

Jisc final report

[OAGP Pathfinder Projects]

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Project summary

Oxford Brookes University has a growing research portfolio and engagement with open access (OA). Whilst good practice in research management is often driven by research-intensive universities, it is clear that the solutions to research problems are often not suitable to those with a different research base. This project will contribute towards taking forward the application of OA in a way that can be applied across the HE sector within similar Universities. Oxford Brookes (OBU) is the lead institution working with Nottingham Trent University (NTU) and the University of Portsmouth (UoP).

The project will provide the infrastructure and processes to support researchers working within non research-intensive universities to conform to funder mandates. These institutions have a different agenda to the larger research-intensive institutions with a growing and developing, rather than a mature and stable, research base.

This project will build on OA experience by considering human behaviours and how engagement with systems and processes can be improved. It will provide the necessary support for researchers working within their specific contexts. This will be informed by a methodology inspired by the book, *'Moment of Clarity'* which employs an ethnographic approach to the understanding of the researcher and the research environment. The project outcomes will be integrated within research workflows, as opposed to being an additional burden imposed upon the researcher, and transferable across a range of institutions with a growing research profile.

This project will embed compliance with funder OA mandates within workflows of each of the project institutions. By working alongside the individual researcher it is intended that there will be an increased awareness within academic community as a whole through direct communication and engagement within their research context. OA compliance will significantly advance the embedding of OA good practice within each of the institutions both with respect to funding council requirements and to the wider issue of the HEFCE post-2014 REF requirements. Within each of the project sites there will be an increased awareness of compliance requirements and an appropriate increased support from with library and research support offices. The benefit for each institution will be the establishment of co-operative working both within and across institutions, specifically between library, research office and researchers.

There will also be benefits delivered beyond the immediate scope of the project. Community-wide benefits will follow in the form of established good practice in scoping issues, creating models, applying a methodology and implementing solutions for HEIs similar in profile to the project participants.

Project outputs and outcomes

Output / Outcome Type	Brief Description and URLs (where applicable)
Collaborative Institutional Assessment of Open Access	A framework for assessing an institution's readiness for OA. Based on the Cardio tool as used in research data management, this tool is best used in a workshop setting which brings together various

(CIAO) - baselining	stakeholders who by working and discussing together, a joint assessment can be made of where the institution is on the journey to full engagement with OA. A fully editable version is also available .http://bit.ly/1Ngdkcd
My Individual Assessment of Open access (MIAO) - baselining	A self-assessment tool for individuals to gauge their understanding of open access. A fully editable version is also available. http://bit.ly/1DsXnOa
Interviews - NTU, Questions and analysis coding	NTU conducted 50 interviews with researchers covering the broad themes of dissemination, publishing and open access. Results included here. https://radar.brookes.ac.uk/radar/items/a4199352-373a-44e2-b2f4-8177bdef1e2a/1/ Questions and coding : https://radar.brookes.ac.uk/radar/items/67242129-b94b-4d1a-be80-a355974d976c/1/
Poster adaptation and creation - UoP	Portsmouth adapted the Hefce poster and then created their own - https://radar.brookes.ac.uk/radar/items/occbdo40-7539-4e5b-aa17-52cb5f034fda/1/
Interviews – UoP	
Uncovering researcher behaviours : Joint workshop with O2OA project (Coventry, De Montfort, Northampton), 20 May 2015	See the blog post for what we did on the day and links to presentations and resources - http://sensemakingopenaccess.blogspot.co.uk/2015/05/researcher-behaviours-revealed-and.html
Talking Head video - advocacy - NTU	NTU engaged one of their senior researchers to talk about OA. This blog entry gives details of OA advocacy at NTU and links to <i>Top tips for creating a 'talking head' video</i> and <i>the interview questions</i> . http://sensemakingopenaccess.blogspot.co.uk/2016/07/oa-advocacy-at-nottingham-trent.html
Ethnographic Interviews	OBU conducted 5 ethnographical interviews. Would like to do some more. Analysis of interviews still to be done.

6 monthly project meetings Project meetings were held at each of the participating institutions. The first year was all about getting know each other and sharing knowledge and practice. The project blog records all our activities over the 2 years. <http://sensemakingopenaccess.blogspot.co.uk/>

Attending, presenting at various OA meetings, webinars A growing OA community

What did you learn?

The project got off to a good start. We all met, discussed our local situations and decided what we would like to do and could do to support the project. One of the first outputs of the project was the baselining tool, Collaborative Institutional Assessment of OA (CIAO) which we managed to produce and launch at the RLUK conference in November 2014. This was very timely as many institutions were trying to plan for the Hefce Post 2014 OA changes. JISC commissioned Rob Johnson of *Research Consulting* to carry out a review of institutional readiness for the new Hefce Post 2014 requirements which involved a number of workshops where CIAO was used to help gather evidence. So whilst OBU was concentrating on the baselining tool, NTU and UoP had decided to conduct interviews with researchers. OBU decided to postpone the ethnographical interviews until later in the first year as interviews for a research data management audit had already been conducted recently and hence wary of researcher interview fatigue.

