

Supporting compliance with open access mandates: the O2OA project

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Outline

- Introduction and context
- Researchers' views of open access
- Intervention mapping approach
- Actions, outputs and outcomes
- Where next?

Introduction

- Open to Open Access Project (O2OA)
- One of nine '[Pathfinder](#)' projects in the Jisc '[Open Access Good Practice](#)' programme
- Project partners: Coventry (project lead) and De Montfort Universities
- Project team: cross-departmental (Library, repository, research institute and research office)

O2OA project

- Purpose of the project was to develop processes and workflows to support researchers in meeting funders' open access (OA) requirements – with little or no dedicated budget
- At Northampton our particular focus was on compliance with HEFCE's OA policy for the REF

Establishing researcher views

- What do researchers understand and feel about OA?
- Addressed OA to both publications and research data:
 - Drivers; publishing routes; motivations; reservations; institutional services; confidence
- Northampton: three focus groups (Aug - Oct 2014)
 - 24 attendees, including researchers (PhD to Professor) and research managers; range of disciplines
- Coventry and DMU: interviews
- All: ongoing discussions with researchers
- Focus groups transcribed and coded using NVivo

Selected findings

- Confidence, understanding and acceptance of OA higher for publications than for data
- Varied level of knowledge and previous engagement
 - Many had a good grasp of OA principles and practice
 - Some held misconceptions about OA
 - Some keen to engage but uncertain how to do so
 - Some felt disadvantaged by lack of fund for ‘gold’ OA
 - Knowledge of services to support OA could be better

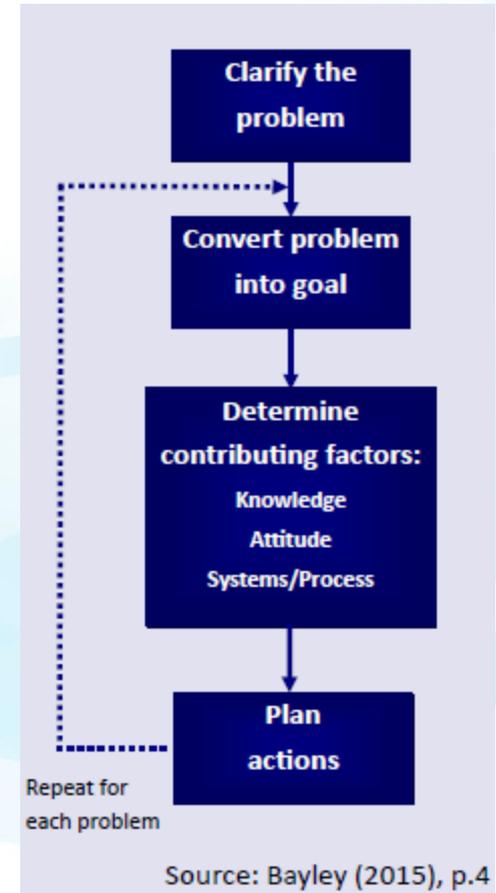
Compliance: the need for change

- [HEFCE OA policy](#) is a game-changer:
 - “to be eligible for submission to the next REF, authors’ final peer-reviewed manuscripts must have been deposited in an institutional or subject repository”
- ‘Behaviour change’ approach:
 - “Knowledge is essential but not sufficient for people to change their behaviour” Bayley (2015)
 - Look at a problem from the user’s perspective: consider attitudes, confidence, social norms, motivational readiness, habit, costs/benefits etc.

