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

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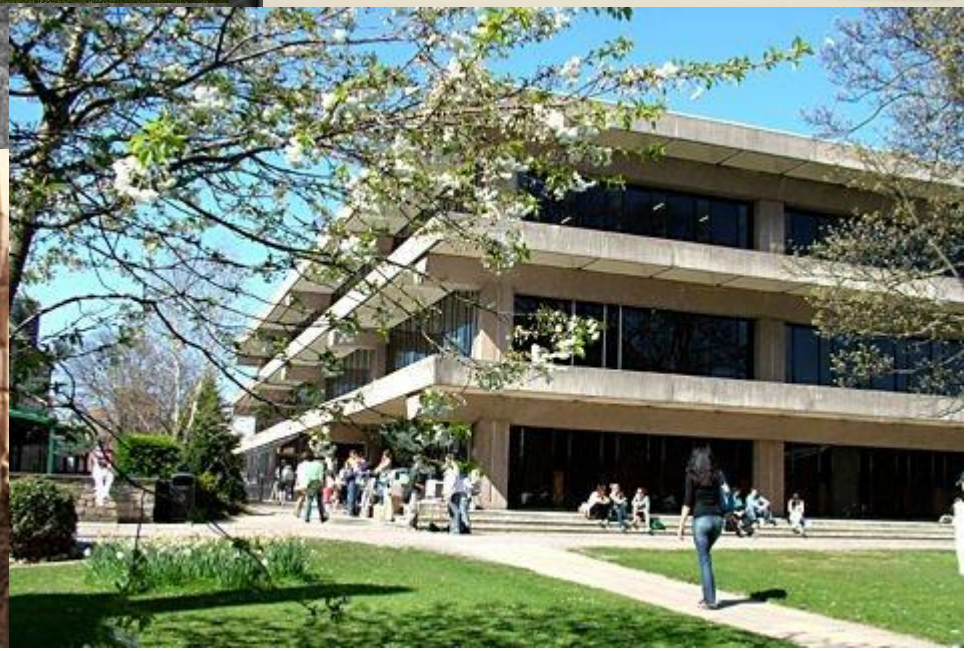
FOSTER Open Access: A good practice exchange. York, 7 July 2015

University Library

THE OPEN
144TH ST ANDREWS



St Andrews

- 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."**

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Research outputs

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- 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

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OA support

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- 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

St Andrews OA 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

- Policy development
  - Library and Research Policy Office
  - Open Access Steering Group
  - Research Forum

REF OA policy

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

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Advocacy

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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

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Challenges

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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

