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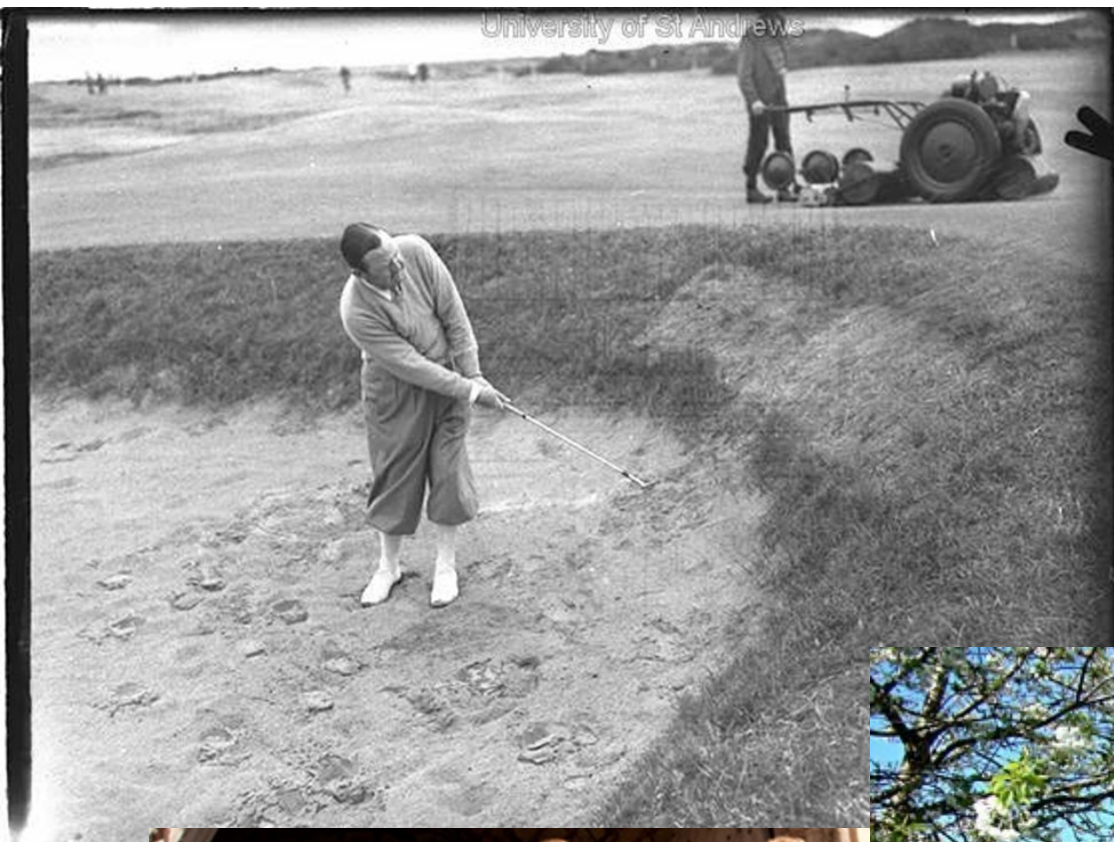# University of St Andrews
Case study

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FOSTER Open Access: A good practice exchange, London, 19 March 2015

University of St Andrews

University Library

REF2014 Research Excellence Framework

- 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

"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."

wellcometrust

RESEARCH COUNCILS UK

- PURE CRIS since 2010
- DSpace repository Research@StAndrews:FullText since 2006
- Research publications and 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.2-2.5k research publications annually
- c. 41k research outputs recorded in our CRIS
- c.5,200 open access research outputs recorded in our repository (including theses)

External funder open access mandates

Library manages central open access funds

- RCUK fund 2014/5 £239k

- RCUK fund 2015/6 £273k

- Wellcome grant c. £25k

- Institutional fund 2014/5 £25k

- Selection and management of deals/discounts/publisher schemes. Value for money.

