UC Open Access Policy Implementation: Phase 2

Reporting Period: January 1, 2015 to September 30, 2015

CDL Access & Publishing Team
UC Office of Scholarly Communication
UCI, UCLA and UCSF Library staff

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Table of Contents

Executive Summary
Project Update
Technical Infrastructure
OA Policy Participation Levels
User Satisfaction
Waiver/Embargo Rates
Article Usage Data
Integration with Other Systems
Resources/Costs
Next Steps
Appendix: Campus Reports - UC Irvine, UCLA, UCSF
Executive Summary

The California Digital Library, the UC Office of Scholarly Communication and the UCI, UCLA and UCSF campus libraries report herein on the progress of the second-phase technical implementation of the UC Open Access Policy. This report is focused primarily on the OA Policy activity following the release of the UC Publication Management System, Symplectic Elements, on three pilot campuses (UCI, UCLA and UCSF) and a second-phase implementation campus (UCSB). Faculty at these institutions are now able to deposit their articles in eScholarship (UC’s open access repository), in accordance with the UCSF and Academic Senate policies, through a semi-automated record harvesting and publication deposit system.

This graph traces the rate of deposit of previously published articles in eScholarship at three stages:

- **Before the OA Policy** (green - “pre-policy manually deposited”)
- **After the OA Policy but before the Publication Management System** (blue - “post-policy manually deposited”)
- **Since the launch of the Publication Management System** (orange - “post-policy harvested”)

In most cases, manual deposit mechanisms, regardless of whether or not an OA policy was in place, had little success in facilitating faculty article deposits.¹ **In all cases, the launch of the Publication Management System** significantly increased the rate of deposit.

¹ One exception: UCI faculty successfully deposited significant numbers of articles via manual deposit, inspired by the extraordinary outreach and “upload-a-thon” efforts on the part of the campus librarians.
Management System marked the beginning of a significant, and so far sustained, increase in faculty participation. As of October 2015, 6,173 articles have been deposited via this system and are now openly available to readers worldwide. If we add those publications that were manually deposited on all ten UC campuses following the adoption of the OA Policies (UCSF - May 21, 2012; Academic Senate - July 24, 2013) and before the release of the Publication Management System, a total of 10,889 previously published articles are now freely available in eScholarship as a result of the OA Policy efforts at UC.

Beyond tracking faculty OA Policy activity, this report also provides a snapshot of faculty satisfaction levels with regard to the new system, the rate of policy waiver requests, the usage data for previously published articles deposited in eScholarship since the adoption of the policies, the resources and costs associated with the implementation of the policies and the potential opportunities to integrate the Publication Management System with other systems, both within UC and beyond. The report concludes with reports from campus librarians, detailing local efforts to support the ongoing implementation of the policies, including outreach efforts and educational services provided by the libraries to their local Senate faculty.

Project Update

As reported in the prior Open Access Policy Implementation Report (June 6, 2014) (https://wiki.library.ucsf.edu/display/OAPI/Reports), the CDL and campus libraries began the process of developing infrastructure to support the implementation of the UC Academic Senate Open Access Policy following the adoption of that policy on July 24, 2013. Early infrastructure included a manual deposit mechanism, a waiver and embargo generator, and the policy support materials on the Office of Scholarly Communication website. The primary goal of this first phase implementation of the OA Policy was to provide Senate faculty at all ten UC campuses with a means of complying with the policy by depositing their articles in eScholarship (UC’s open access repository) and opting out of the policy for individual articles, should circumstances require it.

Phase 2 of this project marks a transition from homegrown, manual metadata collection/deposit tools to a robust Publication Management System, Symplectic Elements, with the ability to automate much of the work of compliance on behalf of the faculty. As of the writing of this report, CDL has launched Elements at four campuses (UCLA, UC Irvine, UCSF, and UC Santa Barbara) and is slated to go live at the remaining campuses by January 2016.

<table>
<thead>
<tr>
<th>Campus</th>
<th>Publication Management System (Symplectic Elements) Launch Date</th>
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<tbody>
<tr>
<td>UCLA</td>
<td>January 14, 2015</td>
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<tr>
<td>UC Irvine</td>
<td>March 10, 2015</td>
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<tr>
<td>UCSF</td>
<td>March 31, 2015</td>
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<tr>
<td>UC Santa Barbara</td>
<td>September 1, 2015</td>
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Pilot Phase

Beginning in February 2014, CDL worked closely with partners at three pilot campuses (UC Irvine, UCLA and UCSF) to begin implementation of Symplectic Elements. CDL staff provided a project manager and a technical lead to guide the implementation; each campus provided two library liaisons -- one to serve in an outreach and coordination role for local faculty and the other to assist with local issues related to technical implementation.

With input from the campus library partners, the CDL project manager developed a detailed list of implementation tasks to ensure steady progress was made toward the target launch date of Elements on each campus. The CDL technical lead worked closely with the platform vendor and the Berkeley Data Center staff to deploy, maintain and troubleshoot the Publication Management System application. The technical lead also worked closely with campus technical partners to develop necessary connections to authentication, HR and publication data sources.

Campus library outreach and coordination liaisons worked primarily on communication issues and testing the system ahead of launch. The language and formatting of the publication notification email sent to faculty by the Publication Management System was constructed by coordinating input from various stakeholders at each campus (including campus communications, library administration, and faculty senate members). Outreach liaisons similarly coordinated the drafting and distribution of pre-launch messaging, information sessions and other “get the word out” activities. They also conducted careful analyses of harvested records to ensure the system was accurately identifying faculty publications and generally monitored project progress to ensure a successful on-schedule launch.