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Solutions

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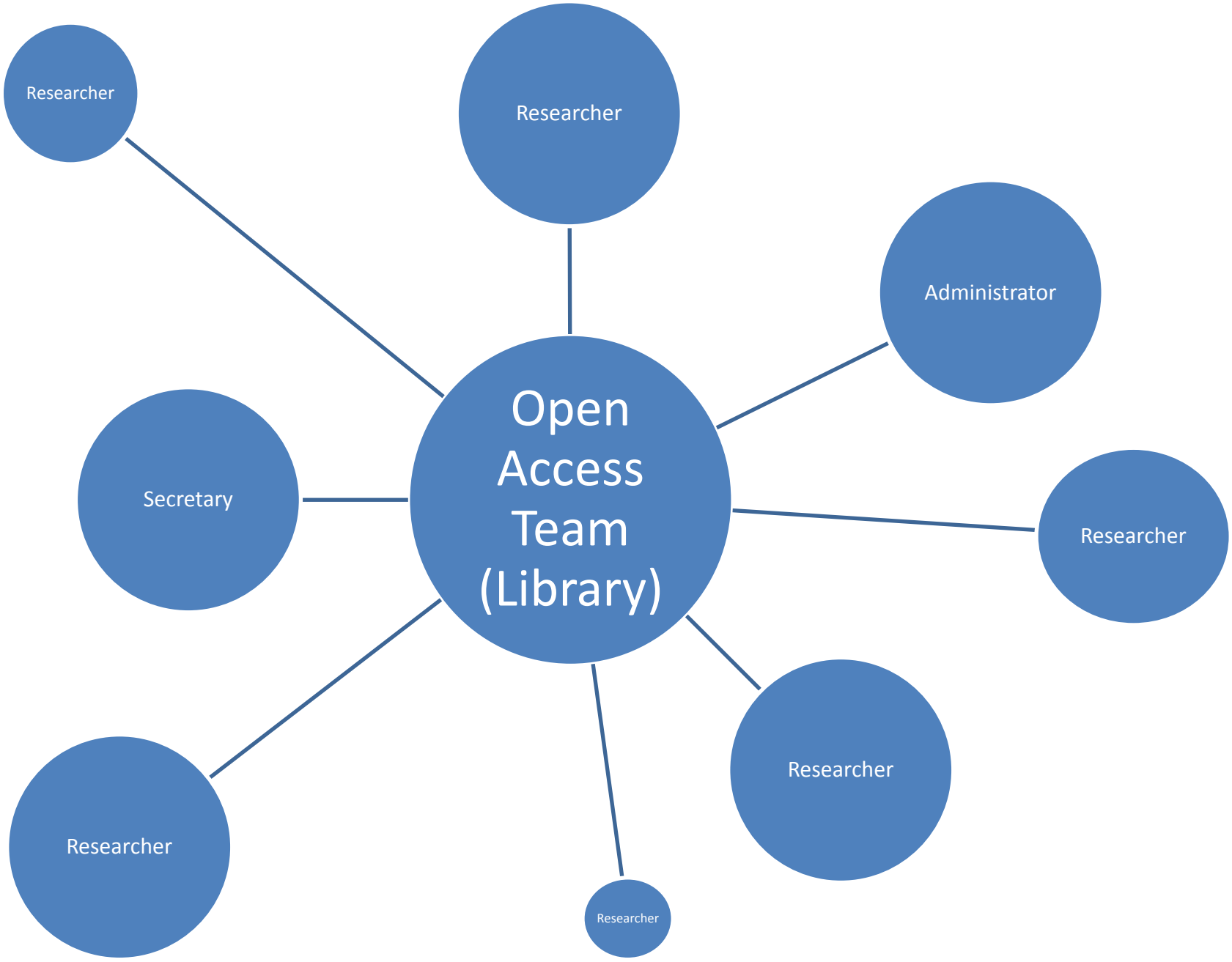
- Build a dialogue through local systems and local contact
- Change the culture and try to integrate this deposit process into the researchers workflow when publishing
- Change the culture and open up channels between the researchers' workflows and open access support workflows
- More open publisher 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

Queensferry Crossing - north cable tower © Copyright M J Richardson and licensed for reuse under this Creative Commons Licence.


Researcher
Researcher
Administrator
Secretary
Open Access Team (Library)
Researcher
Researcher
Researcher
Researcher

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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

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OA TRANSACTIONS BOSCARD

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.

