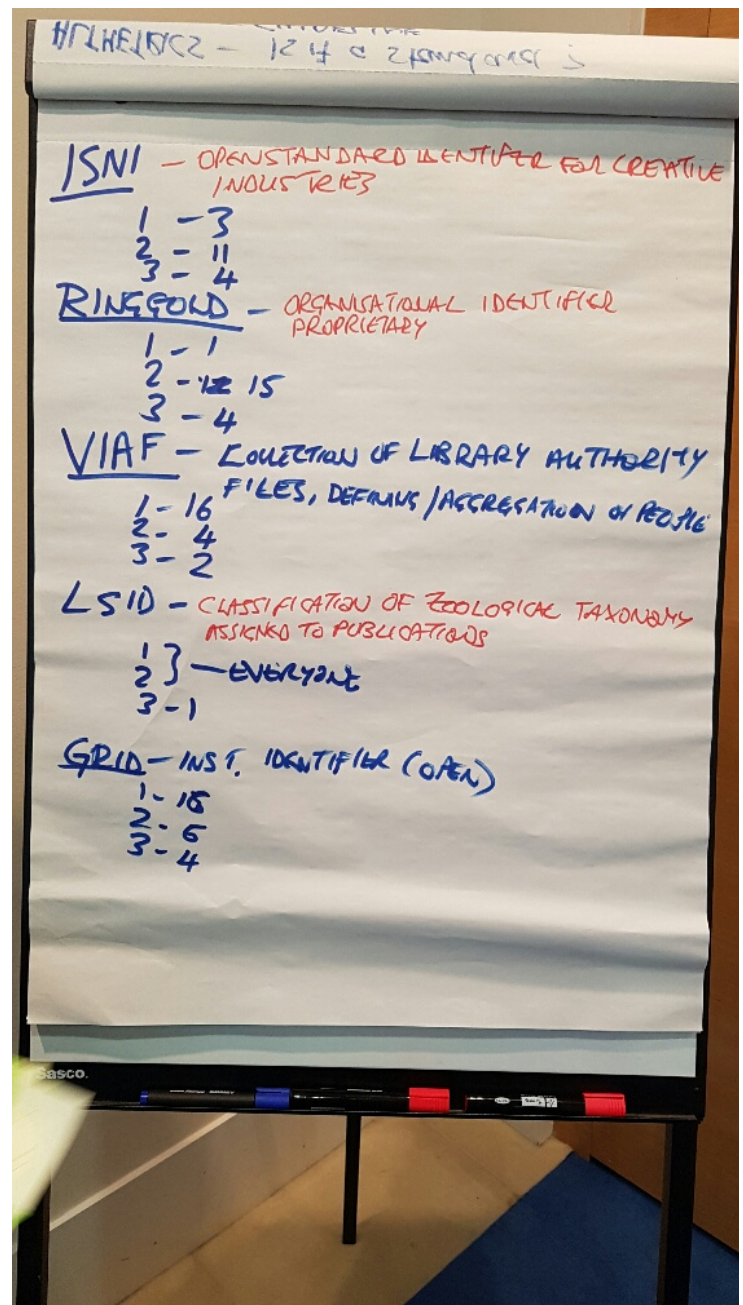
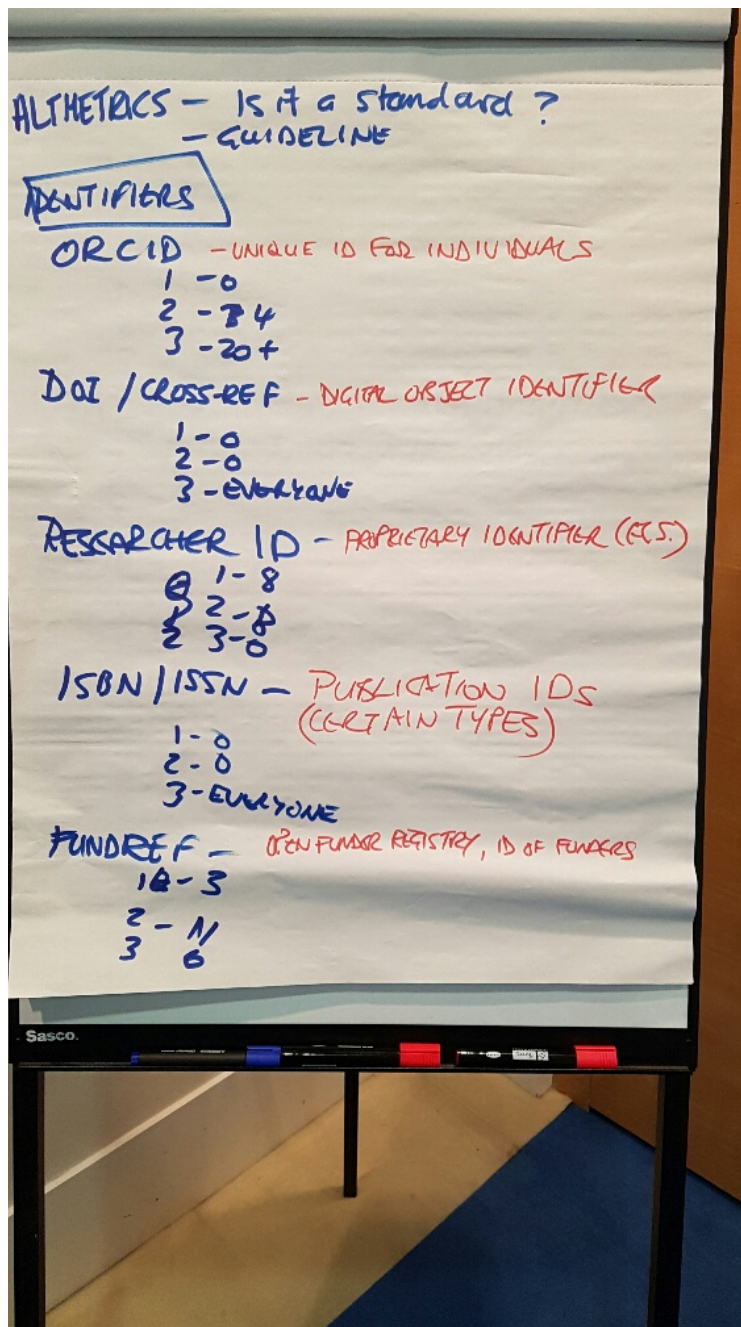
Meeting 1

