University of Sunderland

Usage guidelines

Jisc final report

[OAGP Pathfinder Projects]

Project Information			
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Version	Date	Comments
0.1	24/06/2016	First draft
0.2	06/07/2016	Second draft – added table of outputs/outcomes, budget report
0.3	25/07/2016	Third draft – added recommendations, added blog stats, added end of programme events
0.4	29/07/2016	Fourth draft – budget updated
1.0	29/07/2016	Final draft – all sections updated and refined
1.1	29/07/2016	Final draft – outputs, methodology and dissemination updated

| 1.2 | 02/08/2016 | Final draft – What We Learned completed, Conclusions and Recommendations updated, images added |
| 1.3 | 02/08/2016 | Final draft – budget updated |

Contents

Project summary

Our Open Access (OA) Pathfinder, a collaboration between the University of Northumbria and the University of Sunderland, aimed to develop and share tools and best practice to enable HEIs with limited external resources to effectively and creatively respond to the challenges and opportunities presented by OA. To achieve this we identified four discrete project objectives and a methodology which emphasised engagement locally and with the other HEI's that comprised the wider programme.

Importantly, the wider context of this focus was our recognition of the global movement towards open research and an impact agenda which demonstrates and rewards value for money from public investment. Subsequently, throughout our project activity we aimed to explore and develop extensible models, policies and procedures which go beyond OA compliance to engage with and shape these wider debates.

Throughout the programme we disseminated our preliminary findings and ongoing thinking via our project blog (http://oapathfinder.wordpress.com) as well as fora including conferences and workshops.

By the end of the two year programme, our project had successfully delivered against the four objectives and in so doing demonstrated tangible impact. Crucially, for each aspect of our project further work is needed to refine and develop solutions and practice to meet the challenges and opportunities presented by OA. We believe that against a background of a rapidly evolving policy and funding landscape JISC are uniquely positioned to facilitate a community of practice to play a pivotal role in making this happen.

Main body of report

Aim and objectives

The project aim was to develop and share tools and best practice to enable HEIs with limited external resources to effectively and creatively respond to the challenges and opportunities presented by OA

To achieve this aim we identified four key objectives:

1. Develop a customisable OA modelling tool to allow a wide range of HEIs to produce a tailored cost model to assist internal policy and investment decisions.

2. Develop four case studies reflecting the experience and responses of four representative institutions, including lessons learned so far in implementing OA, how funds have been deployed to implement OA policies (if any), and the balance of internal/external funding for OA.

3. Develop and share best practice policy, workflow and procedures drawing on the modelling evidence from Objective 1, case studies in Objective 2, emerging sector standards and funder mandates.

4. Design a quick-reference decision tree and clearly presented supporting materials to guide authors and support staff through the policy and process.

Methodology and approach

It was established very early in the lifecycle of the Pathfinder programme that tangible, measurable and impactful outcomes, produced on an ongoing basis throughout the programme, were a priority for everyone involved. Consequently, we attempted to formulate methodologies that could deliver outputs to achieve this. Our methodology varied by objective and involved both collection of qualitative and quantitative data for analysis and / or solution design, and consistently emphasised stakeholder engagement.

The **cost modelling tool** we anticipated would be of most use to HEIs in receipt of a low or non-existent RCUK block grant, and can help those institutions looking to create an Article Processing Charges (APC) fund for open access publishing draw up a business case that can be presented to senior management. The cost modelling tool was a development of work initially undertaken at Northumbria in 2014 which led to the University Executive approving a £100K/annum internal fund for Gold Open Access costs. Comprising two Excel files, one blank and the other with sample values to show a worked example, the tool is based on financial data collation and analysis using techniques employed in a typical HEI Finance Department as well as parameters and variables informed by local scenario planning for research assessment. Both files include a Powerpoint Quickstart guide embedded within the home page to provide a user walkthrough on model customisation. Customisable variables in the model include average APC costs based on a variety of different sources, overheads for both Gold and Green OA, target staff FTEs for REF submission and average numbers of articles per FTE. Once these have been set the user can view various cost projections over five years for different balances of Green/Gold OA.