SMART
SPECIFIC
MEASURABLE
ACHIEVABLE
REALISTIC
TIMESCALED
THE 5 PRINCIPLES OF LEAN

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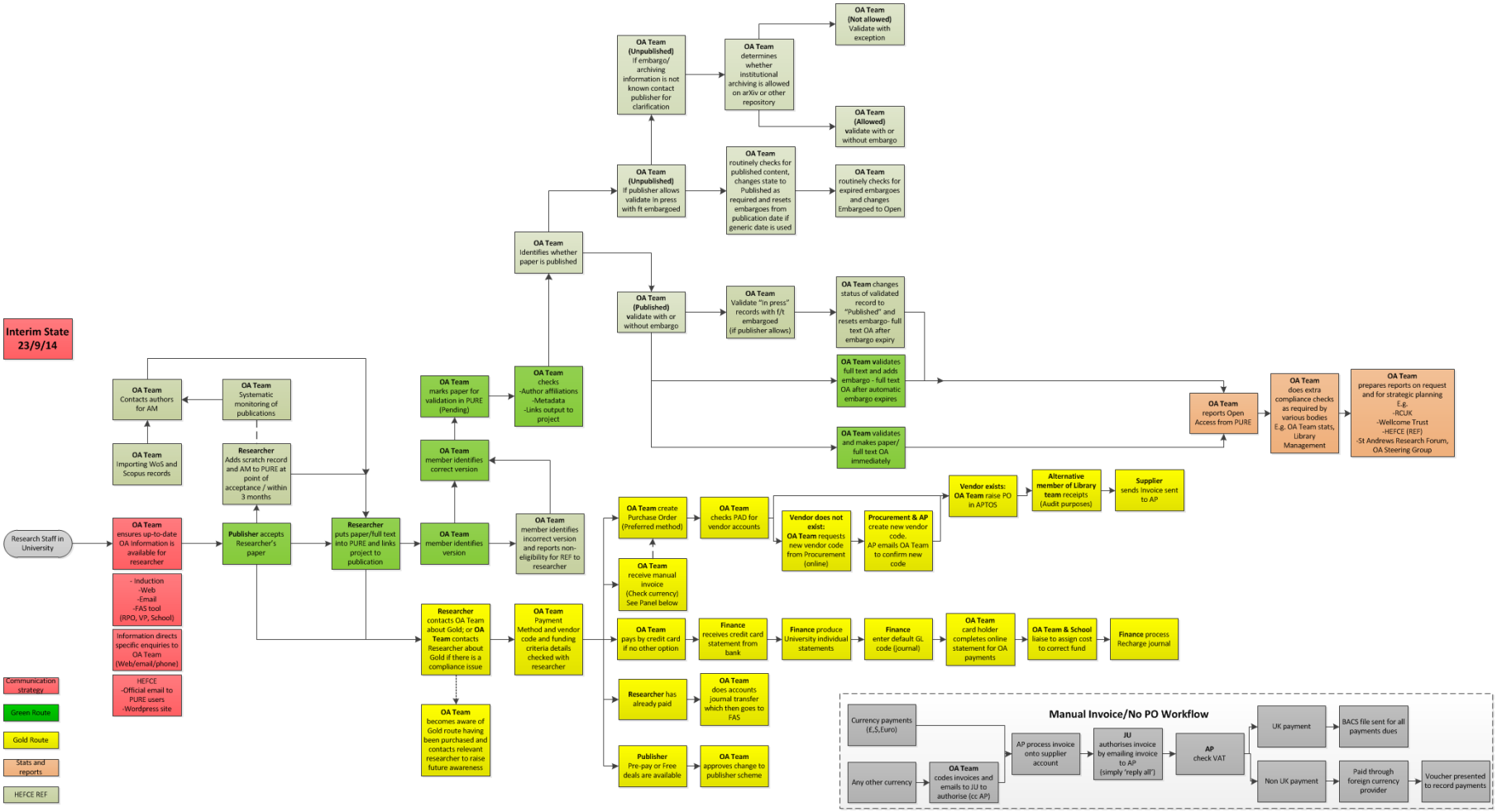

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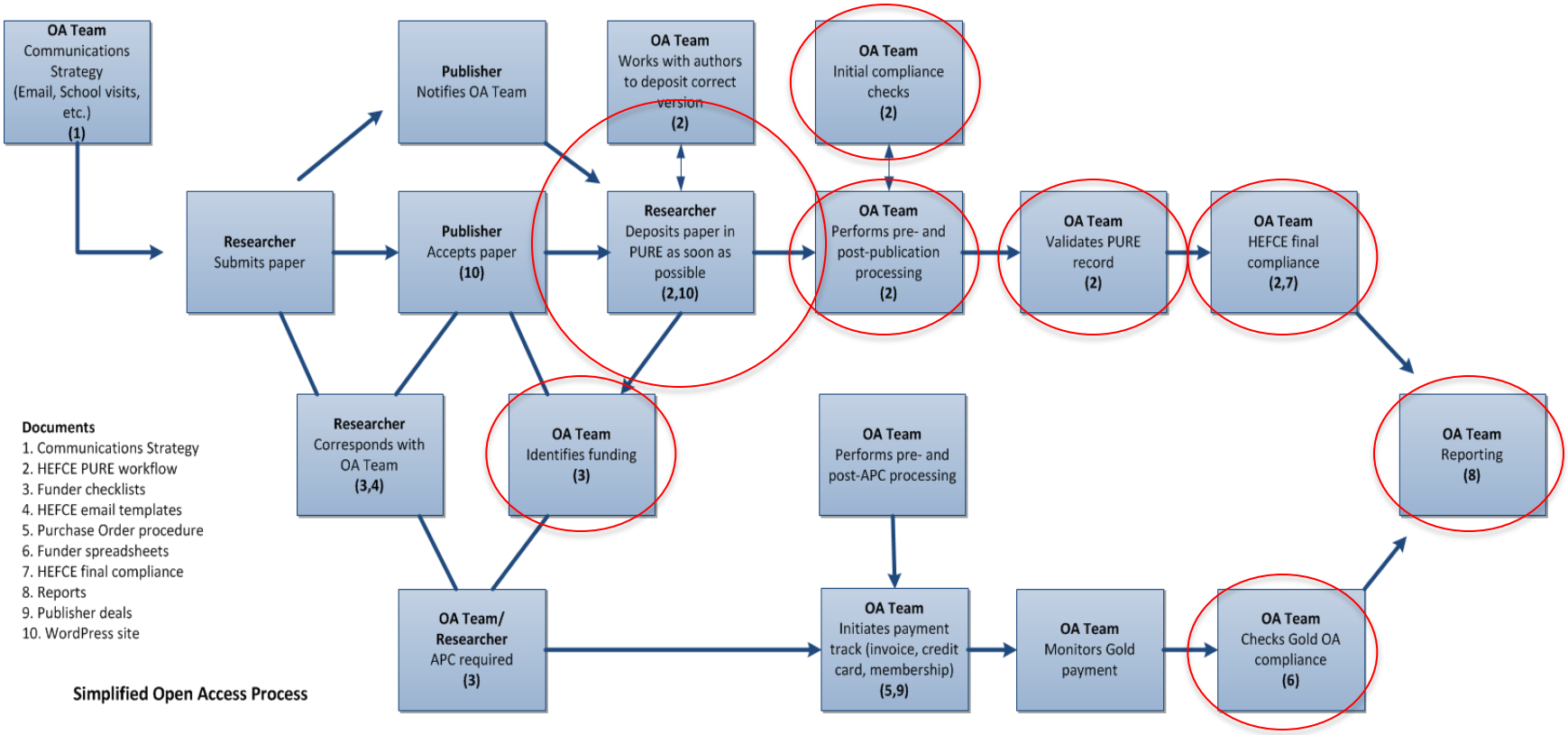