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

- Open access steering group (VP Research and Academic reps. and key staff from Library and Research Policy Office)
- Research Forum (Directors of Research from individual Schools and VP Research)
- Strong links with Research Policy Office

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 <u>on acceptance</u> for publication

- HEFCE understands that not all REF outputs may be able to meet requirements and so limited exceptions will be permitted

Actions for open access

- Check the terms of your research grant

- Check your publisher's policy and copyright terms

- See <u>Library web pages</u> 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

Challenges

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 (Open Access Policy) 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 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

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 the submission process across the researchers workflows and open access support workflows
- More open publisher 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. Incentives for authors

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The Open Access and Research Publications Support Team

2 posts funded from RCUK grant

Active programme of advocacy and support

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
- Use 2014 and 2015 as a learning experience and build up to the real onset of compliance in April 2016

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

University of
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Library

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?
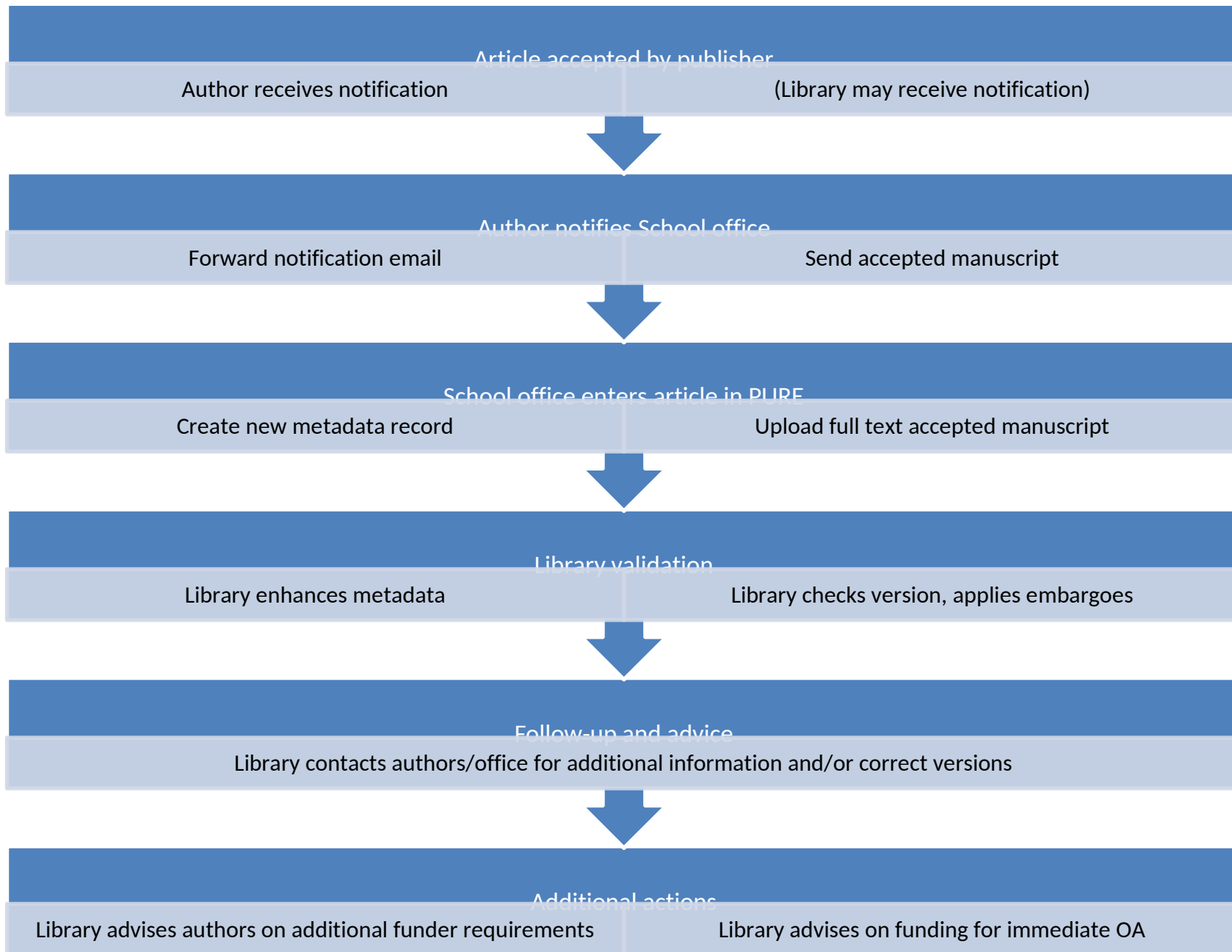
Mini pathfinders

- Get 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. Ask how they think they can achieve compliance
- Seed ideas re. partnerships and joint processes
- Listen!

Types of questions, partnership ideas and scoping

- How deliver simple messages, best communication paths and tactics?

- How best achieve dialogue with authors?