Technical liaisons worked primarily to connect campus data sources with the Publication Management System. Data feeds from campus identity management (Shibboleth) and human resources systems were established to enable publication harvesting. When available, campuses also made available publication records from existing campus systems that tracked such information, so that those publications could be pre-linked to faculty profiles within the submission management system.

CDL and campus library partners met regularly throughout the roll-out process to coordinate efforts and align priorities. Post launch, representatives from each pilot campus met (and continue to meet)
monthly on a call hosted by CDL staff to share troubleshooting solutions, outreach strategies, and other matters related to UC’s OA Policy.

**Technical Infrastructure**

The transition to the Publication Management System to support OA Policy compliance has resulted in the automation of a great deal of the work that faculty were previously responsible for handling manually. Whereas the prior system required that faculty independently seek out the article deposit mechanism, fill out all the metadata fields describing the publication and then upload a file, the new system harvests metadata records from various data sources for all UC-affiliated publications, alerts the faculty to the presence of records to verify and provides an intuitive interface for claiming those publications and uploading a copy.

The Publication Management System harvests publication records for UC faculty from a variety of sources, including Web of Science, Scopus, PubMed, CrossRef, etc. These records are not limited to OA Policy publications but, rather, reflect the entire corpus of publications available for each faculty.
member within the indexes from which Elements harvests. Special attention is paid to the records that are associated with articles published after the adoption of the UC OA policies.

After locating and harvesting publication records associated with UC faculty, the system sends email alerts to the authors, enabling them to click through to verify, claim, and upload their publications within the Publication Management System. (Faculty can log into the system with their campus credentials.)

Once logged in, authors see a list of their “pending” publications, with a blue box indicating whether or not those publications are “in Open Access Policy” based on date of publication and genre. Authors are prompted to “Claim” or “Reject” each publication as their own (see below).
Once authors claim their OA Policy-eligible publications, they move to a deposit screen (below), which guides them through the process of providing a copy of their article for display in eScholarship. The deposit advice in the left pane is tuned to the UC OA Policy date and will provide specific upload advice, depending on whether or not a particular article falls within the timeframe of the policy. (In the case of non-eligible publications, authors are given guidance from Sherpa/RoMEO, which tracks publisher policies with regard to sharing and self-archiving.) Authors also have the option to choose a Creative Commons license for their publications.

All deposited publications are automatically transferred into eScholarship, UC’s open access repository, where they are made freely available to readers worldwide and benefit from long-term access and preservation strategies.
OA Policy Participation Levels

After almost 9 months of data collection from the pilot campuses using the Publication Management System, following a year of supporting manual submission, we are now able to report more substantially on the activity associated with the Open Access Policy implementation and faculty compliance. While the data are still preliminary, we are beginning to see trends that suggest great success in engaging faculty, as well as clear markers of where we might focus our efforts and our resources going forward.

Faculty Deposits

As the overview graph in the Executive Summary section reveals, the launch of the Publication Management System has dramatically increased faculty participation in the Academic Senate’s Open Access Policy. Below is a view of the deposited articles, both manual and via the Publication Management System, by broadly defined disciplines. We see the greatest level of participation aligned with “Medical and Health Sciences” and “Physical Sciences and Mathematics,” perhaps because those fields already have well-established mechanisms for providing access to their publications (PubMed Central and arXiv) and, thus, a general familiarity with the goals and benefits of open access. That said, we also need to measure these deposit rates against the volume of output in these fields to determine whether this disparity in participation is actually a proportionally similar rate of participation by discipline. Further study to come.

Another slice of this data indicates which of those completed “deposits” are, in accordance with the OA Policy, either an article or a link to an open version elsewhere (or both). While the balance of faculty are depositing articles, a good number of the Medicine and Health Sciences deposits are links out to other open versions of the articles. This again is an indication of the infrastructure (PubMedCentral) already in place to provide for public access to NIH-funded research.
This next graph focuses specifically on those articles whose date of publication falls under the OA Policy and indicates how many of them have been claimed and deposited within the publication management system since January 2015.

At this early stage of implementation, our data show that 33% (19,686) of known OA Policy-eligible publications have been claimed and, of those claimed, 18% (3,461) have been deposited via the Publication Management System. An additional 2,712 previously published articles whose publication pre-dates the policy have also been deposited, most likely by researchers who wish to make additional work openly available. The automated system has dramatically increased deposits, but there is still, clearly, a gap between claiming and depositing behavior that we will be working to understand and
improve. When faculty claim but don’t deposit, we are able to follow up with them to determine what barriers have prevented them from completing the deposit process.

The above graph indicates that the majority of faculty participants have, thus far, deposited between one and five articles via the Publication Management System.

**User Satisfaction**

A brief survey was presented to users of the Publication Management System upon successful deposit of an article in accordance with the OA Policy. The data below were collected from 88 unique respondents between August 11th and September 30th, 2015.

92% of respondents indicated that they were either very or somewhat likely to use the system to deposit another publication in the future. 56% rated the experience as somewhat or much easier than expected, while 32% indicated that the deposit experience was “about what they expected.” 66% of respondents were either somewhat or very
familiar with the OA policies. Overall, results suggest that faculty who are familiar with the policies and are depositing articles find the Publication Management System satisfactory and plan to continue utilizing it to participate in the policy.

We also asked our users an open-ended question (“What else might the UC libraries do to encourage participation in the UC Open Access Policy and make participation as easy as possible?”) to encourage them to share their thoughts about the policy, the Publication Management System or open access in general.
Some respondents were extremely positive about the experience, expressing enthusiasm about the policy and the Publication Management System. One example: “You are doing a great job and I am very impressed by how well the implementation is being handled. I just got a comment yesterday from another faculty member (a Dean in the School of Pharmacy) and she said that she was so grateful for how much attention was spent making the process easy for faculty.” Several respondents expressed their appreciation for the efforts of local librarians in helping them understand the policy, while others wished for more librarians at department meetings and more training sessions for faculty.