Collecting, describing and surveying standards - what standards we know about; what we think they are for and level of awareness/adoption.



We collected standards in categories including Identifiers (shown above), Definitions; Lists/Taxonomies; Data Models; Policies & Other

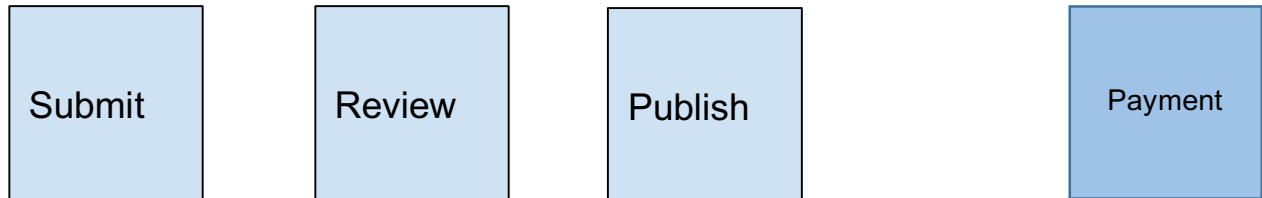
What was clear from the group was that Identifiers were the most popular and the photos below (1 - not aware; 2 - thinking/planning; 3 - using) indicate the high engagement with ORCID, DOI/Crossref and ISBN/ISSN but the split engagement across the various Organisational Identifier initiatives ISNI, RINGGOLD & Digital Science's GRID. The FundREF finding is also interesting as many people are thinking about using/planning to use - but none yet are.



