

Open Mirror - summary report

A report of a feasibility study commissioned by Jisc

Authors: Neil Jacobs, Nicky Ferguson

[Summary report:](#)

Barriers on the Berlin road

[PDF version \(9 pp\)](#)

Can, and should, the UK's open access publications be brought together in one place; an "open mirror"?

Web version:

[Introduction, acknowledgements](#)

Introduction

[Context](#)

[What is an Open Mirror?](#)

[Environment](#)

[UK environment](#)

In 2003, the Berlin Declaration on Open Access proposed that research outputs should be made openly available for use and re-use, with appropriate attribution, via repositories, using established technical standards. Ten years later, Jisc, RLUK and SCONUL undertook a feasibility study into an "open mirror", which would bring together the UK's open access research outputs for use and re-use. The work, described here, identified significant barriers in the way of the open mirror. After describing the work, this report considers why, ten years after the Berlin Declaration, and with significant amounts of the UK's research output being, at least nominally, open access, it is so difficult to build an open mirror. It recommends work to make it easier.

[Study diagram](#)

Context

[The high level use cases](#)

[The challenges](#)

[The barriers](#)

[Which path?](#)

[Conclusions](#)

The UK is, along with many other countries, moving toward open access for the publications of its researchers, for a variety of reasons and driven by factors rehearsed extensively elsewhere. It would seem natural, therefore, to be able to see (and look after) this growing corpus of open UK publications in a single place and, perhaps, a single place within the ambit of the academic community that has produced those publications. That was the starting point for the Open Mirror feasibility project, which ran from June 2013 to February 2014. This document summarises where we are at the end of that project, based on extensive consultation, horizon scanning, technical prototyping, legal review and a dedicated stakeholder workshop in January 2014.

[Recommendations](#)

What is an Open Mirror?

As originally conceived, the Open Mirror would be an aggregation of Open Access (OA) content, building upon the network of institutional

Appendices:

[Notes from final stakeholder workshop](#)

[Summary requirements table](#)

[Summary options appraisal](#)

[Horizon scan](#)

[Methodology](#)

[Full draft report for stakeholder workshop \(48 pp\)](#)

[Executive summary of technical report](#)

[Full technical report \(55 pp\)](#)

[Stakeholders / interviews](#)

[Relevant services](#)

repositories in the UK. It would cover all UK OA publications¹, both "Green" and "Gold", and might therefore require significant changes in the interoperation between institutional repositories and other initiatives such as publisher platforms and subject repositories.

Environment

Services similar to the Open Mirror already exist internationally. CHORUS is a publisher initiative in the US, based on existing infrastructure and arrangements such as publisher platforms, CrossRef and Portico. Its proponents argue that, by restricting published papers to journal websites while making them readable, it preserves trust in the scholarly record while expanding access to it. SHARE (the SHared Access Research Ecosystem), also in the US, is a higher education-based initiative to strengthen efforts to identify, discover, and track research outputs. It is in some ways a rival and in some ways complementary, to CHORUS, being based on institutional and other academic infrastructure, such as repositories. NARCIS is a national aggregation of OA publications in the Netherlands, one of whose roles is to provide the European OpenAIRE system with Dutch OA material in an efficient way. Other, similar, initiatives are underway in several other countries.

In the UK, there has been considerable investment in repository and related infrastructure, and the schematic in Figure 1 presents this, related services, and how these fit in a typical scholarly communications workflow, from authoring to using research findings. The services, content and metadata flows shown in the diagram are illustrative; not every research paper is represented by all of them. Nevertheless, the diagram suggests both that the skeleton of an infrastructure is in place, and that more work is needed to streamline the content and metadata flows. Might Open Mirror be a part of that work?

