

# Jisc final report

## [OAGP Pathfinder Projects]

Project Information			
Project Title	Open to Open Access (O2OA)		
Jisc grant reference			
Start Date	01/06/2014	End Date	31/05/2016
Lead Institution	Coventry University		
Project Manager (lead institution)	Lorna Everall Gita Devi	Contact email	l.everall@coventry.ac.uk cdu141@coventry.ac.uk
Project Manager (Jisc)	Sarah Fahmy Angela Hilton	Contact email	Sarah.Fahmy@jisc.ac.uk Angela.hilton@jisc.ac.uk
Project SRO (Jisc)	Neil Jacobs	Contact email	Neil.jacobs@jisc.ac.uk
Partner Institutions	University of Northampton, De Montfort University		
Project Web URL	<a href="http://blogs.coventry.ac.uk/researchblog/category/oa/">http://blogs.coventry.ac.uk/researchblog/category/oa/</a>		
Other social media			
Document Information			
Author(s)			
Project Role(s)			
Date			
Access	This report is for general dissemination		
Document History			
Version	Date	Comments	

# Contents

Project summary.....	3
Project aim and objectives .....	4
Project methodology .....	4
1. Reviewing the OA context .....	5
2. Researcher needs analysis .....	5
3. Current institutional OA processes, workflows and systems .....	5
4. The intervention mapping tool .....	6
5. OA at the partner institutions - actions .....	7
Project dissemination .....	11
Project events .....	11
Project outputs and outcomes .....	12
What did you learn? .....	14
Impact.....	15
Immediate impact.....	15
Future impact .....	16
Conclusions.....	17
Recommendations.....	17
General Recommendations .....	17
Recommendations for Lead & Partner Institutions.....	18
References .....	18
Appendices .....	19
Budget report .....	27

## Project summary

'Open Access' (OA) is no longer the province of an enthusiastic few but now has a leading role to play in scholarly communications. This change has in no small part been driven by an increasing expectation by research funders that the outputs they support should be made OA. By broadening access, increasing transparency and bridging the divide between research producers and users, OA plays a major role in supporting the impact agenda.

The Open to Open Access (O2OA) project aimed to develop processes, technical solutions and guidance to support university researchers in complying with institutional and funder open access mandates.

The project partners, Coventry, De Montfort and Northampton universities, are all teaching led, 'modern' universities and have an interest in increasing their research profile, but all have limited budgets with which to achieve this. The project therefore focused on ways of enabling compliance and impact without additional resource.

Beginning with a round of focus groups and interviews, the project partners sought to establish researchers' understanding and needs with respect to OA. The results evidenced a wide range of knowledge and understanding of OA matters among researchers and highlighted areas for further action.

In considering further action, the project team recognised that knowing the benefits of OA, and even the sanctions for non-compliance, might not be sufficient to persuade people to change their behaviour. The project leader, Julie Bayley, therefore proposed an intervention mapping approach, based on behaviour change theory, to enable research support staff to better understand the components of each problem and the most appropriate solutions to address these ([Bayley, 2015](#)).

The problems identified, the solutions and the lessons learned formed the basis of a shared learning log in which the three project partners were able to compare their experiences and share good practice both among themselves and more widely across the sector.

This work has underpinned changes to policy, process, workflow and guidance at the partner institutions. The Universities' new OA policies have enabled researchers to meet HEFCE's and other funders' OA requirements even without additional funding. Repository workflows have been fine-tuned to support the new policies and researchers are now aware of how they may reap the benefits of OA at all stages of the research lifecycle.

## Project aim and objectives

The overall aim of the project was to establish shared institutional processes for enabling and promoting open access data, publications and associated information management processes (e.g. standardised protocols), which would benefit all partners within the project consortium as well as the wider Higher Education (HE) sector. In doing this we aimed to embed a culture of open access which reflected the growing landscape of scholarly esteem and impact requirements.

**Note on change of project scope:** During the course of the project and reflecting the OAGP programme's priorities, the decision was made to focus attention on OA to publications rather than data.

The revised **objectives** were therefore as follows:

- To identify the OA needs of academics, information managers, research support staff, corporate leads and external funders.
- To understand the perceived and actual relationships between OA publications, OA compliance and impact to inform system modifications and processes.
- To translate these needs into associated workflows.
- To test and subsequently review the relevant technical modifications to existing systems within each institution.
- To embed a pro-OA culture using behaviour-change informed approaches to engage academics with the technical solution.
- To strategically and practically align recommendations and workflows to funders' and institutional mandates.
- To disseminate this learning across the HE sector.

## Project methodology

The project comprised a series of overlapping and inter-dependent activities:

1. Desk research exercise: reviewing the context of OA
2. Needs analysis: establish researcher views on OA to publications and data
3. Analysis of current institutional OA processes, workflows and systems
4. Design and implementation of the behaviour change based intervention mapping tool
5. Actions arising from the use of the intervention mapping tool (relating to policy, process, workflow, advocacy and systems)
6. Dissemination of project findings and outputs across the sector

## 1. Reviewing the OA context

The O2OA project team comprised representatives from a Research Office, repositories, libraries and a Research Institute, each with a different understanding of OA. Our starting point was therefore to build team knowledge of the current context of OA. We conducted a desk research exercise to establish the position of funders, publishers and other organisations regarding OA. This work was reported as part of our [Needs Assessment Summary](#).