Documents

1. Communications Strategy
2. HEFCE PURE workflow
3. Funder checklists
4. HEFCE email templates
5. Purchase Order procedure
6. Funder spreadsheets
7. HEFCE final compliance
8. Reports
9. Publisher deals
10. WordPress site

Simplified Open Access Process

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!

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Scoping

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- 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

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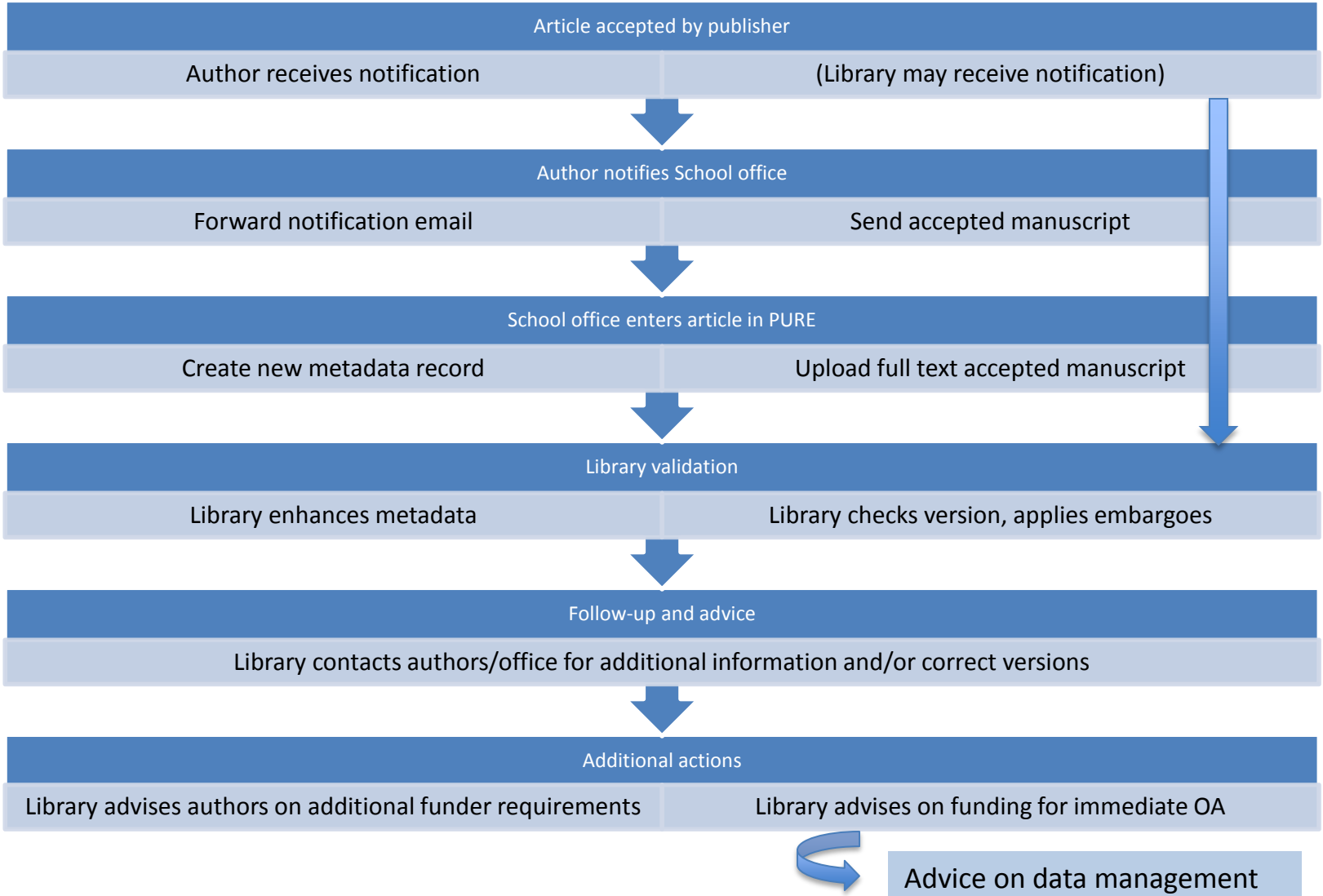

