# JISC Final Report

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## 1. Acknowledgements

RePosit is part of the jiscDEPO programme and was funded by the JISC. As well as the main Project team members at the partner institutions and organisations (University of Exeter, Keele University, University of Leeds, Plymouth University, Queen Mary University of London and Symplectic Ltd), we would like to thank Gill Still and Richard Jones, who were both on the Project team for part of the Project's life. Richard was the Project's key technical advisor and a driving force in setting up the Project in the first place. The Project is indebted to the Repositories Support Project (RSP) for helping us share in their event as a major dissemination opportunity, and we are grateful to the organisers of other events (ARMA conference, RepoFringe 2010 and 2011, Symplectic User Community conference, Research Libraries UK conference) for giving us the opportunity to speak to the wider deposit community. Finally, the members of the Project's Google discussion group were an invaluable resource as expert panel members willing to answer questions and discuss topics.

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## 2. Project Summary

The RePosit Project was funded under JISC funding call 2/10 – under the Deposit of Research Outputs strand. The purpose of the call was to fund projects which would ensure 'take-up of solutions that enable and encourage author deposit of Open Access research outputs into repositories by embedding deposit into research or related practice.'

The RePosit Project partners were all in the process of introducing a Research Information System (RIS) integrated with an institutional repository – and the purpose of the Project was to explore whether use of the RIS could increase the number of full-text deposits in a repository. Different partners were at different stages of this integration, had different repository infrastructure and/or were at different stages of repository implementation/take-up. All partners were introducing Symplectic Elements[1] as their RIS – perhaps better described as a researcher-facing publications management system.

Our intention was to understand the effectiveness of using a RIS as the primary user interface to the institutional repository by: gathering user feedback; compiling a commentary on the issues surrounding repository/RIS integration; considering strategies for increasing uptake of repository deposit; and producing materials to support these strategies. A key part of the Project was to engage with a wider community – institutions that were using other RIS software in order to develop a sustainable discussion within and across the repository and research manager communities – in order to consider the applicability of lessons learned.

The Project was successful in a number of ways: the partners benefitted greatly from the shared experience; substantial project outputs were produced which will benefit a wider community (advocacy materials, exemplar advocacy plans and training strategies); an extension to the repository community was spawned – with currently active discussion about the RIS/repository model (and other models); increased knowledge about the RIS/repository model resulting from wide dissemination. Outcomes varied across the partner institutions – the number of deposits in the respective institutional repositories did show a moderate increase at sites where the repository was previously well established (i.e. where there is good previous data to compare with), but some institutions were not able to produce good comparative data to demonstrate an increase. The primary conclusions from the Project are:

- The deposit tool (i.e. a link for depositing full-text from a researcher-facing publications management system) enables engagement with the repository, and encourages use by academics who would otherwise not have done so.
- Technology is not enough to fix the issues with encouraging deposit. Copyright is still the primary reason that people don't deposit, whilst awareness of the repository and its existence is still a major factor.
- Integration and interoperability in scholarly systems is far from a solved area, and significant more work in development and cooperation between universities and commercial partners is required.
- Institutions should ensure appropriate project planning and local resources are in place to handle the RIS-to-repository connection, including, for established repository services, effective handling of existing repository data and careful handling of transition advocacy to local stakeholders.

[1] www.symplectic.co.uk/products/publications.html

## 3. Project Outputs and Outcomes

| Output / Outcome | Brief Description/URLs |
|---|---|
| Materials for re-use | A series of customisable (to local names/logos/URLs) advocacy posters and postcards: https://qmro.qmul.ac.uk/jspui/handle/123456789/1200/browse?type=title&submit_browse=Title |
| Other materials | Advocacy and training strategies, i.e. an exemplar from each of the five project partners: https://qmro.qmul.ac.uk/jspui/handle/123456789/1200/browse?type=title&submit_browse=Title |
| Reports | Final report available at: https://docs.google.com/document/pub?id=1lP0-lwkZBB-3tzb1gcvOJlW11dB750yfyRmfIZgI7Oo<br>User survey report – results and analysis included in final report (results: Appendix 4, conclusions: section 6.7) |
| Change in behaviour | Generally there was an increase in repository holdings at the partner institutions and in depositors (based on both anecdotal evidence from advocacy/training events and the survey results, and the statistical evidence, i.e. repository content count) – see the individual institutions' under section 7.<br>**Leeds:**<br>• Modest though not dramatic increase in deposit (reinforces what we already know: significantly more advocacy and outreach is needed to alert depositors to the new deposit method and to continue to promote the advantages of open access to research).<br>• Spontaneous deposit by those 'discovering' the Deposit Tab in Symplectic often came from early career researchers depositing conference presentations/papers (these researchers are aiming to raise their profile and reputation and see the immediate personal benefits of open access).<br>• The proportion of deposited publisher PDFs has also grown: most of these files cannot be made openly available. (This deposit pattern increases the number of metadata-only records in our repository. However, there are potential advantages in capturing all types/versions of research outputs (explored in section 7.3 below). All deposits offer us a good opportunity to explain versioning/open-access issues to academics and hopefully influence their future deposit behaviour.<br>**Keele:**<br>• Repository grew from nothing to over 150 articles – some academic staff have now incorporated deposit as part of their research management process.<br>**QMUL:**<br>• Some anecdotal evidence, through sustained uploading of new content, that academics are engaging with the repository for self-archiving purposes – which is encouraging for the future.<br>**Plymouth:**<br>• Despite no live repository link, advocacy work very positive in raising awareness about PEARL and increasing its profile, plus the added functionality of the future integration with Symplectic Publications. For example, at a presentation to the University Senior Team meeting, both PEARL and Publications were endorsed and priority given to surfacing information on the externally visible Staff profile pages, so as to increase the visibility and accessibility of the university's research. |

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| Knowledge and relationships built | Increased knowledge in the community about the use case, through continued presentations at appropriate events and conferences and engagement with the community – for example, working with other JISC projects such as RSP, SONEX and Kultivate.<br>The setting up and use of the Project's Google discussion group (https://groups.google.com/forum/#!forum/reposit), has now led on to one member looking at initiating a combined ARMA/UKcorr 'super-list'. |
| Feedback on Sherpa RoMEO | The Project identified a high level of confusion among academics and other depositors regarding the Sherpa RoMEO colour scheme (which is displayed in Symplectic's Repository Tools interface), and has fed that back to the community through participation in RoMEO events and via the Google Group. |

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## 4. Project Overview/Methodology

The aim of the RePosit Project was to increase use of a web-based repository deposit tool embedded in a researcher-facing publications management system – in the case of all the partner institutions, Symplectic's 'Repository Tools' (see Appendix 5) linked to Symplectic Elements Research Publications Management system. Use of a common front-end that a researcher associates with all publications management-based issues should enhance the quantity and quality of full-text deposits into the institutional repositories. Tying deposit into other publications-based activities such as manicuring data for the institutional website, preparing grant applications or government returns embeds the activity more centrally in the academic workflow and demonstrates that repositories can play a part in the researcher's daily activities. This approach shows that a deposit mandate could be viable for the partner institutions. One of the key ideas behind the Project was to see how different institutions at different technological stages would need to approach the advocacy. Does an institution such as Keele University, with a brand-new repository as well as a brand-new deposit tool, take a different tack to an institution such as the University of Leeds, with a relatively longstanding repository and where advocacy plans have been in place for some time?

| Attribute | QMUL | Keele | Leeds | Exeter | Plymouth |
|---|---|---|---|---|---|
| New Repository | x | x | | | x |
| New to Repository Tools | x | x | | x | x |
| Shared Repository | | | x | | |
| Shared Elements | | | | x | x |
| DSpace | x | | | x | x |
| EPrints | | | x | | |
| IntraLibrary | | x | | | |

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*Table 1: the spread of attributes at each of the partner institutions, demonstrating the spread of conditions that the advocacy programme would have to address*

A key part of the Project was to develop a general advocacy strategy which could then inform a specific advocacy plan (each institution wrote a plan specific to their situation containing these strategies, for their own use and for future sharing) to be put into action. Other project work included gathering feedback from users and administrators (formally via a survey and also via more informal channels) and creating a community commentary (started through the Project's Google group). Alongside the discussion group, project team members used different events and conferences as forums for disseminating the Project's existence, activities, outputs for sharing, and so on.

In terms of project outputs, the original plan was to produce both generic advocacy material and generic training material. Although an extensive collection of re-usable advocacy materials (presentation slide bank, posters and postcards) was produced, as the Project progressed it became clear that in order to be useful, training materials needed to be tailored to local needs (in terms of language used, the systems referred to, plus the local support mechanisms/processes). For this reason, no generic how-to guides were produced. Furthermore, project team members found that advocacy and training activities are inextricably entwined – and therefore the each institution's advocacy plan contains both types of activities (rather than in two separate plans). Included in the

project plan was the idea that training workshops would be separate events but, like with the materials, it soon became clear that the advocacy could not be separated out.

The initial project work included a review of the current status at each of the partner institutions, and a review of previous JISC project work in related advocacy or technology areas. This exercise was invaluable in ensuring that RePosit Project activity and outputs were built on previous lessons learnt. Projects and initiatives that were reviewed included: IncReASe, CTREP, Embed, Embedding Repositories in Research Management Systems and Processes and EM-Loader (full references in section 12 of this report). The results of this literature review[2] then informed our planning at the second project team meeting – the key lessons being:

- Create advocacy plans across institutional silos – that is Library, Computing and Research Support units should work as one team (combined advocacy across departments).
- Advocacy should be tailored/targeted whenever possible – to the needs of the department/subject area/institution (be aware of cultural differences/barriers in different institutions).
- Advocacy is most effective when embedded in the organisation's culture and in the researcher's work/life-cycle. Advocacy is not a one-off activity – need regular reminders, but also many routes to raising awareness.
- Best practice tips:
    - Demonstrate usability
    - Don't use repository jargon
    - Demonstrate value/benefits
    - Key benefit is the one point of submission for integrated systems
- Be aware of costs of advocacy materials

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The project team developed a comprehensive list of benefits for using a linked RIS/repository model and then mapped these against stakeholder groups (e.g. academic researchers, senior management, librarians). Interestingly, many of the benefits were for depositing in general, rather than specifically via the deposit tool; however, any of those more general reasons could be converted by applying the 'deposit tool makes it quick and easy' argument as well. The mapped benefits against stakeholders formed the basis of the Project's reusable advocacy presentation slide deck[3], from which one can pick and choose the most appropriate points to use with a particular audience. Finally, advocacy mechanisms and strategies were described and listed, and the project partners were each able to develop institutional advocacy plans – aimed at their stakeholders and using those methods and strategies most appropriate to their individual context.

*Mechanisms:*

- One-to-one sessions
- Interactive info
- Group presentations
- Workshops
- Passive info
- Viral dissemination

[2] http://jiscreposit.blogspot.com/search/label/literature%20review
[3] http://qmro.qmul.ac.uk/jspui/handle/123456789/1725

*Strategies:*

- Using 'champions'
- Targeting new academics
- Targeting early-career academics
- Blanket awareness-raising
- Targeting engaged groups
- Top-down vs bottom-up
- Carrot vs stick
- Using sponsors
- Creating an advocacy group

In order to test use of the slide bank, project team members developed two example presentations – one for senior managers, and one for academic researchers – drawing on the slide bank according to the stakeholder group (the slides in the bank are all marked with codes to indicate which benefit/reason/selling point should be used with which stakeholder group). During the third project team meeting a mixed group of willing 'guinea pigs' (academics, research support staff, senior managers) agreed to give feedback on these example presentations. This testing was invaluable – giving informative feedback which was used to tailor the partners' institutional advocacy plans. The key feedback points were:

- The presentation should be short and focused
- Ensure key positive points are made early e.g. quick and easy to deposit (no re-keying of metadata)
- Points relevant to 'you and your research' will resonate most strongly with researchers (local evidence is always better, and it's important that researchers understand that this is a sales pitch for their research)
- Concrete examples, evidence (statistics) and stories are needed to engage the audience
- Include a summary slide
- Leave the audience with a simple take away message – a strap line?

Alongside the advocacy plans, the Project was committed to producing designs for printed advocacy materials that could be used not only by the partner institutions but more widely by the community at large. After a couple of false starts the Project Team decided to focus in on a punchy, memorable and simple message or strap line – on two media formats, posters and postcards. Several different approaches were worked up; some examples are given below.

- Spotlight on Your Research
- Don't Hide Your Assets
- Be Seen, Be Read, Be Cited, Create Impact [can remove 'Be Cited' for institutions with many non-science faculties]
- It's as Easy as 1,2,3... Login, Upload, Share
- Login, Upload, Expose

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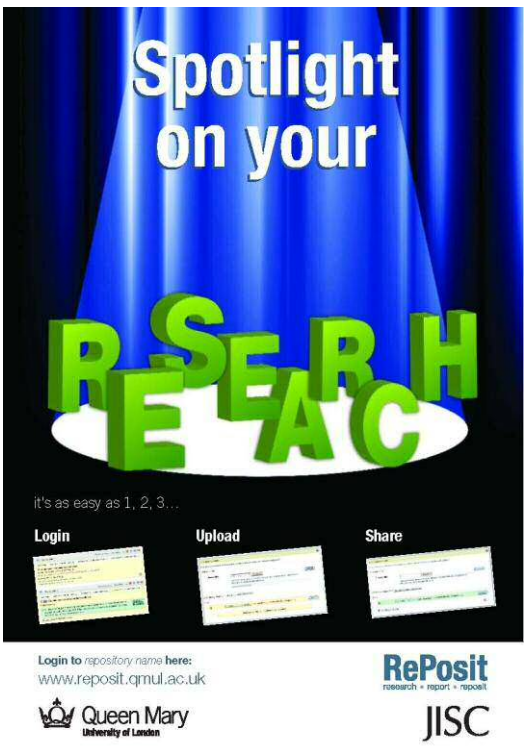


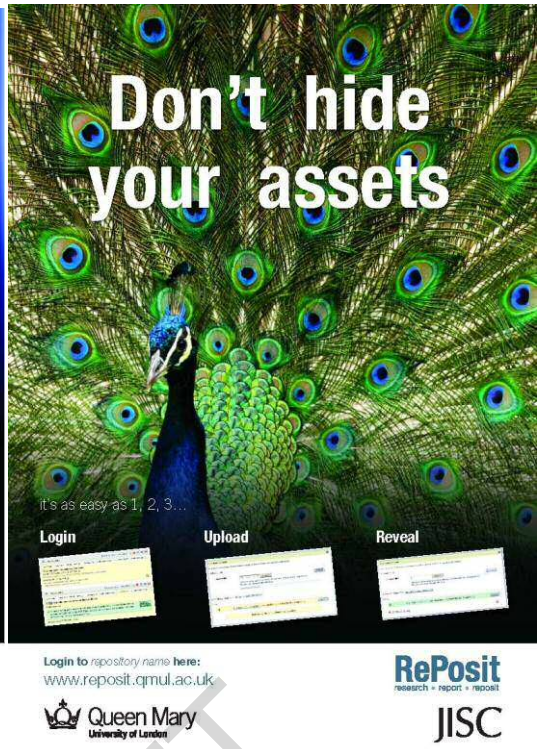


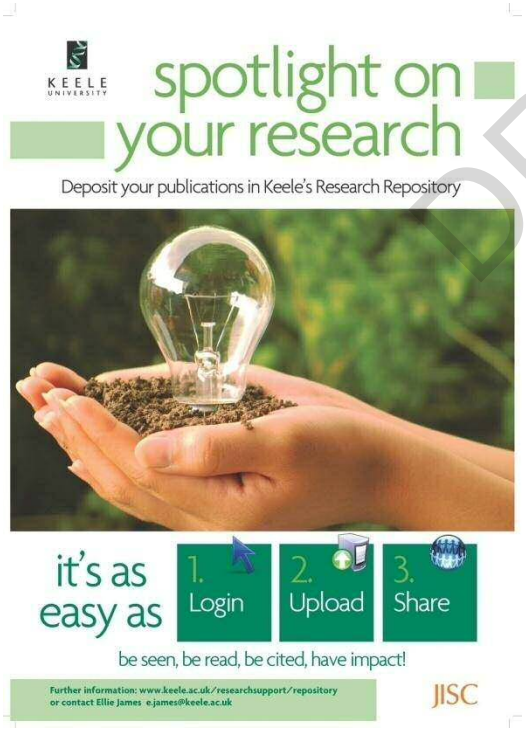


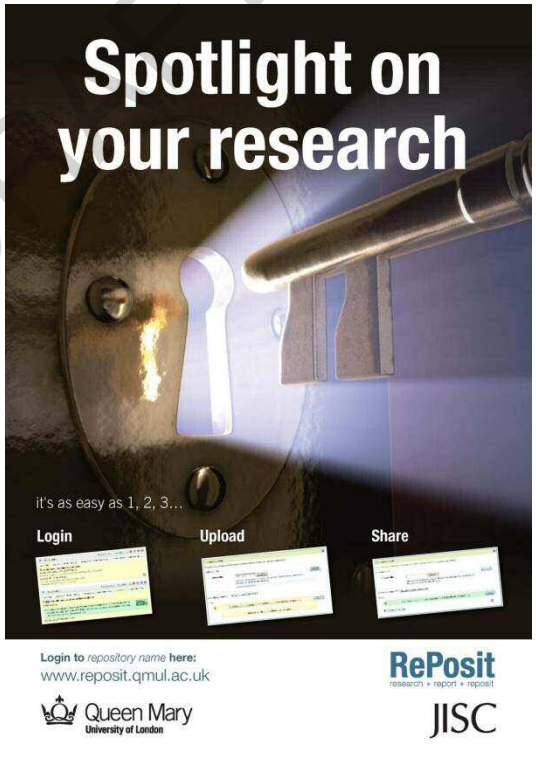


In order to be able to see how the advocacy affected the number of deposits into the institutional repositories and how it affected the number of people depositing, we agreed to take statistical readings of deposits and depositors and keep a record (originally every three months, but then monthly). Early reviews of those initial figures then exposed the issues of both different varieties of full-text (e.g. those in workflow or with a temporary embargo) and what a 'unique depositor' is – which, in the case of the mediated deposit model, could mean the author of a deposited article rather than

the person who actually did the depositing themselves. Each institution, therefore, would gather their own versions of depositor statistics and a cross-institutional analysis would not be possible. In addition, Symplectic developers wrote a report to output the number of publications in each institution's research management system (split out by SHERPA/RoMEO colour) as a measure of the potential deposits. These statistics are shown in Appendix 1.

Whilst advocacy activities were underway at each institution, each partner site launched a user survey. BOS[4] was used for ease of sharing generic questions and for later analysis. The aim of the survey was to garner feedback on why people were depositing and what did/didn't work for them. Attempts were also made to access those potential users who are not depositing into their repository. The original plan was for all project partners to run a survey using five core questions centred around awareness of the repository and publication systems. It became quickly apparent after the core questions were decided that in order for the survey to run successfully at each institution local language would need to be introduced e.g. inserting PEARL into the questions for Plymouth instead of the generic term 'repository' and so on for each site. It was then agreed that each institution would run the core five questions individually with local language inserted in specified places and each site could also add additional questions as long as it did not detract from the RePosit data. Each institution would reward a random participant with a £100 Amazon voucher as an incentive to filling out the survey and giving feedback on the services. The results of the survey are given in Appendix 3, and the analysis is explained in section 6.7.

As a project team, we had been involved in a number of dissemination events (see section 7.6), culminating in the RSP conference event held in Nottingham on 19th July 2011.

