Lessons in OA Compliance for HE (LOCH)
University of St Andrews
Case study

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• c.700 Academic staff
• c. 8000 students (80% UG, 20% PG)
• 47% of students non-UK
• Research intensive and competitive
• Research pooling, eg SUPA, EaStCHEM
• Research assessment, impact
• Funding from RCUK, Wellcome, ERC…..
• c. £40m+ of research funding income

“Across Science and the Arts, the University of St Andrews has emerged as top in Scotland and 14th* in the UK for the quality of its research publications across Science, the Arts, Divinity and Medicine… St Andrews was ranked 2nd in Scotland and 19th* in the UK for overall research performance, assessed by quality of publications, impact and the environment in which research takes place. St Andrews is one of the UK’s most research-intensive universities. Over 80% of the university’s research active staff had their work assessed by REF 2014.”
Research outputs

- PURE Current Research Information System (CRIS) since 2010
- DSpace repository “Research@StAndrews:FullText” since 2006
- c.2-2.5k research publications annually
- 41,800 research outputs recorded in PURE
- 5,800 items in our repository (33% theses)

- Library support for
  - Electronic theses deposit (mandate for research theses since 2007)
- NEW Digital Research Division (April 2015)
  - Open Access
  - Online journal hosting service
  - Research Data Management
  - Research outputs and research assessment
  - Digital Humanities, Research Computing
- Strong links with research office
OA support

• Open Access Support team
  – 3 FTE (2 posts funded from RCUK block grant)
• External funders’ open access mandates and funds
  – Wellcome Trust/Charities and RCUK
  – Institutional Library OA fund
• Selection and management of publisher schemes
• Copyright, licensing and policy advice
• Active programme of advocacy and support
“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

• Policy development
  – Library and Research Policy Office
  – Open Access Steering Group
  – Research Forum
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
OA actions for researchers

- Check the terms of your research grant
- Check your publisher’s policy and copyright terms
- See Library web pages for guidance
- Contact open-access-support@st-andrews.ac.uk for advice
- Keep your accepted manuscript and deposit in PURE
- Acknowledge funders including Grant IDs
- Link Projects to Publications in PURE
- Provide statements on access to underlying data and links where possible (or required)
- Use the University’s finance detail code if paying OA fees
Advocacy

OA actions for researchers

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Challenges

How do we get to know about new publications so that the support and dialogue can begin?

- The natural dialogue of authors is with their publishers, not their CRIS/IR or Library
- University strongly encourages OA via local deposit but no mandate

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 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
Solutions

• 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
• Change the culture and open up channels between the researchers’ workflows and open access support workflows
• More open publisher submission systems where we can view the questions and give advice in advance
• Alerting services? Push publisher metadata into institutional systems? Make it easier for authors.
• Emphasize incentives for authors
Building the third Forth bridge
Open Access Team (Library)

- Researcher
- Researcher
- Researcher
- Researcher
- Secretary
- Administrator
- Researcher
- Researcher
- Researcher
- Researcher
Lean exercise: process mapping

- Originally envisaged to cover funder mandates and APCs
- Extended to cover REF OA policy and publication lifecycle
- Energised us and gave focus
- Involving the right people
- Communications strategy for open access
  - Simple message(s) at key points
  - New web pages
  - Clear points of contact
- Using 2014 and 2015 as a learning experience and build up to the real onset of compliance in April 2016
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 benefiting 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
Pathfinder project

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
• Synergies with Lean
• Mini pathfinder pilot projects with academic schools to lead on best practice and efficiencies
Mini pathfinders

- Initial meeting with Head of School, Director of Research and/or key School managers or administrative staff
- Have a set of questions and discussion points ready, relevant to their discipline. Ask how they think they can achieve compliance
- Seed ideas for partnerships and joint working
- Listen!
Scoping

• Best communication paths and tactics?
• Key contacts? Who already has dialogue with authors?
• Are there trigger points in the research process?
• Action plans? Who will take responsibility?
• Key messages: funder compliance, REF, benefits of OA?
• How do we work together?
• Mutual support, eg you deposit, we do the rest
• How do we measure effectiveness?
Chemistry pilot

- High volume of publications and staff
- RCUK funding, so familiar with OA requirements
- Existing publisher schemes eg RSC vouchers, ACS membership
- New HoS, keen on getting processes in place
- Piloting a distributed model:
  - School admin staff become a hub for the deposit of publications when they are accepted for publication and do deposit into Pure
  - Library and RPO teams do training and support
  - Additional activity with specific research groups
- Benchmarking on progress by regular compliance reports from Pure
- Goal = 100% of publications meeting REF OA policy compliance
Library advises authors on additional funder requirements

