Implementing Open Access: some practical steps your institution can take
Implementing Open Access: some practical steps your institution can take

Implementing Open Access (OA) to research publications brings with it significant benefits for UK institutions, researchers and research funders.

After several years of concerted effort to implement OA in the UK, following the Finch report ([http://bit.ly/1CJmJXu](http://bit.ly/1CJmJXu)) in 2012, we have learned, and continue to learn, a great deal about what works well, and what works less well.

In this guide, developed alongside SCONUL ([sconul.ac.uk](http://sconul.ac.uk)), RLUK ([rluk.ac.uk](http://rluk.ac.uk)), ARMA ([arma.ac.uk](http://arma.ac.uk)) and UKCoRR ([http://ukcorr.org](http://ukcorr.org)), we have distilled some of this learning into a set of practical steps that institutions can take now, to ease the way.

**Levels of OA implementation**
This varies from institution to institution. To reflect this, this document aims to provide ‘something for everyone’ offering potential activities to those at the very beginning of their OA journey as well as those who are more advanced. Notably, the steps outlined here are a deliberate mix of interventions, some of which are wide ranging necessitating high levels of planning and resource, and some smaller incremental changes in order to offer potential solutions to all institutions, no matter how far along with OA implementation they find themselves.

**Who is this guide for?**
For anyone who is involved in OA implementation or who has an interest in OA more generally.
## Practical Open Access steps for Institutions

### Start
1. Establish policy
2. Do a baseline assessment
3. Develop communications plan
4. Implement ORCID

### Submission stage
- Select journal
- Check compliance
5. Use Sherpa Services

### Acceptance stage
- Deposit in repository
6. Ensure repository has the technical capacity to make reporting and harvesting of metadata easier
- If Gold OA pay APC
7. Record details of all APCs paid in a standardised way

### Publication stage
- Report on compliance
8. Share article-level APC data
- Maximise impact
9. Implement "copy-request" button in repository

### Use stage
- Record impact
10. Download data available to IRUS-UK

---

Then, for each article...

1. Establish policy
2. Do a baseline assessment
3. Develop communications plan
4. Implement ORCID
5. Use Sherpa Services
6. Ensure repository has the technical capacity to make reporting and harvesting of metadata easier
7. Record details of all APCs paid in a standardised way
8. Share article-level APC data
9. Implement "copy-request" button in repository
10. Download data available to IRUS-UK
1. Put in place an OA policy requiring and enabling your researchers to deposit outputs as required by the REF OA policy

**Why would you do this?**

» To enable your institution to gain maximum benefits from OA
» To provide a local policy framework and driver that enables academics and professionals to be clear on what needs to be done and why
» To enable your researchers to meet funder and national policies
» To enable institutional resources to be dedicated to the implementation of the REF OA policy

**How much effort is it?**

» Drafting the policy should be relatively straightforward as there are many examples that can act as a basis for it
» Getting the policy approved will depend on local processes

**Where to get more information and support**

» Registry of Open Access Repository Mandates and Policies ([http://roarmap.eprints.org](http://roarmap.eprints.org))
» OA Good Practice Pathfinder projects ([http://bit.ly/1M7AyBm](http://bit.ly/1M7AyBm))
» University of Edinburgh/ Heriot-Watt University/ University of St Andrews - Jisc OA Good Practice pathfinder projects: Case study ‘A year in the life of Open Access support: continuous improvement at University of St Andrews’ ([http://bit.ly/1BfQeKu](http://bit.ly/1BfQeKu))
Baseline your current position on OA

Why would you do this?

» To understand where to concentrate necessarily scarce resources, institutions need to know which aspects of the implementation of OA would most benefit from their attention

How much effort is it?

» Carrying out baseline assessments on how prepared and ready institutions and researchers are for OA compliance should require their involvement in jointly conducting these exercises, for instance through a workshop facilitated by the institution

Where to get more information and support

» Jisc OA Good Practice project - baselining resources (http://bit.ly/1DmKFAF)
Develop a clear and effective advocacy/communications strategy with researchers, which helps them understand the opportunities and obligations of OA. As part of this put in place a standard email mechanism, for example: openaccess@institution.ac.uk

Why would you do this?

» To ensure researchers are aware of the benefits of OA and are actively involved in OA workflows which are interconnected with the institution’s OA policy and related processes
» To ensure that the institution’s professional OA services offer clear benefits to researchers
» To make it easier for academics, publishers and others to contact the right unit at the institution. For example, academics could contact the institution for support in implementing OA, which will enhance relationships between academics and professionals. Publishers might provide institutions with information about publications. Jisc and other service providers can do the same

How much effort is it?

