

LOCH: Email templates for REF/OA deposit

As part of the LOCH Project, the University of St Andrews developed a set of email templates to encourage deposit of accepted manuscripts into our CRIS (Pure). The primary driver is compliance with the REF Open Access Policy, with the aims to spread awareness of policy requirements, emphasize the need for acceptance dates and explain specific actions to be taken by researchers. Original versions are at <http://hdl.handle.net/10023/7506> covering several scenarios.

Our latest revised email along with our full workflow is included here for reference.

1 Overall approach

Would this work in your institution?
What are the pros and cons?

2 Content

2.1 Is it all about REF?

How much do you want to rely on the REF/OA policy?
Do you have other / more important / better advocacy messages to emphasize or include?
Might some researchers react negatively?
Does 'REF' need further explanation?

2.2 How long is too long?

At what point would a researcher stop reading?
Should the order be changed?
How detailed do deposit instructions need to be?

2.3 How many versions do you need?

How many scenarios do you realistically need to cover?
Will you review and edit the text based on feedback or deposit results?
If the policy changes will you change your message?

3 Timing

3.1 What actions will prompt sending of emails?

- Creation of a record in your system
- Discovery of a publication in an external database
- Request for an APC
- Other?

3.2 Repeat offenders

How many times would you email the same person?

How long would you wait for a response?

4 Roles and responsibilities

Who will actually send the emails?

- OA support
- Library liaison
- Research administrators
- Local school/faculty staff?
- Other?

Who will respond to queries that arise?

What follow-up activities would you expect and can you resource a high response rate?

Will you accept manuscripts sent by return email, or insist on self-deposit?

5 Recording and monitoring

Will you keep a record of all emails sent?

Will you monitor response by individuals?

How would you deal with 'no response' or active refusal?

How long would you sustain this approach?

6 St Andrews email template (revised Apr 2016)

Subject line: **Accepted manuscript required for Open Access compliance**

Article title, *Journal title* (or paste citation from Pure)

Pure ID:

Dear _____

As you may know, the [Open Access policy for the next Research Excellence Framework](#) states that in order to be eligible for submission to the next REF, articles and conference proceedings are to be deposited in an appropriate repository as soon as possible after acceptance. As of 1 April 2016 the policy is fully in force, and we need to ensure all University research outputs will be eligible for REF.

We are using Pure to comply with the new policy, and are asking all researchers to 'act on acceptance' and deposit new articles in Pure when they are accepted for publication.

There is currently no accepted manuscript deposited in Pure for the article(s) listed above, which was identified as a newly published/accepted research output in scope of the REF Open Access Policy.

- If you have it available, please send us (or upload in Pure*) the 'Author Accepted Manuscript': *this is your version of the manuscript following peer review and including any revisions of an academic nature. Please do not upload proofs or final published versions*
- Please add the full acceptance date using the *Add publication status and date* tab in the Pure record, or reply with the date so we can monitor deposit timeframes for REF compliance. If you prefer you can forward your acceptance email to us.

***How to deposit:**

<http://www.st-andrews.ac.uk/library/services/researchsupport/openaccess/deposit/>

In Pure, please upload manuscripts by clicking on 'Add electronic version'. (Do not add manuscripts in the 'Other files' section). If you require help with deposit please contact us for advice. If you would like help with using other areas of Pure, please contact the Pure administrator: rpo@st-andrews.ac.uk

Please note there are some exceptions to the Open Access requirements, so if you have any questions please contact the Open Access Support team: openaccess@st-andrews.ac.uk

The Library will continue to advise on other funders' policies and to pay eligible Open Access costs for RCUK and Wellcome Trust-funded papers.



