Practical approaches to the implementation of HEFCE OA Policy

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University of St Andrews: Case study

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Research environment

- c.700 Academic staff
- c. 8000+ students (80% UG, 20% PG)
- Research intensive and competitive
- League tables
- Research assessment
- Funding from RCUK, Wellcome, ERC.....
- c. £40m of research funding income in 2012/3
Research environment

- PURE CRIS since 2010
- DSpace repository Research@StAndrews:FullText since 2006
- Research publications support
- Research assessment support
- Open access for publications
- Electronic theses service (mandate for research theses since 2007)
- Online journal hosting service
- Embarking on research data support service
- c 39,000 research outputs recorded in our CRIS
- c.4,500 open access research outputs recorded in our repository (including theses)
Research environment

• St Andrews open access policy

“The University encourages its researchers to provide Open Access to published research outputs so that they are online and freely available, meeting the requirements of the growing number of research funders in the UK and internationally who now encourage or mandate Open Access.”
http://www.st-andrews.ac.uk/library/services/researchsupport/openaccess/oapolicy/

• Researchers are free to publish in the venue of their choice
• Preference is for the ‘green’ route
• Also supports ‘gold’ in particular circumstances

• Library
• Open access steering group
• Research Forum (Directors of Research from individual Schools and VP Research)
• Strong links with Research Policy Office
• Individual researchers
Research environment

External funder open access mandates
Library manages central open access funds
- BIS fund in 2013 £137k
- RCUK fund 2013/4 £203k
- RCUK fund 2014/5 £239k
- Wellcome grant 2012/3 of c. £25k
- Institutional fund 2013/4 £25k
- Selection and management of deals/discounts/publisher schemes. Value for money.
Research environment

Post-2014 REF Open Access Policy

• Policy applies to journal articles and conference proceedings with an International Standard Serial Number (ISSN)
• To be eligible for REF, final peer-reviewed manuscripts must have been deposited in an institutional or subject repository on acceptance for publication
• HEFCE understands that not all REF outputs may be able to meet requirements and so limited exceptions will be permitted
• research assessment agenda
• impact agenda
The Open Access and Research Publications Support Team

2 posts funded from RCUK grant

Active programme of advocacy and support
Actions for open access

- Check the terms of your research grant
- Check your publisher’s policy and copyright terms
- See Library web pages for guidance and contact open-access-support@st-andrews.ac.uk for advice
- Keep your accepted manuscript and deposit in PURE
- Acknowledge funders including Grant IDs and link Projects to Publications in PURE
- Provide statements on access to underlying data and links where possible
- Use the University’s finance detail code (4215) if paying OA fees
How do we get to know about new publications so that the support and dialogue can begin?

• The natural dialogue of researchers is with their publishers, not their CRIS or IR
• University strongly encourages local deposit but no mandate

Answers?

• Build a dialogue through local systems and local contact.
• Change the culture and try to integrate this deposit process into the researchers workflow when publishing
• Alerting services? Push publisher metadata into institutional systems? Make it easier for authors. Incentives for authors
Challenges common to funder policies and HEFCE policy

Can we get into the publishing dialogue early enough to support and advise on gold or green open access options?

• Do authors understand the varied options on varied publisher sites and submission processes or understand if journals are compliant with funder policies
• Do authors even know that their funder has a mandate or that funds are available?
• We don’t often see the submission process interface

Answers?

• Build a dialogue through local systems and local contact
• Change the culture and open up the submission process into the researchers and open access support workflows
• More open systems where we can view the questions and give advice in advance
• More standard submission systems, screens, terminology, options offered
Challenges for funder mandates

• How do we know if the publication is subject to a funder mandate?
• Can we pay for open access out of our central open access publication funds (fine print)?
• Once we know that we can authorise an APC what is the complexity level of interaction with the publisher?
• What are the institutional financial workflows for processing and recording payments? What level of financial recording do we need to provide to meet reporting requirements?
Funder compliance reporting and call for evidence

RCUK compliance report
http://hdl.handle.net/10023/5402

- 71% compliance rate
- Effectively managed
- Detailed set of APC payments
- Info. about costs, average APC costs, staffing resources required
- How authors interact with the funds
- Lots of mediated transactions
Challenges

Let's not forget green and repository deposit

• How do we get full text to achieve green open access
• How do we get the right version of full text to make open access
• How do we encourage researchers to do this and check their compliance?

