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## Meeting the Mandate:

piloting compliance at Leeds and Leeds Beckett Universities

Wendy Luker, Associate Director, Libraries and Innovation, Leeds Beckett University

Pat Spoor, Scholarly Communications and Researcher Skills Team Leader, Leeds University Library

**UKSG November 2015** 





## Different institutions: research profile

2014-15	Leeds Beckett	Leeds
QR income	£1.6m	£33.9m
Research income	£2.2m	£132.6m
HEIF income	£1.94m	£2.85m
Research publications	c1,100	c7,200

# Different institutions: Library staffing to support OA publishing

#### Leeds Beckett January 2015

- ▶ 1 FTE Repository Developer, (Grade 5), ingest, systems development & OA advocacy (in conjunction with Associate Director and also Academic Librarians);
- 0.5 FTE Systems Developer (Grade 5), integration and development of Symplectic and Repository functionality
- 0.3 (approx.) Information Services Librarian (Grade 4), support for repository / Symplectic enquiries and Open Journals System

#### Leeds Beckett November 2015

- ▶ 1 FTE Research Services Advisor (Grade 6), OA advocacy, research data management, crossdepartmental liaison re. research support activities;
- 0.5 FTE Information Services Librarian (Grade 4), ingest, support for OA publishing and compliance, data gathering;
- 1 FTE Repository Developer, (Grade 5), ingest, systems development & OA advocacy (in conjunction with Academic Librarians);
- 0.5 FTE Systems Developer (Grade 5), integration and development of Symplectic and Repository functionality
- 0.3 (approx.) Information Services Librarian (Grade
   4), support for repository / Symplectic enquiries and
   Open Journals System

# Different institutions: Library staffing to support OA publishing

#### Leeds January 2015

- 0.5 FTE Advocacy, policy and training (Grade 8)
- ▶ 1 FTE Repository management, staff management (Grade 7)
- ▶ 2 FTE Repository ingest (Grade 4/5)
- ▶ 1x FTE APC admin (Grade 5)
- 0.3 FTE Software developer (Grade 7)

#### Leeds November 2015

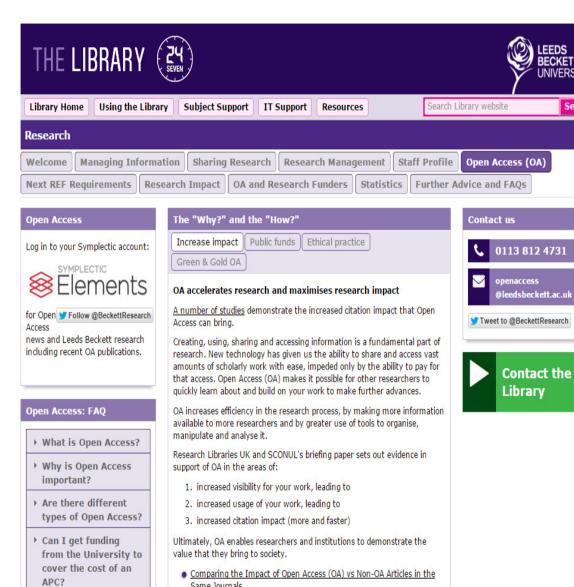
- 0.5 FTE Advocacy, policy and training (Grade 8)
- ▶ 1 FTE repository management (Grade 7)
- ▶ 1 FTE repository co-ordination, staff management, training (Grade 6)
- ▶ 3.4 FTE Repository ingest (Grade 4/5)
- ▶ 1 FTE APC admin (Grade 5)
- 0.3 Software developer (Grade 7)