The **case studies** present both best and actual practice from a small but diverse group of HEIs from across the UK. We aimed to obtain a robust sample across the spectrum of UK HEIs and selected four very different institutions to achieve this. Each of these institutions face specific challenges in implementing open access requirements, and the case studies provided an opportunity for stakeholders from different departments to consider their approaches to OA, and to discuss their responses and concerns. Case study data collection involved field work based on facilitated semi-structured participatory workshops and interviews. Questions and discussions were grouped around five topics: cost management, structure and workflows, institutional policy and strategy, advocacy and systems. Preliminary drafts were shared with each HEI case study participant group for comment and validation. Opportunities to update each case study were provided to reflect potential changes in local approach and experience over the duration of the two –year programme. In addition to this process being valuable for those involved, the case studies are also useful as a reference point for other HEIs to benchmark their own OA practice and policies.

The OA **decision-making tool** for researchers was created by the Resource Discovery and Access team at Northumbria University based on the commonly used Libsurveys platform. The tool allows researchers to explore the open access options available to them based upon their responses to questions about their research outputs. The tool presents a simple interface that gives users clear guidelines as to how they can best meet both internal and external open access policy requirements.

Is the research externally funded?

Yes

Does the journal comply with funder's policy on OA?

You can check the journal's Open Access options using SHERPA RoMEO.
Funder policies can be checked on SHERPA JULIET.
If your publication is not associated with a research grant, please select 'yes'.

Do not know

Contact the Scholarly Publications Team via email (openaccess@northumbria.ac.uk) or using th
box below for further advice.

A snapshot of the online OA decision-making tool

The best-practice on OA based on lessons learned from the case studies and our wider work has been **blogged as an interim output** and this is refined and updated in this report (see *What did you learn?*)

Project management was via regular (approximately every two months) meetings at both institutions, chaired by Nick Woolley the Project Director. These meetings were well-attended, and enabled the team to update on progress of the various work packages and respond flexibly to changes in the programme and wider OA policy

context. Project working groups were formed around each work package and these were led by different members of the project team.

Dissemination

Members of the project team presented project outputs and outcomes across **ten** different events, conferences, workshops or webinars, and, more informally, through networking opportunities at every programme event. **Twenty seven** posts on the project blog provided up to date reports of our progress and findings throughout the programme, including publication of downloadable cost modelling tool files and good practice case studies.

How to be innovative in Open Access with limited resources (Oct 2014 workshop)

The project presented many opportunities for the team to engage with stakeholders from a number of UK HEIs. Project workshops involving stakeholders from other HEIs were themed around 'creative uses of resources' and 'turning OA challenges into opportunities' and these events stimulated positive discussion in a focussed but informal environment.

The project team also participated in and actively reported on workshops run by other Pathfinders, for example the **Open Access and the Research Excellence Framework Workshop** run by the Glasgow-led End-to-End Open Access Pathfinder. We were also active in national-level training and development on OA, co-delivering **a session** at the Association of Research Managers and Administrators Conference in June 2015, a **workshop on Green vs. Gold OA** at the Repository Fringe, 2014, and a webinar on "**Defining an Open Access Service**" which synthesised a number of Pathfinder programme outputs on practical strategies for OA management.

Engagement with stakeholders in HEI's outside the programme membership became a specific focus following our mid-point project review and we organised and facilitated a successful workshop with colleagues from Sheffield Hallam University and Manchester Metropolitan University in March 2016.

Further dissemination opportunities are being actively explored, including publication of an article in the ARMA Vistas journal aimed at research management professionals, which is currently under peer review.

Project outputs and outcomes

Please list all of the outputs and outcomes that your project has created, this should include tangible deliverables (including reports) and the less tangible knowledge and experience you hope to build and share. If useful for the readers, please categorise the outputs.

Output / Outcome Type	Brief Description and URLs (where applicable)
An optimal balance of green and gold: what do our stakeholders think? workshop (July 2014)	A workshop at Repository Fringe to discuss the aims of our Pathfinder project and work already undertaken around open access advocacy and policy development. The workshop was open to participants from all HEIs, providing perspective from those not in the same institutional context as our project. Findings were presented in a blog post. **Blog post about the workshop's aims** **Blog post summarising the workshop**
Pathfinder project update and event report from OA Implementation Community (September 2014)	Attendance of the first OA Implementation Community meeting allowed us to find areas of common ground with other projects and refine our aims. We were able to discuss scheduling of events to ensure strong attendance, and identify partner institutions with whom to create case studies as part of our project. **First project update and event report**
How to be innovative in Open Access with limited resources workshop (October 2014)	A workshop held at Northumbria University in collaboration with the University of Hull and Coventry University, with attendees from five universities in a range of library and research office roles, to explore existing and potential strategies for tackling the challenges of OA. Identified areas to act on in our own institutions and areas for further attention at a national level, such as negotiation with publishers. **Blog post summarising the workshop** **How have we responded to the challenges of Open Access?** **How have we tried to address OA issues identified?** **How could we address OA issues in the future?**
Pathfinder project update (March 2015)	Each project update was preceded by a meeting of the project team to review recent activities against the project plan and look at next