Meeting 2

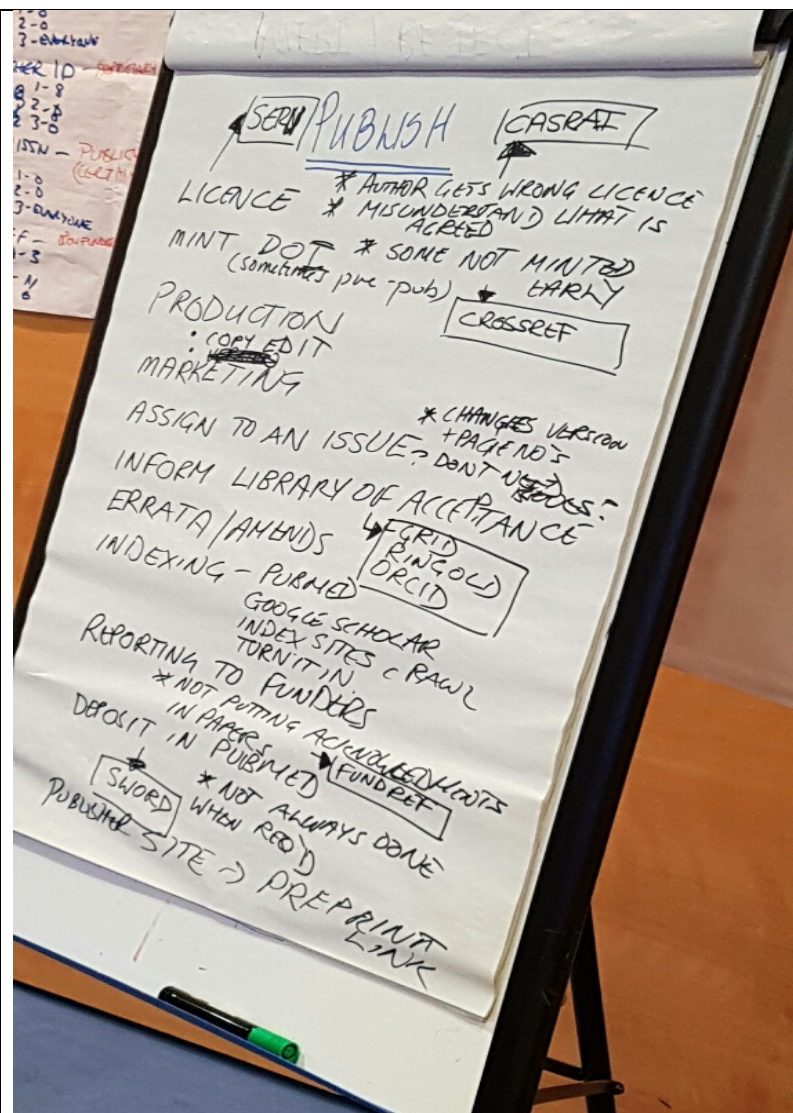
Identifying 'pain points' in publishing process and where existing standards are being applied or could be applied or gaps that need a new standard.

We concentrated on journal article publishing given that this was the process familiar to most of our participants. This was simplified down to the following basic steps :



With the payment positioned somewhere along the line and here we mean paying APCs

We split into four groups each tackling one of the boxes. Summarising 'pain points' from each - and such was the level of enthusiasm the groups cheered at the thought they would be coming back the next day to think about ways to start to resolve some of these problems! To right is a shot of the issues discussed in the group tackling the 'Publish' step:



Submit	Review	Publish	Payment
No consistency of instructions to authors	Identifying reviewers and being able to check they are who they say they are (certify); no robust registry of reviewers	Many different licences misunderstood by authors	Difficult to determine who pays
No standard information requirements for manuscript submission	Review process is based on original paper-based one - to - one process rather than a collaborative process taking advantage of new technology	No standard information requirements for acceptance notification to authors	No standard information requirements for invoice - critical for efficient process and quality data
No open persistent ID allocated at submission	Little/no? recognition of Reviewer role - although issues around blindness	Not all deposits to pubmed are automated	Different publisher models/offers - lack of transparency at point in process required
	Inconsistent times across sector for process - should there be standards we adhere to i.e. review within x days?	No consistent link to pre-print where it exists online	Lots of point to point interactions; many publishers with many journals dealing with many many authors and many libraries.
	Reviewer training - standards?		

Meeting 3

Identifying what standards relevant or required to relieve the 'pain points'. The solutions we discussed divided into three broad categories: (i) further use cases for existing standards. (ii) working groups to tackle missing standards around key exchange points and (iii) broader guidance/best practice development.