Library advises on funding for immediate OA

Advice on data management
• Existing culture of sharing papers
• Used to subject repositories, not institutional systems
• Useful to investigate the issues surrounding Conference publications and how to deal with these for REF 2020
• Proactive School manager who organises Conference attendance
• Pure publications will be the gold source to inform staff review
• Proposal to put PG joint authors of publications at the forefront of active deposit
• Alternative distributed model
  – School office becomes a hub for the deposit of publications when they are accepted for publication and prompts deposit into Pure
  – Library and RPO maintain close links with School manager
Other Schools

Psychology

• Good individual engagement and individual ‘champions’
• Return to them and describe optional models

History

• Voluntary engagement and requested presentation and support
• Appointed an academic member of staff as an Open Access Compliance Officer
• Issued own guidance for REF OA compliance and funder compliance which we then fine tuned (value of researcher language)
• Fewer publications, single authors
• Experience of dealing with exceptions
Outcomes so far

• New simple webpages
• Screencast for PURE deposit
• ‘REF monitoring’ email templates and workflow – mainly addressing deposit versions and acceptance date
• RCUK and funder compliance checklist as additional ‘layer’ on REF-monitoring work
• PURE full text workflow and validation checks
• Minimum metadata set
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

Web: http://www.st-andrews.ac.uk/library/services/researchsupport/openaccess
Checklist

Open Access requirements

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Make sure your work can meet REF requirements by uploading your Accepted Manuscript in Pure, as soon as possible after the date of acceptance.

As soon after Acceptance as possible, create a new record in PURE:

1. Title of paper
2. Author name
3. Journal/Proceedings name
4. Year of publication
5. Date of acceptance
6. Accepted manuscript

The metadata mentioned above is important because otherwise the PURE record cannot be saved. Starting from these minimal details, the Library staff will search and add any missing metadata, and check REF compliance.

2. If possible, new records should be created as follows:
   - Set publication state to 'In Press'
   - Make sure 'Peer-reviewed' is ticked
   - Paste in title of the paper
   - Add name of at least one author – use ‘Add person’ to add more if you can
   - Select or add title of the journal/proceedings where it will be published
   - Year of publication – don’t worry if you are not sure, we can change it later
   - Attach the final accepted peer reviewed manuscript
   - Add provisional DOI if available
   - Add Date of acceptance in Bibliographical note
   - Link grants acknowledged in the paper by selecting ‘Project’ (under Relations)
   - Finally, set Visibility as ‘Publicly – no restriction’ (your accepted manuscript will NOT be made public until the Library has completed all checking)

Essential information: http://openaccess.wp.st-andrews.ac.uk/

Enquiries: open-access-support@st-andrews.ac.uk
Results

• Returning customers
• Requests for training sessions
• Increase in enquiries...Resolving queries
• Upskilling in fine detail of Hefce policy
• Contact with School administrators and PAs
• Learning what motivates authors to buy in to OA
• Understanding disciplinary needs and approaches
• Reporting good stats on usage
• Increase in content and compliance
Deposits

Repository research collection full text growth stats
Changing profile of deposits

Pure deposits validated 2014/15

- Gold OA
- Publisher pdfs
- Author-supplied
### Changing culture through pathfinder

<table>
<thead>
<tr>
<th>School</th>
<th>Total articles (2015)</th>
<th>% with full text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biology</td>
<td>142</td>
<td>56%</td>
</tr>
<tr>
<td>Chemistry</td>
<td>157</td>
<td>80%</td>
</tr>
<tr>
<td>Physics &amp; Astronomy</td>
<td>111</td>
<td>77%</td>
</tr>
<tr>
<td>Computer Science</td>
<td>31</td>
<td>77%</td>
</tr>
<tr>
<td>Psychology &amp; Neuroscience</td>
<td>58</td>
<td>52%</td>
</tr>
<tr>
<td>(University)</td>
<td>885</td>
<td>60%</td>
</tr>
</tbody>
</table>

#### Chemistry: full text in Pure

- **2013**: 0 articles, 50 full text
- **2014**: 200 articles, 150 full text
- **2015**: 150 articles, 100 full text
Researcher (Open access is just one of the things I do)

Open Access Team (Library)

School administrator

Research Policy Office

Research Group Hub

School Hub

Open Access Team (Library)

Open Access Team (Library)
Further information

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
Which key stakeholders will you engage with to make open access compliance happen?

What key tools and tactics can be used to develop compliance for the Hefce REF policy?

How do we get to know about newly accepted publications so that the support, dialogue and compliance workflow can begin?

How will you resource your compliance work? Will it be centralised or distributed? Will it be mediated centrally or chiefly done by the author/researcher?