



OA good practice pathfinder update

Supporting universities' open access implementation
through sharing examples of good practice

December 2014

“OA good practice pathfinder update ”



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Welcome to the first open access good practice update.

This is the first in a series of quarterly updates that will share our OA Good Practice Pathfinder projects' progress, outputs and lessons learnt plus any practical tools and reports in order to discover what's working well for institutions in a real world environment of open access (OA) implementation.

Given the wide scope and broad impact of research funders' OA policies, the Pathfinder projects are helping us discover what's working well for institutions with varying levels of research base, finance and human resource as they implement OA policies. Each project is exploring a range of diverse issues relating to OA implementation, from identifying ways to manage and monitor compliance with funder and institutional mandates to management of publication charges and how to advocate good practice around OA implementation to researchers. Although there won't be a one size fits all solution there will be a rich variety of experience and support to draw upon.

These updates, along with workshops and online interactions, are a key strand of the Pathfinder work as they will enable research and information managers to learn from the Pathfinder projects and each other, thereby making the most of the knowledge and experience from across the wider community.

To find out more about the [Pathfinder projects](#) in general, read their [elevator pitches](#) and the Pathfinder [blogs](#).

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Pathfinder update (July - December 2014)

Baselining/horizon-scanning activities

In order for Pathfinders to scope a clear starting point for their projects, to inform future direction and enable later evaluation, most Pathfinders have initiated a baselining or landscaping activity. Given that the Pathfinders are in their early stages, this baselining activity is vital in understanding the current state against the desired future state in terms of their implementation of OA. Of course, there are many different ways to approach baselining and horizon scanning and projects have considered it from different angles and over a range of themes that affect OA implementation from institutional workflows and business processes to influencing researcher behaviour.

Institutional workflows and business processes

Established methodologies such as **Lean**, which are designed to maximise efficiency and minimise any waste of human or financial resources, have been considered in terms of how they can be realistically applied to the OA processes. The **Bath Pathfinder** has taken the key tenets of the Lean methodology in terms of identifying who the customers are for this process, what they want and what is currently hampering efficiency and, through guided interventions derived from Lean, they will be aiming to streamline these processes accordingly.

Visualisations of institutional workflow processes (green/gold), where institutions map out process steps in flow charts or organisational diagrams, have also provided an effective way to baseline activities. The advantage of these diagrams is two-fold. Firstly, they allow the institution to develop their own picture of how mechanisms to support OA are being implemented, so that they can identify duplication in process steps or where multiple departments are working over each other. Secondly, they provide a mechanism by which other institutions can identify common issues, good practice, or where bottlenecks occur. This methodology was used to great effect at the Glasgow (**E2E Open Access**) Pathfinder's **first workshop** and examples of these process visualisations are presented in the workshop **report** which promoted

working together as an OA community across disciplines and organisational divides to address issues associated with OA management.

Northumbria Pathfinder and Coventry Pathfinder (**O2OA**) have worked together to explore questions around setting and implementing institutional OA planning in a modern university setting and how they can go beyond compliance despite having limited or no RCUK block grant funding. A key concern for them was enabling informed institutional policymaking around green or gold OA routes, and how gaps in academic and research support knowledge can lead to difficulties in making these decisions. Additionally whether, as institutions with limited resources to address the challenges posed by OA, these policies could be used to positively influence other aspects of institutional culture, such as publishing behaviour. This idea was explored further in a **UKSG webinar**, where members of the Edinburgh Pathfinder (**LOCH**) considered how open access publishing initiatives could be delivered for academic staff and students and to give some practical advice on how institutions might want to consider setting up a service.

Understanding researcher behaviour

Understanding how researcher behaviour could be explored in order to embed improved structures, systems and processes around OA implementation has been a key feature for a number of Pathfinders. Taking a qualitative approach to elicit beliefs, attitudes and understanding of stakeholders through structured interviews with academic staff in order to better understand knowledge of OA, drivers, barriers and facilitators/support has been the foundation of the '**Needs Assessment**' report undertaken by the Coventry Pathfinder (**O2OA**). The report points out that 'anxieties relating to OA paths and release mechanisms hinder (academic) engagement' and notes that 'rhetoric about impact, visibility, public access and accelerating scientific development underpin the willingness to engage, but pragmatic issues (costs and procedure) and ethical concerns prove a barrier to action'.

