UKSG Managing Open Access
Managing OA pain points and workflows
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
- League tables
- Research assessment
- Funding from RCUK, Wellcome, ERC.....
- c. £40m of research funding income in 2012/3

The University of St Andrews was placed 14th in the UK and second in Scotland for the quality of its research in the Research Assessment Exercise (RAE) 2008 results.
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 38,000 research outputs recorded in our CRIS
- c.3,800 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.”
  • 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
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
To be eligible final peer-reviewed manuscripts must have been deposited in an institutional or subject repository on acceptance for publication

• 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](mailto: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

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

How do we know if the publication is subject to a funder mandate?

• Is it recorded in our CRIS and linked to a project and funder?
• We have external and internal grant ids. Can we reconcile these when we check to see what the funding is?

Answers?

• Improve the links and records of publications linked to funders ie standard acknowledgements, standard metadata, easy identification
• Encourage authors to link their publications to grants
Can we pay for open access out of our central open access publication funds (fine print)?

- Allocating funds, priorities, criteria. Do we ever have to say no?
- What does the policy say we can pay for? Interpreting funder polices and areas of doubt eg. page charges out of RCUK grants
- Is this a funder with a central grant or should the APC actually come out of the individual research grant eg EU and ERC
- Which content. What about monographs!!
- Is the policy changing? Keeping up to date with new policies
- Is the journal compliant with the latest policy?

Answers?

- Learn the funder and journal policies
- Use a rule based / system based approach?
Challenges

Once we know that we can authorise an APC what is the complexity level of interaction with the publisher?

- Can we see what the author sees on the publisher submission system so we can guide them through the options?
- Is there a deal or discount that should be used, or a voucher? Does the author get alerted to this?
- Can we get all the paperwork signed off and authorised quickly?
- Variety of forms of payment. Invoices, credit cards etc.
- Different methods used by publishers to notify authors of stages in the APC processing workflow
- Coordinating publishers' financial processing with the author/open access fund manager often in the Library/institutional financial system and accounting procedures.
- How soon is something made open access on the publishers site?
- Is it made open access with the correct license?
- Is it clearly shown as open access on the publisher site?
- How do we check compliance and for how long
Once we know that we can authorise an APC what is the complexity level of interaction with the publisher?

Answers?
Challenges

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?

- Finance offices and processes not so transparent or easy to understand
- Granularity of individual payments/publication details. Which payment is for which publication?
- Consolidated payments / timed payments. Can’t necessarily expedite individual transactions. Speed of payment required not always understood. APCs get confused with subscriptions. Less info. recorded against credit card transactions
- Risk of publication delays
- Not easy to record APCs in existing institutional IRs or CRIS systems and link this to finance systems or publisher systems
- Not all funders make it clear re. the reporting level they require
- Spreadsheet(s) maintained in the OARPS team by funder, by fund, by 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?

Answers?

• Try third party intermediary
• new systems?
• Interoperable systems
• Ask funders to provide more clarity re. future reporting requirements. Role of Research Outcomes System and successor?
• Do a lean exercise to introduce efficient institutional workflows
• Compare your spreadsheet with fellow institutions…..
Challenges

Lets 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
Challenges (game changing, welcome, but still challenging!)

Post-2014 REF Open Access Policy

- The University will be offering guidance at an institutional level on the policy
- Institutional response = as much guidance as we can give. Need system functionality, need pilot projects with academics and Schools
- Deposit at point of acceptance. Real issues re. sourcing metadata for institutional systems. Usually done later from accepted databases such as WOS and SCOPUS
The different methods used by publishers to notify authors and then process APCs - many publishers' financial processing is just not set up to deal with the involvement of intermediaries or institutional accounting procedures.

Confusing messages for authors from all parties depending on their funder/publisher combination.

Communicating the availability and criteria for funding across whole university.

Getting all the information needed (esp Grant IDs) to process a claim.

Lack of clear guidance from some funders on how funds can be used.
Hit list and wish list

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
- Better buy in to Gold if authors thought it was better value for money. 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 repo permissions. However HEFCE policy supports green
- If open access support teams can have coordinated and integrated infrastructure and systems to record transactions easily and show benefits then this reinforces the culture change. Long term self service, short term lot of mediation
Wish list in action

- 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
OBJECTIVE:

TO DESIGN A NEW STREAMLINED OA PROCESS THAT IS TRANSPARENT AND ACCESSIBLE AND SUPPORTS INDIVIDUAL RESEARCHERS AND 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.
Information and support for open access

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