

ADVOCATING OPEN ACCESS



– a toolkit for librarians
and research support staff

This open access advocacy toolkit has been developed as part of the JISC Pathfinder project **Pathways to Open Access**. It provides good practice recommendations and practical advice for UK HEIs to help them communicate with researchers about funder requirements and institutional policies on open access (OA).

What?

How?

When?

Who?

Why?

Where?



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“ I think the main impediment is the slow movement of scientific cultural practices.”
Jonathan Eisen, Academic Editor-in-Chief of PLoS Biology in What is open access?

GATHER ESSENTIAL INFORMATION

For many researchers and other university staff, open access publishing means unfamiliar territory, new processes and significant culture change. Clear, concise facts will help explain and reassure:

- Summarise how funders' open access publishing policies and requirements affect researchers at your institution. Check [ROARMAP](#), which tracks and lists OA policies of funders and institutions.

- Identify the more complex aspects of open access policy and processes and explain them as simply as you can.
- **Green versus gold:** Researchers often find the different forms of open access confusing, so summarising the key differences between gold and green routes to open access can be helpful, as in this example from the University of Nottingham:

Types of open access

The policy for the post-2014 **Research Excellence Framework (REF)** recognises two types of open access (OA), Gold and Green. The key differences for authors between the two routes are as follows:

Gold (publication in OA journal)

Green (self-archiving in OA repository)

	Gold (publication in OA journal)	Green (self-archiving in OA repository)
Timing	• Gold means immediate open access, with articles made freely available at the point of publication.	• Green means delayed open access, in accordance with publisher embargo periods (normally 6-24 months).
Funder requirements	• Gold may be required by funders, especially where the publisher does not allow self-archiving.	• From 1 April 2016, Green OA will be required to ensure articles are returnable in a future REF.
Licensing	• Gold OA articles are often published under a licence which minimises barriers to re-use and dissemination, provided the author's work is duly credited.	• Green OA offers more flexibility in licence options, and may allow an author to limit re-use of his or her work, particularly for commercial purposes.
Cost	• Gold OA usually requires payment of an article processing charge (APC).	• Green OA is available at no additional cost to the author.



Check out useful, informative websites about open access from **Cambridge, Manchester, St Andrews, Sussex, UCL** and others; and follow Jisc's Open Access Good Practice blog for links to shared resources.

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LOCATE AND UNDERSTAND YOUR AUDIENCES

Before you start 'communicating', consider who you need to reach, why, when, and what they need to know. Only begin crafting your messages and **choosing channels** to use when you understand your stakeholders' needs well.

Pathways to Open Access universities identified a range of stakeholder groups relevant to them, assigned priorities and assessed likely levels of engagement with open access to prepare audience maps similar to this one:

Audiences

Stakeholder group	Characteristics	Priority	Information required
Research Board	Engaged. Senior staff on Research Board and the University's PVC (Research) are principal advocates for OA. A commissioning group, support from Research Board's members will drive clear, strong top-down messages that establish OA policy.	High	Already well-informed. Require relevant updates.
Library Research Support Team and Senior Subject Librarians	Engaged. Front-line providers of advice and guidance on open access to University staff, researchers and postgrads. Knowledge of OA and awareness of the best available information is essential.	Highest	Improved core info resources, web guidance, and key messages.
Research and Graduate Services	Engaged. Responsible for research policy, guidance and management of Open Access funding. Second-line support for Library Research Support staff.	High	Improved core info resources, web guidance, and key messages.
Senior academic researchers/Pis	Interested. Manage significant research funds and generate publishing activity. An essential constituency to win over. As de facto 'line managers' for most researchers they will be the best primary OA advocates. Also amongst most resistant to change.	Highest	Compelling messages and step-by-step guidance on how to deposit their publications in E-Prints.
Research-active academics	Interested. Active producers of research and research publications. Must appreciate, understand and support new OA policies, procedures and obligations as well as how to follow institutional processes and deposit their publications in E-Prints.	High	Clear instructions from research managers, Pis and Research Support staff; user-friendly tips.
Faculty Research Managers	Interested. Manage research activity and track 'REFable' outputs. An essential constituency advocate for compliance across their local faculty networks of researchers and admin staff.	Highest	Policy edicts, KPIs related to OA compliance, general information.
School Research Directors	Interested. Manage research activity and track 'REFable' outputs. An essential constituency advocate for compliance across their local school networks of researchers and admin staff.	Highest	Policy edicts, KPIs related to OA compliance, general information.
School Research Managers	Interested. Manage research activity and track 'REFable' outputs. An essential constituency advocate for compliance across their local school/dept networks of researchers and admin staff.	Highest	Policy edicts, KPIs related to OA compliance, general information.
Early Career Researchers (ECRs)	Interested/Engaged. Among the best-engaged young academics supporting OA and altmetrics. Wider audiences could benefit from awareness-raising activities.	High	Clear online guidance, links to Library research support, and endorsement from Pis.
Postgraduates and PhD students	Interested/Currently disengaged. A grey area. Students, most not members of staff, so they receive communications <i>ad hoc</i> , but they are encouraged to publish on behalf of this University so OA procedures do theoretically apply.	Medium	Online guidance, Grad School encouragement backed by supervisors, plus Library Resources.
Postgraduate research support staff	Interested/Currently disengaged. A major link to the next generation of ECRs and scholarly advocates. Currently probably not well briefed about OA policy changes and compliance imperatives.	High	Policy edicts, KPIs related to OA compliance, links drawn to PhD relevance.
Department/School administrators	Interested/Disengaged. Another link to research staff and PhDs (filtering, sending School/College/Faculty/University emails). Not briefed about OA. Relevant admin staff should be told about OA.	High / Medium	Policy edicts, messages to forward to PhDs, links to best Library contacts.
University central services staff	Interested/Useful supporters. These include HR, Finance, IT services and central Marketing & Communications. Potential allies facilitating and advocating OA compliance within the University.	Medium / Low	General briefing info, key messages, campaign updates, news.
HE sector / OA networks	Latent/Potential supporters. There are now myriad networks of OA advocates, library and information professionals, academic publishers and others. The University's reputation can benefit from shared news and activity.	Medium / Low	News and shared good practice via peer networks, research media and relevant social media.



A useful **guide to stakeholder analysis and engagement** is available from the Doughty Centre at Cranfield School of Management.

PROFILE OPEN ACCESS STAKEHOLDERS

'Take the temperature' of the groups with which you will communicate. This can be done through surveys similar to this Finnish [researcher attitudes survey](#) (questionnaire on pp 15-18), or [this one](#) from the UK.

The [MIAO tool](#) can help you to assess how prepared researchers are for Open Access (OA) compliance, and semi-structured interviews or focus groups can also be used to gauge their understanding of and attitudes towards open access publishing. From this, you can begin to gather, anticipate and profile [the kinds of opinions and concerns they have](#).

Awareness about open access will vary from non-existent or superficial to highly engaged and critical. Studies show [favourable attitudes](#) towards open access publishing in principle, but some scholars have [concerns](#), there are disciplinary differences, and policy [on monographs](#), for instance, is still evolving.

Profile audience types

Once you have an appreciation of sentiment among different groups at your institution, it might be useful to profile discussions about open access with a 'typical' audience member; for example:

How much do you know about open access?
A little.

Do you know your research funder's open access policy?
Not really.

Would you make papers open access?
If my department pays the fees.

Do you know the difference between gold and green OA?
No.

Have you deposited a paper in your university's repository?
No.

If not, why not?
Not sure if I have to and I heard it takes a long time.

Where can you go for advice?
There's someone in the library I think.

Do you blog about your research or use social media?
Yes, a lot.

What will make it more likely that you will publish your papers as open access soon?
If my funders tell me I have to. My head of department hasn't said anything, but I could do with some training. I looked at the website once, but it seemed out of date and was hard to follow. If doing it doesn't take too much time, I will, but my workload means I don't have many hours available.

Open Access Attitudes profile

Name: Dr Sam Spade
Age: 33
Subject: Chemistry
Role: F/T Lecturer
Years in post: 3
Entered for REF 2014? No.
Eligible for next REF? Yes, probably.

CREATE COMPELLING MESSAGES

First, for avoidance of doubt, use a positive, succinct definition of open access. Peter Suber's is good:

"Open-access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions. What makes it possible is the internet and the consent of the copyright-holder."

Reiterate UK and international policies driving open access publishing and scholarly communication:

It is now RCUK and HEFCE policy that all peer-reviewed research articles and conference proceedings funded in any way by one of the seven UK Research Councils and published after 1 April 2013 must be made open access. Research outputs funded by any Charities Open Access Fund medical funders must be made open access.