More of the nuances that drive academic behaviour may also be elicited from the ethnographic studies being undertaken by the Oxford Brookes Pathfinder (**Making sense of OA**). This will assess a number of researchers at different levels using a set of cultural probes which could be observations or diary keeping - video or written - recording OA pain points. A key output that the project has launched is the pilot version of **CIAO** (Collaborative Institutional Assessment of Open access) which is a benchmarking tool for assessing institutional readiness for Open Access (OA) compliance. The tool is based on **CARDIO** (Collaborative Assessment of Research Data Infrastructure and Objectives) and is designed to be used in a workshop setting so that all stakeholders within an institution can gather to assess their level of OA implementation.

Both Coventry and Oxford Brookes projects would welcome feedback and comment on their respective outputs.

Institutional policy

Clearly, from an institutional policy perspective, in order to give OA requirements a firmer institutional footing, it is essential that it is pushed up through the institution's to do list. In the case of the Hull Pathfinder (**HHuIOA**), an OA steering group has been proposed as part of a new OA policy that is being submitted to the University Research and Enterprise Committee, while its associate, Lincoln, has recently had an institutional OA policy approved that is taking OA as the norm, and non-OA as an exception.

Advocacy

It may be argued that, however comprehensive institutional workflows and business processes are, unless they are sufficiently communicated to researchers, OA compliance will be sub-optimal.

To develop an effective advocacy programme, **UCL Pathfinder** has suggested that institutions ask themselves the following questions so that judgements can be made about how efforts should be directed:

- » Does the institution have an OA communication plan? What priorities does it set?
- » What types of communication have been undertaken? In particular, how have the institutions used electronic and printed media, large-scale events, training and briefing sessions to spread the message? What has worked well?
- » What has been done to embed OA at institutional and management level?
- » How are the institutions communicating the REF OA policy?

Planning for the implementation of the Hefce REF requirements and working with a variety of stakeholders across the University has also seen the Edinburgh Pathfinder (**LOCH**) develop a **questionnaire** to get a better picture of how OA implementation works across each school. The results of the questionnaire will form the basis of a brief implementation plan for each school, with agreed workflows depending on their needs.

Other Pathfinder projects are considering the potential role of region and locality in how OA implementation is advocated and supported across institutions of differing sizes, research bases and advancement. In the case of the Manchester Pathfinder (**openWorks**), the project is made up of a range of institutions (Edge Hill University; Liverpool John Moores University; University of Liverpool; University of Salford) in the North West with differing sizes of institutional research base and allocated financial and human resources to support OA implementation. Considering how these institutions will be able to support each other over the coming years through a North-west community of practice will provide an interesting approach, but may provide a model for other institutions with close regional links. Interim case studies which provide a standardised base-line model for how each institution is implementing OA will be available for at their **project workshop** in December.

Technical requirements

Defining and creating technical specifications for improved metadata/information management necessary for OA compliance has been a key area of focus for a number of Pathfinders. The Glasgow Pathfinder (E2EOA) workshop gave rise to a vital discussion on the potential fields necessary for RCUK and (while awaiting the now released **audit and metadata requirements from Hefce**), REF compliance, as the current position meant that many organisations were trying to bring together data from many different sources. The attendees were divided into three groups which looked at a draft list of possible fields that could be captured in support of OA monitoring and compliance.

These discussions will inform and provide the building blocks upon which other Pathfinders can base their work, as well as informing a number of Jisc initiatives, such as **Monitor** (a project to investigate and prototype the value and feasibility of services to help universities show compliance with funder OA mandates and monitor APC payments) and **RIOXX** (a metadata profile allowing institutional repositories to share information about OA research papers and their compliance with funder policies)¹. Findings from the workshop will also be fed into the CASRAI-UK pilot Research Contribution and Open Access Reporting working group which is considering a data profile that will support institutional reporting to UK funders for the new policy on OA, and for research contributions/outputs more generally. A full report from the event is available **here**.

While the Glasgow Pathfinder (E2EOA) focused on potential metadata/information fields for **EPrints** (a widely used open source repository software), the Edinburgh Pathfinder (**LOCH**) project is planning to focus on the development of a new OA metadata specification for Pure (Current Research Information System (CRIS) that supports research management and reporting). This is intended to enable customers of Pure to better manage OA compliance and reporting for the next REF, with the side effect of improving compliance for RCUK and Wellcome Trust requirements too.