That said, a subset of respondents questioned the involvement of faculty in the deposit process at all:

- “This system, like many, punishes the most productive people by making them do yet more busy work.”
- “Partner with sites like ResearchGate or Academia.edu where we already have our publications uploaded, so we don’t need to duplicate work.”
- “Automatically download published articles from journals.”
- “Connect this with other online systems that do similar work.”

What these four comments reveal is the challenge of competing for the attention of faculty who are already committed to other forms of self-reporting their professional activities. In other words, there is nothing inherently wrong with the Publication Management System, aside from the fact that it is yet another reporting tool that requires their engagement. Our task, then, is to develop mechanisms to further automate publication collection and integrate this system with others that can serve as data sources, data targets or both (see “Integration”).

Waiver/Embargo Rates

Upon direction by a faculty member, the University of California will waive the license for a particular article or delay access to the article for a specified period of time. In other words, faculty can obtain a waiver or embargo on a per-article basis, usually at the request of a publisher who rejects the terms of UC’s Open Access Policy. From the systemwide policy’s adoption in 2013 through September 2015, UC authors requested 588 waivers. There were 267 waiver requests in the first 9 months of 2015, compared with 6,173 deposits over the same period. See below for data about waiver requests, beginning in August 2013.
75% of total waiver requests come from UCSF faculty. 91% of waiver requests come from faculty publishing with 3 publishers: Nature Publishing Group, PNAS, AAAS. 72% of total waiver requests come solely from faculty publishing with Nature.

After the adoption of the Academic Senate OA Policy in 2013, CDL contacted over 200 publishers to alert them to the policy and its terms. Only a few publishers expressed concerns about the policy and have subsequently required their authors to obtain a waiver for the publication.

To learn more about the publishers contacted so far, visit: http://osc.universityofcalifornia.edu/open-access-policy/publisher-communications/
Article Usage Data

The above map indicates the breadth of access to UC-authored, previously published papers, now openly available via eScholarship. While there is heavy use in the US and Europe, these articles have now been accessed by researchers and the general public in the far corners of the world.

As expected, the average usage rate for articles deposited in eScholarship increases steadily over time. See below for the 10 previously published papers that have been viewed most in the past nine months.
Top 10 Most Commonly Viewed OA Policy Articles in eScholarship


5. Casemajor, Nathalie; Couture, Stéphane; Delfin, Mauricio; Goerzen, Matt; & Delfanti, Alessandro. (2015). *Non-participation in digital media. Toward a framework of mediated political action*. *Media, Culture & Society*. (UCD: deposited 2014-12) [http://escholarship.org/uc/item/5mg8m5dw](http://escholarship.org/uc/item/5mg8m5dw): 544 views


Version of Record

eScholarship displays the DOI and/or link to the version of record for all previously published articles, which means readers have the opportunity to go from the OA version in the repository to the final published version. Of the 6,173 completed deposits to eScholarship from Elements, 5,673 of those have a DOI or other URL to a version of record. To date, users have clicked on the link to access the version of record for just over 1% of items. We expect that number to grow as we make those DOIs/links more prominent in the course of the eScholarship redesign project (see Next Steps).

Integration with Other Systems

Local Data Sources/Targets

In the midst of rolling out the Publication Management System at the pilot campuses, we established relationships with the teams that manage faculty information systems on those campuses in the hopes of building toward a more integrated model of faculty publication tracking and thus realizing efficiencies for the faculty in their reporting activities. Below are statements from these campus teams expressing an interest in more fully integrating our activities and our systems.

UCLA OPUS --

“Opus, which is the enterprise faculty information system for UCLA, is especially eager to utilize the Elements system in support of academic review. Publication data harvested by the UC Publication Management System (UCPMS) will be integrated with our faculty profiles in the near future. Our campus pilot of UCPMS generated over 50,000 claimed UCLA publications [including many records for publications that predate the OA Policy] that will enrich the CV’s and dossiers of our academics and make it easier for them to traverse the promotion process. UCPMS provides us with a great opportunity to advance bibliographic data management on our campus, increase engagement with the faculty, and grow awareness of open access.” -- Meg Buzzi

UC Irvine MyData --

“myData (http://www.ap.uci.edu/myData/index.html) is an online faculty database used at UCI for tracking faculty’s teaching, research and service activities, and for generating their Review Profile reports. We have already imported publication data from myData into the UC Publication Management System, and the UCI Libraries are currently discussing with Academic Affairs the possibility of creating a process for the full synchronization of publication data between the two systems. UCI faculty have claimed 84,000 publications so far, and a full synchronization would significantly increase the value of
myData for faculty and simplify its workflow, along with an increased awareness of open access and availability of faculty’s bibliographic data.” -- Adrian Petrisor

UCSF Profiles --

“UCSF Profiles Research Networking Software (RNS) (http://profiles.ucsf.edu/about/AboutProfiles.aspx) is an online, actively used, & publicly available networking and expertise discovery platform that provides UCSF faculty with the opportunity to easily maintain a rich public facing record of their publishing and other scholarly activities. UCSF Profiles is also now a source of publication records for the new UC Publication Management System, which was launched to support the Academic Senate’s Open Access Policy at UCSF. Given the successful data integration between the 2 systems, the UCSF Profiles team is eager to begin working on establishing a reverse data flow, which will allow us to extend the coverage of our own system by displaying full-text links and other data about publications that UCSF faculty have claimed and uploaded within the UC Publication Management System. Such an integration will increase the value of the UCSF Profiles system to our faculty, staff and patients and will contribute to the greater visibility and open availability of our faculty’s research.” -- Leslie Yuan

External Data Sources/Targets

We have, additionally, focused on establishing relationships beyond our campus systems to help automate the article deposit process in eScholarship. This too is an area with great potential to lessen the burden on faculty to comply with the policy.