Of particular significance to the project was HEFCE's OA policy for the next REF. HEFCE's announcement that "journal articles and conference proceedings must be available in an open-access form to be eligible for the next REF" ([HEFCE](#), 2015) has been a major driver for engagement with OA at all three institutions.

## 2. Researcher needs analysis

All three institutions sought to establish the views, attitudes and needs of their own researchers with respect to OA. A focus group schedule (see appendix 1 & 2 for further detail) was devised and then used by all project partners. Questions covered the drivers of OA, publishing routes, perceived benefits and deterrents, and the institutional mechanisms and support available to researchers.

Three focus groups were convened at the University of Northampton. These involved a total of 24 researchers from a range of disciplines and a variety of career stages. One research manager also contributed to the discussion. Participants demonstrated widely differing knowledge and understanding of OA, with some extremely well-informed of the principle and practice of OA and others coming new to both research and OA. This highlighted the need for a flexible approach when promoting and supporting OA.

Six interviews were conducted at Coventry University with senior academics (research and strategic leads). All participants demonstrated some knowledge and understanding of OA and appreciated its importance even if they were unsure of all aspects of the OA agenda. Emphasis on the need for clear guidance, strategies and workflows across the institution highlighted the need for an approach to support that involved key areas of professional services.

De Montfort University reviewed an open access questionnaire that had been responded to by 93 researchers. Most respondents had heard about open access but there was less clarity on how it affected them and what they needed to do. There was a clear need for improved guidance and support for researchers.

The O2OA [Needs Assessment Summary](#) describes the findings of this work.

## 3. Current institutional OA processes, workflows and systems

The three partner institutions shared the same wish to develop services to support research and to do so at a relatively low cost. However, we differed with respect to our existing systems, processes and workflows. For example, each university used different software for their repository and had different priorities for service development. For example, at the start of the project Coventry University was looking at developing their

[OAGP Pathfinder Projects]

services for research data management, De Montfort University was about to implement a new Current Research Information system (CRIS) and The University of Northampton was considering how best to facilitate compliance with HEFCE's OA policy for research publications.

We therefore undertook an exercise to map and compare our OA workflows and processes with a view to compiling a [shared learning log](#).

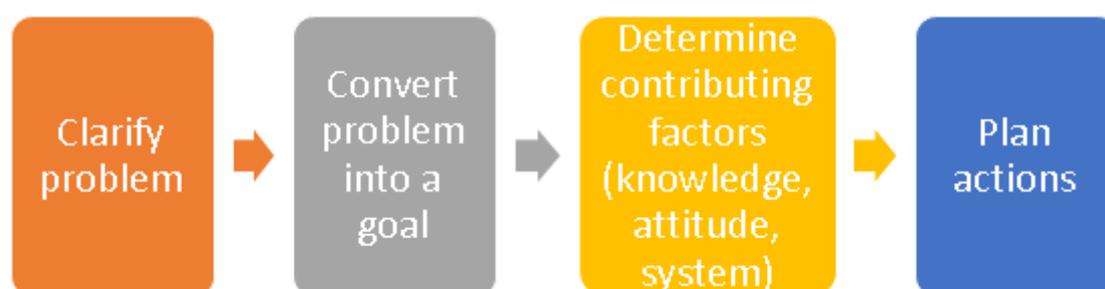
The shared learning was mapped against the steps outlined in the JISC "[Implementing Open Access: some practical steps your institution can take](#)" report. This helped the partners to identify the most important themes and possible approaches other universities could take to address them.

## 4. The intervention mapping tool

Subsequently, armed with the findings of the researcher needs analysis and institutional OA workflow mapping, we wanted to understand how we could most effectively engage with stakeholders to embed a culture of OA.

Behaviour change theory provides insight into how and why people act the way they do. From it we learn that researchers' compliance with OA mandates depends not only on their knowledge of funders' requirements, but also on their attitudes, habits, perceptions, readiness to engage with OA and so forth. The [O2OA intervention mapping \(IM\) tool](#) was developed by Julie Bayley (2015), from the work of Bartholomew et al. (2011). This intervention mapping tool built on a six-step, iterative framework guiding the development of complex interventions.

The team utilised this approach to address the challenges of OA compliance. Beginning with a needs assessment, input from users, experts and the wider literature was combined to determine the determinants of behaviour and the target goal. This information was then converted into a series of attitudinal, skills-based and practical goals, which were then combined into interventions to improve the likelihood of action. The key steps to this approach are shown in the figure below.



**Figure 1: Simplified Intervention Mapping Approach**

Each institution used the intervention mapping tool to identify local issues in relation to the implementation of open access and allowed them to develop a problem-to-action conversion map, using the table shown below.