Now that the final metadata and audit requirements for Hefce have been announced, the Pure specification will be passed to Elsevier for development and the new functionality is due to be released in June 2015.

RCUK reporting

In July, RCUK announced its **independent review of its OA policy** during the transition period (five years from the policy being introduced) to monitor the implementation of the policy and provide advice where needed. Many of the Pathfinder projects submitted compliance reports and responded to the call for evidence. However, many reported, especially in the case of the compliance reports, that this was very time-consuming and they would like to see more standardisation in the way in which it is undertaken in the future. Most did consider it a valuable way to get a status check on OA implementation progress, highlighting where process gaps existed and informing future planning. Jisc, which sits on the independent review panel, also submitted a **response** to the call for evidence.

[1]

1 For more information on Jisc OA initiatives, please see the Jisc Scholarly Communications blog: scholarlycommunications.jiscinvolve.org/wp/

Links between Pathfinder projects

Given the diverse and fast-moving landscape of OA implementation, links between the Pathfinders have been essential to develop innovative and creative models of best practice that avoid duplication of effort and build on previous work. These links between projects are still in their early stages and are likely to shift as the projects develop. However some clear groupings have been identified:

'Modern' institutions

Finding solutions for post-92 institutions that typically have small but growing research bases and ambitions for further development but whose requirements are driven by reduced, sometimes non-existent, institutional or block grant funding has created a natural grouping for some Pathfinders (Coventry, Hull, Oxford Brookes and Northumbria) to coalesce around. How they work together to tackle common issues and challenges will be interesting to observe over the coming years.

Publisher engagement

Exploring ways in which HEIs can work with publishers to achieve practical solutions to some of the problems that institutions have with monitoring their publications and complying with funder policies has been a key point of concern for UCL, Manchester and Bath. With this in mind, a new sub-group of RLUK's Ethical and Effective Publishing Group has been put in place to look in detail at how publishers' submission and publication processes are integrated with OA procedures, how institutions' metadata needs can be better met and what publishers and institutions can do, together, to make all the processes easier for authors. Discussions have begun with Elsevier, Wiley and BMJ, and the projects are looking forward to engaging with other publishers, too.

Technical enhancements

As noted above, defining and creating technical specifications for improved metadata/information management necessary for OA compliance has been a key area of focus for both the Pathfinders based in Scotland. Both Glasgow and Edinburgh are focusing on scoping and identifying metadata/information requirements for OA within their own respective systems (Glasgow focusing on EPrints; Edinburgh on Pure), but are working together to consider transferability of outputs to other platforms and will join forces where appropriate.

Cost Management

Whether considering the administrative overheads and workflows or considering off-schemes or how to monitor payments, management of costs related to OA management is an important feature of many of the Pathfinder projects. In the case of UCL, they have shared their alternative to using unwieldy spreadsheets that are unsuitable for capturing the large amount of data involved in each open access transaction by sharing their **database** used to record APC and publication charge data. They are planning to look further at APC/publication charge data recording techniques throughout the project, but will be tying this in with their contributions to Jisc Monitor.



For more information on how you can engage with these projects, please contact Sarah Fahmy
s.fahmy@jisc.ac.uk