Unfortunately, there were various difficulties and delays with the implementations at both the University of Exeter and Plymouth University, resulting in less time being available for advocacy activities with a functioning connector. However, the project work was still invaluable at those sites for the purpose of preparation and also the sharing of experience and ideas. Teamwork and collaboration were key themes for the project and the joint working practices have created supportive relationships – in effect a real basis for the community-building project aim.

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[4] http://www.survey.bris.ac.uk/

# 5. Institutional Context

## 5.1. University of Exeter

The work for the RePosit Project at Exeter took place against a backdrop comprised of two key activities:

- an existing project relating to the roll-out of Symplectic Elements, to facilitate enterprise-wide management of research information
- a shared system / service arrangement with Plymouth University, with Exeter as the supplier

The activities required to produce the RePosit deliverables can be summarised in two related work streams, namely technical implementation and advocacy.

The technical work to implement the Repository Tools link unfortunately suffered various delays, some arising from the unavailability of personnel (sickness absence, change) and others arising from technical issues (workflow integration etc.). As described in more detail under the Plymouth University section 5.4, what had to be developed was actually a Multiple Repository Tools link. The technical work stream has led to closer working between the Library and IT teams, however, and also led to the production of some additional DSpace code to resolve a problem. The latter problem is not unique to Exeter, so the locally developed solution is an unexpected, but additional, output for the RePosit Project. Despite the issues, the project team is now on the verge of conducting the last remaining tests before roll-out.

The advocacy work commenced with the development of a detailed advocacy and communications plan[5] (see Appendix 2). This utilised the various governance structures of the University, alongside other opportunities, to ensure appropriate and timely delivery of advocacy, to maximise exposure and ensure the embedding of the new deposit methodology in the institutional mindset. This plan has been in effect for some time and has already delivered tangible outputs ahead of the roll-out of the actual software (evidenced, in part, by the anticipation of many stakeholders for the release of the tool).

It would be amiss not to mention the shared services aspect. Whilst the arrangement has brought the two project partners closer together, a few contractual and related issues complicated the earlier part of the RePosit Project, contributing to some delay for both partners. However, following the resolution of those early issues, the team effort across both institutions has been a positive experience.

## 5.2. Keele University

During 2010/11 Keele University implemented its Research Repository. The University had not previously had a repository, and was therefore in a unique position of having a zero base line of deposits, with no previous awareness raising of the benefits repositories. However the University was in a good position, having already implemented its Publications database (Symplectic Elements), and the repository having a direct feed from this significantly improved efficiency. The interface was with the University's existing learning and teaching repository provided by Intralibrary, which had not been previously linked to Symplectic Elements, but after several months' technical work, Keele University and Intralibrary created an interface based on Symplectic's existing DSpace repository interop tools.

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https://docs.google.com/viewer?a=v&pid=explorer&chrome=true&srcid=0BxkgsmGiuFfvMDQzMTc5MTItNDdlOS00MjVkLTliYjMtNzNlMGE3NmVhY2Zm&hl=en&pli=1

This period of technical work seems relatively short when compared to other Institutions, although this significant workload/resource should not be underestimated.

At Keele, academics 'self archive' using the publications database to add their research object to the repository (they are not able to deposit straight to the repository as this won't include metadata). The publications database utilises Sherpa RoMEO data, indicating to the academic which version the publisher allows to be deposited. Due to lack of resources, and to facilitate maximum engagement with the academic community, Keele is taking a 'risk management approach' to the repository. This means that it allows outputs to be go straight into the repository (and therefore searchable on the web), which will not be held up in a checking 'workflow' in the library (as is the practice in some universities). There is a systematic audit of deposits, which will focus on publishers with difficult copyright permissions to ensure they have been followed. To support this approach the University has a robust 'take down' policy to try and minimise institutional risk from inappropriate material being made available through the repository.

Once the repository interface was working, the repository was released across the University – following an advocacy plan[6] with the following aims, all of which have been achieved:

- Launch Keele's research repository
- Raise awareness of the wider context of research repositories (to target groups across the University)
- Encourage academic staff to embrace depositing research objects as part of their routine research process
- Increase deposit activity (from zero baseline)
- Incorporate this activity within the University's research strategy

A key part of the plan was a presentation to Research Committee, which included senior leaders from across the University. They gave their strong support to the project and invited further advocacy work, along with setting up a working group to consider the electronic deposit of etheses. Following on from this positive response from senior leaders at Research Commitee, advocacy work continued across the University, and Keele-specific advocacy materials were produced (posters and flyers).

The most effective advocacy seemed to be presentations to research groups with a live demonstration of how to upload to the repository (via the publications database), where individuals felt able to ask questions directly – this often resulted in deposits following the presentation. (Note: the presentations were tailored to the users using the slide pack with Keele-specific tailoring). However, there were some colleagues who tried to upload to the repository but were quickly 'put off'. This is predominately due to issues around complicated copyright and having the correct version of a paper to satisfy the publishers' rules. Sometimes the RoMEO colour coding confused matters further, by providing 'green' publishers that do not allow final version PDFs to be uploaded (which is often the only copy saved). Once academics found the process confusing, they disengaged completely with the repository.

A further key aspect which is outside the scope of this project, but was a significant contributing factor to engaging academic colleagues, was having the Publications database and repository link directly to academics' staff webpage profiles. Therefore, as well as the output being available in the University repository, it is also available to download from their personal webpage.

The immediate impact has been an increase in the number of (full-text) deposits to around 160. There has also been an increased awareness of repositories across the University, with some staff

[6] https://docs.google.com/document/pub?id=1-DW1IRltQIyhEgPFNhz-Bun57_-rJ2QYsifnIX3a1p0



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incorporating this into their research-management processes. The University has recently approved and is now implementing electronic deposit of research theses for all research degree students commencing study in 2011/12 but with an option for current students to utilise this facility. Continuous advocacy work is required to remind colleagues of the benefits of the repository, and to encourage their engagement. This engagement will be strongly supported by the University at a high level, and will be incorporated in its Research strategy as part of promoting the University's research.

### 5.3. University of Leeds

The local open-access repository, White Rose Research Online (WRRO), was established in 2004. The repository mainly holds textual research outputs (etheses are held in a separate sister service, White Rose Etheses Online). Over WRRO's lifespan, we have demonstrated steady but modest growth. Work to embed the repository into researcher workflows has been an ongoing challenge for us, as Leeds is a large, complex institution. It has been tricky to raise and, as importantly, *sustain* awareness of the repository service. Symplectic Elements was, from the off, a high-profile service (borne out by our RePosit questionnaire results[7]), publicised and promoted widely in the context of REF. As soon as Symplectic Elements was procured there was no question that we would not link the repository to it – asking researchers to deposit into two systems was untenable. Plus, we saw the Elements link as a valuable opportunity to improve the profile, accessibility and uptake of WRRO. The repository link was promoted as part of the initial Elements roll-out – primarily through open invitation events. However, as the link between the two systems was not immediately in place, we were unable to fully exploit this early publicity. Through RePosit, we aimed to consolidate our initial work with Symplectic, ensure that the connector was put in place, feed back user experience (depositor and repository staff) to Symplectic and refresh WRRO promotion in the new 'linked system' context.

Various groups were targeted throughout the project – primarily through presentations at formal meetings and more informal conversations about the deposit route.[8] The new Elements-based deposit route was demonstrated to Library staff including subject librarians, and Library Academic Representatives. A presentation to the Library Strategy Advisory Board (LSAB) helped raise awareness of both the new deposit route and the rationale for open access research dissemination. LSAB have agreed to actively promote and support open-access (OA) deposit, commenting that the deposit route looks simple and that this simplicity is a key selling point for researchers. LSAB could also provide support for institutional drivers and incentives for deposit, which up to this point have been lacking at Leeds.

To support awareness of the repository connection, we worked closely with our central Research Office and central IT department who jointly support Elements with the Library. Monthly discussion meetings began and these have been very valuable. The main face-to-face support for Elements users is provided by a member of IT staff; he is aware that research can be deposited and has promoted awareness of the repository connection. Beyond RePosit, we will continue to share experience and work together to address common questions and problems.

Our local priorities (set by Leeds Research Board) were to target the Faculty of Engineering and the School of History. We made sure the relevant subject librarians were aware we would be targeting these two areas.

[7] 70% of respondents were aware of Symplectic N=255; 57% had used it N=205. NB figures include administrative staff – the percentages for academic staff are higher –across Lecturers, Research Fellows, Senior Lecturers, Senior Research Fellows, Readers and Professors, 90% were aware and 78% had used N=183.
[8] https://docs.google.com/document/pub?id=1pLO_K3Uf8JNQ0i5m8QSnzuBL3srxJsP03uvopIYrUPk



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The RePosit questionnaire was disseminated widely using Leeds researcher email lists and a link from the Elements home page. We encouraged researchers *and* administrators to complete the questionnaire. The timing (4th July to 5th August) was effective, catching staff between exams and vacation. We received a larger than expected response (N=362). All RePosit partners offered a chance to win a £100 Amazon voucher; we delayed announcing our winner with a view to making the most of publicity opportunities in the Autumn 2011 term.

## 5.4. Plymouth University

The research repository at Plymouth University is called Plymouth Electronic Archive and Research Library (PEARL, http://pearl.plymouth.ac.uk) and runs on DSpace software. PEARL is currently used for the direct submission of ePHDs and, since 1st October 2010, it has been mandatory for students to deposit a copy of PHDs.

Plymouth has also implemented Symplectic Elements Publications Module, which was launched here in June 2010. To date, over 30% of academic staff have logged into Publications and there are currently over 12,500 approved publications. Symplectic Elements is run as a shared service between the University of Exeter and Plymouth University and the single instance is hosted at Exeter. The Research Information Management Systems project plan outlined the implementation of Symplectic's Repository Tools with PEARL to integrate the two systems. Plymouth is going to use a self-deposit model. Publications then connects, via a Multiple Repositories Tool (MTR), to two separate research repositories at the respective universities. This is a unique set-up for Symplectic.

The PEARL Communication strategy[9] was written in Autumn 2010. The key aims were:

- To raise awareness and understanding of PEARL and the wider context of research repositories, Open Access and copyright to support and underpin key University objectives, research centre objectives and individual researcher aspirations
- To gain the endorsement and support for PEARL from Senior Management and key research stakeholders such as Research Centre coordinators
- To increase the number of users depositing items in PEARL and the numbers of items deposited in PEARL

Key messages included that submission is quick and easy, all within one interface, Publications, which gives benefits and meets requirements of both the researcher and institution. The strategy included awareness-raising of both the university services and the wider context, accompanied by practical information for users as core activities. This was approached in a variety of activities/methods:

- Communications to senior university staff – meetings and presentations
- Practical training sessions – four 90-minute sessions, demonstrating both Publications and PEARL with opportunities for practical use and questions
- Producing statistics, updates and capturing real-life examples to enhance presentations and keep key stakeholders informed
- Creating an internal staff support site with supporting documentation including two guides – a submission guide and a guide to interpreting RoMEO policies, using an acronym of CAVE (Conditions, Acknowledgements, Versions, Embargos) to give a sequence of steps to work through

[9] https://docs.google.com/document/pub?id=15SVWsOl3UP3-8BDwiC1Yx9PHCqry2GM6WxLA5ZuxLvM

- Posters and postcards – will be produced when new university branding logos has been confirmed

It is essential to note at this point that the full communication strategy and activities have not been carried out as originally envisioned. Despite concerted efforts, the Repository Tools integration is not live and at the time of writing it is still not possible to specify a live date for the integration. The project risk of having one commercial partner with limited internal resource, together with limited resource within Plymouth University, was exacerbated by the unexpected contractual and technical issues that have beset the implementation process. The time and technical work required to implement RT was underestimated and unexpected by both the company and Plymouth. It is fair to say that the uniqueness of the set-up (the complexity of implementing a system for two universities running a single version of the Symplectic Elements software between the two institutions) and factors beyond anyone's control, such as staff resources, have also added some complexity and delay. It is important to note, though, that the shared service set-up only contributed to difficulties regarding contracts, which were resolved in January 2011, after which the creation of the MTR was very swift and has been mitigated by the development of an effective shared-service working partnership between Plymouth and Exeter.

### 5.5. Queen Mary, University of London

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At Queen Mary, there had been a previous attempt to set up a repository as part of the Sherpa-LEAP (London E-Prints Access Project), which Queen Mary joined in 2005. Whilst Sherpa-LEAP was highly successful elsewhere, the then E-Prints @ Queen Mary was not, experiencing delays whilst policies for obtaining and archiving content were put in place, and momentum was lost in actively obtaining the content itself.

With a new Research Publications Management System project beginning in September 2008, an opportunity arose to both establish an institutional repository and also to introduce a simple method of deposit that would enable academics to self-deposit without the need to manually create metadata within the repository interface. Whilst there was no prior experience of mediated or self-deposit at QM, there was a perception that self-deposit using the repository interface was a barrier to deposit, due to the need for separate authentication, a new interface to learn, and the time required to create metadata.

*The Communications Strategy for PubLists and QMRO at Queen Mary*[10] was developed in light of the lack of previous advocacy activity, with the assumption that it would be more beneficial to begin from scratch in considering advocacy for open access, institutional repositories and, more particularly, the new Queen Mary Research Online, launched on-campus in April 2010. The strategy therefore encompasses all stakeholders, methods of dissemination and communication, with a view to providing the full breadth of options for speaking about and demonstrating the benefits of both open access and this particular deposit method.

Queen Mary Research Online was publicly launched in July 2011, after a period of bug fixing and approval of a substantial corpus of content. Advocacy, particularly in demonstrating the method of deposit, began in earnest at this time.

The Communication Strategy has since been taken up as a formal College plan for dissemination and communication of information on open access and QMRO, and has therefore been included in the

[10] https://docs.google.com/document/pub?id=1WUBsSh5IaWTJMwGmGtzTyeXeRnvKlK8E97--6n72nWo&pli=1

Professional Services Planning Round, with the expectation that the various elements of the strategy will be both carried out and reported on.

In disseminating information, we have largely so far focussed on ad hoc one-to-one and 2-minute pitch style delivery, partly because of the time of year, with academic staff taking extended leave or undertaking research during the summer break. The main programme of advocacy will begin with a week of events around Open Access Week in October 2011.

At the outset of the project, QMRO had 38 items approved, 491 in the workflow waiting for processing. These had accumulated over the previous three months from an initial set-up drive, and were delayed in the system whilst workflows for dealing with deposited items were agreed and tested. Over the course of the RePosit Project, statistics have shown a steady number of deposits and depositors to QMRO, with 234 items having been deposited and either approved or temporarily embargoed as at September 2011. In isolation, it is impossible to say whether this is a result of the simplified deposit model, or initial enthusiasm from spontaneous depositors. Again, monitoring will help to clarify this in future.

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# 6. Project findings and Lessons Learnt

The project was a significant learning experience in a number of different aspects.

## 6.1. Technological

- There is a great need for deposit automation; even small barriers to use, or complexities in the process, can permanently put off potential depositors
- It is easy to underestimate the challenges of integration and interoperability as well as the issues which arise from shared services. The project was significantly more complex and time-consuming than anyone had expected.
- RePosit partners were surprised by how much local customisation was required with some code needing to be written from scratch even where there are existing customers with the same repository platform. There is a risk in all situations where vendors may overstate the simplicity of the system.
- Vendors should offer more structured help for connector planning and implementation
- Uploading content is easy but the uploaded versions are problematic. Co-authors may not have the relevant version, which may reside with lead or corresponding author.
- It is hard to collect statistical evidence about deposits; statistical reports need to be easy to generate and be based on well-defined concepts, but reliably tracking downloads and author engagement across papers with multiple authors is difficult.
- Symplectic's RoMEO colour report breaking down potential deposits by institution was an unexpected addition to the project – being specially written to meet the needs of the RePosit community. This report would be even more effective if it could be broken down by academic unit. Some partners found this report valuable, others less so.
- Institutions need to consider the degree of synchronisation between a research management and repository system: do changes in an Elements record with a live repository equivalent generate a new version of the repository record, or overwrite the live repository metadata – or, once a record has been validated, is it effectively 'locked' in the repository so that subsequent changes in the Elements record are not reflected?
- Joining up of two systems increases the file handling, complexity and load on the repository staff. System architecture and workflows should be planned in addition to managing expectations of depositors would assume files will be live upon upload.
- The deposit process could be simplified by allowing depositors to agree to the deposit licence (click-through licensing) once for all items, rather than having to agree separately for each.

## 6.2. Organisational

- With all of the partners at different stages, it was expected this would provide diversity to the project. While this is true, it also brought with it delays due to technical issues. It may have been better to wait until all partners were live before beginning the project, as that would have made the timelines easier to predict.
- One of the bottlenecks in the project was due to Symplectic, since a number of clients involved in the project had yet to complete the roll-out of their Repository Tools Module. While Symplectic did endeavour to meet the project requirements, there were instances where delays to the project timeline arose from technical issues.

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- Staffing resources within Universities for highly technical projects are easy to underestimate, and the project suffered set-backs due to staff unavailability (illness, etc), and had to call in more staff to manage their technical projects.
- Getting the system live and running the system requires two different sets of staffing resources.
- Working with other institutions in a similar position was a very positive experience; the project partners had colleagues they could call on in similar positions to validate their experiences and provide advice, support and a sounding-board for ideas.
- Collaboration and relationship building: people can be nervous about revealing what they don't know; therefore a trusted and safe community is very important for open discussion of issues. Peer discussion can be a quicker and more appropriate way to solve problems than relying on the software vendor to be able to answer more complex questions.
- A shared service can add complication – but RePosit helped to bring shared-service partners together.
- There's a passion to get the connector model to work despite the difficulties because we can see the benefits. Huge commitment from library and research colleagues.
- Project management: it was useful to break the project into small workgroups. This helped individuals focus and work towards achievable goals. Without the smaller groups, actions could seem overwhelming. Skype meetings were very helpful – there was otherwise a danger of partners feeling isolated, particularly where partners were geographically dispersed.
- Most project partners reported that the project meant increased working and engagement with other teams and departments across their institutions. This has provided opportunities for discussions and raising the profile for Symplectic Elements and the repository as well as the staff managing and running these services. This heightened profile has, in some cases, extended to wider research information management issues and services.

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### 6.3. Terminology

- The RoMEO colour scheme, which is presented to users via the deposit tool, is confusing. It is valuable for domain experts such as librarians, but can be tricky for end users. Highlighting journals where the final published PDF can be made openly available would be very helpful. The RoMEO data is presented in a simplified version at the initial point of deposit; it is important that this wording does not mislead depositors. It would be useful to undertake further assessment of the optimal way to present RoMEO data via a third party system, including academics' interpretations of publisher policies presented in this way. How RoMEO data is used may also depend on the local deposit model, for example, whether deposit is mediated or unmediated.
- CRIS (or RIS) is a good catch-all term; not everyone felt it was the most appropriate description for Symplectic Elements. Discussion of the CRIS+repository model can be terminologically clunky because a variety of terms are in common use for commercial and in-house CRIS-type systems.

### 6.4. Policy

- Publisher policies are often confusing or obstructive.
- Factors outside of the control of the project were an issue, such as institutional attitude. Any institution's priorities may change over time (even on quite short timelines), and they can be difficult for a single project to influence.

- There was uncertainty over whose battle Open Access is. Is it down to the institution, the Vice-Chancellor, the Funders, individual authors or libraries – or all of the above?
- Academics tend to be positively predisposed to repositories/OA but this doesn't often translate into deposits.
- Cutting journal subscriptions may have an impact; it will bring home to academics the fact that not all material is accessible to everyone.
- We need more statistics that can help with service planning and advocacy.
- The results of our questionnaire confirm the findings of other studies – most academics are willing to deposit if mandated.