Existing Data Sources

BioMed Central has been sending UC authored publications and related metadata to eScholarship since 2010.

PubMed has a “Linkout” program that eScholarship has participated in since 2010, which allows repositories to submit URLs for open access versions of restricted publications in PubMed that will be added to the PubMed records for those items, thus allowing the public free access to articles behind paywalls.

Potential Data Sources

Dove Medical Press Limited, an open access publisher, is interested in providing publication feeds for UC authored publications. CDL has suggested that they contact Symplectic in order to be added as an Elements data source, but in the interim, Dove is keen to submit publication data at regular intervals and has generated sample data for the three pilot campuses for CDL to evaluate. These data would include publication metadata and the URL for the publication of record. SCOAP3, an open access initiative in particle physics, presents a similar opportunity to capture publication metadata and URLs to open access versions of UC authored content; again, the most efficient path to receiving this data would be an integration with Symplectic Elements.
SHARE and CHORUS represent complementary initiatives to capture and make available metadata and other information about scholarly publications. SHARE addresses this by working primarily with institutionally based repositories to receive, aggregate and then create access to metadata about publications held in those repositories. CHORUS leverages CrossRef’s services, particularly FundRef, to provide access to the metadata and publisher URLs for articles falling under a funder’s open access requirement. SHARE and CHORUS each offer a wider scope of publication data than the existing indexes upon which Symplectic Elements relies, since unlike those indexes, they have no inclusion criteria (other than institutional affiliation for SHARE contributors). We are also watching ORCID as another potentially powerful source of publication data.

Resources/Costs

- Symplectic Elements annual license:
  - Core: $202,399 (currently funded by the Provost)
  - Repository tools: $81,930 (currently funded by the Provost)
  - Reporting database: $25,285 (currently funded by CDL)
  - No additional charges for anticipated Presidential Policy services
- UC Berkeley data center annual charges (currently funded by CDL):
  - Implementation phase: $60,132 (covers UCLA, UCI, UCSF, UCSB, UCSC, UCSD, UCM)
  - System-wide phase: estimated $63,138 (5% increase)
- WalkMe annual license (currently funded by CDL):
  - Support/guidance prompts in the system: $5000
  - No additional cost for Presidential Policy
- CDL staff:
  - 2.5 FTE
  - This calculation does not include campus staff resources. Campus library support has been significant, both in the startup phase and as an ongoing resource for faculty as they encounter the Publication Management System and wish to better understand the OA policies. See the reports below from the three pilot campuses for more information about their library activities in support of the policy.

Next Steps

New Data Sources

SHARE, CHORUS, SCOAP3, ORCID and Dove Medical Press (external data sources discussed previously) all present opportunities to capture metadata or, potentially, articles (or links to other OA versions) for a larger number of publications authored by UC faculty. The most efficient manner of acquiring that data
would be through Symplectic Elements integrations with those sources. Given our strong collaborative relationship with this vendor, CDL can advocate directly with Symplectic for such an extension of their application and can also encourage other institutions to do the same.

Additionally, we can begin to advocate, on a national level, for the establishment of a centralized mechanism for publishers to provide access to publications that are associated with institutional policies -- and a means for IRs to harvest those publications automatically, ultimately eliminating the need for faculty authors to deposit their publications to achieve the goals of the OA Policy.

**Preparation for Presidential Open Access Policy**

The Presidential Open Access Policy circulated for review last year will likely be issued this October. Building on the UCSF and systemwide Academic Senate OA policies, the Presidential OA Policy extends open access rights and responsibilities beyond Senate faculty to include anyone who writes scholarly articles while employed at UC. Like the Senate policies, the Presidential OA Policy will cover scholarly articles for which a publication agreement is signed after the policy is issued and will support embargoes and waivers when necessary. Unlike the Senate policies, some authors (those who do not own their copyright) will need to demonstrate “compelling circumstances” to qualify for a waiver. Authors obtaining waivers will still be obligated to provide a copy of the author’s final manuscript version of their article for archiving purposes, in alignment with the UCSF policy but not the systemwide Senate policy.

**Resources:**

The Office of Scholarly Communication (OSC) is currently developing materials in support of the Presidential Policy, to be completed in advance of its issuance:

- Updates to the Open Access Policy section of the OSC site, including a revised FAQ, new at-a-glance summaries (decision trees) to help guide UC authors in participating in the appropriate policy, and updated quick start guides to the deposit process
- Internal materials to help librarians distinguish among the multiple policies and answer any questions they receive from UC authors, including a summary/talking points document and the aforementioned decision tree
- An updated slide deck that campuses can adapt and use for local presentations
- A press release, which will be developed in consultation with the Presidential OA Policy task force and UC Communications

The Presidential OA Policy, unlike the UCSF and systemwide Senate policies, covers two distinct populations of authors: those who own copyright and those who do not own copyright in their publications. Queries about this distinction and its implications for the policy are outside of the purview of either OSC or the libraries and will be addressed by other UC entities:

- **Questions about whether particular authors own copyright in their articles**
OSC will forward these to the Office of General Counsel. Campus libraries can forward them to campus counsel or OSC.