Computer Science

- 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

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Outcomes so far

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- 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

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

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Open Access

Essential information about Open Access for St Andrews researchers

Search

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Home | **What do I need to do?** | Open Access costs | What is my funder's policy?

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

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Checklist

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Open Access requirements

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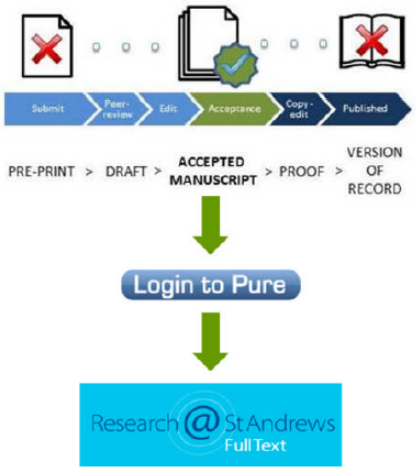
Make sure your work can meet REF requirements by uploading your Accepted Manuscript in Pure, as soon as possible after the date of acceptance



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

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

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

(1) This is the minimum we need from you:

- Title of paper
- Author name
- Journal / Proceedings name
- Year of publication
- Date of acceptance
- 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)

University of St Andrews Open Access & Research Publications Support Team. 2014. Minimum Deposit Requirements Checklist. Loch Project

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Results

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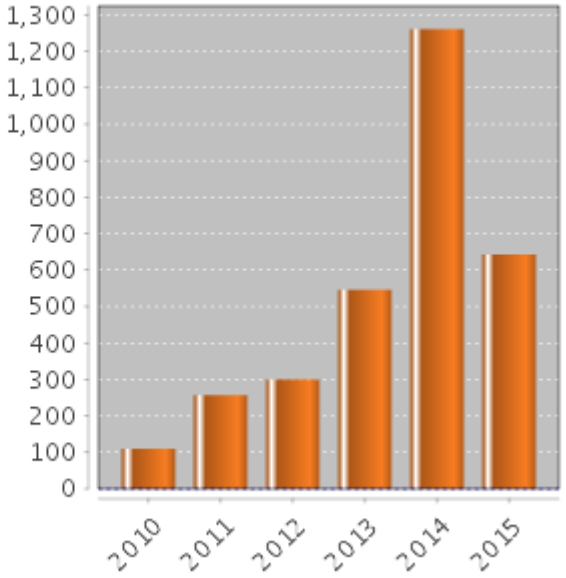
- Returning customers
- Requests for training sessions
- Increase in enquiries…Resolving queries
- Upskilling in fine detail of Hefce policy
- Contact with School administrators and PAs
- Learning what motivates authors to buy in to OA
- Understanding disciplinary needs and approaches
- Reporting good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