### 6.5. Advocacy

- The creation of 'generic' advocacy materials was very challenging. In addition, taking the generic materials and re-applying them to a specific situation required more work than expected.
- Generic materials work to a point but really need to be institution specific – such as including screen shots from their repository and incorporating local deposit statistics – as this is what catches attention. There was some tension between generic needs and local needs, such as the choice of tag lines and images. This was highlighted by the pilot presentations delivered to a group of researchers, library staff and research support staff at the University of Leeds. The feedback given indicated that presentations should be short and concise and to have impact; they need to be institution specific and highlight the benefits to individual researchers as well as the institution; the key benefits have to match the audience and these benefits will also vary across subjects as well as institutions. This meant that the RePosit group realised they would have to edit the bank of standard slides and enhance them with specific information, local statistics and case studies.
- Institutions should decide whether researchers need to know there are two systems at play in the CRIS+repository model. Depositors may become confused unless advocacy is carefully handled. Although advocating a single integrated system is attractive, this approach risks diluting or even losing the core open-access message.
- Symplectic Elements and similar systems can embed very quickly into institutions, as they are at the heart of research management; potential depositors are often familiar with the system and this is helpful for both online demonstrations and in encouraging full-text deposit as a natural part of research management.
- Fulfilling funder open-access mandates provides a compelling advocacy case; this case is strengthened where CRIS+repository systems link funder, grant number and associated (open-access) research outputs.

### 6.6. Other

- The project looked at one barrier to filling repositories – the deposit method – but this can't be taken in isolation. There are other barriers that need sorting out. Are the rest of the barriers even more fundamental? The biggest barriers are perceived to be publishers' policies and the academic deposit culture. Cultural change seems the most difficult to address.
- Academics' requirements are very varied – e.g. a group of Keele scientists wanted to make sure no pre-peer-reviewed material was added – they even wanted the system to be locked down to

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ensure no pre-peer-reviewed content could be added. Academics can be concerned about the quality of other research deposited in the repository – they don't want their research to 'sit alongside' it. Academics don't always grasp how repository data is exposed and used in practice.

- Feedback from depositors about automatically harvested metadata is positive. However, not all subject disciplines are equally well served by the available data sources offered by Symplectic and similar systems. It's important not to oversell the automated elements of the system to less well-represented disciplines.
- Automatically harvested metadata will vary in quality and decisions need to be made about what level of quality control will be applied; this is relevant for metadata-only and full-text records.

### 6.7. Survey Analysis

The user survey (see Appendix 3) was carried out during different periods depending upon the academic calendar at each institution (and also dependent on the stage of integration implementation at each partner site). Keele was the first to run the survey (1st June to 31st July), followed by QMUL (21st June to 31st July), Leeds (4th July to 5th August) and Plymouth (17th August to 9th September). Exeter decided to wait to run their survey until their linked systems were fully live. Academic activity during these periods may have affected response rates as Keele and Plymouth had very low numbers in contrast to QMUL and Leeds.

The five core questions were:

1. Are you aware that the University of X has an institutional repository called XXXX where you can upload your full-text publications and view others?
2. Have you personally uploaded full-text versions of research output into XXXX?
3. What was your incentive for uploading research output into XXXX, **OR** what would encourage you to upload in the future?
4. Have you not uploaded full-text versions of your research output into XXXX?
5. What would be the best means to provide you with information about uploading into XXXX?

The survey results (see Appendix 4) clearly show that lack of awareness of the repository and copyright concerns are the two main barriers to deposit. Over 50% of the respondents for question 1 at Leeds and QMUL stated they were unaware of the open-access repository where they could deposit full-text materials. As Leeds had 362 respondents out of the 555 total and QMUL had 165 respondents, the data begins to reinforce what we already know about the ongoing and continuous work around advocacy. Keele demonstrated an inverse result – most likely due to the fact their repository was a new service and survey participants were directly contacted and selected. Keele respondents were a target audience already aware of the resources so those data points do not reflect the rest of the survey. Plymouth had 8 survey respondents and a new connector. Exeter has yet to run the survey due to technical delays at this point. Leeds faculty and research support staff were emailed en-masse via list-serves in addition to having the £100 Amazon voucher incentive advertised on the Symplectic homepage.

It should also be noted that each institution added additional questions to the core five questions and also changed the order to questions and the text in questions 3 and subsets of 4 resulting in complex survey analysis. Some questions were changed in such a way that no comparative data is available. One of the most revealing statistics came out of question 4a ("Why did you not upload?"), which was not changed. The numbers demonstrate again that awareness and copyright concerns are the major barriers to deposit in addition to understanding which version can be deposited and – reinforcing the

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findings from question 1 – 54% of respondents stated they were unaware of the repository. Of primary importance is the fact that we have valuable data and feedback from our users but, with hindsight, the difficulties in tailoring a set of questions for each institution have led to a lack of comparator data.

The overall conclusion to be drawn from the survey responses must be: it is evident that we have even more work to do in order to embed in the research life-cycle, create easy deposit routes, and train people on copyright. However, there is a clear trend towards linking deposit with funder mandates, i.e. an increased awareness linked to recent publicity regarding EPSRC (and other) directives to deposit research – as indicated by some of the quotes:

> "…. publicise it please and train me up on it!"
>
> "Open access is now required by EPSRC so is very important to us."

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# 7. Impact

## 7.1. University of Exeter

With the Advocacy Plan underway, the RePosit Project has ensured time to focus specifically on raising awareness of repositories. It has led to a greater understanding of the level of knowledge/awareness of repositories and to the identification of some of the main obstacles to deposit, e.g. which version of a paper to be deposited, the signing of copyright over to publishers. This, in turn, will permit the tailoring of training materials and inform the practical advice and support delivered alongside repository advocacy.

For the Library, the Academic Support Consultants (ASCs) across all campuses have become much more engaged with repository and Open Access (OA) activities in general through greater consultation with the Repository Manager. All ASCs have contributed ideas to the advocacy activities and will contribute to their delivery. Some have already commenced, such as filming researchers, who are heavy users of the repository, talking about the benefits (with the aim of putting the films on the new Repositories website as peer-to-peer advocacy).

Cross-departmental collaboration has led to a clearer understanding of what other related activities are being undertaken across the University – particularly those that may affect the direction of repository and OA work (such as the Research & Knowledge Transfer Division – RKT). The greater communication and co-ordination will reduce duplication of effort, increase effectiveness and improve consistency of guidance.

With regards to the researchers themselves, the opportunity for new relationships with researchers has been identified, in part, for example, by using initial testers as future advocates of deposit in their academic units. These new relationships have also led to the identification of previously unknown collections of publications that could, with a little work, be uploaded via the new tool to the repository as soon as it is live.

Within the broader institution, the purpose and value of repositories is starting to be recognised more by a wider section of researchers. Part of the Advocacy Plan has been to target the Assistant Directors for Research (ADRs) in the academic Colleges, who, it is hoped, will cascade knowledge to their researchers.

The internal Symplectic project board, chaired by the Deputy Vice-Chancellor for Research, has also presented an ideal opportunity for advocacy. This board has witnessed some key discussions that have led to invitations to present at other high-level meetings and, potentially, to consideration of a more holistic approach to research monitoring, outputs and deposit.

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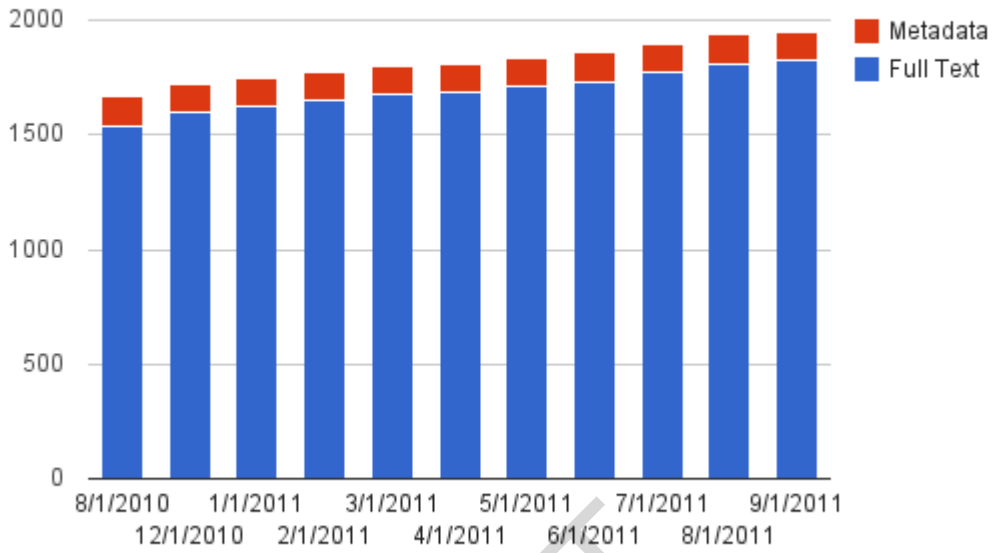
**Exeter Deposit Growth**

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## 7.2. Keele University

Awareness of the benefits of a research repository has significantly increased across Keele University. Coupled with this, the knowledge that Keele now has a repository and the logistics of how to deposit is widely understood. However, understanding the benefits and how to do it is one thing, but actually doing it is different.

As part of the advocacy campaign, the vibes coming from the academic community were very positive. The principle of a repository and the benefits of promoting the institution's research excellence were widely and strongly supported. However, the administration behind uploading each paper and checking copyright information was often seen as quite cumbersome, when academics could be spending time actually doing their research. Colleagues did comment that the Symplectic interface made deposit as simple as it could be, with minimum effort required.

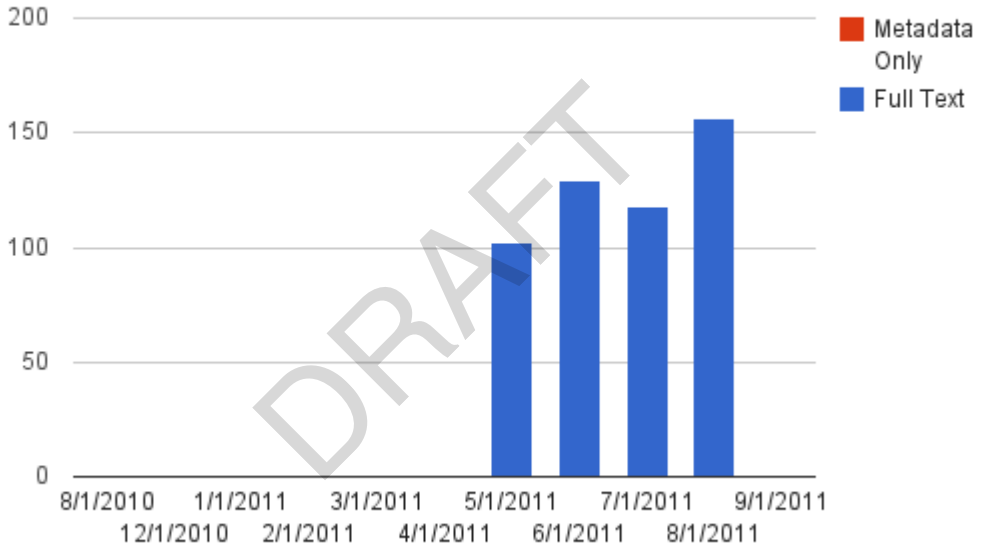
Often requests were made for administrators to upload papers on behalf of academics. This was undertaken centrally where possible (when final version PDFs could be sourced and were allowed); however, in a vast majority of cases the final version PDF was not allowed into the repository so researchers would need to be contacted to supply their version of the paper. Obviously this is extremely resource intensive and therefore not possible and, even if it were, academics have commented that they often only store the final version PDF. Therefore future awareness-raising will concentrate on this aspect.

The results from the survey confirmed this analysis and noted that reassurances about copyright issues would encourage further deposits. Some academics tried to engage with the repository but found copyright just too complicated and offputting; some managed to get past this, only to find their paper(s) being taken down by the centre as they had misunderstood copyright – this often led to negative experiences and therefore disengagement. However there were other academics who just

seemed to 'get it' and deposited all of their papers, and will incorporate deposit as part of their research management process – these academics have almost become self-nominated 'repository champions' encouraging and showing their colleagues how to deposit.

Looking back to before this project started, the University (stakeholders) has made a significant step forward in understanding and utilising its research repository. It will take some time for processes to embed across the academic community, and constant advocacy work and reminders will be needed. In some areas of the University benefits for meeting funding mandates are being recognised, along with the wider benefits of having these papers available in the repository and therefore on our webpages to promote our research excellence.

**Keele Deposit Growth**




## 7.3. University of Leeds

The Project has strengthened our working relationship with Symplectic, Leeds Research Support staff and Leeds IT staff. It has given us the opportunity to discuss and reflect upon our new IT architecture with other repository services – in both RePosit and non-RePosit institutions. This has helped us review our service from fresh perspectives and will help to inform future changes as we manage new content.

We have learned that many of the advocacy issues are exactly the same in the new linked environment as in our previous stand-alone repository service. However, the CRIS/repository link gives new opportunities to address these well-known challenges. In particular, when CRIS functionality is optimally deployed, a single deposit should satisfy multiple researcher needs: easy deposit, publication list feeds for web pages, increased impact and visibility and linkage of grant details with outputs to demonstrate funder OA compliance. We do not offer all these selling points yet – but the possibilities are clear and the benefits worth the extra effort of the link in the long run.

In other ways, the nature of the service has been changed – including advocacy. It's not possible to discuss the repository in isolation any more – depositors will make no distinction between CRIS and repository systems. In many ways this is a positive outcome as it means a larger support community – in the case of Leeds, working with the Research Office. It does mean, though, repository staff need a good understanding of Symplectic Elements and any day-to-day issues which depositors may wish to feed back e.g. extracting data from Elements in multiple formats, screen design, help text and so on. Effective communication and expertise-sharing between all those involved in supporting *both* the repository *and* the CRIS are vital to ensure we're all 'on message' and providing researchers with optimum information and help. So, in essence, the complexity of interactions has increased – hopefully influencing deposit – and we are now are making inroads into the entire research lifecycle as opposed to being an endpoint file-store.

Elements is an administrative system with a comprehensive record keeping function. Should the link to this type of research support system change our collection policy for the linked repository? We have always targeted open-access content for the White Rose repository – and continue to do so. However, academics may naturally want to deposit various stages of an academic work, including any final published versions, in one place. We need to consider whether a repository has a revised function in this environment – to complement the CRIS by enabling the deposit and curation of any and all versions of a work. Leeds has not reached definite conclusions about this yet. Of course, whatever approach we take, we will have to be careful that the difficult task of collecting research for open dissemination does not take a back seat.

Implementation of the connector was not without growing pains. Early technical difficulties with the repository connector had a knock-on effect on advocacy. In our experience, instituting a repository connector consumed much more staff time than we thought it would; it is not 'plug and play'. Connection is particularly complex where there is a body of pre-existing repository records which must be 'linked' to their Elements counterparts. We were a relatively early adopter of both Symplectic and the EPrints connector so there was limited repository community knowledge and support to draw on. We were concerned – perhaps too concerned – about making 'wrong' decisions about how the two systems should interact. Early testing also suggested the connector could overwrite and degrade validated metadata in EPrints records. So, although our Elements-to-EPrints connector was up and running early in the RePosit Project and academics were able to deposit, technical concerns held us back. In retrospect, this was an error – we should have actively promoted the link in any case. The deposit mechanism was not perfect, but it was effective from the depositor perspective albeit less satisfactory from the repository staff perspective.

The Elements/EPrints link is not a magic bullet. Departmental variations in deposit behaviour have been carried over to the new environment: those who are engaged with OA continue to be so; those who are not won't suddenly be converted because of a deposit route change. Two short case studies may serve as examples.

**Leeds Engineering Faculty**

Engineering researchers in Leeds have a history of engagement with WRRO and this Faculty show the largest use of the new Elements-based deposit route. The Dean of the Faculty, who supports open access, circulated publicity about the Elements/WRRO link to all staff, emphasising deposit could fulfil EPSRC's open-access requirements. Email publicity was followed up with face-to-face meetings – mainly to gain feedback from users and non-users of the system. Deposit is still not simple enough to satisfy all the Engineers: feedback shows they want a one-click upload process from within the Elements-generated publication alert email. They also need a simple way to

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generate a list of Elements publications with and without documents attached. Our questionnaire shows awareness of WRRO is good in Engineering compared with other Faculties[11]. So the key challenges to improve uptake are technical improvements and reminders to deposit.

**School of History**

Historians did not deposit much into WRRO and on the whole do not deposit using the new route. In part this is due to lack of awareness – there is much more we need to do locally to promote the service. However, in contrast to the Engineers, some Historians feel open access is not relevant, even inappropriate, to their discipline and choose to expose their research via different vehicles on the web. Here the challenges are more fundamental – explaining and advocating open access, raising awareness of research funder policies and so on. Technical considerations will follow later in terms of which repository is most appropriate to house their outputs. Initial advocacy to History has helped us to understand disciplinary differences and we have established a supportive local contact in the School to work with the team post-RePosit.

The EPSRC mandate[12] in June 2011 proved a very timely and useful advocacy tool; it prompted more enquiries and requests for information/presentations than anything else in the RePosit project period. The continued evolution of research funder policies gives us yet more common ground with our Research Office colleagues and good reason to work very closely together for our mutual benefit.

We have collected deposit statistics throughout the project, and plan to collect very similar statistics into the future to monitor deposit patterns.