#### Plus

Advertising for 3 FTE repository ingest staff

### Training and interventions

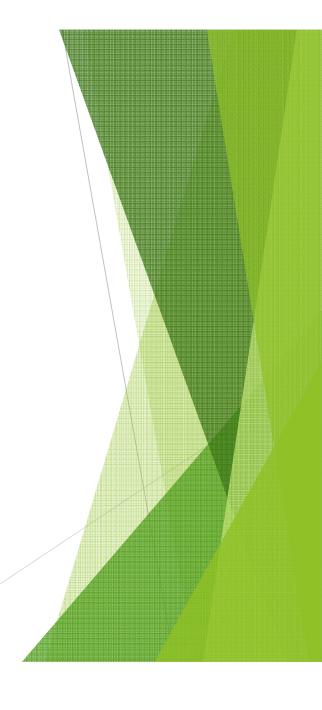
- Short Life Working Group on Open Access (reporting to Research and Enterprise Committee) agreed stakeholder responsibilities, workflows, parameters for paying APCs, and communications strategy;
- Workshops for Research Centres and Institutes, Faculty Away Days, Readers and Professors meetings;
- Regular sessions on open access publishing and using Symplectic included in Research Training Programme;
- Publicity and support materials;
- Articles in University staff bulletin, staff newletter, LLI newsletter and Faculty Board reports;
- Close working with University Research Office and Faculty Research Admin teams, e.g. to support annual audit in preparation for next REF.



Open Access: Impact for Researchers, Universities and Society (PDF)

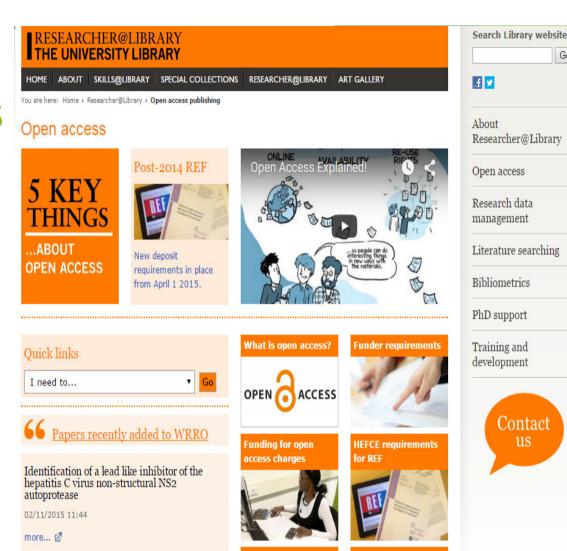
Where can I get information on copyright? Example download from Symplectic, useful to update Schools on levels of staff engagement

Researcher name	28/01/2013 10:44 08/04/2014 17:24 19/09/2012 15:31 09/04/2014 16:29 25/09/2014 08:54 03/10/2013 14:16 20/12/2012 09:56 17/12/2013 10:59 18/11/2014 15:24 20/06/2014 12:21	Last logged in 18/08/2015 16:34 18/11/2014 14:38 13/08/2015 16:56 04/12/2014 16:27 08/09/2015 09:26 24/07/2015 23:41 24/08/2015 11:03 25/08/2015 12:22 13/08/2015 19:29 30/04/2015 10:37	17 16 16 14 14 9
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Researcher name	24/09/2012 13:07	29/04/2015 16:19	5
Researcher name	19/09/2012 14:55	10/09/2014 16:56	4
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Researcher name	19/09/2012 16:59	24/07/2013 14:52	4
Researcher name	02/01/2013 16:14	09/04/2014 14:47	4
Researcher name	19/09/2012 14:28	15/09/2014 09:51	3
Researcher name	19/09/2012 14:16	19/09/2012 22:18	3
Researcher name	20/09/2012 15:31	26/06/2015 09:27	3
Researcher name	28/04/2015 14:16	11/05/2015 15:22	2
Researcher name	22/06/2014 17:13	22/06/2014 17:13	1
Researcher name	05/11/2012 07:12	05/11/2012 07:12	1
Researcher name	21/05/2015 13:31	21/05/2015 13:31	1
Researcher name	25/06/2015 09:27	25/06/2015 09:27	1
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## Training and interventions

- Scholarly Communications Steering Group reporting to Research Board
- Promotional materials
- Workshops for researchers, PhDs and support staff
- Network of OA contacts
- Share tips on best practice
- Presentations at school away days/meetings/committees
- Items in staff newsletters/websites
- Adverts on plasma screens
- Outlook reminders
- Responsibility matrix
- Revisions to University Publications policy



Publications database

Parallel Implementation of an Adaptive, Multigrid Solver for the Implicit Solution of

Growth 30/10/2015 16:49

Nonlinear Parabolic Systems, with Application to a Multi-Phase-Field Model for Tumour

University

publications policy

Go

University of Leeds compliance: HEFCE Policy for open access in the post-2014 Research Excellence Framework: overview of responsibilities¶

