



THE UNIVERSITY *of* EDINBURGH

Lessons in Open Access Compliance for Higher Education (LOCH)

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Who We Are...

- University of Edinburgh
 - Large, research-intensive Russell Group University with 30,000 students and 12,000 staff
- Heriot-Watt University
 - One of the top UK universities for business and industry with 11,800 students in 150 countries
- St Andrews University
 - Scotland's oldest university founded in 1413. Research-intensive with over 25% of turnover from research grants and contracts.

Approach

- Managing Open Access payments, (including a review of current reporting methods and creation of shareable spreadsheet templates for reporting to funders),
- Using PURE as a tool to manage Open Access compliance, verification and reporting,
- Adapting institutional workflows to pre-empt Open Access requirements and make compliance as seamless as possible for academics.

What we are working on...

- A functional specification for PURE, to ensure compliance with the OA requirements for the next REF,
- Baseline case studies to review the OA landscape at each partner institution,
- First look at revising workflows and communications in light of REF requirements.

Outputs to date...

- St Andrews Deposit Requirements Checklist
- Edinburgh – Implementation planning questionnaire
- Edinburgh first draft web content
- St Andrews Publication – lean exercise
- ALL – Open Access Specification for PURE



Towards REF2020

The University of Edinburgh's Approach to
Open Access Requirements in the Next REF

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Scope & Timeline

- Policy applies to all **journal articles & conference proceedings accepted for publication from April 1st 2016**
- We need to ensure that we are **100% compliant before April 2016** to ensure that **every researcher** can select **any publication** for inclusion in the next REF.
 - **There may be extra credit available in “Research Environment” for earlier implementation.**



Deposit Requirements

- Must be deposited in an institutional repository (**PURE**) or subject repository (e.g. arXiv or PubMed Central)
- **DEPOSIT - IMMEDIATELY ON ACCEPTANCE** by the publisher (no later than three months after this)
- Researchers should deposit the '**author's final version**' or '**post-print**' which can be replaced with the final published PDF version at a later date.



Access Requirements

- Must be made Open Access at the earliest possible opportunity
- If your publisher requires an Open Access embargo, then this can be respected. In reality – OA likely to happen at a date 6 months+ after publication
- Normal **maximum embargo is 24 months (panels C & D)**, though some exceptions may apply.



Implications

- “Any output that falls within the scope of this policy and is submitted to the post-2014 REF but does not meet the requirements without a valid exception will be given an **unclassified score** and will **not be assessed.**”
- From April 2016, when the policy comes into force, there will be no scope for retro-active compliance so we must ensure **everyone is aware** of the requirements ASAP.



What are we doing?

- The Scholarly Communications Team is working with College Research Offices and Schools:
 - Local support staff being recruited
 - Existing administrative staff being given training
 - Project plans being implemented for each School
- Scholarly Communications acting as a central co-ordinating authority for the University
 - Liaising with HEFCE
 - Co-ordinating development of PURE
 - Jisc Pathfinder “best practice” project



Our message to researchers...

- Researchers must **take action immediately** on being notified of acceptance by a publisher. Either:
 - **Log in to PURE, create a record and upload the correct file**OR
 - **Email your acceptance email and the file to the appropriate support email (TBC)**
- Researchers must **contact us** if they are unsure of how to do this or how the policy affects your publication.
 - Scholarly Communications Team OR in-School support



Devolved Staffing Model

- Central Support for the Project in Scholarly Communications Team (Library) - 4 FTE
- Humanities & Social Sciences
 - OA Advisor (1 FTE) with support from temporary support staff (2.5FTE)
- Medicine & Veterinary Medicine
 - One OA Advisor (1 FTE) with deposit made by local administrators (hard to quantify accurately 2 or 3 FTE?)
- Science & Engineering
 - Support from existing School support staff (maybe 2 FTE?)



What is going well?

- We have undertaken **LOADS** of outreach over the last few months
- We have spoken to most Research Directors about the new policy
- Most Schools have had a visit about the policy
- Most of the Schools now have local plans in place
- The new technical requirements are defined and in development



What do we need to improve?

- We still have not issued an all-staff email about the policy – this is long overdue
- We sometimes forget to highlight the benefits of Open Access
- We always need to plan each meeting to make sure we get the best out of every opportunity to talk to researchers
- Validation workflow needs to be improved
- Reporting needs to be improved
- Many administrators need more training



Top Tips?

- ✓ Make sure University Senior Management are aware of the policy and its implications (and bonus points for early adoption!)
- ✓ Formulate a plan and treat this like a project
- ✓ Make sure you have adequate staffing resource and that responsibilities are clear
- ✓ Provide clear, simple guidance for researchers
- ✓ Review progress regularly and don't be afraid to make changes

