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# Meeting the Mandate:

piloting compliance at Leeds and Leeds Beckett Universities

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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, cross-departmental 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 newsletter, 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.

The screenshot displays the Leeds Beckett University Library website. At the top, the logo for 'THE LIBRARY' is shown next to a '24 SEVEN' clock icon, and the Leeds Beckett University logo is in the top right corner. A navigation bar includes links for 'Library Home', 'Using the Library', 'Subject Support', 'IT Support', and 'Resources', along with a search box. Below this is a 'Research' section with sub-links for 'Welcome', 'Managing Information', 'Sharing Research', 'Research Management', 'Staff Profile', and 'Open Access (OA)'. The 'Open Access (OA)' section is highlighted and contains several sub-sections:

- Open Access**: A login prompt for Symplectic Elements, a social media link to follow @BeckettResearch, and a note about recent OA publications.
- The "Why?" and the "How?"**: A section with buttons for 'Increase impact', 'Public funds', 'Ethical practice', and 'Green & Gold OA'. It features a heading 'OA accelerates research and maximises research impact' and a list of three benefits: increased visibility, increased usage, and increased citation impact. It also includes a link to a briefing paper and a PDF document.
- Open Access: FAQ**: A list of five frequently asked questions, such as 'What is Open Access?' and 'Why is Open Access important?'.
- Contact us**: A sidebar with contact information, including the phone number 0113 812 4731, the email address openaccess@leedsbeckett.ac.uk, and a social media link to @BeckettResearch.

Example download from Symplectic, useful to update Schools on levels of staff engagement

	A	G	H	I
1	<b>Full name</b>	<b>First logged in</b>	<b>Last logged in</b>	<b>Total logins</b>
2	Researcher name	12/09/2012 10:17	18/08/2015 16:34	51
3	Researcher name	28/01/2013 10:44	18/11/2014 14:38	31
4	Researcher name	08/04/2014 17:24	13/08/2015 16:56	17
5	Researcher name	19/09/2012 15:31	04/12/2014 16:27	17
6	Researcher name	09/04/2014 16:29	08/09/2015 09:26	16
7	Researcher name	25/09/2014 08:54	24/07/2015 23:41	16
8	Researcher name	03/10/2013 14:16	24/08/2015 11:03	14
9	Researcher name	20/12/2012 09:56	25/08/2015 12:22	14
10	Researcher name	17/12/2013 10:59	13/08/2015 19:29	9
11	Researcher name	18/11/2014 15:24	30/04/2015 10:37	8
12	Researcher name	20/06/2014 12:21	29/06/2015 11:01	6
13	Researcher name	14/09/2012 15:52	15/09/2014 09:18	5
14	Researcher name	15/12/2012 13:22	01/05/2014 16:06	5
15	Researcher name	24/09/2012 13:07	29/04/2015 16:19	5
16	Researcher name	19/09/2012 14:55	10/09/2014 16:56	4
17	Researcher name	12/11/2012 13:17	11/04/2014 10:33	4
18	Researcher name	19/09/2012 16:59	24/07/2013 14:52	4
19	Researcher name	02/01/2013 16:14	09/04/2014 14:47	4
20	Researcher name	19/09/2012 14:28	15/09/2014 09:51	3
21	Researcher name	19/09/2012 14:16	19/09/2012 22:18	3
22	Researcher name	20/09/2012 15:31	26/06/2015 09:27	3
23	Researcher name	28/04/2015 14:16	11/05/2015 15:22	2
24	Researcher name	22/06/2014 17:13	22/06/2014 17:13	1
25	Researcher name	05/11/2012 07:12	05/11/2012 07:12	1
26	Researcher name	21/05/2015 13:31	21/05/2015 13:31	1
27	Researcher name	25/06/2015 09:27	25/06/2015 09:27	1
28	Researcher name	19/12/2012 09:28	19/12/2012 09:28	1
29	Researcher name	17/03/2014 12:00	17/03/2014 12:00	1
30	Researcher name			0
31	Researcher name			0
32	Researcher name			0
33	Researcher name			0
34	Researcher name			0
35	Researcher name			0
36	Researcher name			0
37	Researcher name			0
38	Researcher name			0
39	Researcher name			0
40	Researcher name			0