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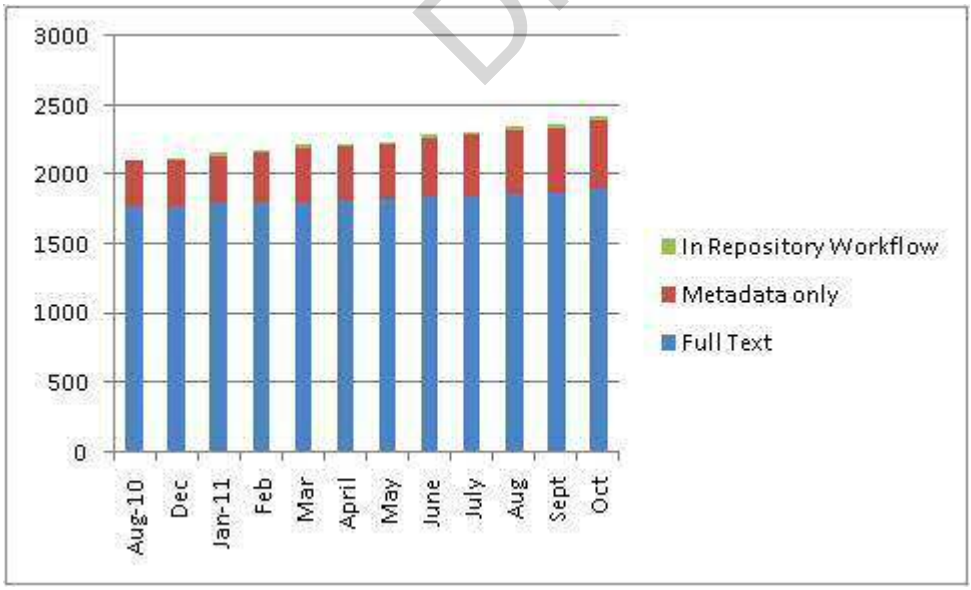
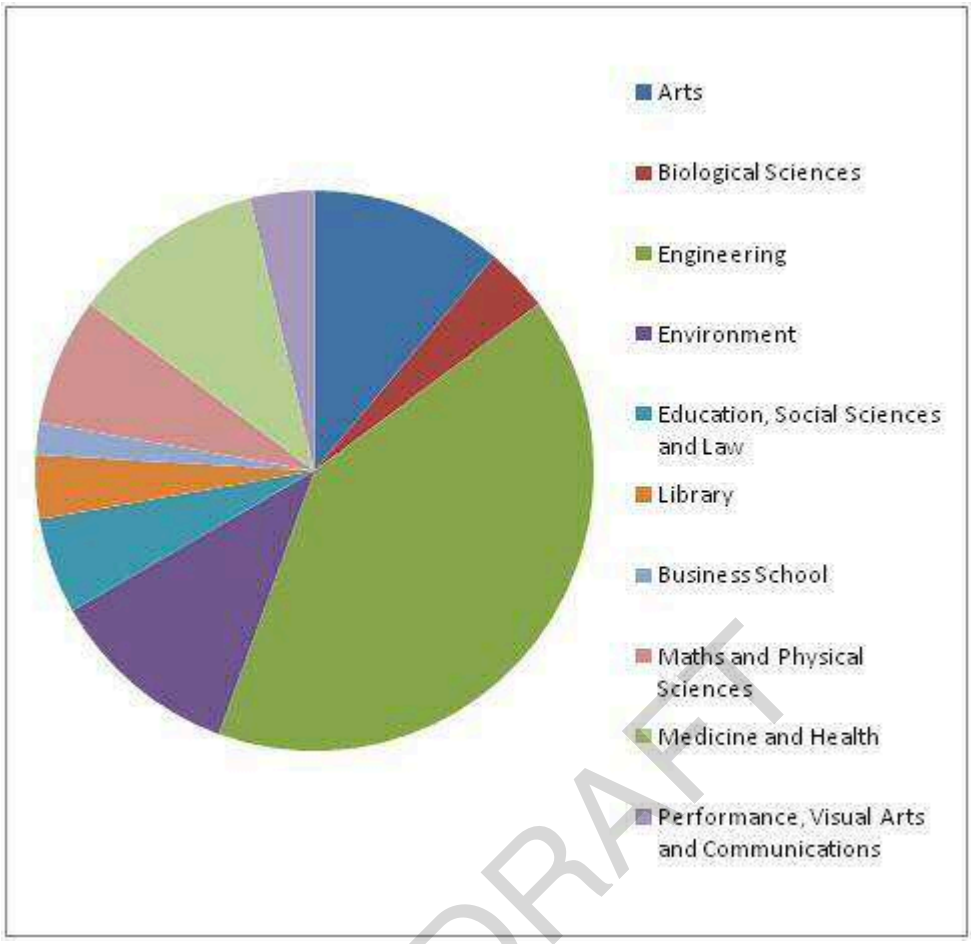
## Leeds Deposit Growth




[11] Based on our RePosit questionnaire 76% of Engineers are aware of WRRO compared with an average awareness of 42%. NB these figures include research and administrative staff. WRRO awareness amongst researchers, particular senior researcher, is higher: 71% of Senior Research Fellows, Readers and Professors are aware of WRRO N=93. Questionnaire N=362; Engineers N=49)
[12] http://www.epsrc.ac.uk/about/infoaccess/Pages/roaccess.aspx

**Deposit (using the Symplectic Elements Full Text tab) by Faculty**

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### 7.4. Plymouth University

The repository statistics do show an increase in holdings in PEARL; however, this relates to ePHDs which have either been self-deposited directly to PEARL by students (the advocacy for this happened outside of RePosit activities) or as part of bulk uploads by Library staff. The large increase seen in May/June was due to a retrospective digitalization of paper PHDs which was done by Library staff directly into PEARL.

Gaining feedback from staff on the integration tool, using piloting on Test systems and the RePosit survey have all been used to inform the support documentation and advocacy materials. Staff need more clarity around copyright, publishers' policies on RoMEO, RoMEO colours and versions/terminology. The overall response was that the process is simple, but it is the consideration of whether an output can be submitted and/or which version that takes the time and causes confusion. Researchers reported perceived benefits such as meeting funder requirements and having a sustainable and open-access location to store grey literature, conferences and supporting evidence for REF Impact statements. A key benefit was raising the external visibility of research via surfacing the information from Publications (Symplectic Elements) and PEARL on Staff Personal Profile Pages. These benefits will be highlighted in future advocacy activities.

The fact that both Publications and PEARL are new systems and the advocacy is delivered by the same staff, meant that joint advocacy could be delivered. In one sense, this was positive as it

highlighted the integration between the systems and introduced the idea of managing the record as well as the full text. The integration did cause some confusion especially as session leaders were also discussing the integration of Publications with PPPs, and staff were getting confused over the systems and the connections between them. The integration also exacerbated users' concerns around Publications especially with the extent of their research outputs picked up by the automatic harvesting and misconceptions around this, what can be added to Publications/PEARL and concepts of quality and submission to the REF. These concerns are now explicitly addressed in training sessions.

The advocacy highlighted that, for some researchers, the concepts were familiar so they were more likely to see the benefits. For others, the contents of the session were completely new and as they could not see an immediate need, which in many cases was reinforced by a lack of perceived benefits, or lack of relevant publisher information on RoMEO, some concluded that 'PEARL was not for them'. The Pilot demonstrated that it would be best to roll out faculty by faculty as opposed to the whole institution at one time, in order to have the staffing capacity to provide support as well as addressing the often subject-specific nature of questions and concerns.

The long-term aim is to continue the discussions about Open Access and PEARL with senior university managers to secure their endorsement and support for PEARL. This has started with a presentation in May 2011, but it was felt not sensible to fully roll out the communications strategy and activity plan without the live integration to give coherence as well as a need to place the emphasis on securing endorsement for Publications first. Open Access Week, beginning 24th October 2011, is seen as a key milestone and activities are planned which build on the work started and advocacy materials created during the RePosit Project.

The RePosit Project has seen an increase in joint working and closer links across directorates within the University, especially ILS (Information and Learning Services) and R&I (Research and Innovation). This has seen more sharing of information and opportunities to input professional knowledge to achieve project objectives and key University missions. The shared service between Plymouth and Exeter has been a learning experience and can provide examples of best practice for other potential opportunities which seek to create business efficiencies, sharing of good practice and building of professional links between universities and other organisations.

Within the wider community, the shared service and self-deposit models have created interest. Experience from Plymouth was presented at the Symplectic user day and the RSP CRIS/Repository event and other participants were interested and asked questions. The University is happy to respond to questions and requests for information/visits. A RePosit colleague from Exeter has suggested setting up a South-West repository support group and this is considered a very positive step and Plymouth will be fully contributing to this group. The support and advice from RePosit partners has been very useful and has helped with decision-making where previous use has proved very insightful.

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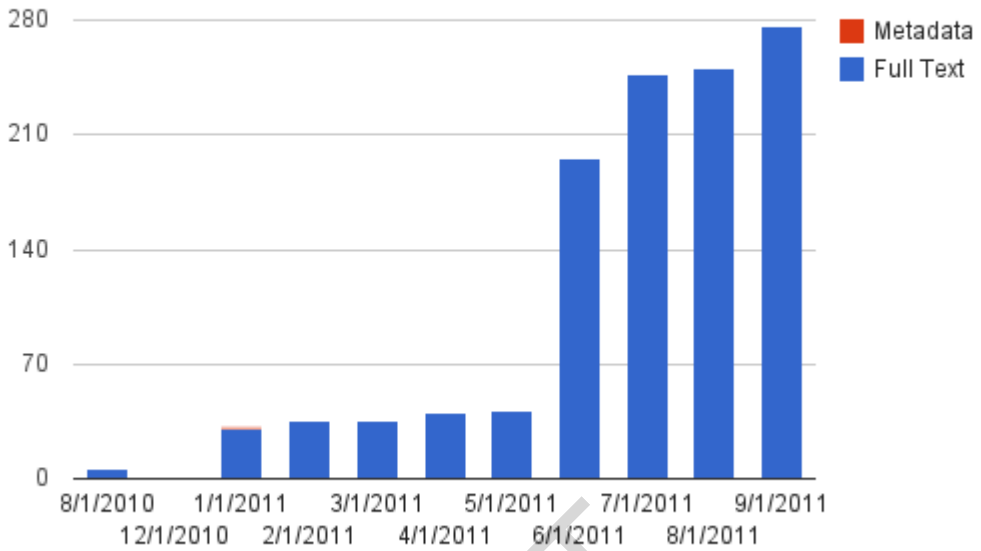
**Plymouth Deposit Growth**

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### 7.5. Queen Mary, University of London

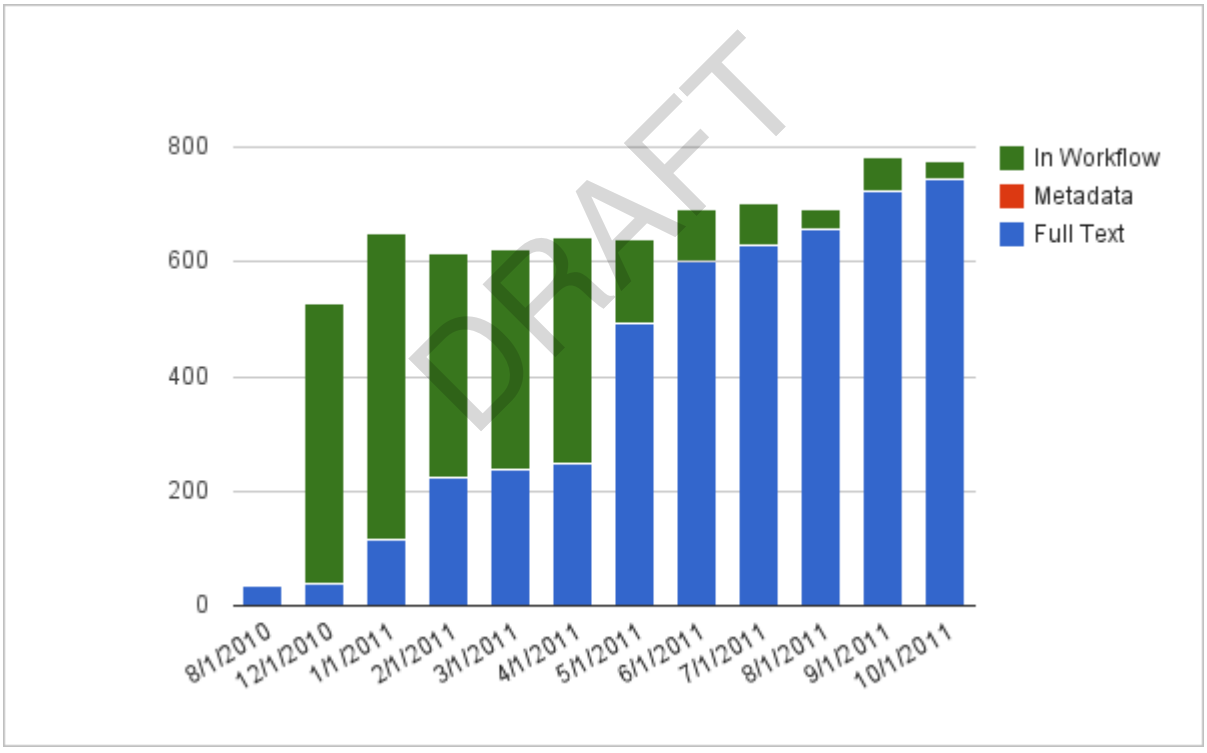
From the survey results, particularly comments to some of the later questions, there are a number of issues regarding uptake of Queen Mary Research Online (QMRO); the simplicity of upload being a minor issue compared to awareness of the service, concerns about copyright and all the usual concerns regarding open access more generally. This indicates that there is much work to do to raise awareness of QMRO, to reassure academics and their administrative staff of the mechanisms in place to ensure compliance with copyright restrictions, and to more actively outline the real benefits of open access. Whilst there are a few, as with all institutions, who are actively against open access in principle, or perhaps see it as an additional responsibility that there isn't the time or inclination to engage with, many respondents simply needed more and better information on what they need to do, and how the two systems, the Publications Management System (PubLists) and the Repository (QMRO), work together. This was perhaps a missed opportunity during the year, due partly to the ongoing technical issues that needed to be addressed and a failing in terms of advocacy, to talk about open access in preparation for a time when the repository would be available publicly. These are straightforward issues to resolve, and perhaps therefore may lead to better and more widespread engagement in the future.

Given that 65% (108) of respondents to the survey say they were not aware of the repository, the fact that 234 items have been deposited during the Project is indication that there is at least some awareness and support, perhaps from those that are already aware of the benefits of open access. The Project has also provided an opportunity to focus on the technical solutions to help us process content that had been sitting in the workflow and we therefore have been able to approve or at least work through a further 500 items. In addition, 91 items were deposited in September 2011 and may indicate a rising awareness as a result of the survey, new efforts to engage academics and is therefore a good starting point for 2011–12.

From a personal perspective, working more closely with the Planning Office (Research), Research Office and Vice-Principal (Research) has enabled me to raise expectation of the delivery of the repository, and also new initiatives to engage academics with open access, make them more aware of how QMRO can help them to meet funding-body requirements or increase awareness of their research, and help prepare for REF2014. Additionally, I have had the opportunity to make contacts with administrators within Schools, who do still tend to be the people to upload content, and who therefore need support and information regarding the work they are asked to perform. They too could become champions in the future and also act as a conduit to forward enquiries to me as the Repository Manager.

Having a fully outlined Communications Strategy has provided me with a springboard from which to begin talking about open access and encouraging people to engage with it, and also to help people understand what and how to meet the terms of their funding. It has also helped me to identify how much time and what resource needs to be invested in these activities in order to be able to both successfully deliver the strategy and realise its aims.

**Queen Mary Deposit Growth**



### 7.6. Dissemination events

| Event name | Details | Description | Typical attendees | Notes | Website |
|---|---|---|---|---|---|
| Repository Fringe 2010 | 2rd–3rd Sept 2010 (Edinburgh) | Forum to see what's been developed and is still developing in the Repository Landscape; learn new techniques and discover new ideas; participate and be heard | Repository developers, managers, researchers, administrators and onlookers | Sarah Molloy gave a Pecha Kucha talk, introducing the project to the repository community. | http://www.repositoryfringe.org/ |
| RLUK (Research Libraries UK) conference | 10th–12th Nov 2010 (Edinburgh) | Theme of innovation in a time of financial challenge | Research library directors/head of library | Bo Middleton gave a Pecha Kucha talk, introducing the CRIS-to-repository model to library directors. | http://www.rluk.ac.uk/node/597 |
| RSP (Repositories Support Group) winter school | 9th–11th Feb 2011 (Lake District) | RSP is a JISC-funded 2½-year project to co-ordinate and deliver good practice and practical advice to English and Welsh HEIs to enable the implementation, management and development of digital institutional repositories | Repository managers / officers | Rachel Proudfoot ran a case study session, with input (and attendance) from several other project partners. | http://www.rsp.ac.uk/events/index.php?page=WinterSchool2011/index.php |
| Kultivate workshop | 28th Feb (London) | Speakers and a workshop on advocacy | JISC-funded Kultivate project has arisen out of the activities of the Kultur II Group, which consists of researchers and repository managers engaging with arts research deposit | Jill Evans was due to talk at this event, but was unwell on the day. Jodie Double stepped in at the last minute to give a talk. | http://www.vads.ac.uk/kultur2group/projects/kultivate/index.html |

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|---|---|---|---|---|---|
| Symplectic User Community conference | 24th May 2011 (London) | Annual meeting open to Symplectic clients – with talks in the morning and break-out interactive sessions in the afternoon | Research managers, librarians, technical staff, etc | Sarah Molloy, Rachel Proudfoot and Nicola Cockarill jointly gave a presentation about the project and three case studies. | http://www.symplectic.co.uk/news/2011-03-28-conference.html |
| ARMA conference | 7th–8th June 2011 (Glasgow) | ARMA is the professional association for research managers and administrators in the UK, with around 1600 individual members, who work in a variety of organisations, including universities, funding bodies, the NHS and independent research institutions | Research managers | Ellie James gave a presentation about the project. | http://www.arma.ac.uk/news/conferences/C%2011%20intro.xhtml |
| RSP 'Repositories and CRIS: working smartly together' conference and software exhibition | 19th July 2011 (Nottingham) | Building on the successful event 'Learning how to play nicely: Repositories and CRIS', looking at the interaction of Repositories and CRIS (Current Research Information Systems) | A combination of research managers and repository managers | RePosit had a major 1½-hour slot, consisting of a summary presentation about the project and a choice for attendees of 2 out of 5 break-out sessions around different topics. Six project team members took part. | http://www.rsp.ac.uk/events/repositories-and-cris-systems-working-smartly-together/ |
| Repository Fringe 2011 | 3rd–5th Aug 2011 (Edinburgh) | Forum to see what's been developed and is still developing in the Repository Landscape; learn new techniques and discover new ideas; participate and be heard | Repository developers, managers, researchers, administrators and onlookers | Jodie Double gave a Pecha Kucha talk about the project. | http://www.repositoryfringe.org/ |

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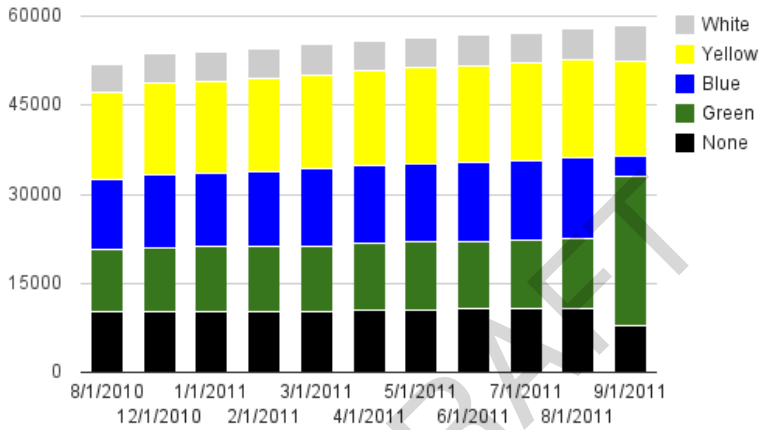
### 7.7. Sherpa RoMEO data and potential deposits

As a way of reviewing the potential deposits available at each of the partner institutions, the number of publications in each RIS – split out by RoMEO colour – was measured on a monthly basis, alongside the statistics for repository holdings. The full figures are shown in Appendix 1. Despite the vastly differing numbers of publications at each institution, the proportions of publications in each RoMEO colour band were very similar, and remained relatively unchanged each month (except for September 2011 – although we didn't see any significant Publisher policy changes announced by Sherpa then).

