

Jisc Interim report: December 2015 OA Good Practice Pathfinder

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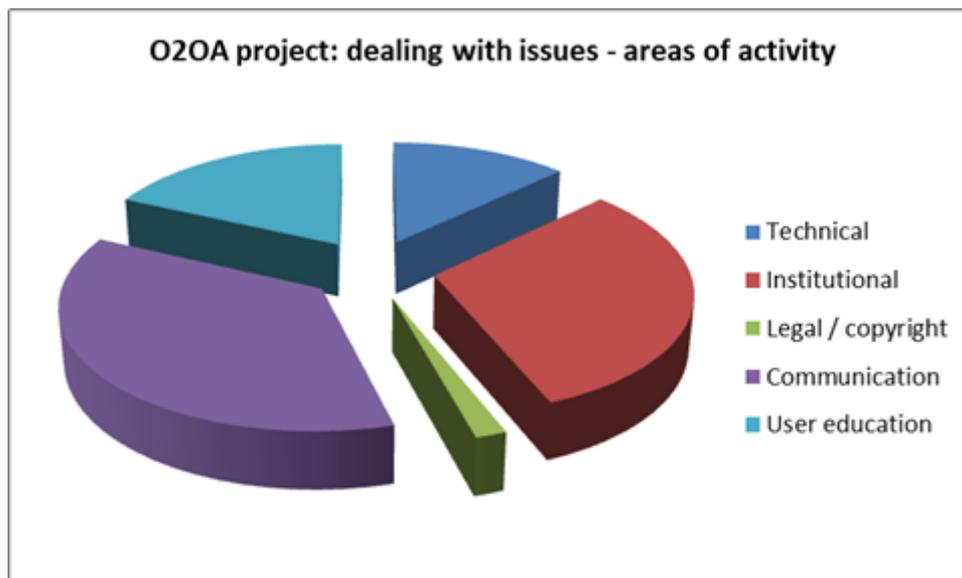
1. Background

Throughout the O2OA project all three partners have faced many issues when trying to implement Open Access. All three institutions have developed solutions to these issues and learnt useful lessons in doing so. It was thought that it would be useful to collate all these issues, solutions and lessons learnt, and to see if there are any similarities across the project partners. This collected shared learning would then be made available to other institutions, who could use them when developing their own OA strategies.

To collect the shared learning the three project partners recorded their experiences on a shared spreadsheet. The issues were then coded using a modified version of the “Practical Open Access steps for institutions” (Appendix 1) from the [“Implementing Open Access: some practical steps your institution can take”](#) report produced by JISC. Using the JISC steps is useful as the issues identified by this project can be placed along an existing Open Access timeline.

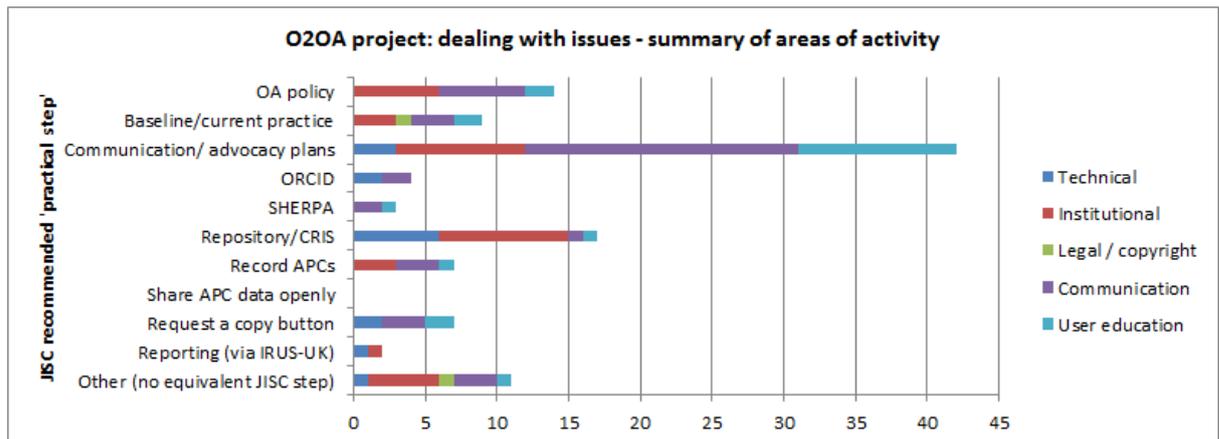
Once the issues were coded they were then sorted by each JISC step and the common themes drawn out. The common themes and lessons learnt were then summarized and collated into a final spreadsheet.

As well as using the JISC steps, each issue was identified with one or more of the following areas; technical, institutional, legal/copyright, communication and user education. These were selected to see if there was a particular area of issue that may require more solutions.



Issues that were seen to be institutional or based around communication were the most frequently raised.

When the areas of activity are cross referenced with the JISC steps, it can be seen that each step is made up of multiple areas of activity. This means for many of the issues there are a number of different approaches that are made to address the issue.