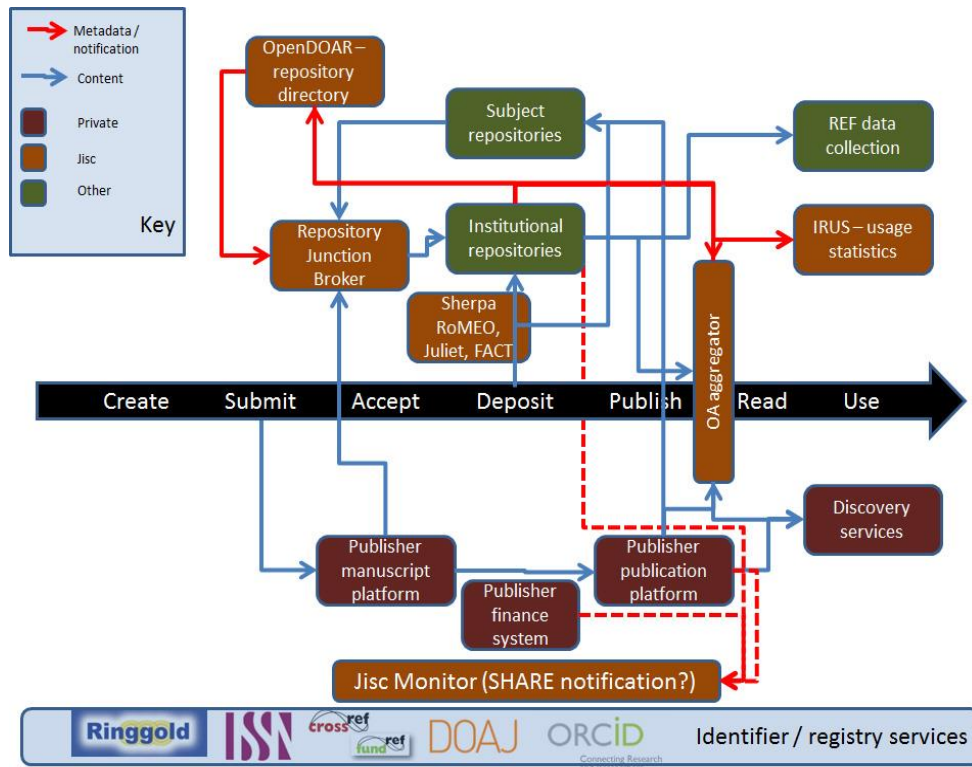


Figure 1: the UK environment

A feasibility study

Jisc was asked by RLUK and SCONUL, as a part of its first "co-design" programme, to investigate the value and feasibility of the Open Mirror. The report from that study for the final stakeholder workshop is available as an [appendix](#) to this paper, together with the various report annexes (see sidebar).

The broad shape of the study is shown in Figure 2.

Open Mirror feasibility study

Method

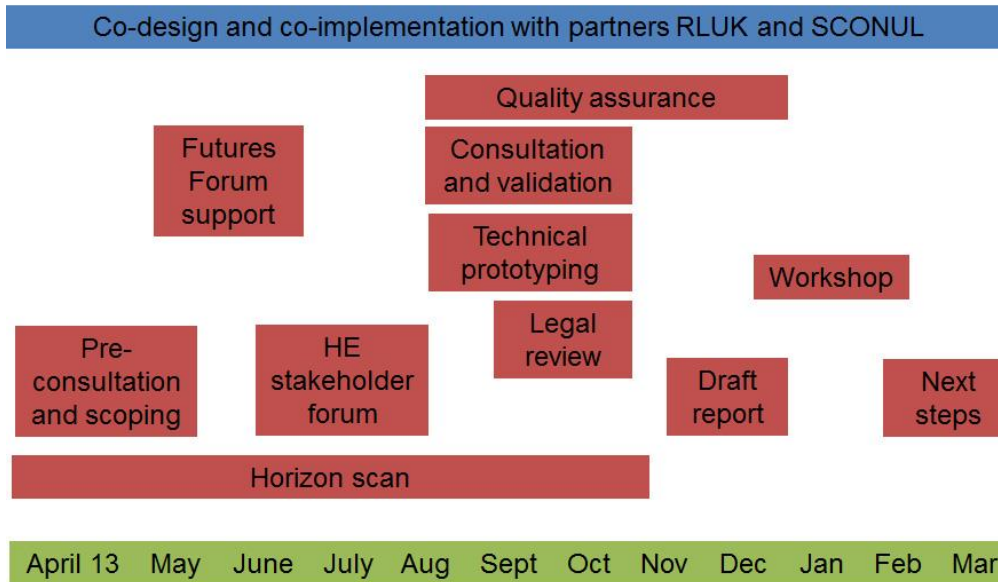


Figure 2: the feasibility study

As will be clear from Figure 2, the study consulted widely and developed a robust evidence base from which to draw conclusions. Nevertheless, as will be considered below, further consultation and partnership building work remains to be done.