So looking at identifiers - where can these be further embedded in the process?

1. DOI - allocate as early as possible so why not at manuscript submission? Ok it may not be published by that publisher or even at all but is that really a problem compared to the advantage of having a persistent identifier allocated up front to ease the workflow down the line?
2. ORCID - require reviewers to have an ORCID - to help ensure are who they say they are and give context. Interestingly after the workshop I then saw the

- blog post at <https://orcid.org/blog/2016/09/22/recognizereview-orcid>
3. Organisation ID - no single standard established yet - needs to be : work going on see <https://www.crossref.org/blog/the-organization-identifier-project-a-way-forward/>
 4. FundREF - related to 3 to get organisational identifiers but also need authority file for grant/project references as reporting needs to be to the project level not just the funder.

And what about new standards? Two areas stood out:

1. Standard information required for APC invoice – initial thoughts from the group.
 - DOI (should be created early – why not on submission?)
 - ORCID for (at least) corresponding author
 - Institutional identifier for (at least) corresponding author - ISNI or Ringgold or GRID
 - ISSN
 - Publisher identifier - ISNI or Ringgold or GRID?
 - Itemised – APC, page charges, colour charges
 - Funder identifier/s – FundREF
 - Project identifier/s
2. Standard information required for manuscript submission.

And, finally the broader guideline development:

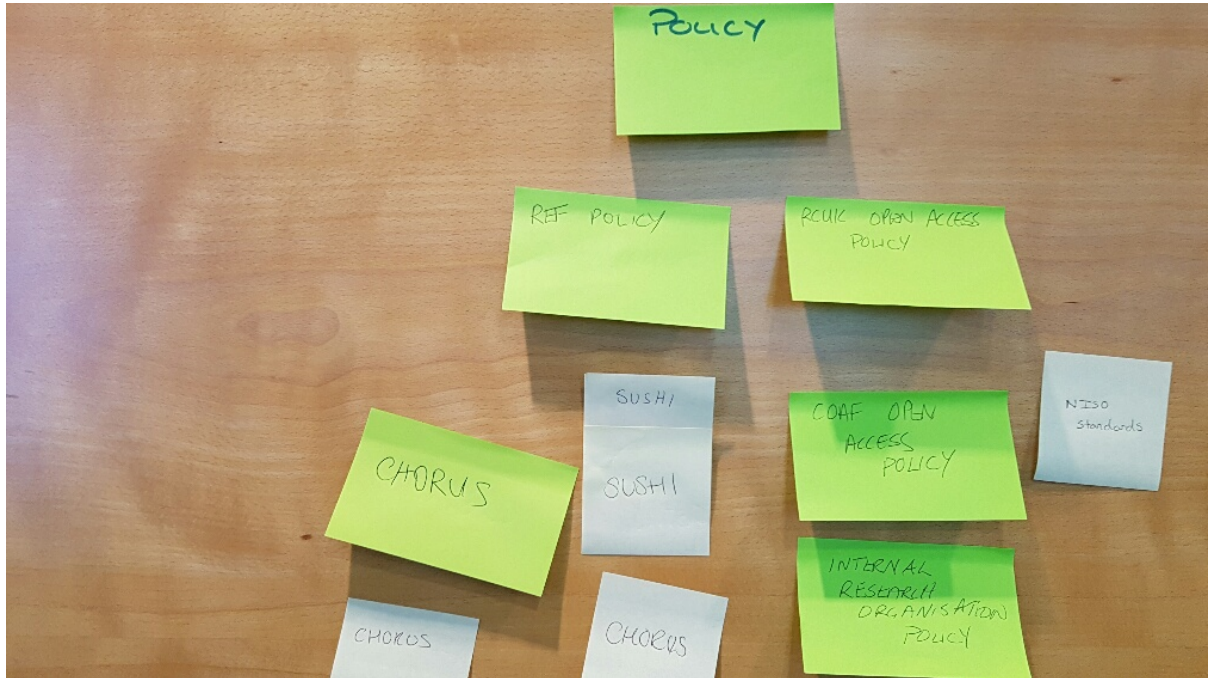
1. Reviewer training - we heard at the conference plenary that several publishers do provide this; it would be good to know more about what they do and whether best practice guidelines are available to share.
2. Instructions to authors & expected standards of service; what is expected from the author and what they will receive in return included expected timeframes, technical requirements, funder compliance alignment, costs

Much of what we found came as no surprise - areas such as need for persistent Organisation Identifiers - and work is underway involving the wider research sector. But some are things that have not yet started to be addressed and there was a real expression from the workshop that these should be tackled through a mechanism such as a CASRAI working group or similar.