- **Questions about whether authors meet the requirement of “compelling circumstances.”** These will be directed to campus contacts with delegated authority to handle copyright decisions. A list of these individuals will be included on the OSC site and linked from the waiver and FAQ pages.

**Implementation:**

Implementation of the Presidential OA Policy will involve, as with the UCSF and systemwide Senate policies, a two-phased approach. As of the issuance of the policy, authors will be free to manually deposit their publications in eScholarship in accordance with the terms of the policy. Starting in spring 2016, work will begin on extending the Publication Management System (Symplectic Elements) to include those covered by the Presidential policy, thus automating a good portion of the deposit process.

**Anticipated cost:**

- Symplectic Elements annual license:
  - No additional charges for anticipated Presidential Policy services
- UC Berkeley data center annual charges (currently funded by CDL):
  - Additional $9000 (15% increase -- allowing us to increase our server capacity by 50% to cover the increase in harvested publications anticipated as a result of the Presidential Policy).
- WalkMe annual license (currently funded by CDL):
  - No additional cost for Presidential Policy
- CDL/campus library staff:
  - Unclear what the staffing significance will be of the Presidential Policy since we don’t yet have a sense of the additional numbers of publications we will be managing and authors who will need outreach/support.

**eScholarship Redesign**

eScholarship is the institutional repository and scholarly publishing platform for the University of California. Currently, the site hosts over 80 UC-affiliated journals and provides access to published and pre-published research associated with over 350 UC academic departments, in sum totalling over 92,000 publications (including articles deposited in accordance with the UC OA Policy).

In light of the recent expansion of eScholarship’s role with regard to the Open Access policies as well as the substantial number of open access journals (with increasing OA publishing ambitions) that it hosts,
the site is in need of a significant redesign to ensure that it is relevant and compelling for an increasingly diverse and ever-increasing community of users.

There are three major goals for the eScholarship redesign project.

1. Expanded user-centered features and content usability
2. Robust support for diverse publication models and genres
3. Aesthetic, branding and accessibility improvements

We are working closely with a Library Partners Group and an eScholarship Users Group to ensure that users’ needs are identified and that there is feedback from multiple perspectives and areas of expertise.

The details of the redesign’s progress are being tracked on a wiki:
https://wiki.ucop.edu/display/eScholarship/eScholarship+Redesign+Project
Appendix: Campus Reports

Implementing the UC Open Access Policy at UC Irvine - An Overview
By Adrian Petrisor and Mitchell Brown (UCI Libraries)
October 5, 2015

A. Background
After the UC Academic Senate adopted the UC Open Access Policy in July 2013, UC Irvine volunteered to be part of the first wave of campuses (the other two being UCLA and UCSF) to implement the policy. As an early adopter, UCI implemented this in two phases: i) manual uploads (pre-harvesting tool); ii) using the harvesting tool (aka UC Publication Management System).

B. Phase I (pre-harvesting tool/ manual uploads)
The UCI Academic Senate, UCI Libraries and other campus stakeholder groups worked together to create a comprehensive communication plan, and provide support, training, and FAQs to the users.

First we began a program of public presentations in October during Open Access Week 2013 to announce the UC Open Access Policy and the beginning of manual uploading for faculty publications.

The following strategies/actions were very helpful:
- Announcements from UCI Academic Senate leaders reminding Senate faculty that they had endorsed the policy and reminding them of the goals and objectives.
- Announcements and in-person demos to various schools, departments, and research centers. Announcements to Chancellor’s Advisory Council and Academic Council (Deans Group).
- Updates to the UCI Academic Senate Committee on Research, Computing, and Libraries (CORCL) on the status and progress of the roll-out.
- The flowchart and FAQs on the CDL website are very helpful for answering most faculty questions: http://osc.universityofcalifornia.edu/open-access-policy/policy-faq/
- UCI Libraries’ Scholarly Communications Coordinator, Mitchell Brown, sponsored "upload-a-thons" to various departments/schools---drop-in sessions to help faculty/researchers/department staff manually upload articles. This quickly increased the number of publications manually deposited. UCI has the highest statistics in this area.
• Each of the Research Libraries/Subject Librarians also spread the word, answered questions, and provided support to Academic Senate Faculty.
• One Department approached this as an experiment. How quickly could one upload an article? (1-3 minutes). How long would it take to upload the entire department's academic senate faculty publications? (3 months).

C. Implementation of harvesting tool — (aka UC Publication Management System):

i) Preliminary Work: The implementation of the UC Publication Management System involved a collaboration between the Libraries, Office of Academic Personnel (AP), and Office of Information Technology (OIT).

There were two topics we encountered while working with OIT and AP to implement the Publication Management System, which may be unique to UCI.

• During the discussions with UCI faculty, we heard from many of them that a big and impactful benefit of the UC Publication Management System for their work would be a full synchronization of the publication list between the two systems. The Libraries, OIT and Academic Personnel are currently discussing a possible full sync between the two systems (there is currently a one-way import of data from myData to the UC Publication Management System). Such a full sync would save faculty a lot of time and simplify the management of their publications.

• At the time when the UCI Academic Review system had been launched, Academic Personnel had made a commitment to faculty to keep all their data in the system private (including the list of publications). For that reason, Academic Personnel chose to offer faculty the option to opt-out of having their publication data imported from the local system into the UC Publication Management System, to accommodate potential concerns related to sharing publication data from the campus review system (even if it is public data) with off-campus entities (CDL/UCOP). The percentage of faculty choosing to opt out was very small (2%).

ii) Public Roll-out: Once the UC Publication Management System was ready to be launched, a communication plan was created:

• 2/17/15: Chair of Academic Senate sent the campus announcement
• 2/18/15: Academic Personnel sent their first notice
• 2/27/15: Academic Personnel sent their second notice
• 3/2/15: Deadline for faculty opt-out
• 3/2/15: Email notifications were generated and automatically sent to faculty
**iii) Observations and Advice:**
We found it very important to send out a message prior to the launch reminding faculty that when the UC Open Access Policy was adopted by the UC Academic Senate, there was a request for a mechanism that would make the implementation of this policy more convenient—and that the UC Publication Management System is this mechanism.