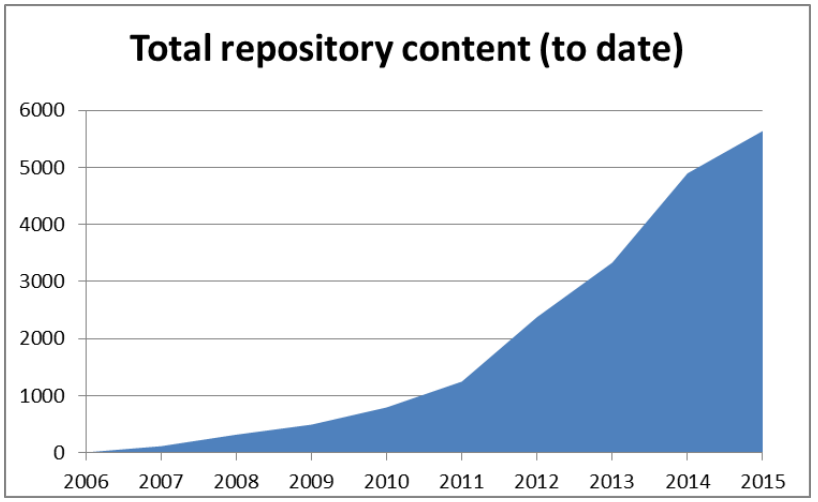
Deposits

Submitted per year

Year	Items
2010	110
2011	257
2012	300
2013	546
2014	1,261
2015	643
	3,117

Submitted per year





Repository research collection full text growth stats

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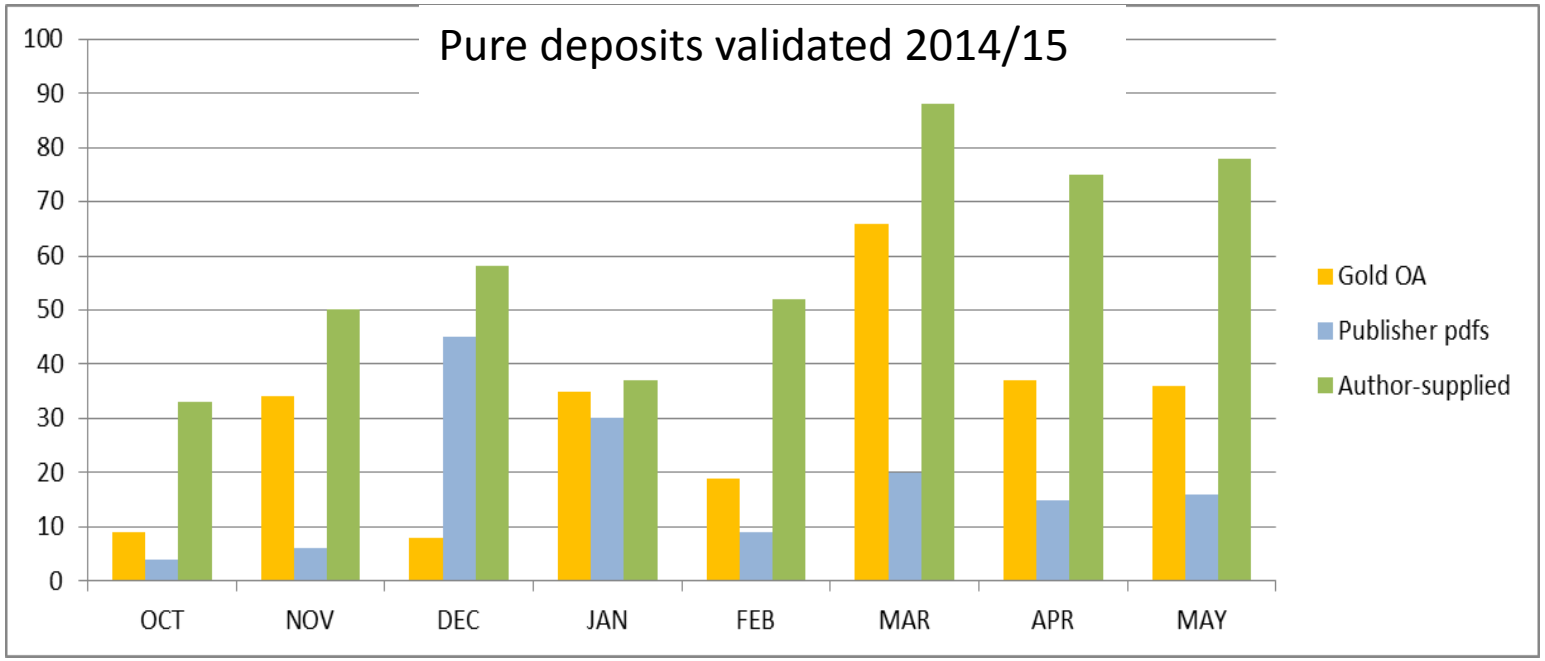
Changing profile of deposits