Problem	Goal (positive phrase)	GOALS OF CHANGE			ACTIONS
		<i>Knowledge</i>	<i>Attitude</i>	<i>System / process</i>	
	A positive, discrete achievable goal. This is the positive state you want to have achieved	Is there a gap in knowledge that's contributing to the problem? Whose lack of knowledge? If so what do people need to know?	Is it an opinion, belief or view on what others do which is influencing behaviour? Whose attitude? If so, what attitudes to people need to hold to address this?	Is there something technical, practical or organisational contributing to the problem? What is needed to enable people to act well?	What changes are needed to solve the problem? Plan your actions. Consider approaches, techniques or strategies to achieve the goals

## 5. OA at the partner institutions - actions

### University of Northampton

Using the OA intervention mapping tool at Northampton we generated a list of 17 compliance 'problems'. For each problem we identified a positive goal and carefully considered the practical and behavioural barriers we needed to overcome. We then identified appropriate actions to achieve that goal.

An example from the University of Northampton is given below.

Problem	Goal (positive phrase)	GOALS OF CHANGE			ACTIONS
		<i>Knowledge</i>	<i>Attitude</i>	<i>System / process</i>	
	A positive, discrete achievable goal. This is the positive state you want to have achieved	Is there a gap in knowledge that's contributing to the problem? Whose lack of knowledge? If so what do people need to know?	Is it an opinion, belief or view on what others do which is influencing behaviour? Whose attitude? If so, what attitudes to people need to hold to address this?	Is there something technical, practical or organisational contributing to the problem? What is needed to enable people to act well?	What changes are needed to solve the problem? Plan your actions. Consider approaches, techniques or strategies to achieve the goals
No University funding available for the payment of Article Processing Charges (APCs).	Researchers comply with OA requirements through a mix of Gold and Green routes.	<p>Researchers to understand Gold vs. Green routes.</p> <p>Researchers to understand Green is still REF compliant.</p> <p>Researchers to know University process for payment of APCs.</p>	<p>Researchers to understand that Gold OA does not always require funding.</p> <p>Researchers to view Green as acceptable.</p>	Clear decision process for publishing via Gold and Green routes, incorporating any institutional APC deals available.	<p><i>Changing norm:</i> University Research and Enterprise Committee to recommend policy of green OA.</p> <p><i>Communication:</i> post on Research Support Hub; cascade through research leaders and School NECTAR Ambassadors.</p> <p><i>Process:</i> Library staff to be contacted by any researcher considering paying for Gold OA (in case a deal is available).</p>

It soon became apparent that the actions arising from the IM process fell naturally into five categories: changing norms; communication; systems; researcher support and process. This enabled us to collate the actions for the 17 problems/goals into category action plans, highlighting areas where we could pursue multiple goals concurrently. For example, within the category of 'changing norms' we identified the following actions (numbers refer to the goals they address):

- Create [University OA policy](#); research leaders to support and lead by example (#1, #10).
- University Research and Enterprise Committee to recommend policy of green OA (#13) .

[OAGP Pathfinder Projects]

- Clear institutional message from University and research leadership on “act on acceptance” as University policy (#6)...
- ... and importance of sending updated details on publication (#7).
- Senior managers and research leaders expect all research outputs to be deposited in NECTAR, monitored during performance review (#8).
- UoA leaders to take responsibility for monitoring compliance with and exceptions to HEFCE REF policy - seek support from Director of Research and Research and Enterprise Committee (#11).
- University Research and Enterprise Committee to recommend use of ORCID IDs (#15).

Thus the action plan for this category included seeking approval and support from the University Research and Enterprise Committee for an open access policy (goal 1), adoption of ORCID IDs (goal 15) and an ‘Act on Acceptance’ campaign (goal 6) . We combined these into a single paper and successfully presented it to the committee.

We followed the same model for each of the other categories of action and in this way attempted to devise a programme of activity that efficiently and effectively embedded OA compliance within the research community.

### Coventry University

At Coventry University we also used the OA Intervention Mapping Tool to identify 18 compliance ‘problems’. As at Northampton, these were then converted into positive goals and appropriate actions identified to overcome practical and behavioural barriers. Where possible we tried to align the actions identified with the work of other university research support units in order to provide a coordinated approach to support OA compliance.

Following significant investment to support the University Research Strategy – Excellence with Impact, the Research Excellence unit planned to undertake a REF2020 preparation exercise in order to establish how the developing research culture was progressing. This provided the perfect opportunity to align advocacy for OA compliance with other research support activities and agendas such as the adoption of ORCID IDs. It enabled us to take advantage of existing mechanisms for communication and support and to deliver our message as part of a holistic and coherent vision of requirements and support for research at Coventry. In doing so, we were able to address multiple goals concurrently.

We also applied the mapping tool to the Research Data Management (RDM) agenda, in order to understand how we can best develop support services to assist researchers in engaging and complying with funder requirements for RDM and open data.

As with OA, increasing our understanding of how people approach RDM and why people vary in their behaviour has helped us to develop a stronger institutional approach regarding RDM support. Eighteen compliance barriers were identified with regard to RDM. The process of converting these ‘problems’ into positive goals allowed us to consider what actions were needed to enable change; defining where appropriate the *changing norm* that will support the process of change together with the underlying strategies (systems, communication, support)

[OAGP Pathfinder Projects]

required to deliver and influence change. The example given below highlights a perceived RDM problem at Coventry University, and identified the actions suggested to overcome and influence behaviour change.