**Leeds publications by RoMEO colour**

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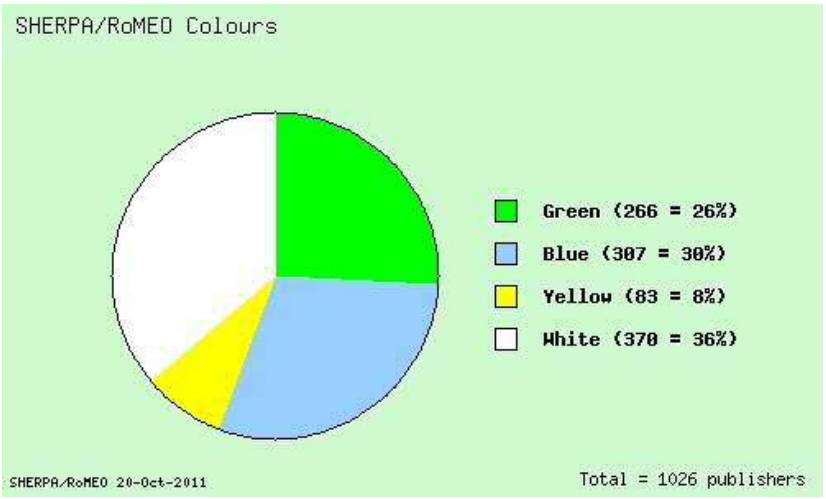
It is interesting to note the difference between the proportions of publications (*above*), and the proportions of publishers as shown on the Sherpa website[13] (*below*):




In particular there appears to be a large skew towards 'yellow' publications compared to publishers. A small number of large publishers with yellow characteristics would account for this.

[13] http://www.sherpa.ac.uk/romeo/statistics.php?la=en&fIDnum=|&mode=simple [accessed 20/10/2011]

# 8. Future Impact

## 8.1. University of Exeter

A range of activities in their early stages, or due to commence, will build on the work of the RePosit Project and deliver a wide range of outputs and outcomes. Once the Repository Tools module is live, the project survey will be launched and the results will be reported back to the wider community via the project blog.

Efforts are underway to identify the means by which to get publications into the repository quickly, as soon as Repository Tools goes live. Four publications will be submitted, this autumn, by researchers participating in the internal pilot REF exercise. Funds are being made available to assist with the deposit of those papers, estimated to number 2,800.

It is intended that the new repositories website will bring together all current information and access to repository information as well as creating new information and guidance on depositing and OA. This will include a section for the JISC-funded Open Exeter project, which is building on the RePosit work, particularly relating to advocacy and OA activities. Indeed, the recently funded project (which will create several new posts in the repository team) is to perform an audit that, it is expected, will uncover further publication collections that can be deposited.

The ongoing discussions about OA and mandates have emphasised the need to make compliance with a mandate as easy as possible – it is certainly recognised that the Repository Tools functionality has an integral role in delivering this ambition. This will necessitate further close working between the Library, IT and RKT and further demonstration of the benefits, e.g. links to publications in staff profiles on the web and so on. The senior management are very supportive of repository/OA work and are beginning to arrive at an understanding of the institutional changes that will be required to support and promote OA. This is an exciting and potentially key time for the University of Exeter in relation to research deposit. The RePosit project has permitted solid foundations to be laid – it is now incumbent upon the Library, IT and RKT teams to work closely together to ensure delivery of an holistic approach to research management, easier methods of deposit and, ultimately, greater exposure of the research of our academics.

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## 8.2. Keele University

With research repositories now firmly on the agenda, future work can build on this work, to continue to emphasise and reemphasise these key messages to academics. A future aim is that the 'repository champions' will encourage bottom-up engagement through the academic community. This engagement will be strongly supported by the University at a high level, and will be incorporated in its Research strategy as part of promoting the University's research (with an underpinning operational plan).

Many of the issues that this project encountered are common across the sector, and dissemination events have enabled these to be shared with the community. The community itself has grown to include different aspects of central administration in support of the repository, e.g. Research Offices, Pro Vice-Chancellors, Library staff, Repository staff, IT staff. A common theme is that these groups have to work together, not in isolation. Other common issues across the community are issues around software and integration; hopefully this project will highlight this to software companies and developers, who can work to make it less resource intensive from a University's perspective. Perhaps the most frustrating issue is around copyright and different versions of papers; the complicated detail and the Sherpa/RoMEO categories offer some help but not enough. Really until this issue can be

simplified, there will always be some academics who will not engage with a research repository. Again projects such as this should provide some visibility and momentum to this issue so it can be addressed by all aspects of the community.

### 8.3. University of Leeds

For Leeds, a key benefit of RePosit is the way it has acted as a focal point for a new community of practice around CRIS/repository linkage. This occurred online through our Google group, through informal repository contacts and at formal event such as the RSP Winter School and 'Repositories and CRIS: working smartly together'. These discussions have generated a healthy momentum that will continue beyond the lifetime of the project. Connecting to a CRIS has an impact on repository staff workflow; we have fed comments and experiences back to Symplectic and, to a lesser extent, EPrints software developers. Increasingly we are exchanging experiences with others who share the same CRIS platform. It is likely we will work together to shape the development of a more sophisticated CRIS/repository link which will offer effective workflows for both depositors and repository/library staff.

We were able to compare our questionnaire results with similar questions from our IncReASe project questionnaire in 2008. We can see that awareness of the repository service has increased across all categories of staff, which is encouraging. However, awareness level is still disappointing – with the exception of Engineering. Here we see the impact of a long period of advocacy, support from senior academic staff but also a good fit between the deposit model on offer and the academic discipline. We will look at other Faculties with a view to applying a similar advocacy approach.

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### 8.4. Plymouth University

The RePosit project has provided extra weight to the momentum to the repository/OA work at Plymouth. Once the integration tool is live, the full advocacy activities will be rolled out and then the effects on statistics and researcher behaviour can truly be measured and evaluated; from this it is hoped that articles will be written.

The self-deposit model has already provided feedback to Symplectic about the integration process and screens as there are examples where the on-screen wording is only appropriate to a mediated model. Feedback has also been given about RoMEO and this will be included in any calls for feedback from Sherpa.

### 8.5. Queen Mary, University of London

As part of a broader Queen Mary strategy for research, the *Communications Strategy for PubLists and QMRO* has been picked up as a Professional Services Planning Round project with high priority. In real terms, this means that the Communications Strategy has high-level support and that we therefore have an opportunity to make an impact on academic and research staff, advocating for open access and QMRO. To launch the implementation project, my first initiative is a full programme of events during Open Access Week, 24th–30th October 2011. This will be followed by a formal launch event for QMRO, hopefully in November or December 2011. By kick-starting both the QMRO and open-access message with two high-profile events in short succession, I hope to engage a significant proportion of the academic community, not only building up the open access collections at Queen Mary, but also demonstrating that, through linked systems, deposit is quick and easy.

### 8.6. Symplectic Ltd

As a result of the close working between partner institutions during the RePosit Project, Symplectic realised the need for regular meetings of an ongoing Repository Working Group to discuss the remit and workings of the Repository Tools Module. Their new Head of Repository Systems (Graham Triggs) will be setting up. Graham has also started the process of completely redeveloping the documentation for the Module to improve the implementation process, and the first installation guide has already been finished.

## 9. Conclusions

RePosit Project conclusions can be summarised as follows:

- Automatically harvested metadata is labour saving and popular with academics (this is a key feature of Symplectic – the RIS in use at each of the project partner institutions).
- The deposit tool (i.e. a link for depositing full-text from a researcher-facing publications management system) enables engagement with the repository, and encourages use by academics who would otherwise not have done so.
- Technology is not enough to fix the issues with encouraging deposit.
- Copyright is still the primary reason that people don't deposit. Sherpa RoMEO could do more to clarify the issues.
- Integration and interoperability in scholarly systems is far from a solved area, and significant more work in development and cooperation between universities and commercial partners is required.
- This approach of combining the RIS and a repository is a widely applicable and generally acceptable use case. Bringing together information from different institutional systems (HR, grants, research outputs) is vital to make the most of this deposit model and ensure we can readily fulfil funder open-access requirements.
- RISs and repositories have complementary functions; a link between them changes and potentially enhances both systems.
- Institutions should ensure appropriate project planning and local resources are in place to handle the RIS-to-repository connection, including, for established repository services, effective handling of existing repository data and careful handling of transition advocacy to local stakeholders.
- Awareness of the repository and its existence is still a major factor to consider in capturing research, how do you increase deposit in the local repository when people do not even know it exists?

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## 10. Recommendations

- Further development of standard interoperability tools is vital. In particular the SWORD 2.0 effort which provides much of the functionality of Repository Tools should be used by more systems to ease the process of integration and interoperability.
- Possible future funding might include:
    - Counting depositors, i.e. being able to find out numbers (and information) about who is depositing items into the repository rather than only the authors of the records deposited. This information could inform future advocacy campaigns and allow for better modelling of actual deposit workflows. Depending on the repository and technologies in each institution's set-up obtaining this data required significant development work.
    - Sustained advocacy planning:
        - lessons learnt from institutions which already have continuous advocacy plans;
        - case studies from institutions which have incorporated advocacy in their standard repository/research information system programmes;
        - a 'how-to' guide from institutions which have adopted deposit mandates;
        - funding for institutions to encourage them to introduce some/all of these elements.
    - Further investigation into the inter-relationship between RIS and repository systems from various perspectives:
        - the new user community;
        - technical aspects of the connector (protocols, integration approaches);
        - implications for the RIS/repository relationship where repositories house a wide range of digital material beyond text-based research outputs;
        - a guide to assessing whether a built-in repository from a commercial RIS supplier is an appropriate choice – perhaps replacing an existing standalone repository.
- Possible further work might include:
    - With Sherpa RoMEO to clarify publisher and publication permissions for academics and explore how RoMEO data can be most effectively surfaced through third-party systems;
    - With extended community to change the publisher policies on open access;
    - With extended community to change institutional policies regarding open access;
    - With suppliers/developers and a wider community – to consider requirements for integration of further scholarly systems into the deposit workflow, e.g. through integration with authoring environments (like DepositMO) and bibliographic systems (such as BibApp).

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## 11. Implications for the future

The seeds of a user community for the new deposit model have been sown and may best be taken forward by UKCORR and ARMA; RePosit partners will keep the new deposit model on the agenda for these two groups.

The work here shows that this approach is generally viable, and therefore that future funding should be directed towards integration between all forms of scholarly systems or other systems which researchers use in their day-to-day work, and/or on the standards used between these systems.

The long-term implications of approaches like this are good provided that advocacy for both the systems involved and the open-access ideology are maintained. Technologically, we still have a long way to go to easily integrate all of the different scholarly systems involved, but as the technical barriers reduce the difficulty of implementing (at an institution) and using (as an academic) the advocacy for open access publishing should become easier. When it is trivial to do, the discussions can move on from *how* to achieve open access, and focus exclusively on *why*.

## 12. References

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Previous JISC-funded projects reviewed at the start of the RePosit project:

IncReASe – http://eprints.whiterose.ac.uk/increase/

Cambridge Tetra Repositories Enhancement Project (CTREP) – http://www.jisc.ac.uk/whatwedo/programmes/reppres/sue/tetracam.aspx

Embed – http://www.jisc.ac.uk/whatwedo/programmes/reppres/sue/embed.aspx

Embedding Repositories in Research Management Systems and Processes – http://www.jisc.ac.uk/whatwedo/programmes/digitalrepositories2007/reposrmsystems.aspx [accessed 02/08/2010]

EM-Loader – http://edina.ac.uk/projects/EMLoader_summary.html

## Appendices

Appendix 1: Repository holdings statistics over

Appendix 2: Example Advocacy Plan

Appendix 3: Institutional Survey

Appendix 4: Survey Results

Appendix 5: About Symplectic Elements Repository Tools Module

## Appendix 1: Repository holdings statistics over time

| | | | Exeter | Keele | Leeds | Plymouth | QMUL | Exeter & Plymouth system (includes PCMD) |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | |
| **Aug-10** | **Potential Deposits** | None | | 1859 | 10103 | | | |
| | | Green | | 2079 | 10484 | | | |
| | | Blue | | 1866 | 11830 | | | |
| | | Yellow | | 3322 | 14790 | | | |
| | | White | | 788 | 4723 | | | |
| | | Proportion | | 40% | 43% | | | |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1541 | | 1768 | 6 | 34 | |
| | | Available (inc.temp embargoes) | | | | | | |
| | | In workflow | | | | | | |
| | | Never available | | | | | | |
| | | Metadata Only | 125 | | 334 | 0 | 0 | |
| | **Repository Users** | Unique users | 443 (registered users) | | 171 (approx) | 9 | 24 | |
| | | | | | | | | |
| **Nov/ Dec-10** | **Potential Deposits** | None | 3655 | 2059 | 10340 | 824 | | 4482 |
| | | Green | 4753 | 2190 | 10663 | 1197 | | 5894 |
| | | Blue | 4414 | 2133 | 12334 | 1696 | | 6081 |
| | | Yellow | 5592 | 3555 | 15442 | 1990 | | 7561 |
| | | White | 1669 | 885 | 4858 | 429 | | 2079 |
| | | Proportion | 46% | 40% | 43% | 47% | | 46% |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1597 | 0 | 1768 | | 38 | |
| | | Available (inc.temp embargoes) | 1591 (6 temp embargoes) | | 1768 | | 38 (+20 embargoes) | |
| | | In workflow | 3 | | 3 | | 491 | |
| | | Never available | 0 | | | | | |
| | | Metadata Only | 125 | 0 | 341 | | 0 | |
| | **Repository Users** | Unique users | 1) 499 (registered users) or 2) 2638 (unique authors plus proxy depositors) | 0 | 10 unique depositors | | 40 | |
| | | | | | | | | |
| **Jan-11** | **Potential Deposits** | None | 3695 | 2036 | 10317 | 870 | 4538 | 4565 |
| | | Green | 4841 | 2219 | 10793 | 1201 | 6813 | 5986 |
| | | Blue | 4438 | 2164 | 12446 | 1717 | 7139 | 6125 |
| | | Yellow | 5643 | 3573 | 15553 | 2045 | 8332 | 7666 |
| | | White | 1671 | 887 | 4905 | 432 | 2912 | 2084 |
| | | Proportion | 46% | 40% | 43% | 47% | 47% | 46% |
| | | | | | | | | |

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| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | **Repository Holdings** | Full Text (types below) | 1625 | 0 | 1790 | 30 including 24 PHDs | 116 | |
| | | Available (inc.temp embargoes) | 1619 (6 temp embargoes) | 0 | 1790 | 30 | 61 (+55 embargoes) | |
| | | In workflow | 3 | 0 | 30 | 0 | 534 | |
| | | Never available | 0 | 0 | | 0 | | |
| | | Metadata Only | 125 | 0 | 341 | 1 | 0 | |
| | **Repository Users** | Authors | 2656 | 0 | 9 Leeds co-authors | 33 | 182 | |
| | | Depositors | 527 | 0 | 11 unique depositors | | 53 | |
| | | | | | | | | |
| **Feb-11** | **Potential Deposits** | None | 3712 | 2153 | 10343 | 869 | 4840 | 4580 |
| | | Green | 4887 | 2190 | 10880 | 1230 | 6821 | 6059 |
| | | Blue | 4513 | 2204 | 12701 | 1789 | 7120 | 6274 |
| | | Yellow | 5746 | 3499 | 15673 | 2081 | 8257 | 7804 |
| | | White | 1691 | 875 | 4866 | 443 | 2855 | 2115 |
| | | Proportion | 46% | 40% | 43% | 47% | 47% | 46% |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1652 | 0 | | 35 (including 29 PHDs) | 223 | |
| | | Available (inc.temp embargoes) | 1572 (+ 80 temp embargoes) | 0 | 1797 | 35 | 90(+133 embargoes) | |
| | | In workflow | 2 | 0 | 16 | 0 | 391 | |
| | | Never available | 0 | 0 | | 0 | | |
| | | Metadata Only | 125 | 0 | 358 | 0 | 0 | |
| | **Repository Users** | Authors | 2669 (includes non-Exeter co-authors) | 0 | 18 Leeds co-authors | 39 | 229 | |
| | | Depositors | 102 | 0 | 20 unique depositors | 39 | 57 | |
| | | | | | | | | |
| **Mar-11** | **Potential Deposits** | None | 3757 | 1987 | 10340 | 1007 | 4521 | 4757 |
| | | Green | 4886 | 2224 | 11013 | 1315 | 6853 | 6143 |
| | | Blue | 4525 | 2208 | 12878 | 1954 | 7248 | 6445 |
| | | Yellow | 5757 | 3562 | 15929 | 2196 | 8399 | 7923 |
| | | White | 1703 | 872 | 5002 | 495 | 2919 | 2175 |
| | | Proportion | 46% | 41% | 43% | 47% | 47% | 46% |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1674 | | | 36 (including 30 PHDs) | 237 | |
| | | Available (inc.temp embargoes) | 1590 (+84 temp embargoes) | | 1803 | 36 | 98 (+139 embargos) | |
| | | In workflow | 2 | | 28 | 0 | 385 | |
| | | Never available | 0 | | | 0 | 0 | |
| | | Metadata Only | 125 | | 385 | 0 | 0 | |
| | **Repository Users** | Authors | 2703 (includes non-Exeter co-authors) | | 25 Leeds co-authors | 40 | 275 | |
| | | Depositors | 181 | | 25 unique depositors | 40 | 58 | |
| | | | | | | | | |
| **Apr-11** | **Potential Deposits** | None | 3680 | 2005 | 10444 | 1063 | 4553 | 4734 |

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| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | Green | 4990 | 2258 | 11278 | 1530 | 6904 | 6452 |
| | | Blue | 4603 | 2239 | 13149 | 2248 | 7412 | 6812 |
| | | Yellow | 5815 | 3587 | 16007 | 2393 | 8446 | 8171 |
| | | White | 1718 | 873 | 5003 | 552 | 2828 | 2245 |
| | | Proportion | 46% | 41% | 44% | 49% | 47% | 47% |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1686 | | | 40 (including 34 PHDs) | 248 | |
| | | Available (inc.temp embargoes) | 1600 (+86 temp embargoes) | | 1817 | 40 | 109 (+139 embargoes) | |
| | | In workflow | 7 | | 10 | 0 | 396 | |
| | | Never available | 0 | | | 0 | 0 | |
| | | Metadata Only | 125 | | 397 | 0 | 0 | |
| | **Repository Users** | Authors | 2728 | | 26 Leeds co-authors | 44 | 297 | |
| | | Depositors | 224 | | 31 unique depositors | 44 | 60 | |
| | | | | | | | | |
| **May-11** | **Potential Deposits** | None | 3689 | 2024 | 10489 | 1066 | 4540 | 4746 |
| | | Green | 5046 | 2288 | 11400 | 1540 | 6931 | 6518 |
| | | Blue | 4632 | 2278 | 13255 | 2252 | 7439 | 6845 |
| | | Yellow | 5820 | 3630 | 16143 | 2402 | 8504 | 8185 |
| | | White | 1718 | 888 | 5033 | 552 | 2824 | 2245 |
| | | Proportion | 46% | 41% | 44% | 49% | 48% | 47% |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1713 | 95 + 7 etheses | | 41 (including 35 PHDs) | 494 | |
| | | Available (inc.temp embargoes) | 1623 (+90 temp embargoes) | | 1822 | 41 | 151 (+343 embargoes) | |
| | | In workflow | 4 | | 11 | 0 | 145 | |
| | | Never available | 0 | | | 0 | 0 | |
| | | Metadata Only | 125 | | 398 | 0 | 0 | |
| | **Repository Users** | Authors | 2748 | | 28 Leeds co-authors | 47 | 397 | |
| | | Depositors | 251 | | 34 unique depositors | 47 | 61 | |
| | | | | | | | | |
| | | | | | | | | |
| **Jun-11** | **Potential Deposits** | None | 3751 | 2079 | 10626 | 1118 | 4569 | 4859 |
| | | Green | 5015 | 2293 | 11467 | 1559 | 7035 | 6505 |
| | | Blue | 4674 | 2327 | 13370 | 2413 | 7476 | 7043 |
| | | Yellow | 5808 | 3694 | 16217 | 2480 | 8592 | 8252 |
| | | White | 1720 | 899 | 5070 | 582 | 2829 | 2273 |
| | | Proportion | 46% | 41% | 44% | 49% | 48% | 47% |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1732 | 122 + 7 etheses | | 196 (including 190 PHDs done as part of bulk upload) | 600 | |
| | | Available (inc.temp embargoes) | 1640 (+92 temp embargoes) | | 1839 | 196 | 181 (+419 embargoes) | |
| | | In workflow | 2 | | 26 | 0 | 92 | |
| | | Never available | 0 | | | 0 | 0 | |