Current high level use cases

Innovation tends to be iterative, identifying problems to solve and opportunities to exploit in parallel with development to see what is possible and interesting. The UK's repository infrastructure has been built in this way and a range of high level use cases have crystallised as being core to its existence. These are also highly relevant to the Open Mirror. They are, in no particular order, to:

1. report on research, e.g. to Research Councils and REF
2. preserve research outputs, either to ensure business continuity or in the long term
3. ensure the visibility and searchability of UK OA content
4. showcase institutions' research assets

5. increase research impact
6. justify UK expenditure on research for government and citizens
7. provide management information for funders, HEIs, government, etc. (e.g. for planning, benchmarking...)
8. enable the development of new software applications and services relying on UK open access content, by providing a harmonised programmable access to it
9. enable more accurate and evidence-based analysis of OA content, such as for the purposes assessing the state of the "mixed economy" as posited in the Finch Report
10. increase the quality of the metadata and the quantity of full text (both formal publications and so-called "grey literature") in institutional repositories (IRs)
11. enhance the persistence and accuracy of access to resources held in IRs through the consistent use of identifiers (for outputs and for authors).

The challenges faced by different stakeholders in meeting the use cases

Unsurprisingly, the high level use cases noted above were strongly represented in the feedback in the feasibility study. Many of those consulted noted considerable challenges in meeting those use cases.

Managers and staff of individual IRs (over 150 IRs at the last count) face a number of challenges: curating and maintaining the quality of their metadata for a rapidly expanding and difficult to track down corpus of papers, publications and other literature; correctly identifying and interacting with authors to obtain the initial metadata and, particularly difficult, the full text; improving the visibility of content within IRs; interoperating with funders, subject repositories and journal publishers; preservation.

Research managers need to: track existing collaborations and identify potential new ones; identify potential research collaborators and funders, benchmark and measure research performance.

Funders find that: the poor coverage of some IRs makes interacting with institutions through their IRs patchy and difficult; text mining such a diverse range of sources is highly problematic, technically and legally; there is a need for international coordination over standards, initiatives and funding; there is an urgent need for UK HE to be able to meet monitoring and compliance requirements for RCUK and Wellcome and to manage

efficiently the research outputs which HEFCE will likely require to be available via IRs for the next REF.

Publishers see institutional repository contents as unreliable and poor quality; conversely, improving the quality through use of subject repositories or aggregations is seen as a threat to subscription income.

Commercial intermediary services would welcome aggregation activity as they find that the increase in Green OA repository sources makes access and discovery more difficult; they are also concerned about preservation.

Researchers and research users are frustrated by: barriers to text mining, especially licensing, the lack of visibility and impact of some IRs, the absence of a jargon-free route to access research and particularly the researchers who produce it.

The challenges expressed above give us a shopping list of possible tasks, the accomplishment of which would assist the UK repositories infrastructure in meeting the high level use cases and become more interoperable, in line with the Finch Report:

- Increase access to all open access material, whether Green or Gold, self-archived or publisher-archived;
- Improve the quality and exposure of repository-held content;
- Aggregate metadata for open access content;
- Recognise the value and importance of text mining and the need to aggregate full text content for this purpose, where legally possible;
- Improve exposure and visibility on established resource discovery services;
- Ensure preservation of OA content in line with the Finch report recommendation 7.6;
- Encourage use of identifiers and develop systems of guaranteed persistent access so that OA content and associated citations persist over time and reduce web link 'rot';
- Enable UK HE to be able to manage efficiently the research outputs to be available via institutional repositories for REF post-2014.

A full table of problems/requirements, benefits, risks and possible solutions appears as an appendix. It is unlikely that a single programme of work would address all of these in a realistic way. We are therefore at a crossroads, where each path would address some, but not all, of the tasks outlined above.

The barriers and how to overcome them

The last phase of the work was to subject the evidence from the feasibility report to review by the main stakeholders, including publishers, librarians, research funders, repository managers and experts in scholarly communication². One outcome has been to identify more clearly the main

barriers on the road to full OA, as described in the Berlin Declaration. These are outlined in the table below, in no particular order.