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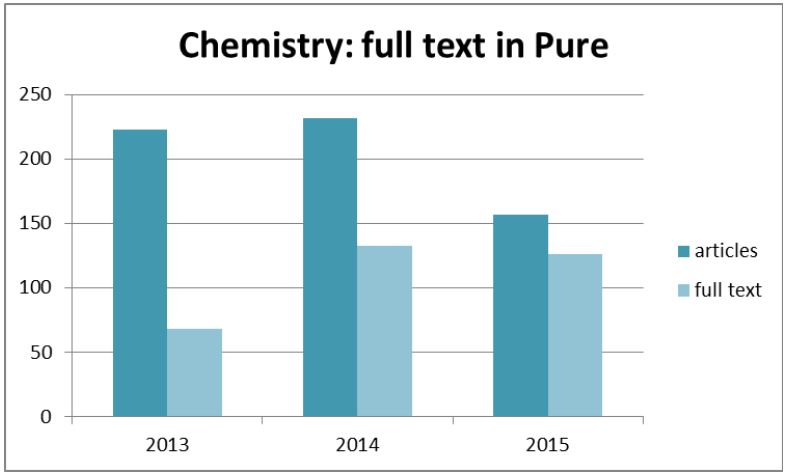
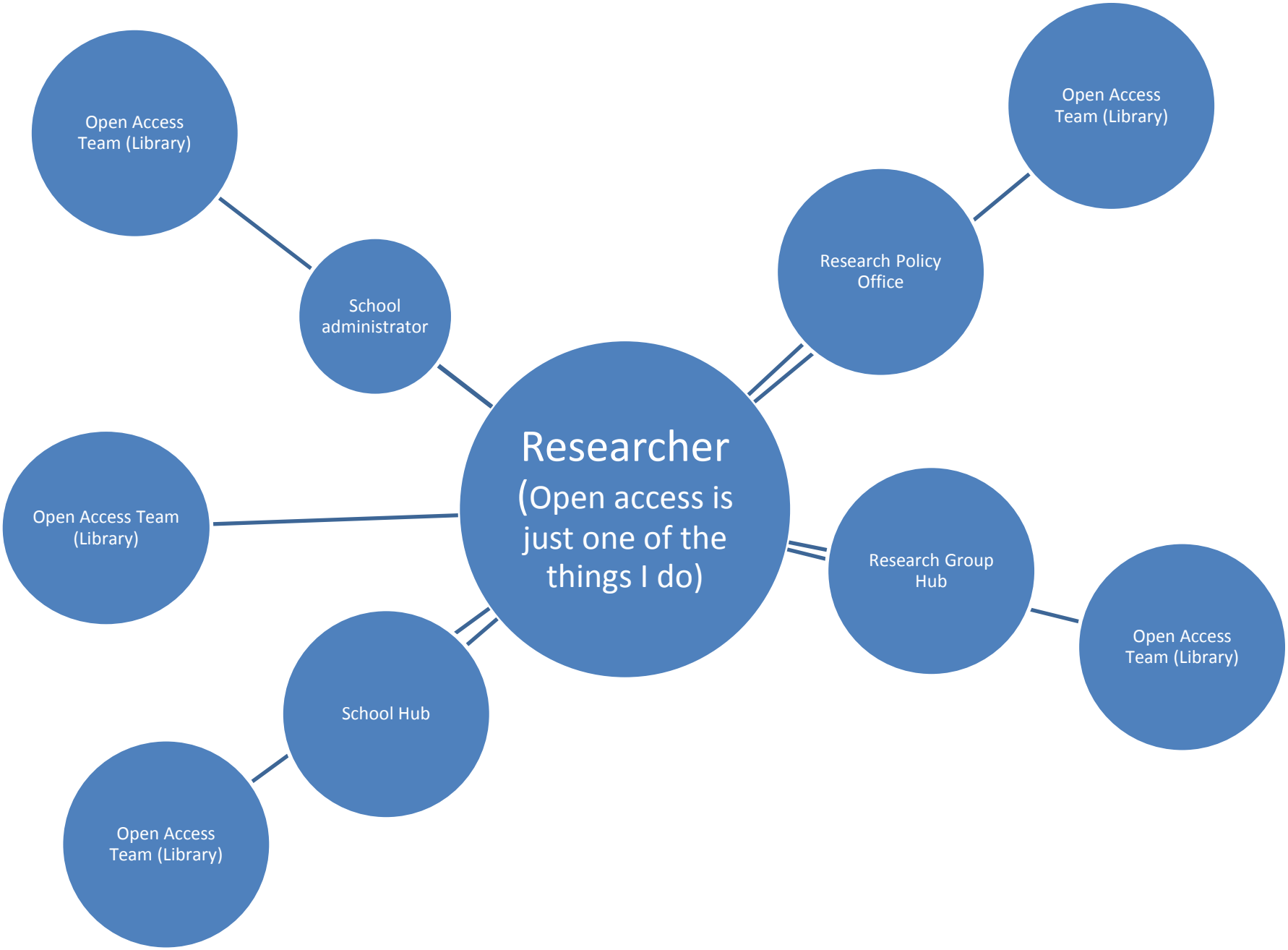
Changing culture through pathfinder