» Not trivial; likely to need expert professionals visiting academic departments, research institutes, etc., and having discussions with academics about their concerns, awareness, obligations, etc.
» Technically straightforward to set up the email address, but will require a time and resource commitment to set up the triage and workflow arrangements that would be needed to make it work

Where to get more information and support

» Jisc OA Good Practice project - advocacy resources (http://bit.ly/1UijE5y)
» UCL/ Newcastle University/ University of Nottingham - Jisc OA Good Practice pathfinder project: OA advocacy toolkit (http://bit.ly/1HvQtmN)
» Open access to scholarly communications: advantages, policy and advocacy (http://bit.ly/1OgUS2d)
» Open access advocacy: a checklist for research libraries (http://bit.ly/1TEE34o)
Implement ORCID where possible, for example as a member of the Jisc National Consortium Agreement

Why would you do this?
- As an essential research management tool, ORCID provides a unique, persistent internationally accepted identifier for researchers. One of its many benefits, this allows institutions to manage better workflows around OA, for example, the implementation of offsetting agreements with publishers of hybrid journals, and to handle REF returns for researchers who move between institutions. Jisc has made it easier for UK institutions to join ORCID and to get the full benefits of it via the national consortium agreement.

How much effort is it?
- Joining the consortium is relatively straightforward, with low costs based on Jisc bands
- Integration with local systems depends on what you want to achieve, but is likely to involve:
  - consideration of workflows, technical and legal implications
  - technical development and/or upgrades of institutional systems
  - advocacy campaign, guidance for researchers

Where to get more information and support
- National consortium for ORCID set to improve UK research visibility and collaboration (http://bit.ly/1I5tBix)
- Further information and sign-up for ORCID (http://bit.ly/1Mco7oJ)
- Summary of findings from UK institutions participating in the ORCID implementation pilot (http://bit.ly/1fM0eap)
5

Use SHERPA services to assess the implications of funder and journal OA policies in particular cases

Why would you do this?

- Using SHERPA/FACT minimises both risk of noncompliance with grant funder policies, and the burden of checking a myriad complicated policies and their interactions
- Both HEFCE and the Research Councils have made explicit statements that universities and authors should feel comfortable relying on SHERPA services

How much effort is it?

- Assessing the implications of the OA policy landscape for a particular paper is unlikely to be a straightforward or error-free process, but it can be done. Using Sherpa/FACT is the easiest way to do this

Where to get more information and support

- Sherpa/FACT website (http://bit.ly/1LmBC3E) and FAQ (http://bit.ly/1I5umYT)
- Sherpa/FACT accuracy testing: findings and announcement from key stakeholders (http://bit.ly/1H2HJHD)
- Open access in the next Research Excellence Framework: policy adjustments and qualifications (http://bit.ly/1N3n6Pf)
Ensure your repository has the technical capacity to make reporting and harvesting of metadata easier

Why would you do this?

» A standard way of recording information relevant to compliance with OA policies, from REF, RCUK and the EC, makes the management and reporting burden easier. RIOXX has been developed with those funders to enable this process for UK institutions, and can now be implemented in most repositories and many CRISs

» Standard metadata also makes research papers and research data easier to discover, and so it increases its visibility and potential reach

» OA content is most visible and usable when aggregated. This also offers the potential for analytic services, e.g. policy compliance tools. CORE is the UK OA aggregation service, and supports such tools, for example, passing UK RIOXX records to the EC OpenAIRE service, making UK Horizon 2020 research projects compliant with the EC OA policy

How much effort is it?

» Technically straightforward to implement the RIOXX metadata profile in most repositories and in some research information systems, though some platform versions and local customisations might require some additional work and systems updates

» Changing workflows to provide the information needed by RIOXX takes more effort, but it will be needed in some form to prepare for reporting on OA policy compliance

» Apart from RIOXX, it is technically straightforward to ensure correct harvesting by CORE, requiring some technical configuration of the repository / CRIS

Where to get more information and support

» Jisc technical support for repositories (http://bit.ly/1gDmjYR)

» RIOXX website (http://rioxx.net) and guidelines (http://rioxx.net/guidelines)


» University of Huddersfield/ University of Hull/ University of Lincoln - Jisc OA Good Practice pathfinder project: RIOXX review (http://bit.ly/1M7CvOa)

» CORE guidance on harvesting (http://bit.ly/1K96iE0)
Record details of all paid APCs in a standard format to aid reporting and analysis

Why would you do this?

» Recording APC data enables the institution to account to funders for this expenditure. This is also vital information where APC payments are offset against subscriptions in agreements with publishers, directly saving money for institutions.

» APC data has to be reported to several funders, including RCUK, the Wellcome Trust and other medical charities. Jisc has worked with them to develop a single agreed format for this reporting. This, therefore, reduces the administrative burden for institutions.

How much effort is it?

» In principle using a single format is relatively straightforward, and is less cumbersome than what would be needed for many formats.

» However, ensuring that all APCs paid from an institution are recorded centrally is a significant challenge, as many APC payments may be made from departmental or project budgets. Changes might be needed in APC payment workflows, which will require discussion with academics and academic departments to raise awareness of the issues involved.