- Focus groups?

- How do we get authors working together and supporting each other rather than being isolated

- Who are the key School contacts?

- Action plans?

- Blend together funder compliance and Hefce policy compliance

- How do we work together?

- You deposit, we do the rest

- How do we measure effectiveness?

Chemistry

- High volume of publications

- Large number of staff

- Lot of RCUK funding, plus publisher schemes in place for gold eg RSC vouchers, ACS membership

- New HOS and very engaged with getting processes in place

- Start of new distributed model. School office and admin staff become a hub for the deposit of publications when they are accepted for publication and do deposit into Pure

- Key activity based on specific research groups and admin staff

- Library and RPO teams do training and support

- Benchmarking on progress to be done by regular compliance reports from Pure

- Goal = 100% of publications meeting Hefce policy compliance

Article accepted by publisher

| Author receives notification | (Library may receive notification) |

Author notifies School office

| Forward notification email | Send accepted manuscript |

School office enters article in PURE

| Create new metadata record | Upload full text accepted manuscript |

Library validation

| Library enhances metadata | Library checks version, applies embargoes |

Follow-up and advice

Library contacts authors/office for additional information and/or correct versions

Additional actions

| Library advises authors on additional funder requirements | Library advises on funding for immediate OA |

Computer Science

- Existing culture of open access
- Used to disciplinary based subject repositories, not institutional systems
- Useful to investigate the issues surrounding Conference publications and how to deal with these for REF 2020
- Very proactive School administrator (who organises all the funding for Conference attendance)
- Pure publications will be the gold source of information to inform staff review
- Proposal to put PG joint authors of publications at the forefront of active deposit (stalled)
- Start of new distributed model. School office and admin staff become a hub for the deposit of publications when they are accepted for publication and do deposit into Pure
- Key activity based on specific research groups and admin staff

Psychology

- As yet no engagement in a centralised way at School level

- Good individual engagement

- 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

- Wrote their own guidance for Hefce compliance and funder compliance which we then fine tuned (value of researcher language)

- Fewer publications

- Experience of dealing with exceptions

Outcomes so far

- New webpages
- Screencast for PURE deposit (Screen cast of basic deposit process and time it. To demonstrate that some of this can be done quickly and without too much pain)
- Ref monitoring email templates
- Ref monitoring workflow doc. Includes monitoring specific schools allocated to members of the central team and using filters in Pure
- RCUK and funder compliance checklist eg for RCUK block grant ie RCUK criteria and checks which happen alongside the Hefce checks as required
- PURE full text workflow ie validation checks with elements for Hefce policy included. Validation and quality control all done centrally
- Minimum metadata set

Open Access

Essential information about Open Access for St Andrews researchers

University of St Andrews

| 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


What do I need to do?

Make sure your work can meet REF requirements by uploading your Accepted Manuscript* in Pure. *This is your full text version of the manuscript after peer review and including any final changes, but before publisher typesetting or copy-editing by the publisher. Please do not upload final publisher versions, or typeset proofs.*

Login to Pure

Log in to Pure and upload your paper as soon as it is accepted – the Library will take care of the rest.

Upload articles or conference proceedings (with an ISSN). Monographs, books and other book chapters do not need to be uploaded to be eligible for REF, but we encourage you to add these to Pure if you wish.
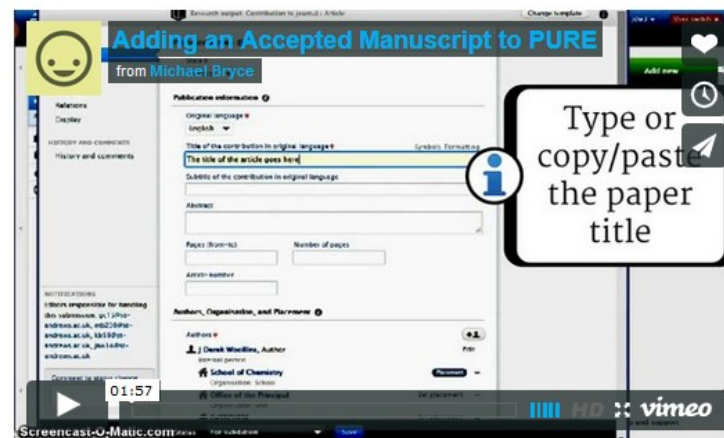
Adding an Accepted Manuscript to PURE
from Michael Bryce