#	Problem	Goal (positive phrase) A positive, discrete achievable goal. This is the positive state you want to have achieved	GOALS OF CHANGE			ACTIONS What changes are needed to solve the problem? Plan your actions. Consider approaches, techniques or strategies to achieve the goals
			Knowledge Is there a gap in knowledge that's contributing to the problem? Whose lack of knowledge? If so what do people need to know?	Attitude Is it an opinion, belief or view on what others do which is influencing behaviour? Whose attitude? If so, what attitudes to people need to hold to address this?	System / process Is there something technical, practical or organisational contributing to the problem? What is needed to enable people to act well?	
8.	Researchers feel they have no time to create a DMP	Researchers view creation of DMPs as part of their day-to-day research management activities.	Researchers understand that DMPs are a required addition of funding applications for the majority of funders.	Researchers view creation of DMPs during day-to-day research management activities, as the norm.	DMP training and awareness raising activities for all researchers.	<p><b>Changing norm:</b> Clear institutional message from University and research leadership that "RDM and DMP creation are part of the day-to-day research management activity".</p> <p><b>Communication:</b> Promote DMP support services and expertise via appropriate channels (see #1).</p> <p><b>Support:</b> DMP guidance; training (pre-arranged and drop-ins); one-to-ones.</p> <p><b>System:</b> Add link to <a href="#">DMPonline</a> from repository and research web pages on staff intranet.</p>

## De Montfort University

At De Montfort University (DMU) we used the OA Intervention Mapping Tool to review the progress that we have made in addressing OA compliance issues. During the course of the project the DMU Research Office appointed a REF OA and Research Data Officer whose role is to coordinate OA and research data activity. The officer, along with the library, created a plan for OA implementation. The plan involved a policy and process review and an advocacy plan. A survey was also carried out to find out the current OA awareness amongst researchers and support staff. Six months after implementing the plan another survey was conducted to find out how successful the plan had been.

Information from the two surveys was used to complete the OA Intervention Mapping Tool. This highlighted a number of areas where our plan had been successful but also showed areas where we need to improve or revise our current practices. These included reorganising training for researchers, targeted training for research support staff, creating policies for a new Gold OA fund and improving information on the DMU Open Access web pages.

The mapping tool enabled DMU to look at the challenges of Open Access from a different angle. Changing problems into positive outcomes to aim for has helped DMU library and Research Office become more proactive in implementing OA.

[OAGP Pathfinder Projects]

The University is going to use the intervention mapping tool to help shape DMU's Research Data Management plan. Having already used it for Open Access we are confident that the same approach for RDM will enable us to create a successful plan.

Problem	Goal (positive phrase)	GOALS OF CHANGE			ACTIONS
		<i>Knowledge</i>	<i>Attitude</i>	<i>System / process</i>	
RIO's and academics not considering Open Access when planning bids	Academics and RBI to consider all aspects of Open Access when making funding applications	Staff to know what Open Access requirements their funder requires.	Rio's and academics see OA as normal part of the process when bidding for funds.	RIO's to discuss OA when assisting with any bid.	Engage academics in discussions about OA using the research lifecycle.  Library to train RIO's about OA and when it needs to be considered during the application process.

## Project dissemination

During the course of the project the team have disseminated our work by means of conference presentations, posters and blog posts. For full details please see the following section, project outputs and outcomes. In addition, key outputs have been shared with the sector via the [O2OA project blog](#).

### Project events

In addition, the O2OA project has co-hosted two events in conjunction with another Pathfinder project ('Making Sense - a researcher centred approach to funding mandates'). The first, '[Uncovering researcher behaviours and engagement with Open Access](#)' was held on 20 May 2015 at Oxford Brookes University and the second, the '[OA Good Practice Advocacy Event](#)', was held on 9 June 2016 at the University of Northampton. The latter was one of five themed events coordinated by the Jisc and showcasing the work of the OAGP Pathfinder projects.

The project also contributed to the Open Access Good Practice event for colleagues in Northern Ireland (held at Queen's University Belfast, 26 July 2016).

## Project outputs and outcomes

### Presentations and posters

Bayley, J., Cope, A., Everall, L. and Pickton, M. (2014) [Open to Open Access: an OA Good Practice Pathfinder project](#). Presented to: *Repository Fringe 2014, Informatics Forum, University of Edinburgh, 30-31 July 2014*.

Cope, A. (2014) Project Update. Presented to: *OAGP Programme meeting, University of Edinburgh 12 December 2014*

Pickton, M. (2015) [Open Access and the research lifecycle: a guide for researchers](#). Presented to: *Uncovering researcher behaviours and engagement with Open Access, Oxford Brookes University, 20 May 2015*.

Bayley, J. (2015) Open to Open Access (O2OA). Presented to: *Uncovering researcher behaviours and engagement with Open Access, Oxford Brookes University, 20 May 2015*.