We welcome feedback and offers to help take any of the above forward as this needs to be done collaboratively.

Appendix : Complete set of photographs from Workshop

Meeting 1 : Monday 10:25 - 11:20 Setting Scene - Collecting information



LIST / TAXONOMY

Thema

(indexing)
MESH
INSPEC
LOC

SUBJECT
VOCABS

eg.
AAM
Maths.

CONTROLLED
VOCABS:

LOCSH
FAST headings

DATA MODEL

COUNTER

COUNTER
(usage)

COUNTER

COUNTER

COUNTER
(usage)

COUNTER

COUNTER

JATS

METS

MARC21
MARC XML

GUIDELINES

PROJECT
TRANSFER

ARTICLE
VERSIONS
(NISO)

Project
Transfer

NISO
recommended
practices

KBART
(link resolver
metadata)

PUBLISHER
GUIDELINES
(which vary
and use different
language)

TRANSFER

US PUBLIC
ACCESS
MANDATE

RESEARCH ORGS
OF GUIDELINES
FOR
RESEARCHERS

DEFINITIONS

CASRAI

CASRAI APC
DEFINITIONS

CASRAI
DICTIONARY

Publication
Date ???

CLEDT

OTHER

- Meta data
MARC records
available to users
ICEDS - Standard
Academic
Publications but not
for libraries

(Research)
CLOCKSS
LOCKSS
Portico

to feed OPACs
to support
research and
classr

RIOXX

MARC

Not leg
(Copyright lib
creating copies
up)

Z39.50

CLOCKSS
Portico
LOCKSS

ALPHABETICS - Is it a standard?
- GUIDELINE

IDENTIFIERS

ORCID - UNIQUE ID FOR INDIVIDUALS

- 1 - 0
- 2 - 4
- 3 - 20+

DOI / CROSS-REF - DIGITAL OBJECT IDENTIFIER

- 1 - 0
- 2 - 0
- 3 - EVERYONE

RESEARCHER ID - PROPRIETARY IDENTIFIER (RCS)

- 1 - 8
- 2 - 8
- 3 - 0

ISBN / ISSN - PUBLICATION IDS
(CERTAIN TYPES)

- 1 - 0
- 2 - 0
- 3 - EVERYONE

FUNDRIF - OPEN FUND REGISTRY, ID OF FUNDERS

- 1 - 3
- 2 - 1
- 3 - 0

DATA MODELS

COUNTER - COUNTING USAGE / DOWNLOADS

0 - 81 1 - 6
1 - 2 2 - 5
2 - 3 3 - 7

METS

- METADATA STANDARD FOR ENCODING DIGITAL OBJ

1 - 11
2 - 6
3 - 0

JOURNAL ARTICLE TAGSUITE - STANDARD FOR
JOURNAL ARTICLE METADATA (WAS NLM010)

1 - 12
2 - 5
3 - 3

MARC / MARCXML / MARC21

BIBLIOGRAPHIC STD FOR LIBRARY CONTENT

1 - 0
2 - 2
3 - EVERYONE ELSE

DUBLIN CORE - METADATA STANDARD FOR
DOCUMENTS

1 - 0
2 - 9
3 - 20+

POLICY

CITRUS - STANDARDS TO IDENTIFY FUNDERS
OF RESEARCH, USING STANDARDS
TO CREATE BETTER UNDERSTANDING

1-3
2-13
3-4

SUSHI - HARVESTING STANDARDS FOR COUNTER PART

1-3
2-11
3-8

CASR #1 - ^{PLATFORM AREAS} UMBRELLA FOR ~~GREEN~~ STANDARDS

1-10
2-6
3-4

PROJECT TRANSFER - RECOMMENDED PRACTICE
FOR TRANSFER OF JOURNALS

1-12
2-6
3-6

CREDIT - CONTRIBUTOR IDENTIFICATION
1-12, 2-7, 3-2

SUBJECT CLASSIFICATIONS - MESH, ETC.