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| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | Metadata Only | 125 | | 418 | 0 | 0 | |
| | **Repository Users** | Authors | 2764 (see previous notes) | | 35 Leeds co-authors | 54 | 594 | |
| | | Depositors | 302 | | 39 unique depositors | 54 | | |
| | | | | | | | | |
| **Jul-11** | **Potential Deposits** | None | 3781 | 2165 | 10727 | 1234 | 4667 | 5003 |
| | | Green | 5045 | 2394 | 11558 | 1609 | 7121 | 6584 |
| | | Blue | 4606 | 2375 | 13415 | 2576 | 7486 | 7137 |
| | | Yellow | 5831 | 3793 | 16372 | 2621 | 8664 | 8413 |
| | | White | 1799 | 919 | 5099 | 616 | 2861 | 2384 |
| | | Proportion | 46% | 41% | 44% | 48% | 47% | 47% |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1769 | 111+7 etheses | | 247(including 244 PHDs) | 630 (first 'clean' data) | |
| | | Available (inc.temp embargoes) | 1667 (+102 temp embargoes) | | 1844 | 247 | 201 (+429 embargoes) | |
| | | In workflow | 31 | | 12 | 0 | 73 | |
| | | Never available | 0 | | | 0 | 0 | |
| | | Metadata Only | 125 | 32 | 447 | 0 | 0 | |
| | **Repository Users** | Authors | 2850 (see previous notes) | | 43 Leeds co-authors | 253 | 631 | |
| | | Depositors | 395 | | 40 unique depositors | 70 | | |
| | | | | | | | | |
| **Aug-11** | **Potential Deposits** | None | 3877 | 2185 | 10860 | 1330 | 4795 | 5193 |
| | | Green | 5123 | 2404 | 11694 | 1660 | 7366 | 6711 |
| | | Blue | 4696 | 2379 | 13605 | 2737 | 7773 | 7387 |
| | | Yellow | 5928 | 3841 | 16565 | 2725 | 8969 | 8612 |
| | | White | 1769 | 905 | 5068 | 620 | 2911 | 2357 |
| | | Proportion | | | | | | |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1812 | 156 | | 251 (including 245 PHDs) | 656 | |
| | | Available (inc.temp embargoes) | 1706 (+106 temp embargoes) | | 1853 | 251 | 209 (+447 embargoes) | |
| | | In workflow | 24 | | 30 | 0 | 36 | |
| | | Never available | 0 | | | 0 | 0 | |
| | | Metadata Only | 125 | | 468 | 0 | 0 | |
| | **Repository Users** | Authors | 2863 | | 58 Leeds co-authors | 254 | 639 | |
| | | Depositors | 434 | | 51 unique depositors | 71 | | |
| | | | | | | | | |
| **Sep-11** | **Potential Deposits** | None | 2679 | 1574 | 7869 | 860 | NOT AVAILABLE | 3534 |
| | | Green | 9682 | 4896 | 25095 | 4399 | DUE TO | 13956 |
| | | Blue | 1441 | 495 | 3485 | 574 | SYSTEM | 1996 |
| | | Yellow | 5972 | 3822 | 15957 | 2792 | UPGRADE | 8731 |
| | | White | 1919 | 1001 | 6028 | 741 | | 2631 |
| | | Proportion | | | | | | |
| | | | | | | | | |
| | **Repository Holdings** | Full Text (types below) | 1825 | | | 276 | 722 | |

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| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | Available (inc.temp embargoes) | 1717 | | 1870 | 276 (including 270 PHDs) | 267(455 temp embargoes) | |
| | | In workflow | 25 | | 31 | 0 | 61 | |
| | | Never available | 0 | | | 0 | 0 | |
| | | Metadata Only | 125 | | 468 | 0 | 0 | |
| | **Repository Users** | Authors | 2875 | | 64 Leeds co-authors | 279 | 642 | |
| | | Depositors | 477 | | 54 unique depositors | 96 | | |

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## Appendix 2: Example Advocacy Plan

# RePosit Advocacy and Communications Strategy

**(View/download PDF from the RePosit Blog)**

**Key**

| | |
|---|---|
| AS | Academic Services |
| ASCs | Academic Support Consultants |
| BISS | Business Improvement and Systems Support |
| EE | Education Enhancement |
| ERIC | The Exeter Research and Institutional Content archive |
| GSE | Graduate Skills and Employability |
| ICSD | Information and Computing Systems Department |
| IT | Ian Tilsed |
| JE | Jill Evans |
| LLOs | Library Liaison Officers |
| PGO | Post-Graduate Office |
| RKT | Research and Knowledge Transfer |
| RSDG | Repository Strategy and Development Group |

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## 1. Introduction

### 1.1 ERIC

The University of Exeter has a well-established publications repository, ERIC: the Exeter Research and Institutional Content archive (http://eric.exeter.ac.uk/exeter/). ERIC has had an online presence since March 2007 since when it has been hosted by Biomed Central but is in the process of being brought in-house. ERIC holds 1584 full-text items and 125 metadata-only records which contain links to the full-text. The majority of deposits are journal articles. Deposit of PhD and MPhil theses has been mandatory since 2008.

All academic submissions are reviewed by Academic Support Consultants (ASCs) with a high proportion of submissions being carried out by ASCs on behalf of academics.

The launch of ERIC was accompanied by a period of advocacy and promotional work by ASCs which resulted in an initially high, sustained number of deposits (most performed by the ASCs themselves). Since this preliminary peak in activity non-thesis submission has gradually dwindled and, apart from a few committed individuals, awareness of and interest in ERIC appears to be extremely limited.

Feedback from ASCs suggests that the main obstacles to deposit are the perceived time it is likely to take, lack of understanding of copyright and publisher policy regarding versions' archiving and a lack of awareness of the potential benefits to be gained from deposit. Additionally, in many disciplines there is a culture of deposit in subject-specific repositories, subsequent deposit in an institutional repository being seen as a pointless re-duplication of effort.

The integration of ERIC with Symplectic therefore represents a timely opportunity not only to emphasise the benefits of the Repository Tools module but also to re-think approaches to embedding awareness of ERIC in the research cycle. Advocacy work will coincide with a rebranding and repositioning of ERIC as all existing University repositories are brought together to facilitate cross-searching and resource discovery.

### 1.2 Symplectic

The Symplectic Elements publications module was successfully rolled out to all Schools within the University in early 2009 and is now the authoritative source for research publications data. The Symplectic system provided the first automated, institution-wide means of recording this data and has also led to the raising of the visibility of the research via the re-purposing of the publications data for use in other systems and developments. Furthermore, statistical reporting tools within Symplectic have assisted the University to understand its strengths, plan for the future and enable the production of accurate citation data in preparation for the REF and other assessment exercises (particularly the annual internal assessment).

The publications data held within Symplectic (numbering in excess of 32,000 publications) is exported into a data warehouse and is now being used to provide up-to-date publications data for staff profiles on departmental websites (some of which also provide links to abstracts). An additional requirement, which the repository tools module may help address, is the provision of links to full text, particularly where it is held within ERIC.

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## 2. Aims of the Campaign

- To raise awareness and understanding of ERIC and the link with Symplectic
- To outline and advocate the benefits of choosing to deposit in ERIC
- To gain continuing high-level support for encouraging deposit
- To promote a range of promotional and training materials
- To embed awareness and skills in University training and support infrastructures
- To establish new and build on existing relationships with key individuals and groups throughout the University
- To achieve a substantial increase in deposits to ERIC via Symplectic.

## 3. Outline of University of Exeter Academic Structure

The University recently underwent a restructuring of its academic framework. There are now six colleges: Humanities, Social Sciences and International Studies, Life and Environmental Sciences, the Business School, Engineering, Mathematics & Physical Sciences and the Peninsula College of Medicine and Dentistry. Each college is headed by a Vice-Chancellor followed by a College Dean, Associate Dean Research & Knowledge Transfer and Associate Dean Education. Typically, each college has a College Manager and a number of Assistant College Managers with responsibility for various aspects of University activity which are slightly different depending on the disciplinary focus of

the college but might include, for example, Education, Research and Finance, Infrastructure and Technical Services, Graduate and International Research.

## 4. Institutional Repository Strategy

The University has two DSpace repositories in operation: ERIC and Digital Collections Online (DCO, https://collections.exeter.ac.uk/repository/), containing images and multimedia - including research outputs in these formats. Two further DSpace repositories are in development: Open Exeter, a collection of learning and teaching resources, and the Exeter Research Data Management Services (ERDMS), which will store research data of all types.

With potentially four repositories in service, holding content separately but which is likely to be related, there is a clear requirement to take a more holistic view of future repository development and access. There is increasing recognition of the need for systems to be joined-up, to be cross-searchable and for objects to be able to migrate between systems and to be easily repurposed and re-used for different audiences.

A Repository Strategy and Development Group (RSDG) has been instituted so that a unified approach can be taken to planning and driving forward the strategic development, direction and integration of the University's research repositories, in order to ensure that the highest quality research and learning support is delivered, in line with emerging digital humanities and e-science agendas and technology enhanced leaning and Open Access resource agendas. The group brings together representatives from stakeholder departments across the University: the Library, BISS, ICSD, RKT and the colleges.

The group will review progress, monitor findings and, where appropriate, act as champions for the RePosit project. Key findings and outputs of the project such as training and advocacy materials and approaches to engaging with stakeholders will play an important part in developing an institutional strategy to promote and embed repositories in the scholarly life of researchers.

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## 5. Methodology

Three broad categories of audience to target have been defined:

- Senior heads and managers (e.g., deputy vice-chancellors, deans, college managers, heads of professional services)
- Researchers (e.g., academics, teaching fellows, post-graduates)
- Support staff (e.g., IT, Library and administrative staff)

The information needs of each group will vary according to the nature of the work in which they are engaged and depending on whether the key aim is simply to inform or to develop skills. The approach taken will be adapted for each group, for example, a short, concise and formal presentation might be most appropriate for a group of senior managers; a more informal, hands-on training session would be more suitable for a group of researchers.

It will be important to target new and early-career researchers in order to embed Symplectic to ERIC deposit in research practice.

### 5.1 Approaches

Approaches will include a range of activities focusing on raising awareness, informing and skills development:

- Group presentations and talks
- 1-1 sessions
- Training workshops
- Online training materials
- Embedding in existing training/resources
- Promotional literature (flyers, posters, etc.)
- Press releases, newsletters, etc.
- Social media (Facebook, Twitter, etc.)
- Using champions
- Formal launch

### 5.2 Content of Campaign

The main focus of promotional activity will be on the tangible benefits of ERIC/Symplectic integration to each of the three groups while also raising awareness of the range of support and guidance that exists and where it can be found.

Gaining the support of senior staff will be an important element in the establishment of a culture where repository deposit is the norm rather than a little-understood option. The main route of access to groups of senior staff will be through brief presentations or talks at committee meetings. The internal committee structure within colleges and departments varies a great deal and can be difficult to identify, therefore the Project Team will liaise with departmental Library Liaison Officers (LLOs) and Assistant College Managers to arrange attendance at suitable committee meetings.

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#### 5.2.1 Key Benefits

**Senior heads and managers**

- Managing and facilitating the REF process
- Managing and facilitating the internal Research Monitoring process
- Raising the academic profile of the University
- Maintaining parity with peers in a competitive market
- Increased visibility and reach of research
- increased impact of research
- Cost-effective management and preservation of institutional assets and related risk reduction
- Statistics on usage

**Researchers**

- Ability to generate web pages and publications lists via re-use of data
- Meeting funder requirements
- Raising personal research profile
- Increased visibility and discoverability
- Increased citations
- Potential increase in funding opportunities and collaborations
- Management and stability of research content
- Quick and easy process

**Support staff**

In this category there are a number of cross-departmental strategy groups to target including the Common Action Teams, the Project Coordination Group, the Corporate Systems Group, the Learning and Teaching Group, the Research Systems Group and the Technical Infrastructures Group.

- Supporting institutional strategy
- Supporting the REF
- Public good
- Declining budgets and resources
- Economics of reusable content
- Easier content and systems management
- Better use of institutional storage capabilities

### 5.3 Time

The majority of the proposed activities will be carried out between January and June 2011. An element of planning and liaison with stakeholders will be required to ensure, for example, sufficient time to include presentations in meetings' agendas or that training materials are ready to be included in a course run on a specific date. Planning the timing of activities will run from November 2010 to June 2011.

Activities may be performed once only, may be repeated on a regular basis in slightly different formats, or may require regular monitoring and updating on an ongoing basis.

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## 6. Timetable

The following timetable is an evolving list of possible audiences and events; not all may be considered depending on the time available, feedback from previous activities and evaluation of the success and impact of activities.

| Audience | Message/Aim | Method | Frequency | Who | When |
|---|---|---|---|---|---|
| **Awareness-raising Using Library Resources** | | | | | |
| All Library users | Awareness of Symplectic/ERIC, role, purpose and benefit; how to get further info, support and training | • Update Getting Help web page: http://as.exeter.ac.uk/library/using/help/ | Regular review and update | JE & ASCs | By end Feb 2011 |
| Academic staff | Awareness of Symplectic/ERIC, role, purpose and benefit; how to get further info, support and training | • Update Library guide 'Resources to Support Your Teaching': http://as.exeter.ac.uk/media/level1/academicserviceswebsite/library/documents/guides/staffteachingguide.pdf | Regular review and update | JE & ASCs | By end Feb 2011 |
| Researchers | Awareness of Symplectic/ERIC, role, purpose and benefit; how to get further info, support and training | • Update Library guide 'Resources to Support Your Research': http://as.exeter.ac.uk/media/level1/academicserviceswebsite/library/documents/guides/staffresearchguide.pdf<br>• Update Services for Researchers web page: http://as.exeter.ac.uk/library/using/servicesforresearchers/<br>• Update University of Exeter Library Resources web page: http://as.exeter.ac.uk/library/using/servicesforresearchers/universityofexeterlibraryresources/<br>• Update Research Assessment web page: http://as.exeter.ac.uk/library/using/servicesforresearchers/researchassessment/ | Regular review and update | JE & ASCs | By end Feb 2011 |
| New academic staff | Awareness of Symplectic/ERIC, role, purpose and benefit; how to get further info, support and training | • Update Library induction guide: http://as.exeter.ac.uk/media/level1/academicserviceswebsite/library/documents/guides/newstaff.pdf | Regular review and update | JE & ASCs | By end Feb 2011 |
| PhD students | Awareness of Symplectic/ERIC, role, purpose and benefit; how to get further info, support and training | • Update Section on Library Support for PhDs: http://as.exeter.ac.uk/support/development/researchstudents/erdp/usefultraininglinksforphdstudents/#Exeter,%20Bath%20and%20Bristol%20local%20GRADschool | Regular review and update | JE & ASCs | By end Feb 2011 |
| All Library users | Awareness of UoE repositories; how to deposit; help and guidance; sources of support and training | • Create new Library Digital Assets web page and guide including section on repositories | One time creation, regular review and update | JE | By end Mar 2011 |
| **Embedding in Existing Training Infrastructure** | | | | | |
| New lecturers & teaching fellows | Awareness of UoE repositories; key benefits; how to deposit – good practice; help and guidance; sources of support and training | • Establish face-to-face teaching element in Postgraduate Certificate in Academic Practice (PCAP): http://as.exeter.ac.uk/support/staffdevelopment/learningandteachingprogrammesandworkshops/postgraduatecertificateinacademicpracticepcap/ | Annual update | JE to liaise with ASCs, EE & GSE | Autumn 2011 |
| All staff who teach | Awareness of UoE repositories; key benefits; how to deposit – good | • Establish face-to-face teaching element in You Teach Workshops (Learning and Teaching Extras): | Annual update | JE to liaise with ASCs, | Autumn 2011 |

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| Audience | Message/Aim | Method | Frequency | Who | When |
|---|---|---|---|---|---|
| | practice; help and guidance; sources of support and training | http://as.exeter.ac.uk/support/staffdevelopment/learningandteachingprogrammesandworkshops/youteachworkshops/ | | EE & GSE | |
| All staff who teach | Awareness of UoE repositories and key benefits; how to find out more | • Disseminate promotional material at Exeter Education Conference: http://as.exeter.ac.uk/support/staffdevelopment/educationconference/ | Annual update | JE to liaise with EE | May 2011 |
| PhD research students who teach and/or assess | Awareness of UoE repositories; key benefits; how to deposit – good practice; help and guidance; sources of support and training | • Establish face-to-face teaching element in Learning and Teaching in Higher Education Programme (LTHE): http://as.exeter.ac.uk/support/staffdevelopment/learningandteachingprogrammesandworkshops/learningandteachinginhighereducationprogrammelthe/ | Annual update | JE to liaise with ASCs, EE & GSE | Autumn 2011 |
| PhD and early-stage professional researchers | Awareness of UoE repositories; key benefits; how to deposit – good practice; help and guidance; sources of support and training | • Include section on repositories in Researcher Development Online: http://as.exeter.ac.uk/support/development/researchstudents/erdp/researcherdevelopmentonline/ | Annual update | JE to liaise with ASCs, EE & GSE | Autumn 2011 |
| PhD and early-stage professional researchers | Awareness of UoE repositories; key benefits; how to deposit – good practice; help and guidance; sources of support and training | • Establish face-to-face teaching element in Effective Researcher Development Programme: http://as.exeter.ac.uk/support/development/researchstudents/erdp/#d.en.19306 | Annual update | JE to liaise with EE and ASCs | Autumn 2011 |
| PhD and early-stage professional researchers | Awareness of UoE repositories; key benefits; how to deposit – good practice; help and guidance; sources of support and training | • Establish face-to-face teaching element in SmartStart inductions: Theme 1: Starting Blocks http://admin.exeter.ac.uk/gradschool/skillsbase/view_seminars.php?category=all&site=streatham and Theme 2: Support with the Early Stages of Research<br>Held on various dates throughout the year | Annual update | JE to liaise with EE and ASCs | Autumn 2011 |
| PhD students | Awareness of UoE repositories and key benefits; how to find out more | • Disseminate promotional material at Exeter Research Relay: http://as.exeter.ac.uk/support/development/researchstudents/erdp/exeterresearchrelay/<br>Bi-semester workshop | Annual update | JE to liaise with EE | Before Summer 2011 |
| PhD students | Purpose and benefits of deposit; developing good practice | • Update presentation of theses handbook: http://admin.exeter.ac.uk/academic/tls/tqa/Part%207/7Jpgthesis.pdf | Annual update | JE to liaise with PGO | By Feb 2011 |
| All researchers | Awareness of UoE repositories and key benefits; how to find out more | • Disseminate promotional material at The South West Universities GRADschool<br>Held in June every year | Annual update | | Jun 2011 |
| Doctoral Supervisors | Purpose and benefits of deposit; encouraging good practice | • Update relevant Library web page: http://as.exeter.ac.uk/support/staffdevelopment/aspectsofacademicpractice/doctoralsupervision/<br>• Include awareness of repositories in Doctoral Supervision course: http://www.exeter.ac.uk/staff/development/courses/coursedetail/?code=20002<br>• Update University handbook on doctoral supervision: | Annual update | JE to liaise with PGO | By Feb 2011 |