Some of the issues and solutions that the O2OA project partners encountered are already mentioned in the Implementing Open Access report, but the shared learning summary also includes practical examples of how some of the solutions were implemented.

2. Issues, actions and lessons learned

Issue	Solution	Lessons Learnt	JISC Step
Lack of University Open Access policy.	Develop new policy that complies with RCUK and HEFCE policies.	Need to work with university senior management to push through policy and avoid OA being seen as just a "library thing".	1
		Make sure that OA policies fit in with wider university research strategies.	1
		A revised policy offers an opportunity to refresh researchers' knowledge about OA.	1, 3
Change in HEFCE OA policy for post 2014 REF for deposit (acceptance to publication date for first year).	Carry on promoting original policy. To avoid confusion due to previous promotion of original policy. Will also allow time leeway while developing and refining deposit processes.		1,3
Understanding the level of current OA awareness in the University.	Conduct meetings with research staff to gain understanding of current awareness.	OA awareness levels vary among researchers. Some subject areas seem to have more knowledge or are more positive about OA. Few researchers receive funding for OA even if funders mandate OA. Promoting HEFCE's REF policy is a good idea as it affects all subject areas and all researchers.	2
	Conduct meetings with Heads of Research (HoR) and UoA coordinators.	HoR and UoA coordinators can give good feedback on their areas of research. They may also be able to suggest upcoming meetings and events where OA advocacy can occur. Promoting OA via these are more effective than creating training and promotion events from scratch.	2,3
Lack of OA awareness amongst researchers	Create online information for researchers.	If the OA information is somewhere on the library website it is important to have links to it on the university research support	3

		pages and other areas that researchers use. Some academics regard library pages for teaching support and may not think to look there. If the university already has an established research portal then this could be used to update researchers about OA matters.	
	Create a single and clear email address for OA queries.	Either create a new address or change an existing address with OA or open access in the title. This can be used by researchers or by publishers when dealing with APC's and other OA questions.	3
	Hold OA promotion events	Hold OA promotion events as part of REF publicity. These will involve high level support from university management which will reinforce the importance of compliance.	3
	Create a training programme at university, department, school and individual level. Use resources developed in other JISC projects e.g. OpenWorks presentation, UCL toolkit, MAIO.	This could involve developing a series of different sessions. These sessions could be 10, 30 or 60 minutes long. This will enable you to deliver a session to fit however long you have been allocated.	3
	Conduct training for research support staff inc, librarians, research office staff.	This will enable those who have regular contact with researchers to have some knowledge about OA and where to direct any questions.	3
Basic awareness of OA but researchers not sure what it means for them.	Develop OA for REF workflows	Researchers know about OA but need to know practical steps. "OA through the research lifecycle" guide is useful.	3
Implementation of ORCID.	Even if the university is not joining the consortium, they can still promote the use of ORCID.	Promoting ORCID will encourage researchers to sign up individually so that if the university later joins up, some advocacy work will already been completed. Some researchers may have already joined.	4
Improve awareness of SHERPA services.	Promote SHERPA services on OA website and during face to face advocacy. Make SHERPA services visible in deposit process.	Can be difficult to promote JULIET and FACT if researchers receive little or no external funding.	5
Repository deposit workflows.	Review deposit and repository workflows and make sure they are fit for the REF and funder requirements.	There is no one size fits all workflow solution for all universities. Each university needs to create workflows that fit their existing practices and systems.	6
CRIS procurement.		A university needs to be clear about what the purpose of the CRIS will be in their institution. All potential users need to be consulted about their needs and any existing process and systems. The introduction of a CRIS should improve deposit procedures and not complicate them. Improving the ease of deposit should mean researchers are more likely to engage with the process.	6
Process for APCs.		Need to make sure that all APCs are recorded centrally. Even though a university may have a central fund, some APCs may be paid for by schools or departments.	7
Unspent money from the HEFCE block grant.	Publicise fund at all opportunities inc. training events, website.	Researchers often only know/think about OA when their article is finished and they are ready to publish. Promote fund to staff	7

		who assist in grant applications and management.	
Development of request a copy button.	Develop repositories to include this function. This function could be linked to the single OA email account to monitor use and how many authors reply. Additional information may need to be collected by the repository to enable this feature. E.g.. researcher email.	Some researchers are reluctant to share their articles this way as they are unsure of the copyright situation. A better understanding of the issues and risks needs to be developed.	9
Reporting needs to be developed for compliance checking and for reporting to university management.	Consult with university managers as to what reports they would like. Make sure that you are able to collate reports for HEFCE and IRUS-UK.		10

3. What next?

Some of the results of the shared learning are going to be implemented by the project partners in the following ways:

Coventry University

Advocacy:

- Continue to visit Research Centres, Schools and Departments to present HEFCE's OA policy and promote ORCID and the University's OA policy which was adopted in August 2015.
- Continue to use the [Intervention Mapping Tool](#) to inform our practice and encourage changes in researcher behaviour.
- Continue to identify relevant internal events such as Faculty Research Conferences and postgraduate Symposiums to present at; reinforce OA message.
- Continue to work with Research Office and other relevant units within CU. This allows us to present the message as more than just a 'library thing', and ensures we are aware off / involved in research support across CU.
- Increase the visibility of our internal web pages. We need to get other appropriate internal sites to link to the pages to ensure the information is available where the researchers expect to look for it.