HTLHEJOCZ - 124 a 210000000 5

ISNI - OPEN STANDARD IDENTIFIER FOR CREATIVE INDUSTRIES

1 - 3
2 - 11
3 - 4

RINGOLD - ORGANISATIONAL IDENTIFIER PROPRIETARY

1 - 1
2 - 12 15
3 - 4

VIAF - COLLECTION OF LIBRARY AUTHORITY FILES, DEFRANS / AGGREGATION OF PEOPLE

1 - 16
2 - 4
3 - 2

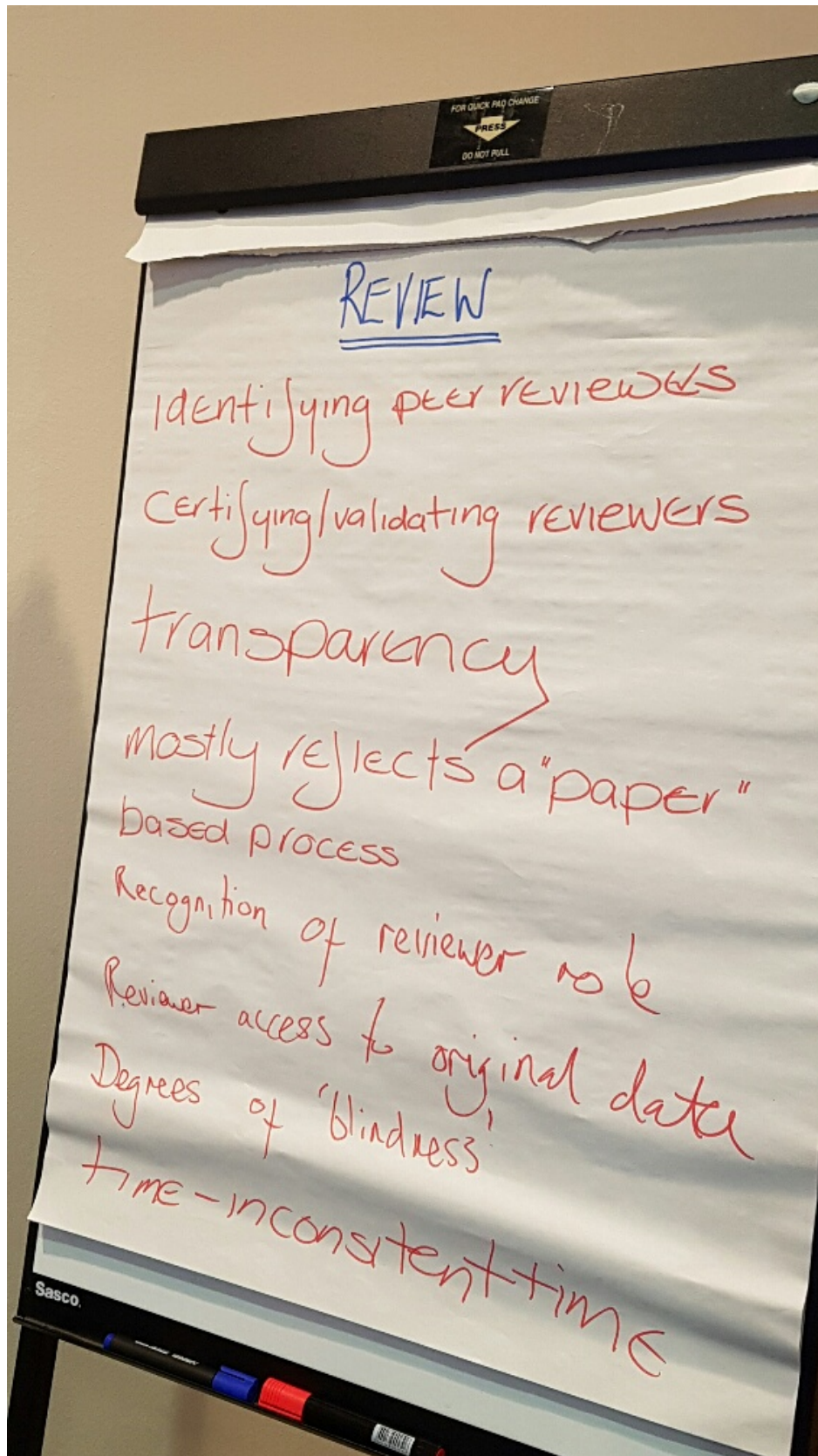
LSID - CLASSIFICATION OF ZOOLOGICAL TAXONOMY ASSIGNED TO PUBLICATIONS

1 } - EVERYONE
2 }
3 - 1

GRID - INST. IDENTIFIER (OPEN)