In addition, to be eligible for submission in the post-2014 REF, papers accepted for publication after 1 April 2016 must be made open access.

All projects receiving Horizon 2020 funding now have the obligation to make sure any peer reviewed journal article they publish is openly accessible, free of charge. The open access policy is summarized in this brief factsheet.

Appeal to interests

Form messages that speak to stakeholders' needs wherever possible. List and anticipate concerns. Take into account the interests of your target audiences, which may relate directly to their discipline or types of output. Show them how you're simplifying the work they need to do to comply with funders' mandates. Outline some of the advantages for them:

[Broad and growing](#) availability of academic research increases efficiency and innovation both inside and outside academia. It supports the generation of ideas and can lead to new research collaborations.

There are proven benefits:

- Open access publishing ensures publicly funded research is freely accessible by all, and delivers social and economic benefits through [increased public understanding](#) of research
- It allows fellow researchers to build on recent findings and to advance knowledge, [leading to new collaborations](#) as well as opening up new areas of investigation, such as data-mining
- Open access depositing combined with social media use [increases article visibility](#), [raising the profile of researchers](#). It helps demonstrate your institution's social and economic contributions.

Draft Frequently Asked Questions (FAQs) that take account of queries and concerns. Here are some useful examples from [Durham](#), [Oxford](#) and [UCL](#). Where appropriate, you could also recommend [good publisher resources](#).

Repurpose and share resources

There are now very many resources available to help people understand open access publishing. In the spirit of open access, these are of course openly available and users are encouraged to share them widely. Publishers, in their communications with authors, are also creating helpful sources of guidance. This [open science guide](#) from F1000Research is one example.

SPARC Europe, whose stated aim is "to create change and build a better scholarly communication system for the future", is happy for people to [reuse their helpful resources](#) for OA advocacy.

Your open access campaign will be more effective if messages are not only rational but also entertaining and emotional. [This video](#) imparts great background information about open access publishing, and also reveals a very human rationale for going open access.

What?

How?

Why?

PLAN YOUR COMMUNICATION AND ADVOCACY CAMPAIGN

Depending on the stage you're at in advocating open access publishing and depositing within your institution, there are many communication and advocacy options available. Begin your planning by defining your immediate objectives and putting some effort into matching the stakeholder groups or audiences you have identified with specific types of message and available communication channels. Working with those responsible for delivering related messages can make your advocacy more effective. At UCL, Library Services and the team responsible for UCL's REF submission coordinate open access advocacy together.

A simple communications planner grid (right) can help you start to plan your open access advocacy campaign.

This [Internal Communications Review Toolkit](#), from the University of Manchester, takes you through a number of techniques and suggests available channels you may also find within your university. If you haven't yet sought guidance from internal communication and public relations specialists within your institution's communications and marketing department, it would be valuable to enlist their help.

Arranging all the elements you need

Your campaign plan will match the target audiences and stakeholders you identified with clear, compelling messages that inform them and address their needs. It will designate appropriate communication methods – eg, face-to-face meetings, web resources, postcards, emails, case studies, videos etc – as well as scheduling frequency and timings. These activities should engage individuals and groups, foster supportive coalitions and potential OA advocates.

Where possible, gather allies to support and 'champion' open access advocacy, building a coalition of support to improve acceptance and initiate changed attitudes and behaviour. A network of 'open access champions', like [those at Edinburgh](#), can help colleagues with OA.

As you plan, note sensitivities: One Pathfinder project, led by the [University of Northumbria](#), reported that in open access communication and advocacy it is best to focus on general benefits of OA, not just REF/RCUK compliance issues which risk creating a 'REF divide' and disengaging staff not being considered for REF submission.

OBJECTIVE	AUDIENCES	THEIR NEEDS	CLIENT KEY MESSAGE(S)	TIMINGS (wks/mths)	CHANNEL(S)	RESPONSIBLE PERSON

Communication Tips

- 1. Involve the right people** – identify and map your audiences and stakeholders, their interests, concerns and needs.
- 2. Enlist top level support** – when advocating open access, show these changes are sponsored by the Vice-Chancellor, PVCs, deans and research directors and senior researchers.
- 3. Promote readiness and responsibility** – communicate regularly with clear 'calls to action'.
- 4. Improve compliance and support** – assess and communicate impacts and monitor success.