	steps. At this meeting, the project team started to plan two major areas of work: the cost modelling tool, and institutional case studies. **Second project update**
ARMA (June 2015)	Project Manager developed and delivered part of a joint Pathfinder session on the work of the programme, including outputs to date. The session was presented to an audience primarily of research managers and administrators at the main annual conference for the profession. **ARMA 2015 Jisc Pathfinder presentation**
Cost modelling tool (July 2015)	This cost modelling tool is intended to be used to help establish an internal business case to set up an APC fund for Open Access publishing. It allows the user to model different cost projections based on variables such as FTE, number of articles, REF submission targets, and % Green vs Gold OA. **Blog post about the cost modelling tool** **Exemplar cost modelling tool (will open document)** **Blank cost modelling tool (will open document)**
Open Access decision making tool (August 2015)	Sharing the decision making tool created at Northumbria University to enable the researcher to answer questions about their research to find out what options are available to them and how to get further information, including links to SHERPA Services wherever relevant. This self-service approach means most basic enquiries are quickly answered at the point of need by the user, at any time. **Blog post about the decision making tool** **Decision making tool on Northumbria University Library open access webpages**
ARMA-JISC webinar (October 2015)	The Project Manager co-developed and jointly delivered a webinar arranged by Jisc, in partnership with ARMA and the EU-funded FOSTER project. The webinar, 'Defining an Open Access Service', considered the principles underpinning a successful OA service, looking at practical steps to embed workflows on a human and technical level and giving examples of methodologies and techniques which highlight good practice. 62 delegates registered to attend and the webinar was recorded and shared via YouTube. **Defining an Open Access Service Webinar**

Institutional case studies (June – December 2015)	A key aim of the project was to sharing good practice and challenges faced by different types of institutions (large and small, research intensive and teaching-led). We aimed to create institutional case studies which would give a reasonably complete at-a-glance picture of the various approaches to OA which are being pursued by UK HEIs. We held semi-structured interviews with members of staff at four UK HEIs, focusing on five areas of OA implementation: 1) Costs, 2) Structure and Workflows, 3) Institutional Policy and Strategy, 4) Advocacy, training and awareness, 5) Metadata and Systems. Reports from each were made available for download from the blog. **Blog post about Hull University case study** **PDF of Hull University case study** **Blog post about Durham University case study** **PDF of Durham University case study** **Blog post about Lincoln University case study** **PDF of Lincoln University case study** **Blog post about Teesside University case study** **PDF of Teesside University case study**
Open Access and the Research Excellence Framework workshop (September 2015)	Attendance of workshop organised by the End-to-End Pathfinder Project team, which aimed to discuss the implementation of the recently revised open access policy for the next Research Excellence Framework exercise, and to find out more about the development of some of the technical solutions. Gave attendees the opportunity to see tools available for meeting requirements of OA policies, and sharing ideas about how to raise awareness of requirements among the academic community. **Workshop report**
Pathfinder project update (September 2015)	Reflecting on the first three institutional case studies and the release of the cost modelling tool, as well as changes to the external environment from HEFCE and RCUK. **Third project update**

| Interim Best Practice Guide - *OA Good Practice: What We've Learned So Far* (December 2015)	This post pulls together some of the good practice identified in the case studies and summarises the challenges still to be addressed. **OA Good Practice: What we've learned so far**
Pathfinder project update (December 2015)	After releasing case studies from four institutions with different levels of research activity and external funding, the project group decided that the final events of the project should be workshops targeted at UK HEIs with similar levels of RCUK funding to Northumbria and Sunderland. This would be an opportunity to share best practice and present the findings of our project to institutions in a similar position to ourselves. **Fourth project update**
RCUK compliance blog post (January 2016)	A post demonstrating correlation between our OA expenditure and the cost modelling done prior to the creation of our institutional fund, the basis of the cost modelling tool released as part of the project. **Blog post about RCUK compliance**
Workshop, *Turning Open Access challenges into opportunities* (March 2016)	Workshop attended by library and research office staff from Manchester Metropolitan and Sheffield Hallam Universities, and Jisc.
Contribution to HHULOA *Northern Collaboration Learning Exchange*, York (May 2016)	Project lead attended to present on experiences and practices of APC management at Northumbria and also more widely about the OA policy and case study work the project had undertaken. **Northern Collaboration Learning Exchange agenda**
Contribution to OA Good Practice Events: *Baselining and Policy*, London (June 2016) and *Cost Management*, Bath (July 2016)	Project members contributed to two End of Pathfinder Programme Events to celebrate and discuss project outputs: The event in London highlighted our work on the case studies and decision-making tool. The event in Bath highlighted our work on the cost modelling tool. **OA Good Practice Events**