The harvesting tool notifies faculty about articles and asks them to confirm that they are the authors. A full-text copy is not provided, so it is up to the author to find the right version to upload into the system.

Faculty with common last names might receive notifications of articles by other authors. Librarians helped to refine and filter this list and can continue to do so. Some faculty write professionally under a different name from their legal name—in these cases, the harvesting tool sent them incorrect notifications. Again librarians helped to address those problems. There has been discussion that using ORCID (unique research identifiers for each author) might address these problems in future.

For articles that are already deposited in open access repositories (arXiv, PubMed Central, etc.) - only a link is needed. In some cases, embargos from publishers might delay the ability to upload right away.

**D. Faculty Involvement:**

The majority of UCI faculty who used the UC Publication Management System have had a very positive response to it. We heard many positive comments regarding the usefulness and functionality of the system. One of the faculty wrote: “I must say, I think that the open access platform looks great. Thanks to you and your colleagues for making this happen.”

Earth System Science (ESS) expressed an interest to gather and make available publications of the 24 department faculty beginning in August 2012, loading manually 925 publications between October 2012-March 2014. UCI Libraries worked with the Earth System Science Department faculty to identify and claim their publications in the UC Publication Management System, then load the documents to eScholarship. Today they have a total of 1,200 publications added to eScholarship. The ESS department was the first UCI department to assign staff members to serve as delegate users (updating and maintaining ESS faculty profiles) in August 2015.

In August 2015, two Law Librarians were assigned as delegates to manage the profile for all faculty in the School of Law. The Library staff are also working individually with the delegate
staff in the School of Social Science and Biomedical Engineering to support their faculty members.

The UCI Libraries staff has worked directly with 51 faculty since March 2015 to help identify their publications and help them to load into eScholarship. Out of the 51 faculty, twenty-nine also used the UC Publication Management System. The total of UCI Faculty Senate members involved with the Open Access policy (through manual publication loading or UC Publication Management System) is 704.

Faculty Research Publications Added to eScholarship for UC Irvine:

Submissions prior to the launch of OA Policy on our campus (March 2014): 168
Manual submissions between March 2014 and March 2015: 3,271

Submissions in first three weeks after the harvester began (March 2015): 648
Total number of submissions between March and September 2015: 2,549
Total publications submitted in eScholarship as of September 2015: 5,888

E. Timeline and Documents:

i) Here is an overarching timeline of librarian communications with faculty at UC Irvine from 2013-2015, which encompasses the two phases. The memos could be modified for use by other campuses:

https://wiki.library.ucsf.edu/display/UCLCKG/Timeline+for+librarian+communication+with+faculty+at+Irvine+-+2015

ii) UCI Libraries also posted PDFs of outreach materials to an open wiki page supported by CDL - these materials could be repurposed for marketing purposes:

Get the Word Out! UC OA Policy Outreach Materials
https://wiki.library.ucsf.edu/display/OAPI/Outreach+Materials

UCLA support of the UC Publication Management System

Report of activities January through September 2015

By Martin Brennan
Copyright and Licensing Librarian, UCLA Library
October 6th, 2015
1. Summary of outreach efforts conducted on the campus from January 1st to September 30th

The bulk of outreach efforts on the OA policy and the impending harvester rollout predate the January launch. Multiple email announcements, other routine ongoing communications such as the library’s Faculty Newsletter, and several open sessions for faculty were employed to get the message out.

Since launch, several additional email messages to clarify support efforts, and numerous department-centric efforts detailed below, have followed.

2. Support issues – frequent questions, overall scope and scale

Since January, the following support statistics have been logged by the Scholarly Communication & Licensing (SCL) staff who monitor oa@library.ucla.edu, the support email address linked within the harvester notification email. (Note: these numbers are likely underreporting the true support picture, as they do not include additional support provided by librarians and staff in other units not tracked by SCL staff, nor does it account for other UCLA support staff’s efforts outside the library.)

- 5 sessions since January
  - By invitation to departmental meetings, or open sessions
  - 123 faculty/librarians in attendance

These were fantastic interactions that allowed us to surface interface issues, explore delegate assignment questions, discuss fulfilling NIH and this policy in the easiest way possible, and much more.

Also, 100 individuals (faculty or their support staff) were helped through one-on-one consultations; some were performed in person, some via telephone and/or email.

In total, **223 individual contacts** were made by SCL staff in support of this initiative from the January launch through September of 2015.

**Support response analysis**

UCLA performed a review of the initial email responses from faculty in the first 3 weeks after the harvester launch in January 2015. We parsed the responses into 3 categories: Bounce-back, Practical, and Philosophical. Note: this covers only the emails to the oa@library.ucla.edu inbox; other questions were received by non-library staff across campus and are not included here. For example, the library advised the Academic Senate chair, Professor Chris Kelty, and others on how to respond to faculty concerns.

**A. Bounce-back messages**

The harvester email bounced back with automated messages in the following manner.
### Undeliverable
- the email was rejected by the system in some way – due to moderator intervention, spam filters, or email address not found - 89

### Returned mail
- mostly “over quota” or some other message indicating an inoperable email address - 21

### Autoreply
- either giving an out-of-office message, clarifying that the faculty member had moved on, or providing a more current email address - 20

| Total       | 130 |

### B. Practical Questions
We classified questions as “practical” if they dealt with procedural questions regarding the policy and/or how to interact with the harvester email and the interface.