[Open access communication and advocacy campaigns can be rolled out in phases timed to coincide with important dates in the academic calendar and changing tack at times, for example during the summer.](#)


COMMUNICATE AND ADVOCATE

Your communication plan is both a starting point and a reference point. It needs to be good but not perfect before you start communicating. If you wait until every last detail is ideal, you may lose opportunities to engage and persuade target audiences. In the absence of planned communication, rumours and misinformation fill the silence. Begin as soon as you can and adapt and improve communications as needed.

Here are some tactics and channels used by UCL:

UCL

HOW...



- Audience**
- Deans & Vice-Deans (Research)
- Research Committees / Groups / Boards
- Heads of Department / Institute / Centre
- Researchers
- DAs and research administrators

- Activities**
- Meetings with HoDs
- E-mail reminders
- Web guidance
- Workshops and conferences
- Guide and 1-page summary
- REF OA Academic Advisory Group
- DA Forum
- Research Support Forum

When communicating to engage and persuade, do so regularly and consistently using a variety of appropriate channels to ensure you reach all the target audiences you hope to contact. Test your messages on colleagues or associates who are unfamiliar with open access with the aim of clarifying anything they don't instantly understand.

You must be honest and genuine in how you communicate. This strengthens trust, builds relationships, and improves chances of audiences being receptive and supportive. The information in the messages you send or the things you say face to face should be concrete not abstract.

Social media is a valuable means of staying up to date with and sharing latest developments, participating in or leading a community of interest, and communicating successes. [UCL's OA Twitter feed](#) is one example.

Face-to-face contact, emails, video and other methods

All surveys of internal communication continue to confirm that face-to-face contact with stakeholders is still the way most people prefer to receive information. [Leaders and line managers](#) (including heads of research groups, PIs and supervisors) are vital channels for strategic communication.

Leaders can't meet everyone. A video like this, by Newcastle's PVC Research and Innovation, may help.

Email is one of the next most popular channels for receiving and sharing information. The Edinburgh Pathfinder, LOCH, has shared exemplar emails and other resources for others to adapt.

In a [presentation](#) at the Joining The Dots Open Access Advocacy Pathfinder workshop at Senate House in March 2015, Newcastle University's Deputy University Librarian, Jill Taylor-Roe, outlined how their advocacy campaigns have adapted to new policy environments and, in phases, built upon previous successes to address the latest needs of different groups.

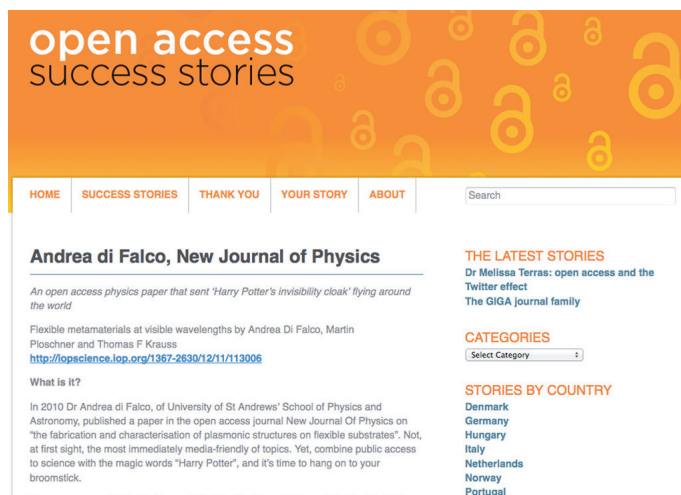
MONITOR, MEASURE AND EVALUATE SUCCESS



Throughout your communication programme, evaluate how well it goes. Gather feedback and communicate changes and improvements made.

Simple methods for monitoring, measuring and evaluating success will help to check approaches are working, gather feedback, refine communications and move the campaign forward. These can include:

- Metrics on new OA [deposits and downloads](#), communicated to encourage competition
- Online quizzes and surveys to check understanding – pop quiz, [surveys](#)
- Further studies of [individual researchers](#) who are benefiting from making their papers open access.



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YOUR 7-STEP OPEN ACCESS CHECK LIST

- 1 Gather essential information for accuracy and consistency.
- 2 Understand your audiences and find the best ways to reach them.
- 3 Build a profile of open access stakeholders and their attitudes.
- 4 Create compelling messages that appeal to stakeholders' interests.
- 5 Plan and develop your communication and advocacy campaign.
- 6 Begin communicating and do so regularly, honestly and consistently.
- 7 Monitor, measure and evaluate the impact of how you communicate.