Jackie Proven, Repository and Open Access Services Manager, University of St Andrews Library.
LOCH Project

7 REF monitoring workflow: sourcing AAMs

7.1 Filters (Pure 5.x)

Set monitoring filters for each School/Dept as follows:

- **Managing Organisation Unit** – select School or Department and Tick ‘Selected and all underlying organisations’
- **Period – Publication year – Interval: 2015 – 2020** (should include items at Accepted status)
- **Period - Content created date - Past 6 months**
- **Electronic version – File – limit to ‘Does not have a file associated’**
- **Type – Journal templates except Abstract, Editorial; Specialist publication:article; Conference Proceedings** (though see note on proceedings below)
- **State** – Limit publication state to Accepted/In press, E-pub ahead of print and Published
- **SAVE as ‘REF checking’ filters**
- *Note risk of missing items in incorrect templates and publication states – additional filters to be set up with all content types/states for periodic checking*

7.2 Criteria

- JP to set which Schools should be contacted as a priority
- Check if item really is ‘in scope’ for REF OA compliance monitoring: is an article or conference proceeding (note items might be on incorrect template)
- Check item does not have existing comments from OA team
- Check if item is published or accepted (should be marked as peer reviewed)
 - If published – source the online version via DOI or by browsing to journal
 - If showing as Accepted/In Press – check in case it is now published. If not found, amend email template to reference accepted status
- Check if item is validated
 - If already validated, check existing history and comments. **Any deposits on validated records MUST be set to backend at this stage, until re-validation checks done**
 - If item not validated, file being deposited can be set as open
- Check if publication is already Open Access through the Gold route – the publisher should show this, and usually the © statement will include a Creative Commons licence – if already OA and with a CC licence, add this version to the record and validate. (Instructions at OAtteam\Pure tasks and workflow\Pure-standard-workflow-tasks\Workflow-GreenGold-Publisherpdfs.docx)
- If item is not available with a CC licence, or on list of standard publisher pdfs allowed, source the AAM...
- If copyright status is unknown, add Comment (or email to) KB/MB/JP

7.3 Workflow

- Find the correct St Andrews author to contact – choose the first of
 - Author who created the record
 - Corresponding author if identifiable
 - First internal author listed
- Click on the author name to see their contract detail
 - If it is 'Person: Honorary' (ie retired staff) then add a Comment that no REF monitoring is required and do not contact
 - If it is 'PhD student' try and find a staff name. If none see JP
 - If it is 'Former staff' then find a current staff member to contact, or note that no REF monitoring is required
- Source the Author's Accepted Manuscript (AAM) and Date of Acceptance using standard email template
- Add comment in Pure "Author contacted for AAM"
- Add details to spreadsheet at OpenAccess\OAteam\Pure tasks and workflow\REF-monitoring_authors_contacted-Nov2015.xlsx

7.4 Deposits and follow-up

- If AAM and date of acceptance is received by email, MB/KB/JP to notify KK that AAM has arrived by adding a comment in Pure or forwarding email, whichever is most efficient (depending on response/action needed). Mark email with KK category
- KK to add comment in Pure "~FP~ AAM deposited on behalf of author" and update spreadsheet
- Item will move out of monitoring filter and into validation filters for KB/MB/JP
- Check spreadsheet weekly to review and see if authors deposited AAMs
- If Date of Acceptance included, note success in spreadsheet and leave record for validation
- If Date of Acceptance not recorded, email back to author to ask
- If AAM is not forthcoming within 3 months, add 'no response' to spreadsheet

REVIEW May 2016 Comments on exceptions / non-compliance to be added as an additional step

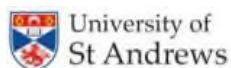
7.5 Emails

- Always email from openaccess@st-andrews.ac.uk
- Set signature on your PC for this account as:

[Name, Position]

Repository & Open Access Support| University Library
University of St Andrews | North Street | St Andrews | KY16 9TR
E: openaccess@st-andrews.ac.uk | T: 01334 (46) ext. 2319 / 2320 / 8851

Essential information about Open Access: <http://openaccess.wp.st-andrews.ac.uk/>



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