1 - 15
2 - 5
3 - 4

Meeting 2 : Monday 16:40 - 17:30 Standards in publishing process; usage and gaps/pain points



2-0
3-abstract
HER ID - ~~copyright~~
1-8
2-8
3-0
ISSN - PUBLIC
(CULT)
1-0
2-0
3-abstract
F - ~~copy~~
1-3
4
6

SEPP PUBLISH CASRAI

LICENCE * AUTHOR GETS WRONG LICENCE
* MISUNDERSTAND WHAT IS AGREED

MINT DOT * SOME NOT MINTED
(sometimes pre-pub) → EARLY

PRODUCTION
: COPY EDIT
~~MARKETING~~
MARKETING

CROSSREF

ASSIGN TO AN ISSUE? * CHANGES VERSION
+ PAGE NO'S
DONT USE ~~WORDS~~

INFORM LIBRARY OF ACCEPTANCE
ERRATA / AMENDS → GRID
RINGOLD
ORCID

INDEXING - PUBMED
GOOGLE SCHOLAR
INDEX SITES CRAWL
TURNIT IN

REPORTING TO FUNDERS
* NOT PUTTING ACKNOWLEDGMENTS
IN PAPERS → FUNDREF

DEPOSIT IN PUBLISHED * NOT ALWAYS DONE
* NOT ALWAYS DONE
WHEN READY

SWORD

PUBLISHED SITE → PREPRINT LINK

SUBMIT

INSTRUCTIONS for AUTHORS (no stammi?)

SUBMISSION FORMAT — EEO
ORCID STANDARDS — ^{extended} DATASETS

Funder Registry ← →
Institution Identifiers grant information
project identifiers
*

& KEYWORDS / ARTICLE CLASSIFICATION

AUTHOR CONTRIBUTION — CREDIT

PAYMENT

OA

WHO PAYS: -

Funder Open Access 10
Author - principle or?
Library / Inst Open Access
separate fund