Answers?

• Post-2014 REF Open Access Policy is pushing green and the use of repositories
• Opportunity for advocacy and support
HEFCE Policy: Challenges (game changing, welcome, but still challenging!)

- Constant thread of activity since April 2014
- Key players are OARPS, Library Directors, OASG, RPO, VP research, Research Forum
- Deposit at point of acceptance. Real issues re. sourcing metadata for institutional systems. Usually done later from accepted databases such as WOS and SCOPUS
- Connection of open access with research assessment eligibility is potentially sensitive area. Careful handling.
- Change in direction from block grants and funder mandates ie shift in emphasis on gold to green, or in fact you can do both. Managing change and choices
- From the start message is that the University will be offering as much guidance and support as it can on the policy. This is centred on the OARPS team in the Library
Lean

- Process refinement covered funder mandates, APC processes and extended to cover HEFCE policy
- Energised us. Gave focus. And list of 150+ actions with timeline for real signs of engagement and uptake by April 2015
- Communications strategy for open access
- Simple message approach
- New web pages
- Clear points of contact
**OA Transactions Roscard**

**Objective:**
To design a new streamlined OA process that is transparent and accessible and supports individual researchers. The university as a whole in meeting compliance, securing funding and benefitting society in general.

**Scope:**
- Peer reviewed papers
- All funded & non-funded research PIs
- All researchers who aim to publish on arrival & continually but particularly around the time of publication
- Both green & gold routes.
Latest Open Access requirements

HEFCE has a new policy for Open Access in the next Research Excellence Framework (REF). In order to be eligible for the next REF the new policy requires peer-reviewed articles and conference proceedings to be available through an institutional repository when they are accepted for publication.

Make sure your work can meet REF requirements by entering the details of your publications into Pure and at the same time uploading your Accepted Manuscript in Pure.

See: What do I need to do?

The Library will continue to advise on other funders' policies and to pay eligible Open Access costs for RCUK and Wellcome Trust-funded papers.

Contact open-access-support@st-andrews.ac.uk
Academic and institutional buy in

- Firm and clear message from University Management
- Get the HEFCE policy incorporated into our Institutional open access policy
- Timescale to provide lead in and preparation time for April 2016
- Could be some resistance to adopting deposit at point of acceptance before April 2016
- Counter argument is that we need to get ready now. Can’t have a deluge of training and support requests in April 2016. Want to plan the approach
- Communications strategy and support strategy is crucial
- Repetition of message on what to do and what support is available
- Self service deposit/mediated/mixed approach? Assess institutional risk if we don’t do any mediation but are completely hands off!!
- Gather evidence on costs and staffing requirements
System functionality and requirements

- Specification for REF2020 OA elements for PURE
- Link to early version of specification and metadata requirement openly available at https://drive.google.com/file/d/0B9lRXjNh0tNMQzNWT3A0VVJKcW8/edit?usp=sharing
  https://docs.google.com/spreadsheets/d/1eslWZNZwrBIaqfb69lggv3KxhaEYgd0dNxseZaxRM-s/edit?usp=sharing
- Timelag for first implementation in PURE. June 2015 release
- Agreed through PURE UK user group and PURE repositories working group
- Functionality to cover elements such as acceptance date, multiple document versions management, handling of exceptions, reporting on compliance and eligibility of publications for REF
- Functionality to improve record upgrade and merging because we envisage metadata to go through a sequence of enhancements during the process
- Don’t know if PURE can meet our complete spec. Will need to agree priorities
- Interoperability to import metadata at different stages. Particular need for early metadata
- Envisage having to operate new policy in current system anyway and develop coping strategies until we get new system functionality.
Policy clarification