Pathfinder links with Jisc OA initiatives

When in lifecycle	Services for researchers	Services for librarians and research managers	Services and Projects	Support for HEIs
On submitting an article to a journal	Information on journal OA policies, and how they enable you to comply with your funder policy	Information on journal OA policies, and how they enable your researchers to comply with their funder policy	Sherpa RoMEO sherpa.ac.uk/romeo Juliet sherpa.ac.uk/juliet FACT sherpa.ac.uk/fact	<p>In progress: OA Good Practice jisc.ac.uk/research/projects/open-access-good-practice including pathfinder projects: Developing and sharing new and effective ways to meet funders' OA policies</p> <p>In development: Repository Technical Support Package Technical support for institutional repositories adopting Jisc and other shared services / standards</p>
On acceptance of the article by the journal	Automatic notification to (and perhaps deposit of the article into) your institutional repository	Automatic notification to (and perhaps deposit of the article into) your institutional repository	Jisc Publications Router broker.edina.ac.uk	
On payment of the APC		Offset arrangements to save costs for institutions	Jisc Collections negotiations jisc-collections.ac.uk	
		Data collection, collation and analysis to allow benchmarking, etc.	Total Cost of Ownership APC data collection jisc-collections.ac.uk/Jisc-Monitor/APC-data-collection/ Jisc Monitor jisc-collections.ac.uk/Jisc-Monitor	
On publication of the article	Raising the visibility, reach and impact of your article on the internet	Rendering the article effectively in library discovery services	CORE core.kmi.open.ac.uk/search Jisc-ARMA ORCID pilot orcidpilot.jiscinvolve.org/wp	
	Confirmation that your article has been published on appropriate OA terms	Confirmation that the article has been published on appropriate OA terms	Jisc Monitor jisc-collections.ac.uk/Jisc-Monitor	
	Automatic deposit of your article from Europe PubMedCentral into your institutional repository	Automatic deposit of your article from Europe PubMedCentral into your institutional repository	Jisc Publications Router broker.edina.ac.uk	
On monitoring / reporting compliance with funder policies	Making it easier for you to keep your ORCID record up-to-date	Collation of data allowing librarians and research managers to monitor published articles, expenditure and compliance	Jisc Monitor jisc-collections.ac.uk/Jisc-Monitor	
	Making it easier for you to keep your ORCID record up-to-date	Supporting institutions to keep track of their researchers' articles by taking advantage of the global ORCID initiative	Jisc-ARMA ORCID pilot orcidpilot.jiscinvolve.org/wp	
		Ensuring efficient data flows across the system	Standards work, eg: RIOXX rioxx.net V4OA v4oa.net CASRAI bit.ly/casrai	
On someone downloading the article	Usage reports for you as the article's author (via your institutional repository)	Usage reports for articles authored from the institution	IRUS-UK irus.mimas.ac.uk	
		Benchmark usage figures across all participating institutions		

Jisc is working to help UK universities implement OA. For regular updates on this work see the Jisc Scholarly Communications [blog](#).

The OA Good Practice Pathfinder projects are working with a range of other Jisc initiatives operating in this area. Below is a summary of how engagement is taking place:

Jisc Monitor

Investigation and prototyping to test the value and feasibility of services to help universities show compliance with funder OA mandates and monitor APC payments.

The Pathfinder projects, along with many other UK universities, have been among the key stakeholders who have participated and engaged with Jisc Monitor through a range of [regular workshops and webinars](#). However, Jisc Monitor is keen to engage even more directly with institutions that are at the coalface of the OA landscape and, as such, is working with several of the Pathfinder projects directly. The main thrust of all this work is to attain that collaborative edge in order to explore and extrapolate what it is that institutions and other key stakeholders require as part and parcel of complying the current and future UK funders' OA policies.

Total cost of ownership

Collection and analysis of data about the costs and value of journals for institutions under different financial models.

The original purpose of the [Total Cost of Ownership data collection](#) was to help Jisc Collections model different article processing charges (APCs) offsetting schemes that have been developed for its negotiations with publishers. By working with institutions (many of which are now Pathfinder projects) to release this data more widely and by analysing the data within the wider context of scholarly communications, debate has been

sparked about hybrid OA publishing and the adoption of business models based on APCs. This has aided the development of a standardised [spreadsheet](#) for ongoing data collection and potential work is being scoped to consider how this information can be exported directly from a CRIS or institutional repository.

A [webinar](#) took place on **24 November 2014, 3-4pm**, to provide an overview of the rationale, adopted methodology and data analysis/research that has formed part of the Jisc Collections Total Cost of Ownership project.

RIOXX

Metadata profile allowing institutional repositories to share information about OA research papers and their compliance with funder policies.

RIOXX was designed to support consistency across key metadata fields to facilitate the tracking of research outputs across scholarly systems, support reporting to funders in the required format and support interoperability. Jisc is currently developing the EPrints RIOXX plug-in and is in the process of contacting possible early adopters (about 10 institutions), some of whom are Pathfinder projects, to test the plug-in. The aim is to have this plug-in ready for wider use in early January 2015. Jisc is also planning an approach with DSpace.