functionally: - Juk monitor
who deals with money

Different APC models

membership } affiliation based?
pre-pay
members

Dealing with individual publishers - no centralisation
very granular

Have not got DOI at point of acceptance
Crossref pre-prints

Non-APC publication charges
- page
- colour

Hybrid jms - double dipping

transparency
pricing / differential

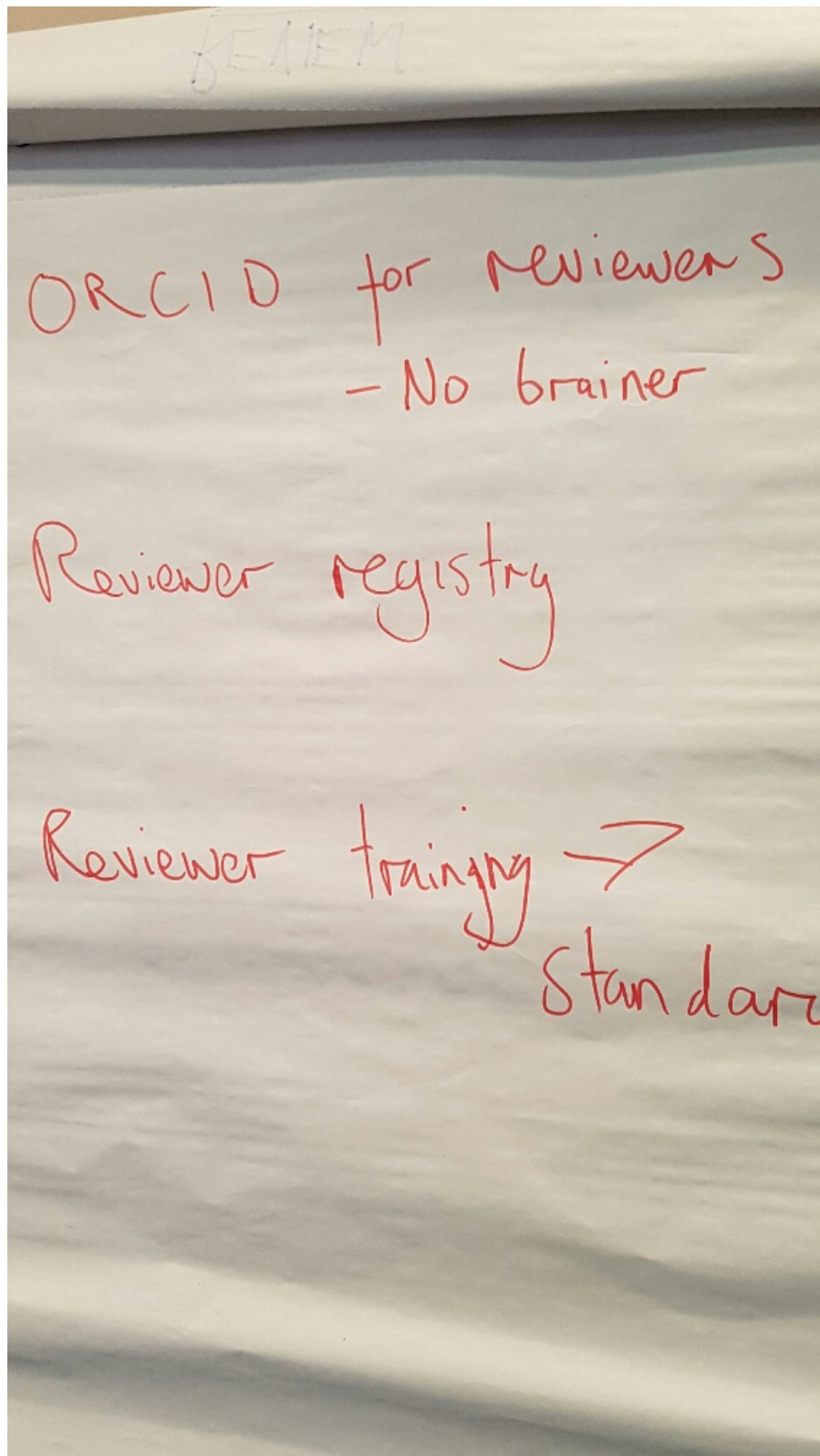
Staffing of OA in post
~~over~~

APC price - more in total than clubs model

Big deal for OA
APCs

pre-payments not held in escrow

Meeting 3 : Tuesday 10:30 - 11:20 Priorities & Actions



ORCID for reviewers
- No brainer

Reviewer registry

Reviewer training ->
Standards

SUBMIT

INSTRUCTIONS for AUTHORS (no stunnin?)

SUBMISSION FORMAT — EEO
STANDARDS — ^{extended} DATASETS

ORCID

Funder Registry ← → grant information
project identifiers
*

Institution identifiers

& KEYWORDS / ARTICLE CLASSIFICATION

AUTHOR CONTRIBUTION — CREDIT

OF RESEARCH, USING
TO CHAN

2011

VERSIONS / PRE-PRINTS

DOI for PRE-PRINT

- BARRIERS TO WIDE USE
e.g. SOCIETIES / SMALLER PUBLISHERS.

STANDARD FOR VERSIONS

LICENCES +
FUNDRIF + LICENCE
REQ.

PART OF METADATA.

DEF. SUB MET - AUTOMATE ICND
FUNDRIF.

Who pays — insr problem
what on invoice
models

many to many interactions — proprietary solutions exist — but no user lay covering world

Create standard guideline for invoice format. incl. —

1. pre-print doi (crossRef pre-prints)
2. *ORCID for corresponding
4. *Org ID (ISNI, Ring, Ceid) Inst
ISSN
Publ ID (ISNI, Ring) SIA
Indexed (AIP vs Page/colour)
3. * Funder ID (S)

Guidelines for implementation
— Priority of implementation
— Pragmatic for sm. Publ

Set up working group — CASRAI?
— NISO?

Difficult