Repository:

- Implementation of the University's new CRIS system is scheduled to begin in February 2016. Integration with the CURVE (Equella) is essential to this. As part of this work we are currently reviewing the scope of the current IR to ensure it is still fit for purpose with regard to our open research collections.
- From January 2016 we will be increasing our staff resource to help with the process of copyright checking and moderation, following deposit into CURVE. We have already seen an increase in deposit since we started to go out to Research Centre's and Schools and anticipate this will increase further next year due to a proposed mock REF exercise.
- We currently provide Research Centres with reports from CURVE regarding the number of deposits and providing an indication of compliance with HEFCE policy. The frequency of these reports will increase to monthly for all Research Centres.

Other:

- The University is considering a mock REF exercise regarding publications in 2016, this will provide an opportunity for us to reinforce the OA message and support staff in understanding and meeting requirements.
- Continue to update the Issues/Solutions/Learning outcomes spreadsheet to record project activity.
- Investigate the possibility of a CU OA/RDM/Research Support blog.

University of Northampton

In common with other Pathfinder projects, our work to support compliance with funder open access mandates is ongoing, both within the scope of the project and beyond it.

Based on our learning over the period of the project and our understanding of both funders' and researchers' needs, we are currently planning the following.

Advocacy:

- Based on the Northampton focus group findings, we will produce a series of three guides/posters/infographics/ blog posts (format to be decided) addressing researchers' misconceptions/myths, perceived benefits and legitimate concerns regarding OA. These will be released as a CC-BY output for others to adapt and use.
- We will continue to visit Schools and research groups to present HEFCE's OA policy.
- We like [MIAO](#) and will use it if it seems appropriate for a particular group.
- When they have been designated, we will visit UoA leaders individually to talk about the REF, HEFCE OA policy, NECTAR and how we can work together to make life easier all round.
- We will run some sort of advocacy campaign around March/April 2016 to promote the HEFCE policy and institutional support for this. (Some shareable materials may arise from this but more likely, we'll make use of those produced by other Pathfinder projects)

Repository:

- We have just had a number of recommended changes to NECTAR workflow approved by the University Research and Enterprise Committee (R&EC). These will be implemented and documented.
- We will implement the Eprints REF package when it is released on the Eprints bazaar (expected early 2016).
- We are considering using Library Ambassadors to help process our backlog of copyright checking before the HEFCE policy kicks in in April 2016.
- We will update our quarterly NECTAR reports to include an indication of which articles comply with the HEFCE policy.

Other:

- We have just presented our OA policy to the University Research and Enterprise Committee and now have support for it from research leaders. We will make this available on our [Research Support Hub](#).
- We have started to use the behaviour change [Intervention Mapping Tool](#) to help us successfully implement the changes in researcher behaviour that we need to achieve over the next few months.

- We will promote [ORCID](#) to researchers. Having raised this at Research and Enterprise Committee, we have a five step implementation plan which involves a particular focus on our research institutes in the first instance. There will be a couple of blog posts, an event and hopefully some gathering of feedback on this.
- We will continue to update the Issues/Solutions/Learning outcomes spreadsheet – we are using this now to record project activity.

De Montfort University

Advocacy:

- Contacting all the heads' of the research groups and telling them that they need to have at least a ten minute presentation at their next group meeting explaining about the REF policy. We will offer longer sessions if required/desired.
- Continue to have meetings with Heads of Research and UoA coordinators reinforcing our Open Access message.
- Start to use the [Intervention Mapping Tool](#). This will allow us to identify better ways to get researchers to modify their behaviours.
- Continue to update the university's Open Access web pages including building up the FAQ's.
- Hold OA training event for those involved in grant application and management.

Repository:

- Continue to develop the university's new CRIS, De Montfort University Online Research and Innovation System (DORIS) to enable smoother Open Access deposit. This includes reviewing the submission process and gathering feedback.
- Making sure that DORIS is interoperable with DORA (De Montfort Open Research Archive) allowing records deposited in DORIS to be publicly displayed in DORA.

Other:

- Continue to promote our APC fund to those researchers who have received RCUK funding.
- Once DORIS is working we will promote ORCID to researchers. CONVERIS also links to researchers ORCID account allowing the two to be synchronized.

Appendix

Appendix 1. Modified JISC steps

JISC Step 1	Policy
JISC Step 2	Baseline/current practice
JISC Step 3	Communication/ advocacy plans
JISC Step 4	ORCID
JISC Step 5	SHERPA
JISC Step 6	Repository/CRIS
JISC Step 7	APC's
JISC Step 8	Share APC data
JISC Step 9	Request a copy button
JISC Step 10	Reporting