Lessons Learnt:

- Even though we are all modern universities we all do things differently.

	 NOTTINGHAM TRENТ UNIVERSITY	 OXFORD BROOKES UNIVERSITY	 University of Portsmouth
Staffing	Library – 3 Research Support Librarians Library Research Team Manager support from 3 Metadata Librarians and the Resource Discovery & Innovation Team Manager	Academic Liaison Librarians Scholarly Comms Manager + 1 Assistant	Research Outputs Manager (based in Research Office 2 days pw) Research Outputs Officer o.6 Research Outputs Assistant

Resources	RCUK Block grant = £15,767 One-off sum of £40,000 to support OA in 2014	RCUK Block grant = £16,000, no publication fund	RCUK Block grant = £34,000, publication fund
Systems	Repository = Eprints	Repository = Equella CRIS = Converis	Repository = Eprints CRIS = Pure
Organisation	No Central Research Office but 3 College Research Support Teams	Central Research Office	Central Research Office

- Nothing stands still - changes in the OA landscape, systems and staffing means that the service you offer has to be adaptable.
- Following a project review in June 2015, it was decided that the 'Making Sense project' would continue and no changes were made to the plan apart from some changes to timescales. Highlights of year 2 were the use of pre-workshop questions by UoP to modify presentation, see blog and NTU's Talking Head as an advocacy tool. All of this is recorded in the blog.
- For OBU, we had a very successful year one, promoting CIAO within the OA community, however developments with our CRIS - Converis were not going so well so it was decided to concentrate on supporting the Converis community by assisting with the development of the CRIS and the adoption of the Hefce OA requirements. A small group of OA practitioners, all using Converis was convened. This group has met three times but adjustments to Converis are still under development and are to be implemented in a version (5.9.x) that is not currently available.
- Working with the Media Unit within learning resources at OBU meant that our outputs were graphically pleasing and professionally produced. The use of the cat for promoting CIAO, MIAO and OA Cat meant the 'Making Sense Project' had a strong identity.

In terms of risks, the pathfinder projects lost some momentum when Sarah Fahmy, Jisc Pathfinder Project manager took maternity leave from January 2016 but picked up again once Angela Hilton took over these responsibilities. Stuart Hunt, the Making Sense project director left the project in April 2016, to become Assistant Director of Libraries at Bristol University. however the risk was minimal as end of project events were already planned.

Unfortunately the work on ethnographical interviews stalled as more effort was put into CRIS development at OBU as discussed later in this report.

Impact

Immediate impact

Managing to get CIAO available very early on in the project meant that it was available and ready to be used by institutions at the right time. Interviews at NTU gave their newly formed Library Research team the opportunity to forge relationships with their researchers. As a result of the interview findings NTU formulated a more formal dissemination and researcher engagement plan that was agreed with the PVC for Research, and placed a greater emphasis on a multi-pronged approach to communication and advocacy. This in turn led to the introduction of OA drop-in sessions to supplement the more formal RDF events, and the development of new OA support materials, such as postcards and flyers, and the creation of a short case study video in conjunction with their marketing team. To try to alleviate researcher concerns around copyright and misunderstandings about the need to pay for OA, NTU increased the amount of information provided on tools such as Sherpa Romeo and on the differences between green and gold OA. In response to the request to make our systems easier to use, further improvements to the NTU institutional repository submission process were agreed and introduced in the second quarter of 2016. UoP 's approach to pre-workshop questions to adapt the sessions to meet the needs of the researchers has contributed to the impact of these sessions. At OBU, the internal situation was more difficult, Professor Alistair Fitt, the Pro VC for Research and a keen advocate of OA moved up to become OBU's VC. Having conducted 15 roadshows where he uploaded an output to the CRIS, there was now a hiatus in advocacy. Not only that having purchased Converis as our CRIS in September 2013, written a specification for OA compliance and integration with the repository (October 2014), by October 2015, nothing on OA on the system had happened. It was decided there was a need to turn attention to getting things right on the CRIS, contributing to the wider OA Converis community through chairing the Thomson Reuter's OA steering group. Being part of the OA pathfinders has allowed all the project members an opportunity to give time to OA in different ways.

Impact of the project can be evidenced by the number of visits to the project blog (<http://sensemakingopenaccess.blogspot.co.uk/>)

See Fig 1 – Making Sense Blog posts up to August 2016

and the number of times the shortened links to resources have been made:

bit.ly/1Ngdkcd link to CIAO – 437 clicks on this link
bit.ly/1DsXnOa link to MIAO – 310 clicks on this link

Future impact

CIAO can be used as an annual review tool to assess changes in institutional readiness. CIAO could be adapted to work as a framework for institutional readiness for impact. The 'Making Sense' blog will continue to be updated. It is hoped to continue looking at researcher behaviours using ethnographical techniques. Monitoring of the blog and the shortened urls will continue as evidence of impact.