What we learned

A blog post by David Young (Project Manager) in December 2015 "**OA Good Practice: What We've Learned So Far…**" presents the main findings based on evidence of the four case studies.

There is a clear commonality of professional practice in response to the challenges and opportunities presented by OA and we did not discover any surprises or a 'magic bullet' in our research. Variation in approaches to OA cost management, organisational responsibilities and workflows, policy and strategy, advocacy and systems consistently reflected specific local differences, e.g. the size of RCUK block grants, the degree to which academic selection for APCs was mediated, the extent of engagement, or the emphasis of policy.

Despite the very real challenges in research information management faced by HEI's (e.g. capturing and relating funding and publication data) the biggest OA challenges identified in our project were achieving successful advocacy, engagement, and policy responses to translate into effective professional practice, rather than those relating wholly or largely to technical 'systems'. Consequently, we infer that the priority for development should be on people and 'soft systems' rather than technological solutionism which in some areas could be perceived as removing important touchpoints in the local journey to OA. Importantly, HEI's and the wider community must keep a focus on OA as an enabler of open research rather than exclusively reacting to the next policy change instigated by funders. Interestingly, one of the most promising solutions to achieving OA is the work being led by Imperial College on exploring a scholarly communications licence for the UK.

Collaboration between library and research office was a frequently cited critical success factor to achieving a coordinated and integrated institutional response to OA, particularly at the policy level, in the institutions that were the subject of our case studies and that participated in the workshops we facilitated. This strongly triangulated with the experience at Northumbria and Sunderland. Furthermore, the Pathfinder Programme provided another opportunity for colleagues from both professional areas to engage collaboratively on OA.
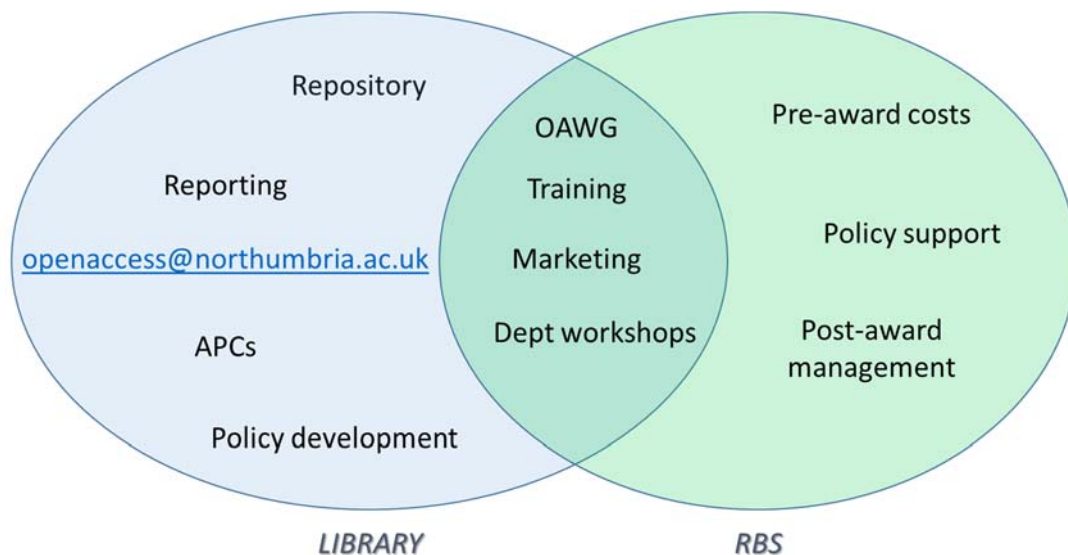
Venn diagram representing overlapping areas of responsibility around OA at Northumbria

Formal feedback from Pathfinder programme members and the wider HEI community regarding the cost modelling and self-service academic workflow tools produced by this project has been limited and consequently it is difficult to make any meaningful assessment regarding their relevance and currency. Most recently, in July 2016 at the Bath end of programme event, there was considerable interest in the cost modelling tool. Although this comes too late to synthesise in our findings we have noted this for future impact below.