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| Audience | Message/Aim | Method | Frequency | Who | When |
|---|---|---|---|---|---|
| | | http://as.exeter.ac.uk/eeu/supervisorhandbook/content/view/3/3 | | | |
| All academics and researchers | Awareness of UoE repositories; key benefits; how to deposit – good practice; help and guidance; sources of support and training | • Update RKT web site: http://www.exeter.ac.uk/research/rkt/policyandgovernance/ref/ | Regular update | JE to liaise with RKT | Feb 2011 |
| **Informing Senior Management** | | | | | |
| Senior management | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Present at Senior Management Team meeting: http://www.exeter.ac.uk/about/organisation/ | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| Senior management | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Present at Senior Management Group meeting: http://www.exeter.ac.uk/about/organisation/management/seniormanagement/<br>Meets monthly during term time | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| Senior Management | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Present at Vice-Chancellor's Executive Group meeting: http://www.exeter.ac.uk/about/organisation/management/executive/<br>Meets weekly during term time | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| Professional Services | Introduction to UoE repositories and Repository Tools, aims and benefits | • Present at Professional Services Management Group meeting: http://www.exeter.ac.uk/about/organisation/management/professionalservices/<br>Meets fortnightly | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| Various senior staff | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Present at Dual Assurance and Dual Engagement meetings: http://www.exeter.ac.uk/about/organisation/dualassurance/<br>• Dual Assurance for Research & Knowledge Transfer: http://www.exeter.ac.uk/about/governance/business_areas/research/ | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| Various senior staff | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Present at Task and Finish Groups meetings: http://www.exeter.ac.uk/about/governance/task_and_finish_groups/<br>Meets at various times throughout the year | One time – establish protocol for informing group of significant developments | JE to liaise with secretaries ; IT or JE to present | Spring 2011 |
| Senior and academic | Introduction to UoE repositories and Repository Tools, aims and key benefits; why they should encourage deposit; training and support | • Present at Taught Faculty Board meeting: http://as.exeter.ac.uk/support/admin/staff/committees/taughtprogrammesfacultyboard/<br>Meets three times a year (Feb, Jun & Oct) | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to | Feb 2011 |

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| Audience | Message/Aim | Method | Frequency | Who | When |
|---|---|---|---|---|---|
| | | | | present | |
| Senior and academic | Introduction to UoE repositories and Repository Tools, aims and key benefits; why they should encourage deposit; training and support | • Present at Graduate Research Faculty Board meeting: http://as.exeter.ac.uk/support/admin/staff/committees/graduateresearchfacultyboard/<br>Meets three times a year (Feb, Jun & Oct) | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Feb 2011 |
| Senior and academic | Introduction to UoE repositories and Repository Tools, aims and key benefits; why they should encourage deposit; training and support | • Present at Education Forum meeting: http://www.exeter.ac.uk/about/governance/business_areas/education/forum.shtml | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| Various senior staff | Introduction to UoE repositories and Repository Tools, aims and benefits | • Present at Research Strategy Group: http://www.exeter.ac.uk/about/governance/business_areas/research/ | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| Associate Deans for RKT; RKT | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Present at RKT Management Group | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| College managers | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims; why they should encourage deposit; | • Symplectic project update email | Twice – continue to inform group of significant developments | IT | Beg Dec and beg Mar 2011 |
| Various senior staff | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Present at Cornwall Campus Strategy Group: http://www.exeter.ac.uk/about/governance/business_areas/cornwall/CCSG.shtml | One time – establish protocol for informing group of significant developments | JE to liaise with secretary; IT or JE to present | Spring 2011 |
| **Informing Support Staff** | | | | | |
| Senior Academic Services staff | Why UoE repositories are important; benefits and impact of Repository Tools; awareness of institutional repository strategy and aims | • Academic Services Senior Management Team meeting | | JE/IT | Feb 2011 |
| Senior Library staff | Benefits and impact of Repository Tools; awareness of institutional repository strategy and aims; how to provide support to researchers | • Present at Library Senior Management Team meeting | | JE | Feb 2011 |

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| Audience | Message/Aim | Method | Frequency | Who | When |
|---|---|---|---|---|---|
| Professional Library staff | Benefits and impact of Repository Tools; awareness of institutional repository strategy and aims; how to provide support to researchers | • Present at Library Leadership Group meeting | | JE | Jan 2011 |
| BISS staff | Repository Tools, what it does, why it is important; their role in supporting repository strategy | • Present at BISS staff meeting | | IT | Feb 2011 |
| RKT staff | Benefits and impact of Repository Tools; awareness of institutional repository strategy and aims; how to provide support to researchers; their role in supporting repository strategy | • Arrange and present at RKT meeting | | JE/IT | Feb 2011 |
| **Workshops and Training** | | | | | |
| Academic staff, researchers, support staff | Training in use of Repository Tools | • RePosit workshops: 1 at St. Luke's Campus, 1 at Tremough and 2 at Streatham Campus | One off | IT and JE | End Mar 2011 |
| Academic staff and researchers | Training and support in all aspects of repository use | • 1-1 sessions Library Deskside Training Service: http://as.exeter.ac.uk/library/using/servicesforresearchers/universityofexeterlibraryresources/desksidetrainingservice/ | Permanent ongoing service | JE | End Feb 2011 |
| Academic staff, researchers, support staff | Overview of Repository Tools, introduction to depositing, key benefits, what support is available | • Run a series of short drop-in sessions on various aspects of repositories and Symplectic | Repeat at regular intervals; adapt according to feedback | JE | Start Mar 2011 |
| All potential repository users | Overview of Repository Tools, introduction to depositing, key benefits, what support is available | • Online materials | Permanent, regular review, update according to feedback | IT and JE | By Mar 2011 |
| **Using Social Media for News and Updates** | | | | | |
| Post-grads | Awareness of Repository Tools, key benefits, how to find out more, notable developments | • News feature on Exeter University Post Graduate Union Facebook page: http://www.facebook.com/group.php?gid=27836149505 | Regular updates | JE | Mar 2011 |
| Post-grads | Awareness of Repository Tools, key benefits, how to find out more, notable developments | • News feature on The Postgraduate Union website: http://exepgu.wordpress.com/ | Regular updates | JE | Mar 2011 |
| All University | Awareness of Repository Tools, key benefits, how to find out more, notable developments | • News feature on UoE Facebook page: http://www.facebook.com/exeteruni?ref=mf | Regular updates | JE | Mar 2011 |
| Library followers | Awareness of Repository Tools, key benefits, how to find out more, notable developments | • News and updates on Library Twitter account: http://twitter.com/#!/ExeterUniLib | Regular updates | JE | Mar 2011 |

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| Audience | Message/Aim | Method | Frequency | Who | When |
|---|---|---|---|---|---|
| All existing and potential repository users | Awareness of Repository Tools, key benefits, how to find out more, notable developments | • Set up a 'Repositories News' feed and/or UoE RepositoriesTwitter account | One time creation, regular updates | JE | Mar 2011 |
| **Using University media to inform and update** | | | | | |
| Library users | Awareness of Repository Tools, key benefits, how to find out more, notable developments | • News feature on Library News web page: http://as.exeter.ac.uk/library/news/index.html | One time with updates | JE | Mar 2011 |
| Research students | Awareness of Repository Tools, key benefits, how to find out more | • News feature in EE monthly newsletter | One time – update on notable developments | JE | Mar 2011 |
| PhD and early-stage professional researchers | Awareness of Repository Tools, key benefits, how to find out more, notable developments | • News feature in ERDP newsletter: http://as.exeter.ac.uk/support/development/researchstudents/erdp/erdpnewsletterande-profiles/ | Annual update re. evolving course content | JE | Mar 2011 |
| Research students | Awareness of Repository Tools, key benefits, how to find out more | • News feature on Research News website http://www.exeter.ac.uk/news/research/index.html and newsletter | One time | JE | Mar 2011 |
| All university | Awareness of Repository Tools, key benefits, how to find out more | • News feature on University Events website: http://www.exeter.ac.uk/news/events/ | One time | JE | Mar 2011 |
| All university | Awareness of Repository Tools, key benefits, how to find out more | • Feature on University News website and newsletter: http://www.exeter.ac.uk/news/university/index.html | One time | JE | Mar 2011 |
| All university | Awareness of Repository Tools, key benefits, how to find out more | • Feature in News in Brief monthly email | One time | JE | Mar 2011 |
| Staff and students in colleges | Awareness of Repository Tools, key benefits, how to find out more | • Feature in college websites/college and departmental newsletters | One time | JE | Mar 2011 |
| All university | Awareness of Repository Tools, key benefits, how to find out more | • News feature on My Exeter student portal | One time with updates | JE | Mar 2011 |
| All students | Awareness of Repository Tools, key benefits, how to find out more | • News feature in Exeposé student newsletter: http://xmedia.ex.ac.uk/xpedia/index.php/Exepos%C3%A9 | One time | JE | Mar 2011 |
| All AS staff | Awareness of Repository Tools, key benefits, how to find out more | • News feature in FYI fortnightly email newsletter | One time with updates | JE | Mar 2011 |
| All academics | Awareness of Repository Tools, key benefits, how to find out more | • Symplectic front page announcement | One time with updates | IT | End Feb 2011 |

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## Appendix 3: Institutional Survey

Core questions below were agreed upon by all project partners. Additional questions were asked by each institution as a supplement and not included in the report

Q1 Are you aware that the University of X has an institutional repository called XXXX where you can upload your full text publications and view others? (Y/N)

Q2 Have you personally uploaded full-text versions of research output into XXXX the institutional repository? (Y/N)
If you answered No, please skip to Question 3, otherwise please continue below.

2.a Did you upload for yourself? (Y/N)

2.b Did you use Symplectic to upload research output into the publications repository? (Y/N)

2.c If you uploaded, please indicate how strongly you agree/disagree with the following statements on a scale of 1 to 5:
(1= strongly disagree, 3= no opinion, 5= strongly agree)

- Upload was quick.
- Upload was easy.
- Upload was confusing.
- Uploading to the repository helps promote research.
- Having publisher policy information available is helpful.
- Uploading to the repository fulfils funder requirements.

2.d Have you ever used Symplectic Elements Publications? (Y/N)

2.e Would you recommend using the Symplectic interface to upload to the repository to a colleague?

- Yes
- No
- I haven't used it

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Q3 What was your incentive for uploading research output into XXXX, **OR** what would encourage you to upload in the future?
Select all that apply:

- My research funder requires me to do this.
- I wish to raise the profile of my research.
- I wish to share work with others more easily.
- To store my research securely.
- I want to deposit my research in one location but still have it accessible for reuse and harvesting.
- I am used to submitting to repositories from previous jobs in other Universities.
- Other (free text)

Q4 If you have not personally uploaded full-text versions of research output into XXXX the institutional repository, please answer the question below, otherwise please skip to question 5.

4.a Why have you not uploaded full-text versions of your research output into XXXX?
Select all that apply:

- I didn't know we had an institutional repository.
- I don't know what a repository is.
- I don't know how to upload.
- I'm concerned about copyright.
- Copyright doesn't allow any version of my work to be made open access.
- I've already uploaded my research into a subject repository/my own website/my institutional web page.

- I don't agree with open access.
- Other *(free text)*

4.b What would encourage you to deposit?
Select all that apply:

- Training
- Personal support
- A printed or on-line guide
- Reassurance about copyright issues
- Nothing
- Other *(free text)*

Q5 What would be the best means to provide you with information about uploading into the institutional repository?
Select all that apply:

- email,
- one to one training,
- group training session,
- presentation,
- guides,
- e-tutorials,
- other (free text)?

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## Appendix 4: Survey Results

| | | Exeter | Keele | Leeds | Plymouth | QMUL | TOTAL |
|---|---|---|---|---|---|---|---|
| **Total Respondents** | | | **20** | **362** | **8** | **165** | **555** |
| Q1 | YES | | 19 | 152 | 8 | 57 | 236 |
| | NO | | 1 | 210 | 0 | 108 | 319 |
| Q2 | YES | | 7 | 50 | 6 | 11 | 74 |
| | NO | | 12 | 312 | 2 | 150 | 476 |
| Q2.a | YES | | 7 | 32 | 6 | 12 | 57 |
| | NO | | 2 | 27 | 1 | 7 | 37 |
| Q2.b | YES | | 0 | 19 | 6 | 10 | 35 |
| | NO | | 0 | 26 | 1 | 6 | 33 |
| Q2.c | statement 1: Strongly agree (5) | | 2 | 10 | 3 | 0 | 15 |
| | statement 1: Agree (4) | | 3 | 14 | 1 | 2 | 20 |
| | statement 1: Neutral (3) | | 1 | 6 | 0 | 1 | 8 |
| | statement 1: Disagree (2) | | 1 | 3 | 2 | 6 | 12 |
| | statement 1: Strongly disagree (1) | | 0 | 1 | 1 | 4 | 6 |
| | statement 2: Strongly agree (5) | | 4 | 7 | 3 | 0 | 14 |
| | statement 2: Agree (4) | | 1 | 14 | 0 | 3 | 18 |
| | statement 2: Neutral (3) | | 1 | 7 | 1 | 3 | 12 |
| | statement 2: Disagree (2) | | 0 | 5 | 2 | 4 | 11 |
| | statement 2: Strongly disagree (1) | | 1 | 1 | 1 | 3 | 6 |
| | statement 3: Strongly agree (5) | | 1 | 1 | 1 | 2 | 5 |
| | statement 3: Agree (4) | | 2 | 10 | 2 | 3 | 17 |
| | statement 3: Neutral (3) | | 3 | 8 | 0 | 3 | 14 |
| | statement 3: Disagree (2) | | 1 | 9 | 0 | 3 | 13 |
| | statement 3: Strongly disagree (1) | | 0 | 5 | 4 | 2 | 11 |
| | statement 4: Strongly agree (5) | | 2 | 9 | 2 | 0 | 13 |
| | statement 4: Agree (4) | | 4 | 12 | 1 | 2 | 19 |
| | statement 4: Neutral (3) | | 1 | 10 | 1 | 4 | 16 |
| | statement 4: Disagree (2) | | 0 | 1 | 0 | 3 | 4 |
| | statement 4: Strongly disagree (1) | | 0 | 0 | 3 | 3 | 6 |
| | statement 5: Strongly agree (5) | | 0 | 10 | 1 | 1 | 12 |

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| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | statement 5: Agree (4) | | 0 | 13 | 3 | 1 | 17 |
| | statement 5: Neutral (3) | | 0 | 9 | 1 | 7 | 17 |
| | statement 5: Disagree (2) | | 0 | 1 | 1 | 2 | 4 |
| | statement 5: Strongly disagree (1) | | 7 | 1 | 1 | 1 | 10 |
| Q2.d | YES | | 10 | 205 | 3 | 43 | 261 |
| | NO | | 2 | 157 | 4 | 22 | 185 |
| Q2.e | YES | | 12 | 25 | 5 | 24 | 66 |
| | No | | 0 | 5 | 2 | 13 | 20 |
| | haven't used | | 0 | 41 | 0 | 0 | 41 |
| Q3 | Statement: 1 | | 0 | 39 | 0 | 1 | 40 |
| | Statement: 2 | | 6 | 0 | 3 | 9 | 18 |
| | Statement: 3 | | 3 | 0 | 5 | 10 | 18 |
| | Statement: 4 | | 3 | 1 | 3 | 2 | 9 |
| | Statement: 5 | | 5 | 1 | 3 | 6 | 15 |
| | Statement: 6 | | 0 | 0 | 0 | 0 | 0 |
| Q4.a | 1 | | 1 | 197 | 0 | 60 | 258 |
| | 2 | | 0 | 45 | 0 | 0 | 45 |
| | 3 | | 1 | 62 | 0 | 0 | 63 |
| | 4 | | 3 | 65 | 0 | 8 | 76 |
| | 5 | | 3 | 17 | 0 | 2 | 22 |
| | 6 | | 0 | 24 | 0 | 0 | 24 |
| | 7 | | 0 | 0 | 0 | 0 | 0 |
| Q4.b | 1 | | 4 | 26 | 1 | 8 | 39 |
| | 2 | | 1 | 0 | 0 | 0 | 1 |
| | 3 | | 7 | 161 | 1 | 27 | 196 |
| | 4 | | 8 | 20 | 0 | 16 | 44 |
| | 5 | | 1 | 30 | 0 | 12 | 43 |
| Q5 | 1 | | 12 | 79 | 0 | 54 | 145 |
| | 2 | | 2 | 0 | 1 | 3 | 6 |
| | 3 | | 4 | 8 | 1 | 3 | 16 |
| | 4 | | 1 | 1 | 0 | 2 | 4 |
| | 5 | | 4 | 4 | 0 | 3 | 11 |
| | 6 | | 6 | 37 | 1 | 18 | 62 |

