

Accelerating Access - Making Open Access Policies Work From Day One

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Session Type

- Presentation**

Abstract

Successful recruitment of published content into institutional repositories relies on three key components: 1) funder mandates or institutional policies requiring deposit of papers; 2) a means of ensuring that deposit occurs as soon as possible after a paper's acceptance or publication; and 3) an efficient, intuitive mechanism for helping faculty fulfill their deposit requirements with minimal effort.

Research management systems play an increasingly important role in the scholarly publishing ecosystem, helping collate information about scholars' publications and enabling institutions to effectively implement and monitor open access policies. . This presentation examines how a research management system can be set up to provide faculty with the tools they need to easily comply with their institutional OA policy and to help repository managers track policy compliance rates across the institution.

Conference Themes

- Supporting Open Scholarship, Open Science, and Cultural Heritage
- Integrating with External Systems
- Developing and Training Staff

Keywords

OA Policies, Immediate Deposit, Outreach

Audience

This presentation will mostly be of interest to librarians, repository managers, or anyone responsible for implementing open access policies.

Background

This presentation addresses two key conference themes:

- integration of IRs with external systems – primarily research management systems
- support of open scholarship/science, making open access policy compliance not just easy to achieve, but hard to ignore.

Presentation content

Whilst many researchers recognize how open access can transform scholarly communication, many more need a little nudge to take advantage of the opportunities available to them for distributing their research. In order to ensure that these researchers will make their work openly available, funders and institutions have (amongst other incentives) established open access policies or mandates, compelling authors to deposit copies of their articles to subject or institutional repositories.

But the success of these policies varies:

- Institutional policies based on a voluntary compliance model (as many are), often see the lowest compliance rates. At institutions where the primary driver for participation is direct outreach by librarians, participation rates are minimal.
- Funder policies - which should have a strong incentive to comply if a researcher wishes to seek further funding - fare better; Wellcome Trust achieved 55% as an archiving policy, and NIH reached 75% assisted by automatic publisher deposits.
- Institutional policies with strong consequences for non-compliance (e.g. evaluation tied only to deposited research) do slightly better than funder policies. For example, the University of Liege's publication deposit rate has grown over 5 years to cover approximately 82% of new publications authored at the university (of those indexed by Scopus and Web of Science).

In all of these cases, there is room for improvement. But it is notable that even where policies have been strongly enforced with consequences, it has taken time - up to 5 years - in order to reach these participation rates. Time isn't always a luxury when implementing Open Access policies. For instance, as of April 2016 UK institutions will need a high-level of participation in order to fulfil REF 2020 requirements; the success will mostly depend on outreach, as it will be too late to rely on academics feeling the consequences of non-compliance.

Many different factors can contribute to non-compliance with OA policies, including: lack of awareness of the institutional open access policy; lack of understanding of the terms of the policy; uncertainty about what can be deposited (and when); concerns about publisher

objections; and a perception that compliance would be time consuming and burdensome. Furthermore, existing compliance mechanisms, such as manual-entry article deposit forms often lack the usability or necessary information to assuage these concerns.

How can universities address these challenges and develop successful mechanisms for supporting their open access policies? One answer may be the use of a research management system (CRIS). These systems not only streamline the deposit process, but also provide robust reporting mechanisms that enable institutions to better understand their overall research activity, particularly where they are subject to statutory reviews (REF, PBRF, etc.).

To achieve the effective support of open access policies, a CRIS must:

- Harvest as much data as possible, reducing the amount of manual data entry required by authors;
- Automate outreach activities by alerting researchers (via email) to any new publications which may qualify for deposit under an OA policy, and inviting the authors to deposit their manuscript as soon as possible;
- Provide clear deposit guidance to authors, eliminating confusion over which items are covered by a policy and what can or cannot be made publicly available under the policy's terms;
- Capture relationships, such as co-authorship, to prevent duplication of effort among multiple authors;
- Provide capabilities for reporting on activity by publication type, department, journal, funders, etc.

Many of the barriers to direct participation by authors, then, are effectively minimized by the implementation of a CRIS system, enabling library and research management staff to focus their outreach efforts on those users who are most in need of assistance to comply with their policy.

This presentation will address the following topics:

- I. An overview of the state of existing funder and institutional policies (geographic spread, growth in participation, terms and requirements) and the advances made by CRIS software in providing academics with an easy mechanism for understanding and complying with these policies.
- II. The University of California as a particularly notable (in ambition and scale) use case: Including details on specific barriers to faculty participation in the [UC Open Access Policy](#) and how CDL staff have leveraged the CRIS platform Symplectic Elements to address these challenges.

- III. Outcomes of CRIS implementation in support of an open access policy, with statistics comparing post-implementation deposit rates at three pilot UC campuses to those of the remaining seven campuses, where the CRIS implementation is forthcoming and faculty participation in the same policy is driven by direct outreach and manual deposit forms.

Conclusion

Institutions (and their researchers) can bolster the success of open access policies by implementing CRIS platforms to reduce barriers to policy participation and deliver on reporting requirements. These results are achieved by:

- 1) Automating outreach with customized email notifications
- 2) Simplifying the deposit process so that researchers can simply verify harvested metadata records and attach the appropriate manuscript version.
- 3) Eliminating confusion regarding policy terms by providing clear guidance at the point of deposit.
- 4) Robust, on demand monitoring and reporting on researchers' publication activities.
- 5) Reuse of research information, providing added value for repositories, profile systems and other platforms that need up-to-date information on institutional research output.

As demonstrated by the use of Elements at University of California, the implementation and integration of a research management system is a simple, fast and very effective approach to providing an optimal environment for increased OA policy participation.

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