Everall, L., Bayley, J., Marsh, J., Pickton, M., Jones, K., Dimmock, N., and Cope, A. (2016) [Open to Open Access \(O2OA\) - Using Intervention Logic to Support Drives for Change](#). Presented to: *Association of Research Managers and Administrators (ARMA), Birmingham, 6-8 June 2016*

Pickton, M., Bayley, J., Marsh, J., Cope, A. and Everall, L. (2016) [Compliance with funder OA mandates: use of an Intervention Mapping approach to achieve behaviour change](#). Poster presented to: *Open Repositories 2016 (OR2016), Dublin, Eire, 13-16 June 2016*.

Pickton, M. (2016) [Supporting compliance with open access mandates: the O2OA project](#). Presented to: *Research Active: Library and Learning Services Conference 2016, University of Northampton, 5 July 2016*.

Pickton, M. (2016) OA advocacy in the context of HEFCE and other funders' requirements. Presented to: *Open Access Good Practice Event, Queen's University, Belfast, 26 July 2016*.

O2OA posts on the University of Northampton's [Research Support Hub](#)

Output / Outcome Type	Brief Description and URLs (where applicable)
Tool	<a href="#">Intervention mapping tool</a>
Guidance	' <a href="#">OA and the research lifecycle</a> ' flowchart and <a href="#">daily posts for Open Access Week 2015</a> .
Guidance	' <a href="#">Act on Acceptance</a> ' promotion and leaflet.

## [OAGP Pathfinder Projects]

Project report	Jisc Interim report: December 2015 OA Good Practice Pathfinder for Open to Open Access (O2OA)
Project report	Shared learning log
Advocacy	Coventry's REF 2020 Preparation Exercise
Advocacy	Tailored presentations to, and conversations with, institutional research committees, groups and individuals, promoting OA and compliance with funder and institutional mandates.
Advocacy	Common themes and Shared learning table
Advocacy	Open Access Intervention planning and mapping tool
Advocacy	Open Access and Research lifecycle flowchart (Northampton)
Advocacy	Open Access Poster (Coventry)
Advocacy	Open Access Poster for Open Repositories 2016
Advocacy	Open Access Poster for ARMA 2016
Advocacy	Act on Acceptance Leaflet (Coventry University)
Advocacy	Act on Acceptance Leaflet (Coventry University)
Advocacy	Act on Acceptance Leaflet (Northampton)
Advocacy	REF Open Access flowchart

## What did you learn?

The development of the intervention mapping tool provided all three partners with a mechanism to identify, plan and review advocacy strategies to address OA compliance issues. The understanding of the views, attitudes and needs of researchers gained through the Needs Analysis exercise was essential to this as it enabled each of the partners to identify barriers and issues that prevented researcher engagement with OA. The Needs Analysis was undertaken at the start of the project as one of the first steps in establishing barriers to compliance. However, the exercise took place over the summer, and this presented problems in terms of availability for participation by researchers. At Coventry University the decision was made to conduct interviews rather than a focus group as we struggled to find a convenient time to bring participants together. Although conducting interviews provided more flexibility with each respondent, we still only managed to conduct six interviews within the time frame available for this part of the project.

During year two of the project a [shared learning log](#) was created to record the experiences of the three project partners. The shared learning log allowed the project partners to identify areas of commonality and in some cases, consider the different solutions that had been applied to the issues recorded at the different institutions, through the sharing of practice and experience. Though we all have different system and processes in place to support OA, the ability to discuss issues, concerns, strategies for advocacy etc., and learn from each other has been invaluable.

From previous experience and responses received through the [Needs Analysis](#), we were aware of the importance and value of working with researchers and other professional services groups to deliver the OA message. At DMU, the move to a CRIS system was seen as a positive factor which would provide a vehicle for OA advocacy. However, issues with the implementation of the CRIS system lead to delays which mean that this could not be used as a means to push the OA message. The issues with the CRIS meant that the full roll out of the OA message was continually delayed. It also led to confusion as the promised CRIS system was promoted as a way to improve the submission experience but it never appeared. Eventually the old submission process had to be modified to fit the new REF requirements. This meant that some of the momentum that would have come from introducing a new submission system was lost.

At Coventry University the development of a new University Research Strategy and significant investment in research provided opportunities for the Library and the Research Excellence Unit to work more closely on addressing the OA agenda. The planned REF2020 preparation exercise not only provided the REU with a valuable mechanism to assess the development of the research culture at CU, but also provided a mechanism for advocacy with regard to the HEFCE policy regarding OA.

The exercise was run across the university and enabled us to deliver our advocacy and training sessions as part of support for research at a point when researchers needed the information and were receptive to engaging with the OA agenda. Deposit in CURVE (the University repository) was required for publications identified through this exercise and during the 8 week period until the submission deadline, we saw 1017 research outputs deposited. This is significantly more than we would normally expect. The support of senior researchers as well as senior

[OAGP Pathfinder Projects]

research support staff was essential in encouraging researcher engagement in this exercise. Research leads across the institution endorsed the OA message and provided opportunities to present to their staff.