Conclusions and Recommendations

As mentioned earlier in the report, being part of the Pathfinder projects has been a very useful opportunity to meet, learn and collaborate with partners and the rest of the OA community. Extra funding meant that time and resources were given to the project and OA services that would not have necessarily been forthcoming otherwise.

Do we know more about our researchers? Have we created services that fit into their work patterns?

Interviews, pre-workshop questionnaires and ethnographical interviews have all meant that we do know more about our researchers, their dissemination and publishing process and their understanding of OA.

Are researchers changing their behaviours?

Yes they are. The Hefce requirement to 'Act on Acceptance' means that once researchers understand the reasoning for this change then they are adding the author's version to the institutional/subject repository/CRIS at this time.

So researchers are changing but are the systems that we need researchers to interact with ready?

Unfortunately some of the systems are still not ready and this could be for some institutions a major setback for researcher engagement. Hefce supported by Jisc should seek to be system blind and create specifications, reporting requirements that can be applied to any system. Some systems have benefitted from the pathfinder projects (for example, at NTU further improvements to the institutional repository submission process were introduced) whereas others haven't.

The user experience (UX) is becoming a central feature in providing user-oriented services. Some UX work is emerging from studies of undergraduates such as diary keeping and observational studies however limited work has been done with researchers. The 'Making Sense' project would recommend that further work is carried out on researcher behaviours; exploring a researcher's day, their pain points, their dissemination, publishing habits and engagement with OA and using the outcomes of these studies to inform services and systems.

Networking and Training

The 9 Pathfinder projects has offered a raft of networking and training opportunities over the project period 2014-16, and it is recommended that networking continues as Scholarly Communications is a growing field within academic libraries and information management. There are a number of organisations that operate within this area eg. UKCORR, regional academic library groups but it is recommended that there is an organisation that takes on the coordination of these events perhaps to be held on a regional basis – Scotland, north of England, Midlands, South West, London, South east, Wales. The recent Northern Ireland event which covered all the OA themes seemed to be a good model. A single source, hub of information along the lines of **Research Data Network** would also be helpful.

References

1. Madsbjerg C, Rasmussen M (2014) *Moment of Clarity* . Harvard Business Press

Please also include links to any reports and studies that have been carried out and published in the project, where available.

Appendices

Include any appendixes that readers will find helpful to understand the work described or the results. For example, include a questionnaire if you conducted a survey, or technical details that support technical development carried out. A glossary of acronyms and technical terms is also helpful

Fig 1 Views of Making Sense Blogpost up to August 2016

Blog Title	Date of Publication	Views
OA Advocacy at Nottingham Trent University (NTU) including Talking Head Video	08/07/2016	49
<u>Open Access workshop toolkit and the use of pre and post workshop questionnaires for course</u>	22/01/2016	133
Designing Open Access for academics at University of Portsmouth	<u>22/01/2016</u>	183
Using semi-structured interviews to gain a better understanding of researchers' approach to (OA)	20/01/2016	141
Portsmouth University does it differently	18/12/2015	92
Taking advantage of open access week to increase engagement at Nottingham Trent University (NTU)	02/12/2015	105
Project Update September 2015	14/09/2015	76
Research Support at Nottingham Trent	10/08/2015	67

CIAO and MIAO - fully editable versions are now available	05/08/2015	130
Researcher behaviours revealed and their engagement with Open Access. What happened at the Open Access workshop on 20 May 2015, Oxford Brookes University	29/05/2015	293
Booking open: Uncovering researcher behaviours and engagement with Open Access, 20 May, Oxford Brookes University	23/03/2015	303
Making Sense: Project Update March 2015	17/03/2015	128
MIAO - My Individual Assessment of Open Access	19/02/2015	163
CIAO - Collaborative Institutional Assessment of Open access the Pilot version is published	12/11/2015	403
OA Baselineing at institutional and individual level	26/09/2014	157
Connecting and communicating with other projects	04/08/2014	84
Project Meeting no 1: Introductions and methodologies , openaccess@brookes.ac.uk	11/07/2014	88
Open Access Communicating and Collaborating	30/06/2014	52
Sensemaking and Open Access goes Public	20/06/2014	77
Making Sense - A Researcher Centred approach to funder mandates - JISC OA Pathfinder	12/06/2014	99

Cat posters used in the end of project sessions that describe the outputs of the Making Sense Project – CIAO, MIAO, OA Cat <https://radar.brookes.ac.uk/radar/items/b34a78fo-d6fo-46a5-9c69-49aa367fed9e/1/>



CIAO, MIAO and OA Cat