#### [School:/·Faculty·name·and·type·of·deposit·model]· ✓

Responsibility·remains·with·the-author·to·ensure-their·outputs-comply·with·HEFCE's·OA·(Open·Access)·requirements·for·the·next·REF.·Systems·are·in·place-within·the·Library, RIS·and·the·named·School/Faculty·to·support·compliance, as-detailed-below.¶

<u> </u>						_
¶	Head ·of ·	Author-/-	School/Faculty ·	Library¤	Research and	322
Ω .	School∞	Delegate¤	OA-contact <sup>22</sup>		Innovation-	
					Services	
Establish-local-processes-to-ensure-authors-are-aware-of-HEFCE-policy-and-to-		121	121	121	121	508
support·compliance¤	<b>√</b> 12					
As-soon-as-possible-after-manuscript-acceptance <sup>®</sup>	133					502
Notify·School/Faculty·of·an·output·accepted·for·publication·(State·if·N/A)¤	121	√ ?¤	121	121	121	222
Record-output-details-in-the-University-publications-database¤	121	<b>√</b> ?¤	. <b>√</b> ?¤	EX.	22	SCE
Deposit·author·accepted·manuscript·via·University·publications·database¤	121	<b>√</b> ?¤	. <b>√</b> ?¤	sta .	22	SCE
Notify·Library·of·known·policy·exceptions·using·Comments·box·during·deposits	101	<b>√</b> ?¤	. <b>√</b> ?¤	EX.	22	SCE
Respond to author queries regarding deposit/OA requirements	121	53	<b>√</b> 22	√ n	323	SCE
Following·manuscript·depositx	22					SCE
Check-date-of-acceptance-and-appropriate-file-version-have-been-supplied.  Contact-author,-copying-to-OA-contact,-where-necessary.	121	n	Ω.	<b>√</b> 12	52	301
Check-accuracy-of-bibliographic-details,-amend-where-necessary=	121	ra .	Ω	√ n	ra	SCE
Verify-and-lock-record∞	121	121	121	<b>√</b> 22	121	301
Check-Copyright-and-embargo-periods¤	121	13	121	√ ¤	121	302
Make-output-OA-/-set-to-become-OA-when-embargo-expires¤	±	121	121	<b>√</b> ¤	22	3CE
Contact-author/OA·for·more-information·in·the-case-of-possible-exception-∞	121	i3	121	ū	√ <u>n</u>	SCE
Report-status-of-validated-exceptions-in-OA-Monitor-and-retain-evidence¤	121	521	121	√ n	<b>√</b> ∞	301
Monitoring and reporting a	121					301
Provide-training-and-ongoing-support-for-School/Faculty-OA-contacts-on-using-the-OA-Monitor=	222	Ω.	121	<b>√</b> 12	<b>√</b> ¤	101
Monitor-/-support-author-compliance∞	<b>√</b> ¤	¤	<b>√</b> 22	121	121	302
Generate-reports-as-required-by-School-/-Faculty∞	121	n	<b>√</b> 22	101	Ω.	323
Produce-twice-yearly-compliance-reports-for-Scholarly-Communications-/- Research-and-Innovation-Board¤	121	ECE	Ω	<b>√</b> 12	321	SCE

More-information-and-support-available-from-http://library.leeds.ac.uk/university-publications-¶ Local-OA-contact-information-available-from-http://library.leeds.ac.uk/researcher-publications-contacts

Adapted from LOCH: Open Access Implementation Responsibility Matrix http://hdl.handle.net/1842/9925 ¶

## Compliance...

Six months after start of HEFCE pilot	Leeds Beckett	Leeds University
Deposit rate within 3 months of acceptance	58%	31%
Compliance rate (of deposited items)	15%	15%
Compliance unknown	85%	85%

### What have we learned?

- ▶ Keep the message simple, repeat often
- Use a range of communication media and interventions
- Constantly review and streamline workflows
- Employ flexible, patient and inventive repository staff
- Keep an eye on JISC and other national initiatives
- Use OA as a new way of demonstrating Library expertise and value added services for researchers
- OA admin (ingest and APCs) must be simplified and manual intervention minimised to reduce costs
- We still have a lot of work to do before April 2016