## Impact

### Immediate impact

All of the institutions involved in O2OA had existing open access agendas prior to the commencement of the programme. However, the project has provided immediate impact on a number of different levels.

From a networking and support perspective, strong relationships have developed both within the project consortium and within the wider OAGP community. This has enabled a supportive peer-to-peer network to develop to provide input and insight into how the OA agenda is being managed at other institutions.

In addition the project has enabled a more structured approach to OA engagement and implementation to be identified, with a number of tools established (see project outputs and outcomes); for example the intervention mapping tool. This has allowed the project partners to take a more process-driven approach and ultimately provided a more structured implementation, which did not exist before the start of the project.

This more formulaic approach to implementation and engagement has allowed the processes, results and shared learnings to be more clearly articulated to stakeholders, including senior managers across the institutions.

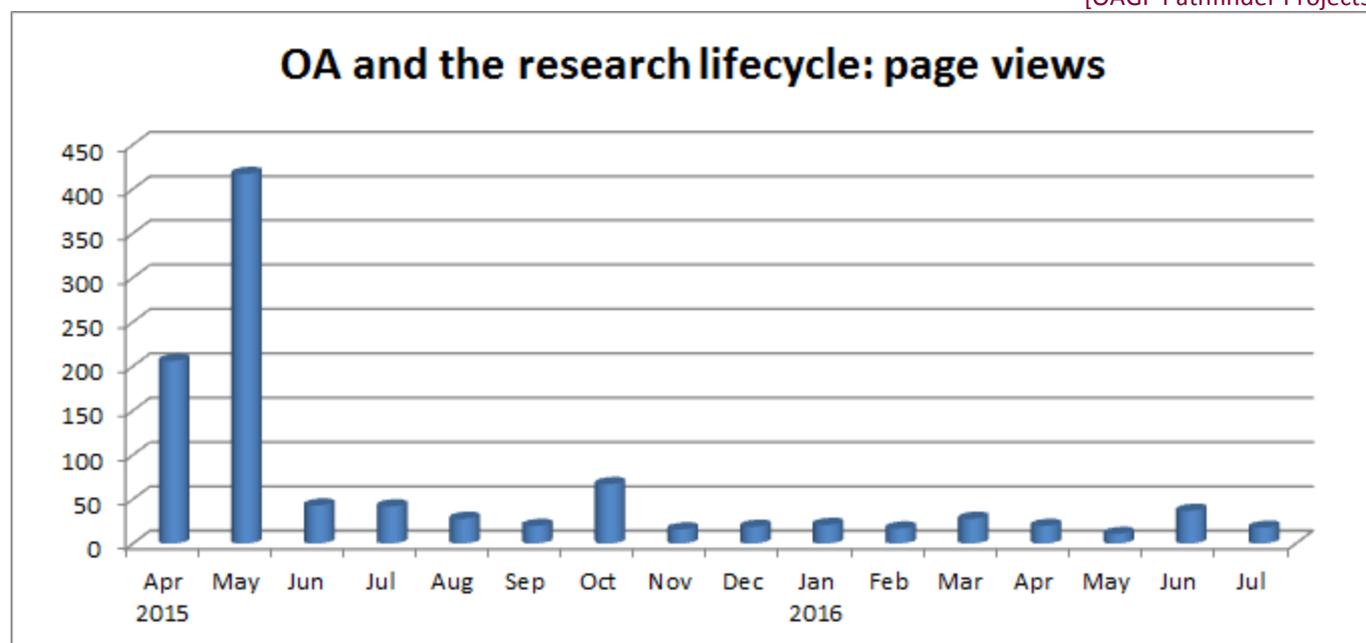
#### **Impact case study: Open access and the research lifecycle: a guide for researchers**

This guide, produced by the O2OA project, was originally disseminated on Northampton's [Research Support Hub](#) on 23rd April 2015. It was promoted further by the Jisc OAGP blog ([here](#) and [here](#)) and Edinburgh Napier's '[Open Access](#)' blog.

The blog post was retweeted or favourited by colleagues in the UK, Spain, Austria, Germany, Switzerland, the Netherlands, Canada, USA, New Zealand and Australia.

To date (25th July 2016) there have been 1010 page views of the guide. As would be expected, most of these were within the first two months of posting, however the page has seen a steady flow of visitors since then (see chart below).

[OAGP Pathfinder Projects]



The guide was followed up by a [series of posts](#) which elaborated on each of the steps in the lifecycle but these have not been so frequently viewed.

All three project partners have made use of adapted versions of the research lifecycle guide; additionally, [Bournemouth](#) has notified us that they have reused it.

We have used it here as part of our advocacy at Northampton and it has gone down well. We use it to emphasise the benefits of OA to researchers (e.g. as consumers of OA materials) rather than just focusing on OA compliance. Relating it to how they work is all about making it relevant (and timely) to them.

One Early Career Researcher at Northampton told us:

“A million thank yous for this guide! It is a blessing for ECRs like me ... I have printed this out and actually have it right next to my desk”

This guide has been used both at De Montfort and Coventry with various groups of researchers, including PhD students, early and mid career researchers. Response has always been positive and attendees at workshops, information sessions and poster stands, have always taken copies of the leaflet and have commented on the perceived usefulness. However, to date we have no firm evidence regarding how they have actually made use of this guide.