Where to get more information and support

» Collection and sharing of APC data (http://bit.ly/1KoZhlX)

» Jisc Monitor blog (http://bit.ly/1DxZ8D6)

» Jisc Monitor Local software prototype demonstration (http://bit.ly/1I5w4t7)

» Jisc OA Good Practice project - cost management resources (http://bit.ly/1E4wIIj)

» University of Bath/ University of Bristol/ University of Exeter/ Cardiff University - Jisc OA Good Practice pathfinder project: Open access reporting checklist and sample APC payment workflows for institutions (http://bit.ly/1HL3Ylb)

» Northumbria University/ University of Sunderland - Jisc OA Good Practice pathfinder project: APC Cost modelling tool (http://bit.ly/1e2aAkK)
8
Share article level APC data openly

Why would you do this?

» A new market is emerging for OA article publication. Open APC data makes this market as transparent as possible, and therefore of most benefit to customers (institutions). Institutions and authors can then benchmark the APC costs they face against those faced by others, or for other journals. There is no legal reason not to do this. Recognising the sector-wide value of this data and its potential effects on the market, Jisc Monitor is developing a UK Aggregation which will aggregate APC data from institutions.

How much effort is it?

» Providing the data is recorded, it should require a relatively low time commitment to share the data. Many institutions already share this data on Figshare.

Where to get more information and support

» Collection and sharing of APC data (http://bit.ly/1cRQZng)
» Jisc Monitor UK aggregation service (http://bit.ly/1DxZ8D6)
Implementing Open Access: some practical steps your institution can take

Why would you do this?

» To enable potential readers to access research outputs from your institution, even if they are not currently OA. This should lead to greater readership of outputs from your institution, to wider reach and potentially to increased impact

» To alert researchers to unmet demand for their papers, and so encourage them to make more of them OA

How much effort is it?

» Technically straightforward for many, but not all, repository configurations. However, researchers would need to be asked to expect and act on requests passed via the button. This might be particularly difficult for older papers recorded in the repository. It is possible that a view on legal risks might need to be taken by the institution, though these seem to be very low

Where to get more information and support

» DSpace request copy add-on documentation (http://bit.ly/1gDoWKv)
» HEFCE, Elsevier, the “copy request” button, and the future of open access (http://bit.ly/1SFq5in)

9 Implement “copy request” button in your repository
Ensure download data from your repository / CRIS is available to IRUS-UK by installing the tracker code, or ensuring that your supplier does.

**Why would you do this?**

» Being able to record download data and to view reports of these, e.g. compare them with other repositories or compare them by journal title, offers insight and demonstrates the reach of the repository and the institution’s research.

**How much effort is it?**

» Technically straightforward; most eligible institutional repositories have already taken this step. It involves adding a small piece of tracker code into the repository.

**Where to get more information and support**

How to get involved
The value of OA is becoming clearer, but there remain many routes to achieving it. A key role that institutions can play, as well as benefit from during this transitional period, is to join local, national and international discussions on OA implementation and best practice. There are many ways to do this.

**In the UK:** through the OA Good Practice community ([http://bit.ly/1snuAUZ](http://bit.ly/1snuAUZ)) and email list ([http://bit.ly/1CJc675](http://bit.ly/1CJc675)), through the relevant groups within RLUK ([rluk.ac.uk](http://rluk.ac.uk)), SCONUL ([sconul.ac.uk](http://sconul.ac.uk)) and ARMA ([arma.ac.uk](http://arma.ac.uk)), and through the UK Council of Research Repositories ([ukcorr.org](http://ukcorr.org)).

**Internationally:** OA discussions occur via email lists such as jisc-repositories and the SPARC OA Forum, through organisations such as the Confederation of OA Repositories (COAR) ([coar-repositories.org](http://coar-repositories.org)), and initiatives such as the Efficiency and Standards for Article Charges (ESAC) ([http://esac-initiative.org](http://esac-initiative.org)).

### Websites
- jisc.ac.uk/openaccess
- [http://scholarlycommunications.jiscinvolve.org/wp](http://scholarlycommunications.jiscinvolve.org/wp)
- [http://openaccess.jiscinvolve.org/wp](http://openaccess.jiscinvolve.org/wp)

### Contacts
- Neil Jacobs, Head of scholarly communications support - [neil.jacobs@jisc.ac.uk](mailto:neil.jacobs@jisc.ac.uk)
- Helen Blanchert, Subject specialist (scholarly communications) - [helen.blanchett@jisc.ac.uk](mailto:helen.blanchett@jisc.ac.uk)
- Sarah Fahmy, Open access good practice project manager - [sarah.fahmy@jisc.ac.uk](mailto:sarah.fahmy@jisc.ac.uk)
Share our vision to make the UK the most digitally advanced education and research nation in the world

jisc.ac.uk