Impact

Immediate impact

Identifying and attributing impact directly to the Pathfinder project is challenging, particularly when many of the project team have been simultaneously preparing for and implementing open access policy within their own institutions.

Over the period of the project we have seen increased engagement with and interest in OA among academic staff, evidenced for example by steadily rising deposits in our institutional repositories and the implementation of a University Open Access policy mandating the deposit of authors' final manuscripts to the research repository. At Northumbria, there has been increased engagement with our internal OA fund leading to **a rise in RCUK OA policy compliance** from 0 – 83% from 2013/14 – 2014/15.

These changes are undoubtedly due to a number of factors including major funder policy changes, ongoing advocacy work by professional services and support staff and a broader increase in emphasis on and familiarity with OA across the sector. It would be difficult to directly link this increased internal engagement directly to the Pathfinder, although all project participants are confident it did have a positive impact on their wider OA work.

Having said this there are clearly areas where the project has made a significant positive difference, for example:

- Participation in the Pathfinder programme has enabled the team to regularly validate and sense-check the approaches they have taken to supporting OA within their own institutions through consultation and discussion with equivalent staff in other universities, for example through the workshops, case studies and programme meetings. Given that the aim of the programme has been to share good practice on OA, this has clearly contributed to meeting that aim.

- For many of the project team it has added to our internal credibility as authorities on OA within our own institutions. Our Pathfinder's cost modelling tool output featured in Jisc's top-tips publication "**Implementing Open Access: some practical steps your institution can take**". This has given added weight to our internal advocacy efforts, demonstrating that we are on the leading edge of OA practice. Northumbria's policy and OA practice was **shared** as an example of good practice during the **Northern Collaboration Learning Exchange on Embedding Open Access** in May 2016.

- At Sunderland there has been interest within Faculties in the project which has in turn led to greater engagement with OA generally including more requests for support from individual academics and at a departmental level; the result of this has been a dramatic rise in the number of 'correct' versions being uploaded, and, more generally, a better understanding of OA. The case study work in particular has fed back into discussions and advocacy within the University, and the Library and Research Office are now working more closely together. Moreover, because of the involvement in this Pathfinder the University Library has been more closely involved in developing OA policy.

- Developing strong and sustainable links between the Research Office and Library has been one of the key best practice findings of our Pathfinder project. We have actively been promoting this, not just in our

own institutions, but in the wider community. Our Sheffield Workshop in March 2016 saw Libraries and Research Offices equally represented from Northumbria, Manchester Metropolitan and Sheffield Hallam. This was a shared space to examine OA from individual perspectives and to demonstrate what you can do practically when there is a good working relationship between these key support departments.

- Our blog (**http://oapathfinder.wordpress.com/**) has also seen over 4,000 views over the project period. Most views were from the UK (3,123), but of the remainder there were significant numbers of views from the United States, Australia, and other European countries. Some of the most popular posts were those which gave direct access to the tools and case studies the project developed, with the cost modelling tool the most popular of these (373 views).

Future impact

Participation in the Programme has contributed to our professional development and enabled us to establish new contacts, networks and partnerships which have been and will continue to be beneficial to our professional practice. The Community of Practice established by the Programme is hugely valuable (for example, the ability to quickly ask and answer questions related to OA) and should be sustained beyond the funded life of the Programme.

Our role in the **End of Project Events** has enabled us to further disseminate our work and will hopefully lead to constructive feedback on the outputs which we are highlighting (the case studies and cost modelling tool). For example, at an event on OA cost management at the University of Bath on July 15th 2016 we received expressions of interest in reviewing and potentially using our cost modelling tool output from representatives of: Open University, Oxford Brookes, Bath Spa, UCLAN, and Southampton. Representatives from Bath and Imperial also expressed interest in expanding the modelling tool to incorporate finer-grained look at Green OA costs and to model costs for different types of OA output (e.g. book chapters, monographs). We will follow up with the participants in this event and Jisc to discuss carrying out further work on the tool following the end of the project.