## Future impact

It is difficult to describe the future impact this project is likely to have. The outputs that have been developed for use by researchers, librarians and other research support staff. The intervention mapping tool, in particular is not limited to use regarding OA compliance. At Coventry University we have already used this to consider Research

[OAGP Pathfinder Projects]

Data Management support and advocacy planning, and De Montfort University is also planning to use the tool in this way. However, it could also be applied to other areas outside of this.

At Coventry University we would also like to revisit the OA compliance agenda in 6 months time to help re-evaluate our advocacy strategy and determine if any of the previously identified problems and barriers have been successfully addressed. Though this work will be dependent on the resource available for this exercise.

## Conclusions

All three project partners have reaped the rewards that generally come from participating in a Jisc-funded project: the mutual support from project partners; the networking opportunities with other projects; the credibility attached to winning funding (always an advantage when dealing with university researchers); and the sense of contributing to a bigger picture.

Although it is difficult to disentangle the work and impact of the O2OA project from the broader open access agenda at each institution, it is certainly true that engagement has been stronger and our own efforts greater as a result of the project. As a result we find ourselves in a much better position with respect to our institutional knowledge and understanding of OA and funders' requirements than we would otherwise have achieved.

## Recommendations

### General Recommendations

- Key stakeholder buy-in is essential. This supports your message and adds weight to the requirement for others to engage.
- Where possible, work with the Research Office and other key research support services. They will have established contacts and routes into departments/faculties and because of this their support will endorse your message.
- Find out who provided admin support within each department/faculty. They will be able to help you identify relevant advocacy opportunities such as Research Symposiums, internal conferences. If they know what support you provide, they will also be able to direct staff to your service when they are asked about OA.
- Use the intervention mapping tool. This will help develop a coherent approach to OA advocacy by helping you to consider all potential issues and barriers. Reframing these issues into positive goals allows you to develop a more positive advocacy message to encourage behaviour change.

## Recommendations for Lead & Partner Institutions

- To continue to use the intervention mapping tool to monitor and re-evaluate our advocacy strategy to determine if any of the previously identified problems and barriers have been successfully addressed.
- At DMU - use the intervention mapping tool to identify issues and strategies to support Research Data Management activity.

## References

Bartholomew, L. K., Parcel, G. S., Kok, G., & Gottlieb, N. H. (2011) *Planning health promotion programs: an intervention mapping approach*. San Francisco, California: Jossey-Bass.

HEFCE (2015), *Open Access Research* [online]. Available from <http://www.hefce.ac.uk/rsrch/oa/> [accessed 24/07/2015].

Bayley, J. (2015) *Strengthening OA practice: Using intervention logic to support drives for change* [online]. Available from: <http://blogs.coventry.ac.uk/researchblog/wp-content/uploads/sites/5/2015/10/O2OA-Intervention-mapping-output-Oct-15.pdf> [accessed 27/01/16].

# Appendices

## Appendix 1

### FOCUS GROUP AIDE MEMOIR / QUESTIONS FACILITATOR VERSION

#### NOTES TO FACILITATOR:

This semi structured schedule / aide memoir is to support discussions with participants on the topic of their approach to OA publishing and data. Most of the questions are deliberately phrased with a future perspective (e.g. “what are the main reasons you *would* publish...”) as the aim of the project is to establish how to improve (change) the OA situation institutionally. Past OA behaviour however undoubtedly guides future activity, so you may wish to prompt participants accordingly.

It is highly possible participants will refer / allude to information which answers a different question. The schedule offers a framework for discussion but does not need to be followed verbatim if this disrupts the flow of conversation. If a later question begins to be answered, the facilitator can judge if it is better to jump ahead accordingly. It is very advisable to not jump between publications and data if possible to differentiate between views on each.

Prompts are offered to help the facilitator generate / maintain discussion but do not need to be used if the conversation flows sufficiently. Facilitators are advised to familiarise themselves with the schedule to accommodate answers accordingly (ie. not have to repeat the item later). The schedule covers a broad range of issues and

The schedule includes items which reflect decision making, help seeking and confidence to choose paths. Analysis of the transcripts will identify facilitators and barriers to OA publishing/data and inform subsequent workflows.

#### Introduction

Introduce the project and yourself, using the Focus Group briefing sheet. Explain that the goal is not to discuss OA in general but to consider how the university can best support academics to engage with OA more effectively.

Results of the study will inform a needs assessment report which will underpin a series of recommendations for internal guidance and processes.

All responses are anonymous and confidential. No individuals will be identified in the final report.