# 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

**RESEARCHER@LIBRARY**  
**THE UNIVERSITY LIBRARY**

HOME ABOUT SKILLS@LIBRARY SPECIAL COLLECTIONS RESEARCHER@LIBRARY ART GALLERY

You are here: Home > Researcher@Library > Open access publishing

## Open access

### 5 KEY THINGS

...ABOUT OPEN ACCESS

### Post-2014 REF

New deposit requirements in place from April 1 2015.

### Open Access Explained!

ONLINE AVAILABILITY RE-USE RIGHTS

...so people can do interesting things in new ways with the materials.

### Quick links

I need to...

### Papers recently added to WRR0

Identification of a lead like inhibitor of the hepatitis C virus non-structural NS2 autoprotease  
02/11/2015 11:44  
[more...](#)

Parallel Implementation of an Adaptive, Multigrid Solver for the Implicit Solution of Nonlinear Parabolic Systems, with Application to a Multi-Phase-Field Model for Tumour Growth  
30/10/2015 16:49

### What is open access?

OPEN ACCESS

### Funder requirements

### Funding for open access charges

### HEFCE requirements for REF

### Publications database (Symplectic)

### University publications policy

Search Library website

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- About Researcher@Library
- Open access
- Research data management
- Literature searching
- Bibliometrics
- PhD support
- Training and development

Contact us



**[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.¶

¶	Head of School¶	Author/- Delegate¶	School/Faculty OA contact¶	Library¶	Research and Innovation Service¶
Establish local processes to ensure authors are aware of HEFCE policy and to support compliance¶	✓ ¶	¶	¶	¶	¶
<b>As soon as possible after manuscript acceptance¶</b>	¶				
Notify School/Faculty of an output accepted for publication (State if N/A)¶	¶	✓ ?¶	¶	¶	¶
Record output details in the University publications database¶	¶	✓ ?¶	✓ ?¶	¶	¶
Deposit author accepted manuscript via University publications database¶	¶	✓ ?¶	✓ ?¶	¶	¶
Notify Library of known policy exceptions using Comments box during deposit¶	¶	✓ ?¶	✓ ?¶	¶	¶
Respond to author queries regarding deposit/OA requirements¶	¶	¶	✓ ¶	✓ ¶	¶
<b>Following manuscript deposit¶</b>	¶				
Check date of acceptance and appropriate file version have been supplied. Contact author, copying to OA contact, where necessary.¶	¶	¶	¶	✓ ¶	¶
Check accuracy of bibliographic details, amend where necessary¶	¶	¶	¶	✓ ¶	¶
Verify and lock record¶	¶	¶	¶	✓ ¶	¶
Check Copyright and embargo periods¶	¶	¶	¶	✓ ¶	¶
Make output OA / set to become OA when embargo expires¶	¶	¶	¶	✓ ¶	¶
Contact author/OA for more information in the case of possible exception.¶	¶	¶	¶	¶	✓ ¶
Report status of validated exceptions in OA Monitor and retain evidence¶	¶	¶	¶	✓ ¶	✓ ¶
<b>Monitoring and reporting¶</b>	¶				
Provide training and ongoing support for School/Faculty OA contacts on using the OA Monitor¶	¶	¶	¶	✓ ¶	✓ ¶
Monitor / support author compliance¶	✓ ¶	¶	✓ ¶	¶	¶
Generate reports as required by School / Faculty¶	¶	¶	✓ ¶	¶	¶
Produce twice yearly compliance reports for Scholarly Communications / Research and Innovation Board¶	¶	¶	¶	✓ ¶	¶

# 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