#### Faculty emails

<table>
<thead>
<tr>
<th>Total emails with Practical Questions in first 3 weeks</th>
<th>52</th>
</tr>
</thead>
<tbody>
<tr>
<td>I would like personal assistance in using the interface</td>
<td>10</td>
</tr>
<tr>
<td>Login Problems</td>
<td>7</td>
</tr>
<tr>
<td>My name is spelled wrong / try this alternate spelling</td>
<td>6</td>
</tr>
<tr>
<td>I am assisting a faculty member and need assistance</td>
<td>5</td>
</tr>
<tr>
<td>What articles are you referring to? (The list not in the email, so I don't understand.)</td>
<td>4</td>
</tr>
<tr>
<td>Please come to a faculty meeting to explain</td>
<td>3</td>
</tr>
<tr>
<td>I have more citations than what is listed, how can I enter them?</td>
<td>3</td>
</tr>
<tr>
<td>Does this policy satisfy the NIH Public Access Policy, or vice versa?</td>
<td>3</td>
</tr>
<tr>
<td>How do I confirm and/or alter my &quot;claim&quot; selections?</td>
<td>3</td>
</tr>
<tr>
<td>The system is too slow / hard to use, I give up</td>
<td>2</td>
</tr>
<tr>
<td>How can I confirm which articles are allowed as open access?</td>
<td>2</td>
</tr>
<tr>
<td>I am no longer at UCLA</td>
<td>2</td>
</tr>
<tr>
<td>Some items in the list are already uploaded to eScholarship</td>
<td>2</td>
</tr>
<tr>
<td>You have me mixed up with someone else</td>
<td>2</td>
</tr>
</tbody>
</table>
I don’t have time to do this | 2
---|---
I have claimed my articles, do I need to do more? | 1
The articles you have chosen are not my most significant publications | 1
I want the library to be my delegate | 1
Is this email legitimate? Should I open it? | 1
Can I submit the published version of the article? | 1

C. Philosophical questions
We received 4 questions we classified as “philosophical” – questioning the wisdom of the policy in general and/or displaying a lack of understanding of how the policy came about. They required a careful response to explain the history of the policy’s formation and implementation, and in some circumstances it made more sense for the response to come from someone in library administration.

3. Illustrative anecdotal stories / faculty testimonials
UCLA was the first campus to launch this system, and as a result, we encountered many bugs and minor issues typical with such a complicated system launch. This frustrated many users, and our initial feedback mostly reflects this.

As faculty continued to adopt the system for the first time over the ensuing months, we began to hear more compliments about the system from faculty that are glad the system is available to assist in this effort. For instance, a Sociology professor who maintains a “white paper” series on his department’s website, which essentially pulls together the scholarly output of his department’s faculty in one place, was able to leverage the data produced by the harvester to encourage greater participation from his faculty and expand the content of the series.

4. Noteworthy wins/opportunities for librarians to connect with faculty as a result of OA Policy
While UCLA and the UCLA Library have done much to inform faculty of the Senate policy since before its inception in 2013, the harvester was the first time for many faculty to actively take notice of the policy and its implications for their work. In that sense, the harvester itself was a stimulus for faculty understanding and adoption of the OA policy.

Additionally, the harvester launch spurred at least three faculty departments to invite library staff to present at monthly meetings to discuss the policy and the harvester.

5. Average %FTE/month working on this effort this year (both before and after launch of the harvester)
It is difficult to accurately report this number for several reasons:

- Library staff did not actively track their work in this initiative deliberately.
- Many additional library staff, not directly working on this initiative, handled faculty queries on this topic.
- Many UCLA departmental staff members assisted or acted as delegates to support faculty.

At a minimum, we can say this:

- The Library’s Director of Communication contributed dozens of hours of work prior to the launch, and has remained engaged to a lesser extent since.
- IT staff, who assisted in connecting campus sources for faculty data prior to launch and continue to actively monitor and improve that data stream, have contributed dozens of hours of work.
- Library Staff in the Scholarly Communication and Licensing Unit charged with monitoring the oa@library.ucla.edu support email, have contributed .25 FTE on average.
UCSF Open Access Policy Implementation review report

October 9, 2015
Anneliese Taylor, UCSF Library

Launch and use of the Publication Management System (PMS), aka Symplectic Elements

- Prior to the official launch, in August 2014 two UCSF faculty members (Rich Schneider and Geoffrey Bush) spent an hour each with CDL staff getting a tour of Elements and providing valuable feedback as to how to improve the workflow and language to streamline participation in the OA Policy.
- The PMS went live for UCSF Senate Faculty on October 20, 2014
- Notifications were turned on March 31, 2015, at which point all 1,648 faculty in Elements received their first email from the system with a link to their profile.
- By two weeks after notifications went out (April 14, 2015):
  - 453 people had logged in to Elements
  - 101,751 publications were claimed
  - 378 deposits were completed (113 links; 265 file uploads)
- As of September 3, 2015:
  - 723 people had logged in to Elements
  - 128,084 publications were claimed
  - 1,053 deposits were completed (378 links, 675 file uploads)