## Section 1: OA Publishing

### 1) What do you think are the main drivers for Open Access publishing in your university?

- o *Prompts: REF? Funders? Impact? Something else?*

### 2) What do you know about the Open Access publishing routes for academics?

- o *Prompts:*

- § *Do you know the difference between Gold and Green routes?*

- § *Do you understand the role of an institutional repository?*

### 3) What are the main reasons you would publish via an OA route?

- o *Prompts:*

- § *What has made you publish via OA in the past?*

- § *What drives you now?*

- § *Are you currently subject to OA requirements from your funders? / Are you aware of what these are?*

- § *If yes, how are you currently complying with these?*

### 4) What would be your reservations, if any, about publishing via an OA route?

- o *Prompts:*

- § *What have been your concerns in the past? Have they stopped you from publishing?*

- § *What concerns you now?*

- § *How can these be overcome?*

### 5) What do you know about OA publishing services and support at this institution?

- o *Prompts:*

§ *Have you accessed these?*

§ *What was your experience like?*

**6) Overall do you feel you know enough about OA publishing process to confidently choose the best route for you?**

o *Prompts:*

§ *How would you choose which route was best for you?*

§ *What would help you decide?*

§ *What university support would you seek if any?*

## Section 2: Open Access Data

**7) What do you know about Open Access data requirements?**

o *Prompts: REF? Funders? Impact? Something else?*

**8) What do you think are the drivers for Open Access data?**

o *Prompts: REF? Funders? Impact? Something else?*

**9) What are the main reasons you would make your data Open Access?**

o *Prompts:*

§ *Have you made your data available in the past?*

§ *What drives you now?*

§ *Are you currently subject to OA requirements from your funders? / Are you aware of what these are?*

§ *If yes, how are you currently complying with these?*

**10) What are your main reservations about making your data Open Access?**

[OAGP Pathfinder Projects]

§ *What have been your concerns in the past? Have they stopped you from publishing?*

§ *What concerns you now?*

§ *How can these be overcome?*

**11) What do you know about OA data services and support at this institution?**

o *Prompts:*

§ *Have you accessed these?*

§ *What was your experience like?*

**12) Overall do you feel you know enough about OA data management to comply with the guidance from:**

o **Funders?**

o **Publishers?**

o **Your institution?**

o *Prompts:*

§ *What university support would you seek if any?*

**Section 3: Final comments**

**13) Do you have any final comments about how the university could support you in OA publishing or data?**

*Thank you for participating*

**SCHEDULE KEY**

Section 1: OA Publishing	Covers
1) What do you think are the main drivers for Open Access publishing in your university?	Perceived motivation for OA institutionally

2) What do you know about the Open Access publishing routes for academics?	Level of knowledge and awareness of differences between routes.
3) What are the main reasons you would publish via an OA route?	Individual motivation, enablers and reinforcing factors
4) What would be your reservations, if any, about publishing via an OA route?	Individual disincentive, barriers, negative attitudes
5) What do you know about OA publishing services and support at this institution?	Existing knowledge / awareness / use of institutional support
6) Overall do you feel you know enough about OA publishing process to confidently choose the best route for you?	Self efficacy / confidence, help seeking behaviour
<b>Section 2: Open Access Data</b>	
7) What do you know about Open Access data?	Level of knowledge and awareness about OA data nature / requirements
8) What do you think are the drivers for Open Access data?	Perceived motivation for OA data institutionally
9) What are the main reasons you would make your data Open Access?	Individual motivation, enablers and reinforcing factors
10) What are your main reservations about making your data Open Access?	Individual disincentive, barriers, negative attitudes
11) What do you know about OA data services and support at this institution?	Existing knowledge / awareness / use of institutional support
12) Overall do you feel you know enough about	Self efficacy / confidence, help seeking

[OAGP Pathfinder Projects]

<p>OA data management to comply with the guidance from?</p> <ul style="list-style-type: none"> <li>· Funders?</li> <li>· Publishers?</li> <li>· Your institution?</li> </ul>	<p>behaviour</p>
<p><b>Section 3: Final comments</b></p>	
<p>13) Do you have any final comments about how the university could support you in OA publishing or data?</p>	<p>Capture guidance / workflows / further motivators not indicated elsewhere</p>

## Appendix 2

### Open to Open Access (O2OA) Focus Group schedule

#### Section 1: OA Publishing

- 1) What do you think are the main drivers for Open Access publishing in your university?
- 2) What do you know about the Open Access publishing routes for academics?
- 3) What are the main reasons you would publish via an OA route?
- 4) What would be your reservations, if any, about publishing via an OA route?
- 5) What do you know about OA publishing services and support at this institution?
- 6) Overall do you feel you know enough about OA publishing process to confidently choose the best route for you?

#### Section 2: Open Access Data

- 7) What do you know about Open Access data requirements?
- 8) What do you think are the drivers for Open Access data?
- 9) What are the main reasons you would make your data Open Access?

10) What are your main reservations about making your data Open Access?

11) What do you know about OA data services and support at this institution?

12) Overall do you feel you know enough about OA data management to comply with the guidance from:

- o Funders?
- o Publishers?
- o Your institution?

### **Section 3: Final comments**

13) Do you have any final comments about how the university could support you in OA publishing or data?

## Budget report

Please attach a budget report to the version that will be shared with the Jisc project manager and SRO.

Expenditure	
Staffing	10,000.02
Travel	253.00
Hospitality	423.80
Subcontracting	22,435.04
<b>Total</b>	<b>33,111.86</b>