Our involvement in these events also enhances our reputation as OA practitioners, which we anticipate will continue to be beneficial to our institutional and professional networks through further workshops, discussions and development activities.

Conclusions

- o Our project has achieved the four objectives agreed.
- o The extent and validity of our findings relating to each objective reflects the level of engagement achieved with colleagues from other HEI's throughout the duration of the programme. Consequently, we are confident in our synthesis and analysis of the case studies,

but feel more community participation is required before we can draw more concrete conclusions regarding the cost modelling and online workflow tools.

o Our project has revealed that every institution faces similar and significant challenges and opportunities relating to OA, and that, regardless of the level of funding, no one has achieved total success in the key areas of advocacy and engagement. A critical success factor in this regard is the development of an effective working relationship between the library and research office.

o On the whole professional practice in HEI's over recent years has been reactive to funder policy. There is a need to rebalance the focus of activity to accentuate the wider benefits of open research and understand the role scholarly communication, as a broader activity than 'OA', can play to realise this. The focus in HEI's and arguably the wider knowledge community should emphasise engagement rather than technical solutions and process.

Recommendations

o Involve colleagues across university services and academic departments to assist in the development and dissemination of a single and consistent approach to the challenges and opportunities presented by OA. The relationship between the library and research office is key in this regard.

o Ensure that the benefits and moral arguments for OA as an enabler for open research are part of advocacy rather than a focus on compliance to encourage rather than threaten academic colleagues into action.

o Key stakeholders from HEI's should participate in a community of practice to ensure coordination, alignment and sustainability of approach to OA. This community of practice should involve librarians, research managers and Faculty and work across every level of OA related activity from strategic to operational, and seek to articulate the value and impact of professional support. JISC are uniquely positioned to facilitate a national community of practice and opportunities for engagement of that community with other stakeholders including funders and publishers.

o Future programmes could maximise the collective expertise and experience of all participant project partners. For example, any individual project data collection could encompass all other HEI participants as a matter of principle. This would enable the creation of higher quality evidence-bases and synthesis, and also reduce effort in securing subjects. Survey activity could also be similarly coordinated to maximise sample size, avoid survey fatigue, and to avoid any duplication or gaps in evidence collection.

o As outputs were encouraged throughout the programme, it would have been helpful to have a formal programme of events at or just after the mid-point to showcase lessons learned so far,

solicit feedback, and then end of programme events to show what had been developed subsequently, lessons learned from feedback etc.

o The programme of events needs careful planning and thought. We had planned events but without knowledge of other Pathfinder intentions at the outset it meant that there were occasionally problems of overlap. We addressed this by targeting our events at specific institutions to try to differentiate them and maximise the impact.

References

All links to reports and outputs of the project are given in the outputs table above.

Appendices

Glossary

APC – Article processing charge. A fee levied by some publishers to enable immediate open access to the published version of an article.

Green Open Access – A route to achieving open access which typically refers to depositing the final, peer-reviewed version of the research output on an institutional or disciplinary repository, subject to an appropriate open access license (e.g. Creative Commons Attribution). This is free of charge (apart from overheads in managing deposit and maintaining the repository) but research is often subject to an embargo period of varying lengths.

Gold Open Access – A route to achieving open access which typically refers to making the final, published version of the research output freely available immediately upon publication from the journal website. This can incur an article processing charge by the publisher.

OA – Open access to research outputs. The free, immediate online availability to published research to read, download and re-use, subject to appropriate attribution.

REF – Research Excellence Framework. A periodic exercise to assess the quality of research in all UK universities. Substantial research funding is tied to the results of the REF.

Budget report

The expenditure on the project as at 02/08/2016 is summarised below.

STAFF	Budget	Spend	Balance
N Woolley – Project Director	5,861.00	5,861.00	0.00
D Young – Project manager	5,540.00	5,540.00	0.00
E Cole – Project Officer	4,183.00	4,183.00	0.00
T Barrass/M Harland – Project Officer	2,747.00	2,747.00	0.00
T Hannant/C Downes – Project Officer	9,744.00	9,744.00	0.00
Running costs			
T&S	3,000.00	3,416.68	-416.68
Other	2,000.00	1,561.65	438.35
Partner Payments (Sunderland)	1,500.00	1,500.00	0.00
Overheads	3,625.00	3,625.00	0.00
	38,200.00	**38,178.33**	**21.67**