School	Total articles (2015)	% with full text
Biology	142	56%
Chemistry	157	80%
Physics & Astronomy	111	77%
Computer Science	31	77%
Psychology & Neuroscience	58	52%
(University	885	60%)




Open Access Team (Library)
School administrator
Open Access Team (Library)
Research Policy Office
Open Access Team (Library)
Researcher (Open access is just one of the things I do)
Research Group Hub
Open Access Team (Library)
School Hub
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

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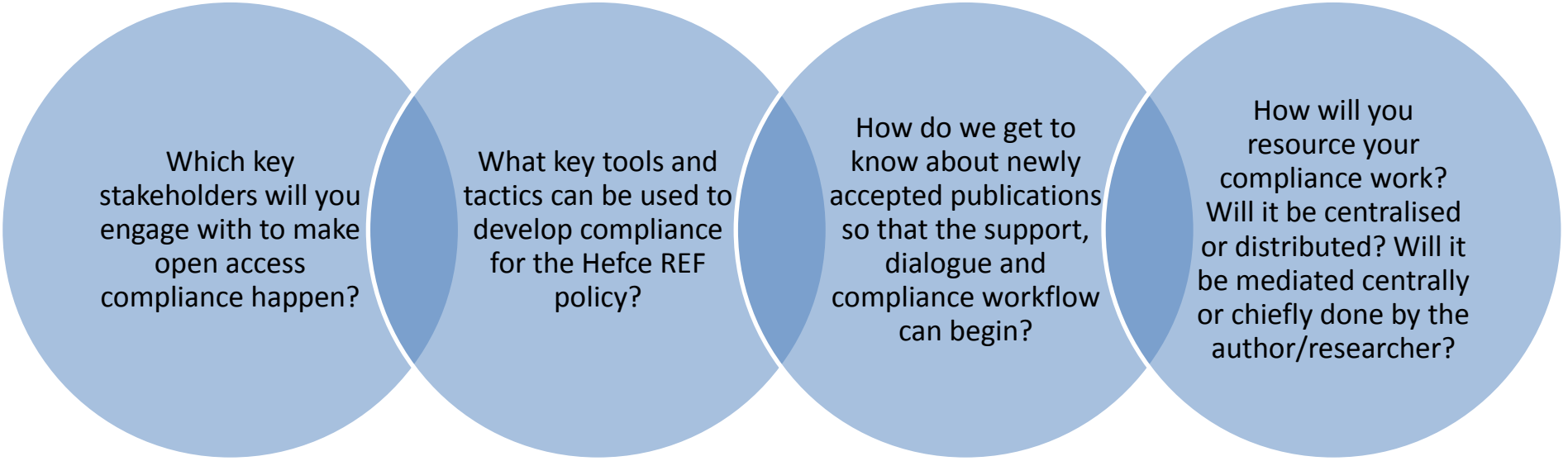
Developing your own process