- Need for clarity and lack of ambiguity in the policy asap
- Timely and comprehensive policy announcements. Incorporate the FAQ’s into the policy document and reference the two to each other?
- Coordinate funder policies with HEFCE policies. Don’t make the two contradictory or potentially contradictory. Reconcile them.
- Need the full metadata specification to inform PURE specification
- Auditing detail eg do we need to provide evidence of acceptance date ie hang a copy of a publisher email in our system to meet audit
- Auditing detail eg what evidence of exceptions do we have to provide for a publication
- Will the full text deposited be the full text which is used for assessment or will this mainly still rely on DOI links?
- What does the reference to credit for providing open access to a wider range of outputs than those specified by the policy really mean?
- Resourcing, especially staffing. No money or grant provided for HEFCE policy support
Pathfinder projects

- Joint LOCH project with Edinburgh and Heriot Watt
  http://libraryblogs.is.ed.ac.uk/loch/2014/06/24/welcome-to-the-loch-blog/
  http://openaccess.jiscinvolve.org/wp/pathfinder-projects/
- Community of practice and best practice
- System and workflow elements
- Human elements
- Fits in well with our Lean outcomes and actions for communication and support for authors
- Mini pathfinder pilot projects with minimum of 3 academic schools to lead on best practice and efficiencies
- Centralised and decentralised support
HEFCE Policy: Activities

- Dialogue with authors
- Focus groups
- Strategies for engagement
- Get authors working together and supporting each other rather than being isolated
- Key School contacts. Admin. staff and research managers.
- Action plans
- Build on RCUK activities and compliance
- Simple messages, communications strategy
- Web pages
- You deposit, we do the rest
- Screen cast of basic deposit process and time it. To demonstrate that some of this can be done quickly and without too much pain
- Activity just about to start and working on specification to scope remit and measure effectiveness of the mini pathfinders
Typical process now starts with an author asking a simple question. *I am just about to/have just had a publication accepted for publication. Can you help me with making this open access?*

This researcher knows to ask the question........

- Researcher buy in to the process and culture change. Has to be easier for them, easy workflows, easy exchange of information and metadata, easier interfaces
- If open access support teams can have coordinated and integrated infrastructure and systems to be alerted to publication events, and to record transactions easily and show benefits, then this reinforces the culture change. Long term self service, short term lot of mediation
- Serious resourcing within institutions for support services and to pay for effective functionality for institutional systems and interoperability
Hit list and wish list

• Need for academic engagement. Demonstrate value. (opposite end of spectrum to national projects and initiatives). Academics still seem to be left out
• Authors still preoccupied with costs of Gold. Perceived as money that should be spent on research itself and would be better received if genuinely believe that publishers are offsetting APCs against subscription costs
• Green, seen as cost effective, but problems of immediacy/embargo and a “reputable” version. Plus publishers polices constantly change re. copyright and repository permissions. However HEFCE policy supports green
• Maybe time has come to “just do it” rather than having too much debate
Returning customers
Requests for training sessions
Increase in enquiries
Good stories: involvement in Press Office workflow to get interaction with authors when they publish
Contact with School administrators and PAs
Learning what motivates authors to buy in to the OA process
OJS and journal hosting service
Monograph series for research centre hosted in repository
Reporting good stats on usage
Increase in content

Research@StAndrews: Full text
2014: 1650 theses available
Total repository content (Aug 2014)
Information and support for open access

Open access new research pages
http://openaccess.wp.st-andrews.ac.uk/

Library web pages
http://www.st-andrews.ac.uk/library/services/researchsupport/openaccess/

Open Access blog: http://univstandrews-oaresearch.blogspot.co.uk/

Journal hosting service:
http://www.st-andrews.ac.uk/library/services/researchsupport/journalhosting/

LibGuide: http://libguides.st-andrews.ac.uk/openaccess

Email: open-access-support@st-andrews.ac.uk