Type or copy/paste the paper title

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

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

REF Monitoring Email Templates

Main template

Specifics

1. If there is an accepted manuscript, and the accepted date is not known
2. If there is an accepted manuscript, and it was deposited after 3 months
3. If there is an accepted manuscript, and it was deposited within 3 months
4. If the wrong article type is uploaded
5. If there is no accepted manuscript, and the accepted date is not known
6. If there is no accepted manuscript, and the 3 month window has lapsed
7. If there is no accepted manuscript, and the 3 month window is still open

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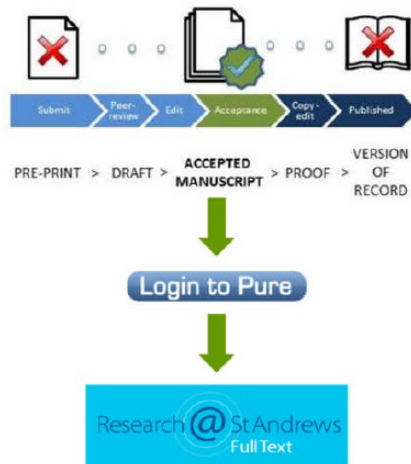
Enquiries: open-access-support@st-andrews.ac.uk

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)
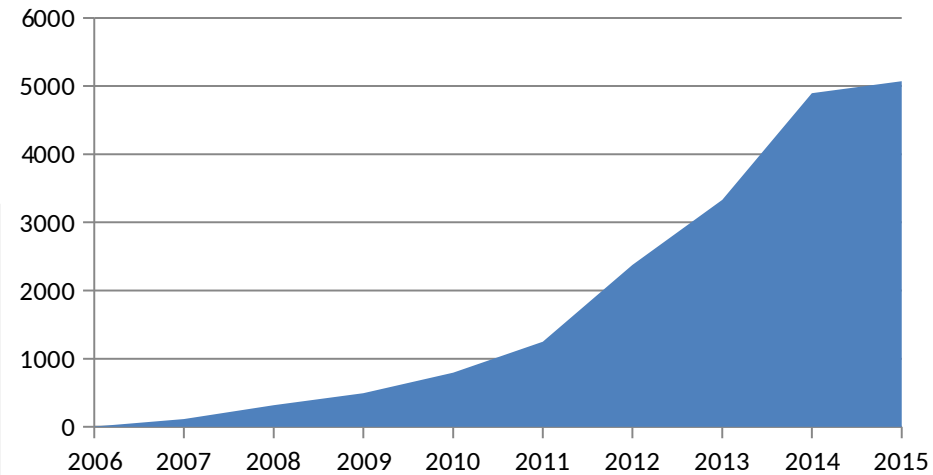
In addition.....

- Monthly newsletters about open access issues
- Active blog which drives traffic to repository and help pages
- Contact lists for Admin contacts/School managers as well as HOS and DOR. Hit list of Schools for training sessions
- Centralised training sessions. Short drop ins.
- Repetition of compliance messages
- OASG agenda. Try out CIAO
- Content statistics
- Enquiry stats/OARPS team activities to project staffing and resourcing needs

Results

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

University of St Andrews

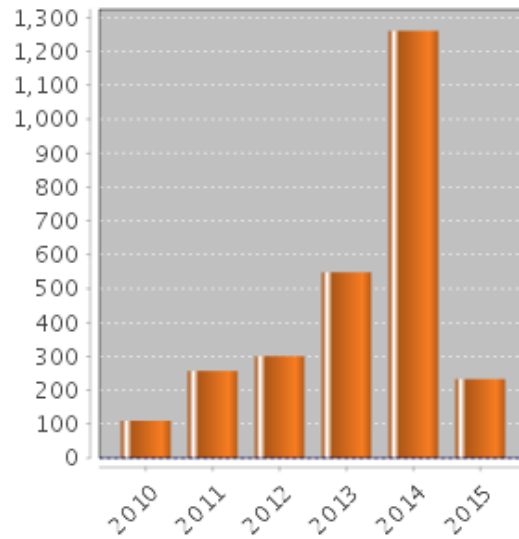University Library

Total repository content (to date)

Year	Total
2006	
2007	
2008	
2009	
2010	
2011	
2012	
2013	
2014	
2015	

Submitted per year

Year	Items
2010	110
2011	257
2012	301
2013	548
2014	1,261
2015	233
	2,710

Submitted per year

Repository research collection full text growth stats

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