Intervention mapping tool

- Define the problem
- Convert problem into positive goal
- Establish which attitudes, knowledge and processes are inhibiting achievement of goals
- Plan actions to address these

(from Bayley (2015), based on Bartholomew (2011))



Intervention mapping: example

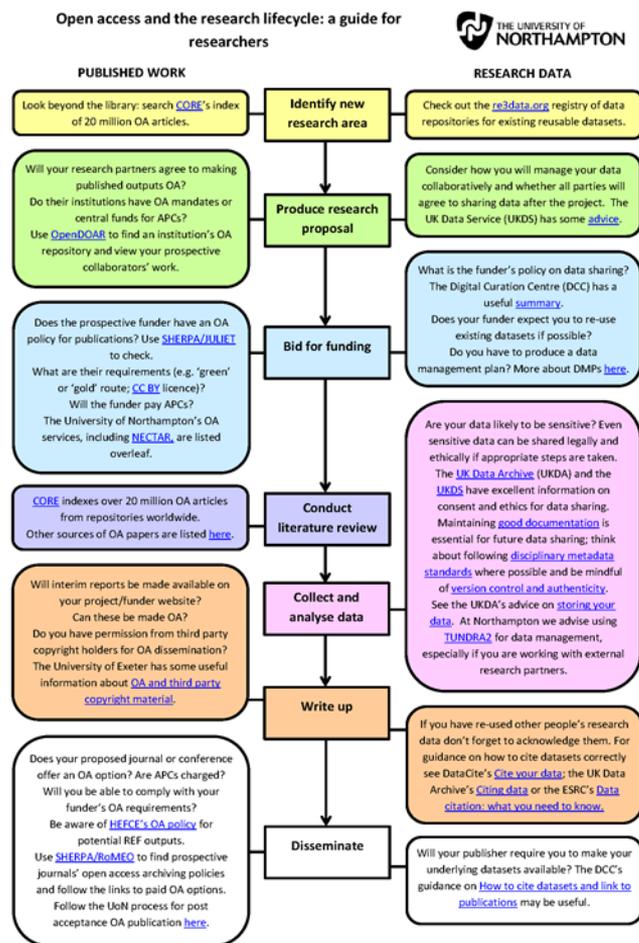
Problem	Goal (positive phrase)	GOALS OF CHANGE			ACTIONS
		<i>Knowledge</i>	<i>Attitude</i>	<i>System / process</i>	
	A positive, discrete achievable goal. This is the positive state you want to have achieved	Is there a gap in knowledge that's contributing to the problem? Whose lack of knowledge? If 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
Researchers don't keep copies of all versions of full text so sometimes are unable to deposit full text in NECTAR.	Researchers routinely keep submitted, accepted and publisher's final versions of their papers.	Researchers to know which versions of their papers should be kept and why. Researchers to know about SHERPA/RoMEO.	Researchers recognise the value of keeping multiple versions of their published papers.	Encourage researchers to deposit accepted version of the paper in NECTAR on acceptance.	Communication: promote via appropriate usual channels. Support: promote the use of RoMEO for establishing publishers' self-archiving policies. Process: NECTAR Team to verify permitted version for deposit asap and contact researcher to get it.

Intervention mapping: actions

- 17 'problems' identified
- 5 categories of action:
 - **Changing norms** - policy and consistent message, led by research leaders
 - **Communication** - between all stakeholders in variety of media
 - **Systems** - technical enhancements to NECTAR
 - **Process** - new researcher and research support workflows
 - **Researcher support** - sign-posting, training, guidance, one-to-ones

Selected outputs and outcomes

- Policy change: new [University OA policy](#) approved by Research and Enterprise Committee (Dec 2015)
- Presentations and discussions with research groups and committees
- Guidance issued e.g. [OA in the research lifecycle](#), [Act on Acceptance](#)
- New role for School NECTAR administrators
- NECTAR enhancements (REF compliance checker and RIOXX plugins)
- Dissemination: conference presentations, posters, hosted events



Open access and the research lifecycle: a guide for researchers from the [O2OA project](#) is licensed under [CC BY 4.0](#). Ver 1.0

Where next?

- More of the same. Continue to:
 - Respond to researcher needs
 - Engage with new Faculties and REF leads
 - Monitor and report from NECTAR
 - Update NECTAR with relevant plugins (e.g. REF)
 - Monitor sector developments and inform research community
 - Work with RSBO and research administrators to deliver joined up research support service

Acknowledgements

Thank you to our funders:



Further information about the Open Access Good Practice programme is available on the [OA Good Practice blog](#)



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.

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 23/06/16].