#	Barrier	Implication	Possible solutions
1	Metadata in repositories is incomplete and/or inaccurate.	Management information or resource discovery use cases are not well supported - research is hard to find and hard to count.	Well-defined and widely implemented metadata profile ³ .
2	Repositories do not always hold or even point to an OA version of the full text.	Research users cannot read or reuse the outcomes from university research.	Repositories should have an incentive to address this from the forthcoming HEFCE REF policy. Support initiatives such as Repository Junction Broker, and repository use of the CrossRef API.
3	The licence conditions for OA content are unclear.	Research users do not have confidence to use some OA material, especially from repositories.	Work with funders, publishers and libraries to agree a licence for Green OA material. Encourage funders to monitor compliance with this aspect of their policy. Support tools such as "how open is it" that surface these issues.
4	The licence conditions for OA content are too restrictive.	Research users and curators cannot do their job.	Encourage universities to support authors in retaining the rights they need.
5	It is technically difficult to extract OA content from some platforms.	OA material, e.g. from some repositories and publishers, is not as widely visible and re-used as it might be.	Ensure repositories and publishers support propagation of OA content by meeting their concerns (e.g. about loss of usage data). Improve technical interfaces, perhaps building on the new ResourceSync protocol.
6	Poor visibility of existing material in IRs.	IRs seen as poor investment.	Shared service support IRs to optimise their visibility in discovery services, including search engines, and associated troubleshooting.
7	The number and variety of non-interoperating	The scholarly record is fragmented and	Increase interoperation between IRs, and also with subject repositories and publishers and

	systems recording research publications, leading to duplication of effort, inconsistent metadata, etc.	unreliable. IRs are seen as an inefficient solution to (inter)national requirements.	CrossRef. Repository Junction Broker, possible CORE pilots and repository support services may all have role to play.
8	Lack of easy machine access to UK OA materials.	Potential lost for innovative services to be created by other players.	Ensure API access to any publicly funded aggregation efforts.

Table 1: The barriers on the Berlin road, and some ways to get over or around them

Which path to take next?

This was a complicated study, with many cross-cutting opinions, constraints and options. A summary options appraisal appears as an [appendix](#). Though not universally supported, the following broad approaches crystallised out from the analysis and are, in different ways, discussed in the report appendices:

a. Don't build anything new, at least for the moment, map the current provision

Simply undertaking further consultation and consensus-building has the value of laying a secure basis for service development, but risks protracted discussion without changing the facts on the ground when, arguably, the facts need to be changed over the next couple of years in response to strong policy drivers. A mapping exercise matching requirements against national and international projects and services will be essential groundwork and a prerequisite for any near term decisions.

b. Focus on metadata, provide full-text wherever legally possible

Useful services can be built based on metadata records, but they are not as useful as those based on metadata records plus the full-text. Nevertheless, noticeable improvements to resource discovery and research management reports could be expected from a service that aggregated and improved the metadata held by universities about their research outputs. The risk profile here is relatively low.

c. Collect everything, enable potential services for a range of users

An open collection of all the UK's research output could support services for academics, students, those outside universities, librarians, funders, developers and others. These could be different services, created by others on the basis of the collection, for example a specific or comprehensive portal, a preservation service, sophisticated management reports, or text-mining services. There will be significant challenges to this, and there are also notable legal risks given the complexity and lack of clarity around rights to many research outputs; but collection and experimental pilots could start now.

d. Support the existing repositories, look to the future.

Many of the barriers to an Open Mirror can be reduced by enabling the UK's institutional repositories to operate and interoperate more effectively and efficiently, by better use of standards and services that already exist, or are in late development. One challenge here would be the variety of systems, including both repositories and more sophisticated research information systems, being deployed by universities. However, national policy drivers might provide a business case to institutions for some harmonisation. We should also be aware of the high costs to the sector of running more than 150 separate IRs and look to a future where a national service might supply the IRs with expertise, records and routes to compliance.

Following further reflection by Jisc, RLUK and SCONUL, we recommend several complementary ways forward which will encompass these approaches. We recognise that, whatever path is agreed, the activity will need to operate in a diverse and dynamic ecosystem of services in scholarly communication and research information management.

Conclusions and recommendations

Conclusions

The feasibility study has found a range of views on the Open Mirror, from stakeholders and experts. There is a sense from the UK higher education community and others that action is needed to improve several aspects of scholarly communication and research information management, and some support for a number of initiatives which might form part of an "Open Mirror" as a contribution to that improvement.

It seems clear that some well-defined actions could be valuable in this area, and the [summary requirements table](#) outlines the problems faced by a range of stakeholders that might be alleviated by such actions. Barriers and possible solutions are summarised in Table 1 above.

It is absolutely essential that any action is well integrated into other local, national and international activities⁴ which it could complement, to benefit

UKHE. We recommend below a mapping exercise to ensure any new initiatives fit with current activities. At least two issues arise from this:

- While such a mapping exercise was beyond the scope of this feasibility study, it seems clear that two initiatives, CORE and Repository Junction Broker, have the potential to be key to any potential aggregation activity. The latter has Jisc funding for two years, and its development plan should be influenced by this study and any further scoping work. The former, CORE, does not have funding in place beyond March 2014 and so is specifically cited below.
- Many elements of the infrastructure operate on a commercial basis. Open Mirror should not compete with these but, instead, either use them to provide valuable services to UKHE that are not otherwise delivered, or enable commercial services to offer better value to UKHE.

