Integrated Open Access services – from strategy to success

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Imperial College London
~4000% increase in annual deposits of scholarly manuscripts, 2012-2016*

*2016 numbers calculated from deposits January-August
• Faculties of Engineering, Medicine, Natural Sciences and the Business School
• Ranked 3rd in Europe / 8th in the world (THE 2016-17)
• Net income (2015): £969m incl. £428m research grants/contracts
• ~8,000 staff, incl. ~3,900 academic & research staff
• Staff publish 10-12,000 scholarly articles per year
• 2015 Article Processing Charges (APC) commitment: £1.7m
**From Policy to Strategy**

- College support for OA dates back over a decade
- 2012: OA Mandate, some 300 articles deposited

- 2013: change management effort:
  - central governance structure reporting to Provost
  - creation of post to oversee change management
  - make OA as easy as possible by creating a workflow that is:
    - centrally supported and communicated
    - as automated as possible
    - efficient and scalable
Governance Structure

Provost's Board

OA steering group

Associate Provost (Chair)

Director of Research Office

Director of Library Services

Scholarly Communications Officer

Director of Graduate School

College Secretary

Faculties representatives

Open Access Implementation Group

Scholarly Communications Officer (Chair)

Head of Scholarly Communications Support

Head of Information Insights

Research and Academic Support Team Leader

Head of Research Systems and Information

Head of Library Information Systems

5 OA Support Assistants

project groups as required

staff as required

staff as required

staff as required

staff as required
Systems Landscape

- Individual Academic
- Scopus
- Web of Science
- arXiv
- Other sources
- In-house APC management system, launched 2014

- Ask OA
- Staff web pages
- College Repository
- College HR
- College grants
- Staff web pages
‘On acceptance’ Workflow

Deposit manuscript • 4 fields

Apply for APC • 1 click

Library checks deposit and data access statement

Library processes and pays APC

Link funding • Point & Click

College reports to funder on behalf of academic

RDM

3 minutes

funder requirements met
Data available for Monitoring and Reporting

- Open Access: In Spiral and/or DOAJ
- Open Access: Gold OA Journals
- Likely to be Open Access: In Europe PubMed Central only
- Possibly Open Access: In arXiv only
- Not known to be in an Open Access Source

Pie Chart: 2016

Bar Charts:
- Funder:
  - AHRC
  - BBSRC
  - EPSRC
  - ESRC
  - MRC
  - Medical Research Foundation
  - NC3Rs
  - NERC
  - Open University
  - PPARC
  - STFC
  - The British Academy
  - The Royal Society

- Outputs:
  - Book
  - Chapter
  - Conference
  - Dataset
  - Journal article
  - Other
  - Patent
  - Poster
  - Presentation
  - Report
  - Scholarly edition
  - Software / Code
  - Thesis / Dissertation
  - Working paper

Graphs showing the number of associated outputs for each category and funder.
Average Citations for Articles in Journals Published 2011-2015

Imperial Data: Citations sourced from Scopus®

Data provided by Josie Lewis-Gibbs, College ICT, January 2016
Comms plan coordinated across whole College

Driven by Library & Research Office (good and bad cop)

Supported by Departments, Central Communications, Strategic Planning etc.

• E-mails to all staff
• Electronic staff briefings
• OA & RDM roadshows
• Departmental meetings
• Drop-in sessions
• OA & RDM lunches
• Departmental liaison librarians
• Leaflets, flyers, calendars
• Website, blog, social media
• Funder (policy) news
• Alerts sent from systems
• Compliance reports to departments and faculties
• Briefings for senior academics
• Etc.
College became ORCID member in 2014:
- Raise awareness and uptake
- Issue researchers with an iD

Approach:
- Capture existing iDs (in Symplectic)
- Create new iDs on behalf of academics
- Encourage academics to link iD to Symplectic

Outcomes:
- ~75% of iDs claimed
- Academics linked 2,000 iDs to Symplectic
- Ongoing awareness raising and work with ORCID community (Imperial hosted 1st UK ORCID (HE) members meeting in 2015)

https://www.imperial.ac.uk/orcid
https://dx.doi.org/10.1629/uksg.268
Fixing the System: the UK-SCL

- UK Scholarly Communications Licence
- Inspired by Harvard OA Policy, adapted to UK legal and policy context
- Academics grant university non-exclusive licence to scholarly articles
- University will make accepted manuscripts available (CC BY NC)

UK consultation on implementation:
- Led by Imperial College London (Chris Banks and Torsten Reimer)
- Discussions involve 70+ organisations across the UK
- Core group of “first movers” planning implementation
- International partners are expressing an interest too
College meets funder targets
18x increase in deposits 2012-2015
04/2016: 3x deposits of total 2012
Conclusion

• Key is for universities to want to “own” the process
• Think of the whole system, not just OA deposit
• If there are problems, try to fix the “root causes”, not the symptoms
• Changing culture takes time and (communications) effort
• Make “compliance” a by-product of good workflows
  • Aim to simplify and automate workflows
  • Academics should only interact with each output once
  • Publishers can add value by providing good metadata on acceptance
• Efficiency gains: 40x volume with 3x staff resource
Simplified Workflow: Combine Green & Gold OA

Meet all OA requirements in 1 action
Automate as much as possible
Data management requirements check integrated

Only 4 mandatory fields
OA funding with one click
Deposit on acceptance

Meet all OA requirements in 1 action
Automate as much as possible
Data management requirements check integrated