Campus support for the policy

- Two UCSF librarians, Anneliese Taylor and David Owen, provide support to UCSF faculty and their delegates. The support is triaged based on day of week.
- Questions come in primarily to the oapolicy@ucsf.edu email address since that is the “From” address on the Elements notifications, as well via CDL’s oapolicy-help@universityofcalifornia.edu queue.
- University Librarian Karen Butter and Academic Senate staff members Shilpa Patel and Michelle Sanko (through July 2015) are also on the UCSF email distribution address. Karen receives and responds to some emails directly as well.
- Anneliese and David handled 40 consultations about the OA Policy via email and phone in fiscal year 2014-15, comprising approximately 24 hours on investigation and response time. All but 8 of these consultations occurred after the notifications were turned on, indicating significantly more engagement with the policy since individuals started receiving personalized emails.
- Nature of questions asked:
  - General/overview of policy details: 11
○ Use of Elements or eScholarship: 20
○ Waiver/opt out for an article: 5
○ Copyright with regards to the policy and publisher agreements: 4

● In addition to direct support to queries about the policy, Anneliese spent approximately 80 hours in FY 2014-15 on these activities:
  ○ testing Elements pre- and post-launch
  ○ preparing the text in the notification email from the PMS and updating the letter sent by the EVCP and Academic Senate Chair
  ○ corresponding with CDL, Library staff, campus partners, and COLASC members about the policy, the PMS, and supporting resources such as the 90-second video updated by CDL
  ○ presenting to COLASC
  ○ coordinating the PMS roll-out plan and schedule for UCSF with Senate staffers Michelle Sanko and Shilpa Patel
  ○ updating the Library’s documentation about the Policy, primarily via the web page http://tiny.ucsf.edu/oapolicy
  ○ preparing for and presenting at departmental meetings (details below)
  ○ training David Owen to take on support for the policy

Campus events sponsored by the library or other units

● Faculty Development Day, September 11, 2014 – the Library had a table, staffed by Anneliese and another staff member. We provided information about the Policy and had several faculty asking questions.
● The UCSF Library participated in an Open Access Week event on October 23, 2014 in downtown Berkeley, sponsored by several publishers and open access information companies such as PeerJ and ScienceOpen. Anneliese Taylor presented a 5-minute lightning talk about the UC Open Access Policy and the launching of the publication management system. There were approximately 50 people in attendance from UC Berkeley, UCSF, UC Davis, and from the wider community.
● Library Pop-Ups at Mission Bay, starting October 2014. These are scheduled, three-hour shifts by librarians at the new Library Mission Hall space The Hub, offering one-on-one drop-ins on various topics. Anneliese offers help for the NIH Public Access Policy, the UC OA Policy, and publishing during her Pop-Ups, scheduled once monthly (an example listing). Most drop-ins were for help with the NIH Policy, however questions about the OA Policy started to come up in Spring 2015.

Departmental meetings – invited presentations

Department/date/presented by/# of attendees:
● General Pediatrics/February 11, 2015/Karen and Anneliese/3
● Ob Gyn Bixby Global Health/April 28, 2015/Anneliese/5
● Institute for Health & Aging/June 22, 2015/Anneliese/15
Meetings with the library committee, or other Senate committees

- Updates were provided to UCSF COLASC on a regular basis during the 2014-15 year both during in-person meetings and by email. COLASC members provided feedback on the content of the EVCP letter as well as the PMS notification emails. One COLASC member participated in a PMS testing session with CDL staff.

Collateral such as flyers, postcards, etc.

- No promotional materials were sent out during this report period. The Library is in the process of printing up a 5x7 inch card with the “Exercise your Rights” flyer previously designed. These cards will be mailed to individuals to their physical box number.
- Synapse column

Newsletters/mailings, videos, etc.

- The Library put up a web news item in November 2014 when the PMS was first made available. This announcement was also included in the monthly Library newsletter that goes to all academic faculty and staff.
- Per UCSF request, CDL updated the 90-second video ([https://vimeo.com/121511619](https://vimeo.com/121511619)) to include screen shots and instructions for the PMS
- Anneliese wrote a piece in the UCSF student newspaper on November 5, 2014 called *Green and Gold: an Open Access Primer*. The OA Policy is featured in the article.

FAQs, library guides or other forms of guidance

- The Library updated the UCSF-specific decision tree and the Library web page covering the policy ([http://tiny.ucsf.edu/oapolicy](http://tiny.ucsf.edu/oapolicy)). Information differentiating how to deposit for both Senate faculty and everyone else is much clearer now.

Ongoing Issues

- UCSF adjunct faculty participate in Academic Senate and participate in AS activities, so when explaining the OA Policy we must delineate who is covered and provide details on how to deposit materials for those not in official Senate series. The departmental meetings we’ve attended to date had mostly adjuncts present.
- Many UCSF faculty have hundreds of unclaimed publications, and are struggling with how to resolve their Pending lists without taking up too much time. Sometimes it’s because they are prolific authors, others there are false matches on searches for their name.
- Some authors are uploading the final, published PDF instead of the final manuscript, and others provide a link to PMID instead of the full text PMCID. Modification of the language in the notification email should help provide clarity.
• Faculty are already managing their publications in My Bibliography (My NCBI), UCSF Profiles and Advance, Google Scholar Profiles, and other tools. They (and their delegates) need to be able to match these lists up to the publications in Elements to avoid duplicating their work.

• Anneliese has tested exporting publications from My Bibliography and importing them into Elements, and will document the steps. Even with these steps outlined, it will require dedication on the part of the person doing the process.

• Users can configure their Elements profile to link to their ORCiD record. Additional testing with ORCiD, the persistent, unique digital identifier, is needed so that it can be promoted as a method to improve matches and reduce “not mine” matches.

• Since so many UCSF faculty receive NIH awards, they have to comply with the NIH Public Access Policy. There is a fair amount of confusion as to how the OA Policy differs, and how to provide a link to a PMCID when available. Integration of that data element as soon as it’s available via PubMed would help, so that authors don’t have to seek it out.