No single path or combination of paths is likely to, or needs to, meet everyone's requirements or overcome all the barriers. Nevertheless, from the evidence outlined above, it is possible to identify several ways forward, which are complementary.

Recommendations

1. One of our interviewees noted that it was important to see the Open Mirror as part of "*an overall repository and scholarly infrastructure for the UK*". A systematic mapping exercise and review of the potential of elements of this infrastructure, national and international, should be undertaken before further development work begins. In considering the options and ways forward, consideration should be given to timescales, perhaps best indicated by "feasibility" in the options appraisal, to ensure that any further work balances a need for quick wins, developing a sound basis for any high-profile service and the need to ensure that any such service is not superseded by events.
2. In the near term, it might be necessary for Jisc to carry the full costs of CORE. However, Jisc should actively seek international support for something like CORE and in the meantime CORE should focus on:
 - a. Aggregating materials from UK Institutional Repositories (IRs) and from publishers and subject repositories of outputs with UK-based authors to ensure that UK resources are well represented in CORE; this should be accompanied by an active programme of support for UK repositories to enable them to participate (see 5 below).
 - b. A number of user-focussed, small pilot projects should be planned or commissioned to demonstrate to end users⁵ the potential benefits of different uses of the aggregation. Possible topics for the pilot might include:

- i. Populating IRs with consistent quality data;
 - ii. Providing material suitably licenced for text mining;
 - iii. Improving or providing metadata using automation.
3. Jisc should consider developing a managed consultation, partnership and scoping phase for further aggregation effort, to include a cost benefit analysis of the comparative costs, benefits and risks of a shared service to support HEIs, particularly with some of the functions currently duplicated across more than 150 institutional repositories. This consultation should aim to develop a more settled and consensus vision of the potential of an aggregation to supplement other existing services, whilst recognising that a variety of actors may build new and innovative services from ("on top of") this aggregation.
4. Metadata standards and formats were mentioned throughout this study. It should be possible to tell immediately from standard metadata if an output is Open Access and if so which licence is attached, embargo period if any and also who funded the effort on which this output is based. This is one particular activity which Jisc should raise with international partners and aim to address in collaborative activities, for example by encouraging and enabling the adoption of both the NISO and the V4OA proposals on this topic and the workflows that will enable the relevant metadata fields to be populated accurately.
5. Jisc has supported the Repositories Support Project over a number of years and also some specific additional work around standards and interoperability. It is highly desirable that that this kind of technical support be provided to some degree during 2014-15 as UK research funders' OA policies are implemented in HEIs, in part using their repositories. Such support should be fully aware of and integrated with related work such as that outlined above and existing services such as the SHERPA suite, also bearing in mind existing projects such as Repository Junction Broker and CORE. This support initiative should focus on and encourage:
 - i. More widespread use of consistent identifiers;
 - ii. Improved and consistent practice in SEO;
 - iii. More consistency of institutional mandates for OA and better awareness and facilitated monitoring of funder policy compliance.

If undertaken alongside other service options, this would complement those options by raising awareness and addressing issues such as trust and duplication of effort.

Given the scale of the task, much has been achieved in the 10 years since the [Berlin Declaration on Open Access](#). It is clear that shared service infrastructure has been developed and that content can be and is being aggregated. We will need to demonstrate value by not duplicating services

available elsewhere, but by building on them and helping to improve their interoperation and usability and by extending their potential use to all parts of the UK community and economy. Consultation will be a key aspect of any further work.

Footnotes

1. Our working definition is: any Open Access publication with an author based in the UK. [[back to text](#)]
2. Research managers were also involved in the review, but unfortunately could not attend the workshop. [[back to text](#)]
3. The RIOXX profile is a simple schema designed to meet funder requirements, and will have a supported roll-out in the UK through 2014-15. [[back to text](#)]
4. Key players and initiatives are mentioned in the report but it is worth mentioning Gateway to Research, the British Library, particularly with their experience of and expertise in preservation and aggregation activities, CrossRef, Google Scholar and commercial CRIS systems. [[back to text](#)]
5. Users in this context may be library professionals, repository and research managers and staff from funders as well as researchers. [[back to text](#)]

Neil Jacobs (Jisc) and Nicky Ferguson (Clax Ltd). March 2014



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