Publications Router

This automates the direct delivery of scholarly works (green/gold OA and/or pre-embargoed records) from multiple suppliers (such as publishers or subject repositories) to the appropriate institutional repository. It already passes on full-text feeds from Europe PubMed Central and is now working to add a range of additional sources and increase institutional participation to receive content. Since the release of the REF requirements earlier this year, Jisc has been investigating and consulting with a number of universities (many of whom were Pathfinder projects) on how the Publications Router could best support the capture of authors' accepted manuscripts (AAMs) as part of this developing service. For a more detailed update on this work please read the [following blog post](#).

CASRAI-UK pilot projects

OA is one of the three areas of focus for the CASRAI-UK pilot projects. This group brings together representatives from UK research funders, institutions, CRIS vendors and repository software suppliers to discuss where there are opportunities to align on common terms and vocabularies to support OA reporting. This group will initially build on the Glasgow Pathfinder ([E2EOA](#)) project workshop in setting out the OA requirements and how they translate to repository systems. It will also build on the extensive work done on the Vocabularies for Open Access Project (V4OA) and the RIOXX metadata application profile and guidelines. Doing this broader mapping in a central place will hopefully make it easier for institutions.

In order to develop a strategy to ensure greater interoperability across repository networks and other platforms, the Confederation of Open Access Repositories (COAR), CASRAI and regional repository networks has [launched an international group](#) to improve interoperability. In addition to these projects:

- » Jisc is working with research funders, publishers and universities to assess and improve the accuracy of [Sherpa/FACT](#).
- » Through the [PASTEUR4OA](#) project Jisc is drafting a briefing paper on the development of OA policy in the UK and contributing to a report on the effectiveness of OA policies, which will be released early next year.



Jisc Monitor

jiscmonitor.jiscinvolve.org/wp/

Total cost of ownership

jisc-collections.ac.uk/Jisc-Monitor/APC-data-collection/

RIOXX

rioxx.net/

Publications Router

brokeredina.ac.uk/

CASRAI-UK pilot projects

jisc.ac.uk/whatwedo/programmes/di_researchmanagement/researchinformation/casraipilot.aspx

Events

Reports of past OA events

Practical Approaches to the Implementation of Hefce OA Policy Workshop; 26 September 2014

This workshop considered how best to implement OA policy in the next REF and the different approaches taken by different universities. Read the key recommendations for practical implementation of the Hefce OA policy and where more support is required [here](#).

Glasgow Pathfinder Workshop: Open Access Issues and Potential Solutions; 4 September 2014

This workshop explored OA process issues in relation to the inclusion of necessary metadata fields in repository systems (in particular Eprints) and sharing best practice in this area. Read the [full workshop report](#).

Jisc OA Implementation Community Workshop; 17 June 2014

This was the first Jisc OA Implementation Community (OAIC) workshop and brought together the current OA Good Practice Pathfinder projects with those from the wider higher education community who share a common interest in implementing the OA requirements of research funders and Hefce. Read the [full event report](#).

Jisc OAIC Webinar on Hefce's OA Requirements for REF; 25 May 2014

This webinar provided delegates with an overview of Hefce's OA policy for the post-2014 REF and the implications for research and the assessment of research. It also considered what services, tools and guidance are available to support institutions in the implementation of this policy. The webinar recording and FAQs are available [here](#).

Forthcoming events

Please download the current pdf version of the OA Good Practice programme Jul 2014-Jul 2015 [here](#). Listed below are all other Jisc OA-related events, which we shall be co-ordinating with the work of OA Good Practice as much as possible.

University of Manchester Pathfinder Project workshop - 5 December 2014

"Finding our way after Finch: lessons learned and where they lead"

Location and registration: TBC

University of Glasgow Pathfinder Project workshop - 12 January 2014

"Embedding future REF requirements"
Jisc offices, Brettenham House, 5 Lancaster Place
WC2E 7EN

Registration and more information: TBC

Further information

All information on the OA Good Practice initiative will be posted on the OA Good Practice [blog](#), on the OA Good Practice twitter feed - [@OA_GoodPractice](#) - and on OAGOODPRACTICE@jiscmail.ac.uk

In the meantime, please contact **Sarah Fahmy** (s.fahmy@jisc.ac.uk) with any comments or queries or if you want to be added to the Jiscmail list - always interested in hearing from you!

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