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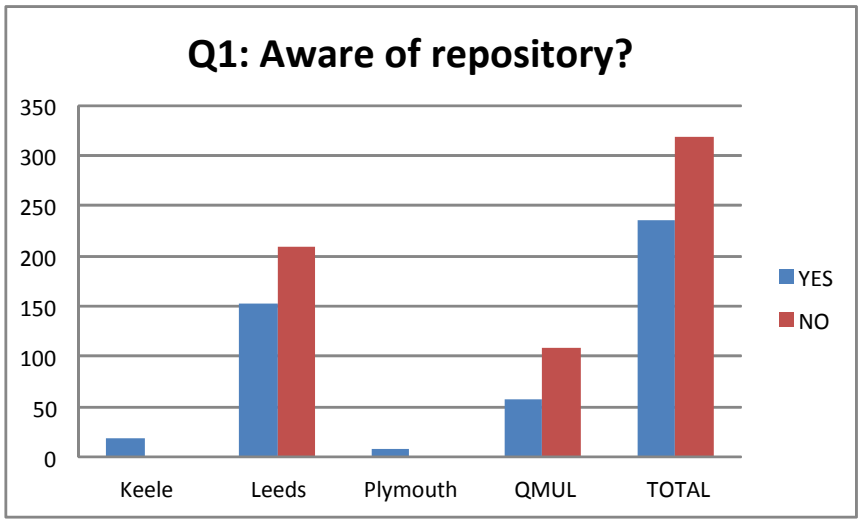
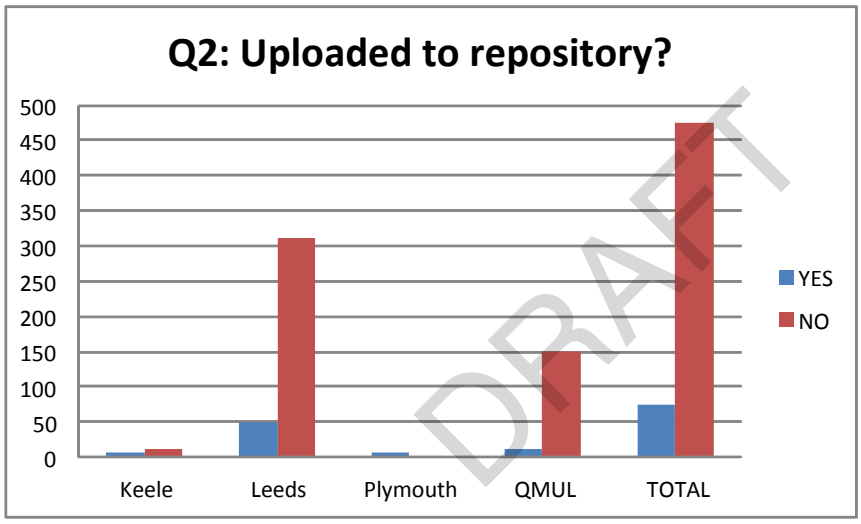
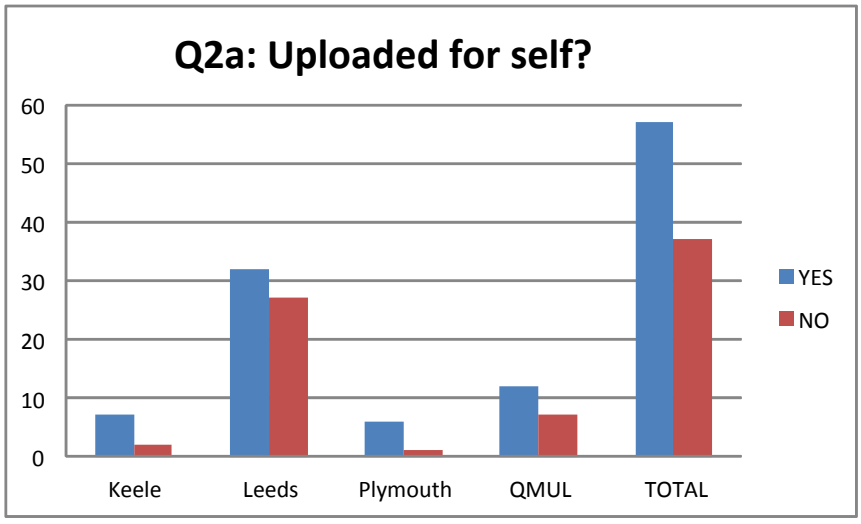
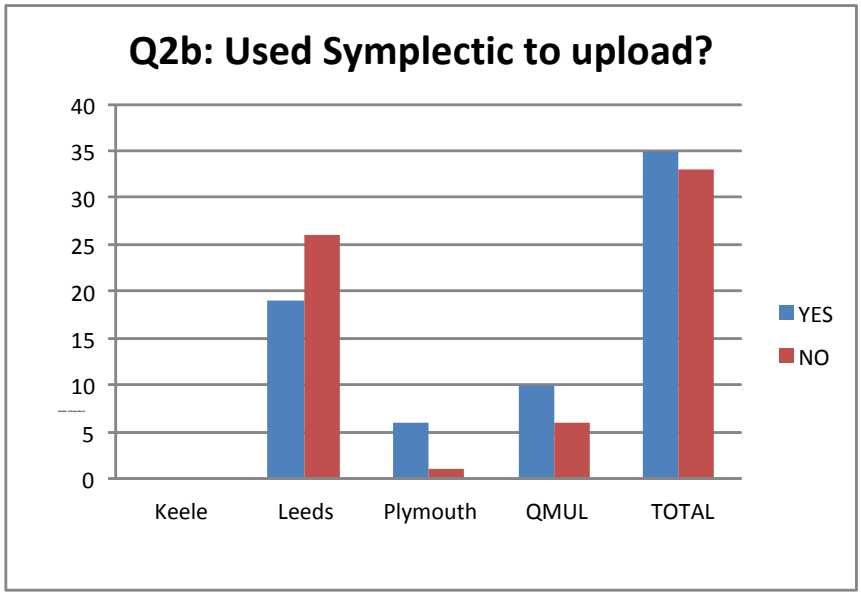
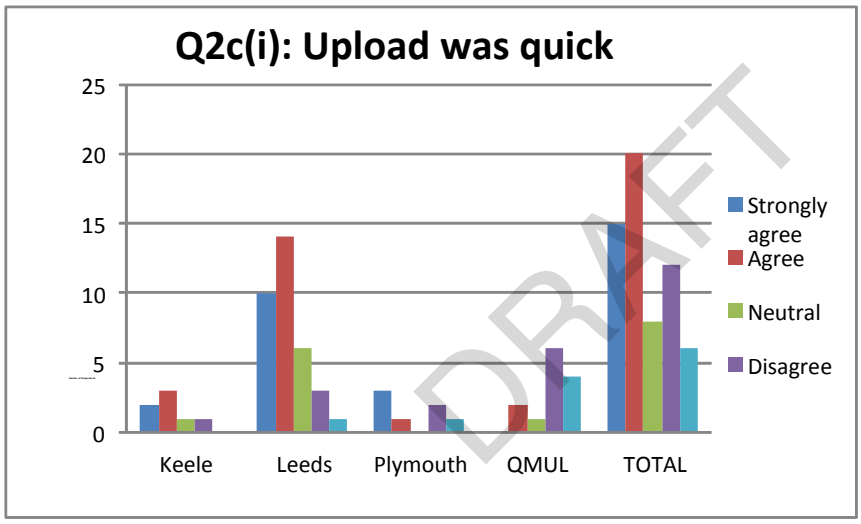
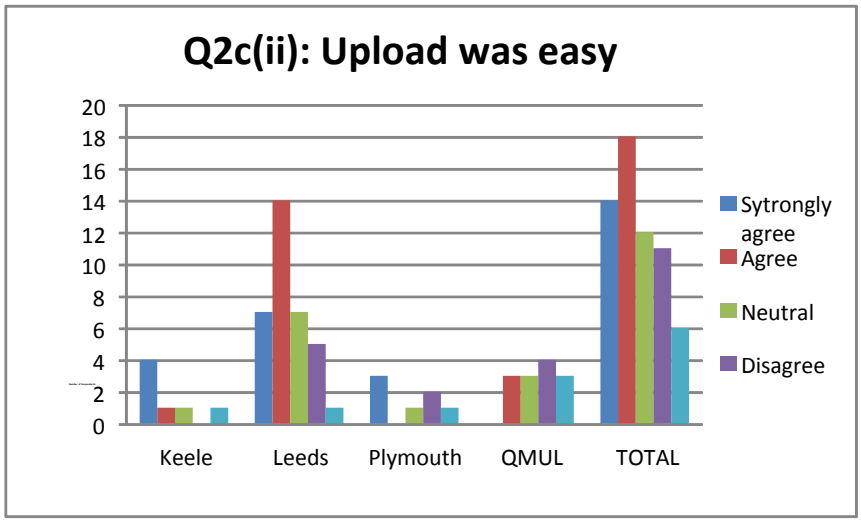

Q1: Aware of repository?
350
300
250
200
150
100
50
0
Keele
Leeds
Plymouth
QMUL
TOTAL
YES
NO

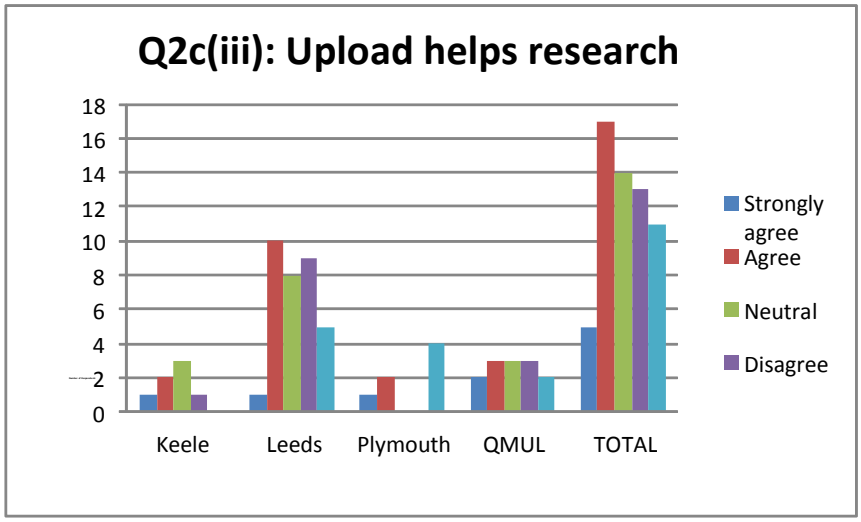

Q2: Uploaded to repository?
500
450
400
350
300
250
200
150
100
50
0
Keele
Leeds
Plymouth
QMUL
TOTAL
YES
NO
DRAFT

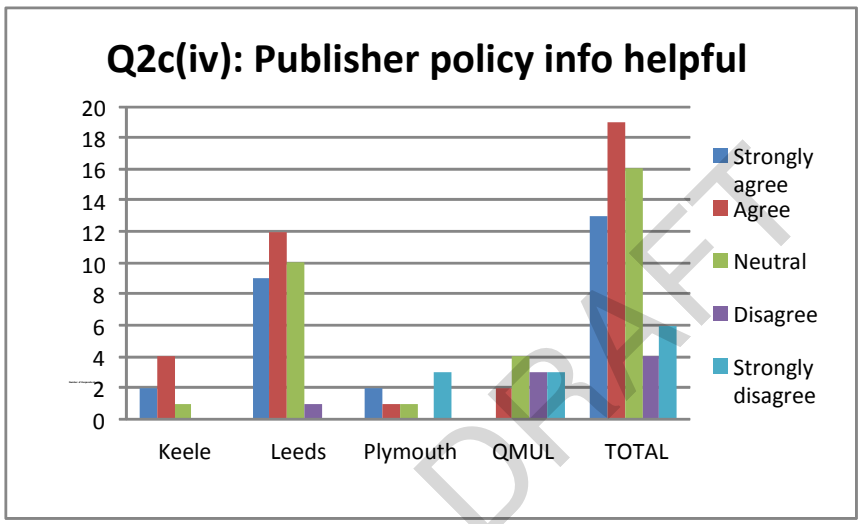

Q2a: Uploaded for self?
60
50
40
30
20
10
0
Keele
Leeds
Plymouth
QMUL
TOTAL
YES
NO


Q2b: Used Symplectic to upload?
40
35
30
25
20
15
10
5
0
Keele
Leeds
Plymouth
QMUL
TOTAL
YES
NO


Q2c(i): Upload was quick
25
20
15
10
5
0
Keele
Leeds
Plymouth
QMUL
TOTAL
Strongly agree
Agree
Neutral
Disagree
DRAFT


Q2c(ii): Upload was easy
20
18
16
14
12
10
8
6
4
2
0
Keele
Leeds
Plymouth
QMUL
TOTAL
Sytrongly agree
Agree
Neutral
Disagree


Q2c(iii): Upload helps research
18
16
14
12
10
8
6
4
2
0
Keele
Leeds
Plymouth
QMUL
TOTAL
Strongly agree
Agree
Neutral
Disagree


Q2c(iv): Publisher policy info helpful
20
18
16
14
12
10
8
6
4
2
0
Keele
Leeds
Plymouth
QMUL
TOTAL
Strongly agree
Agree
Neutral
Disagree
Strongly disagree

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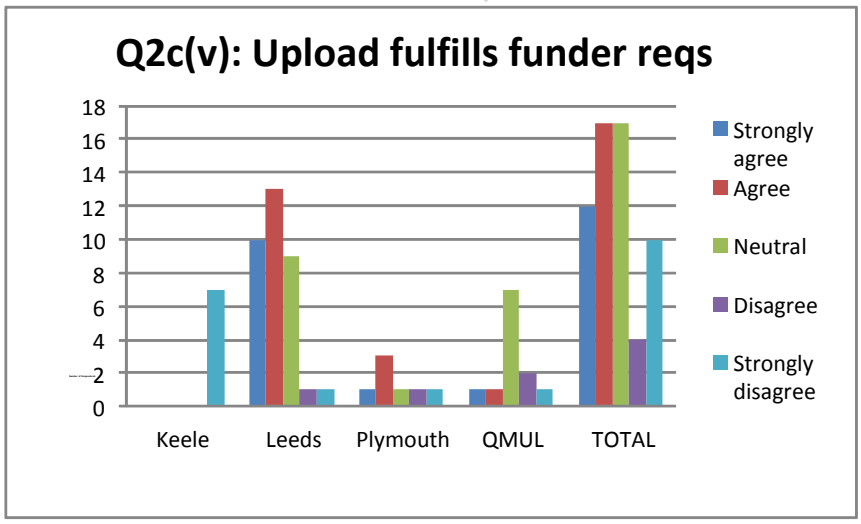
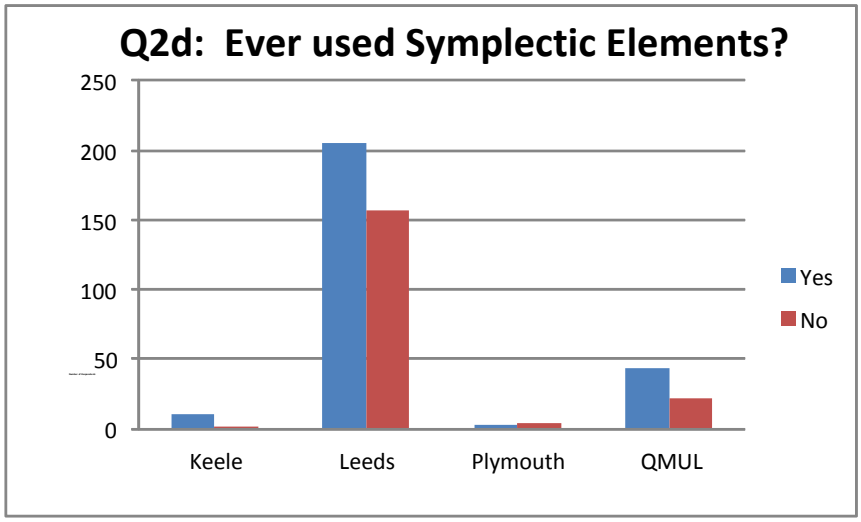
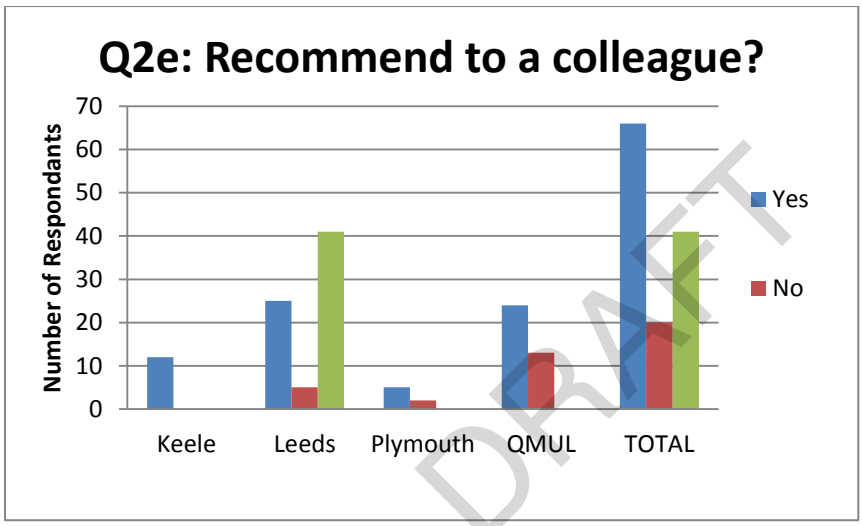
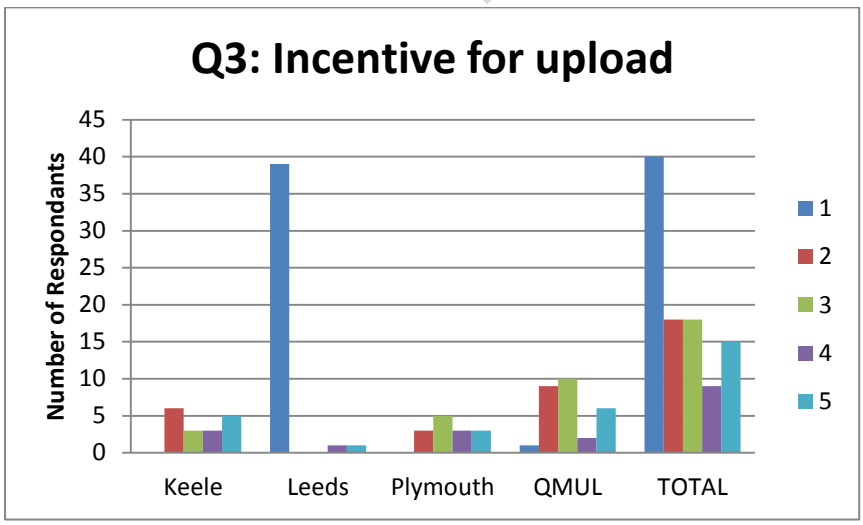

Q2c(v): Upload fulfills funder reqs
18
16
14
12
10
8
6
4
2
0
Keele
Leeds
Plymouth
QMUL
TOTAL
Strongly agree
Agree
Neutral
Disagree
Strongly disagree

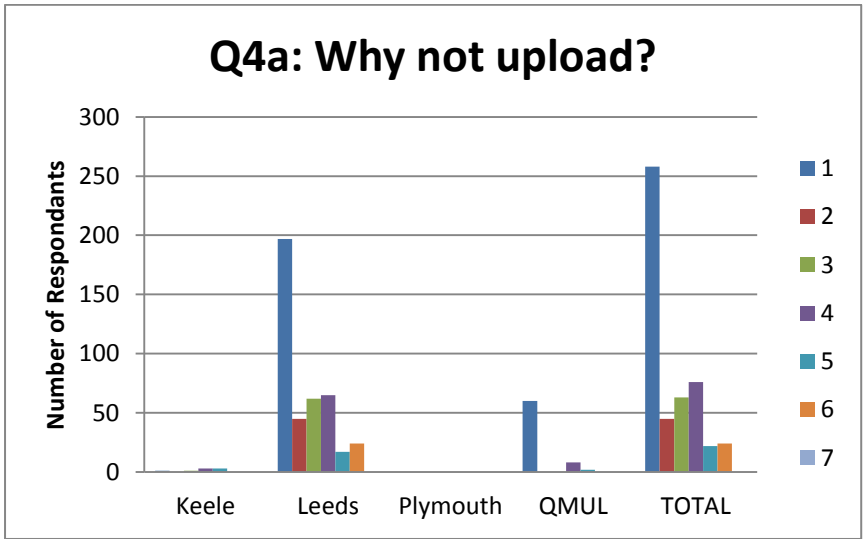


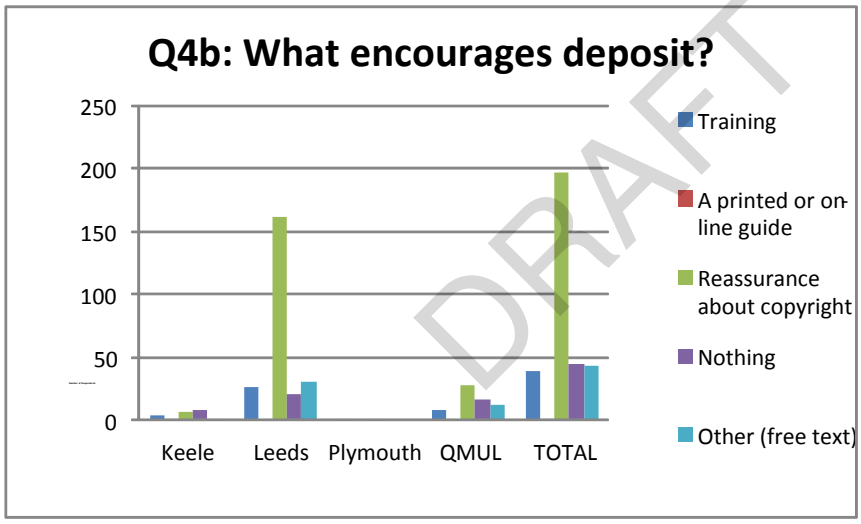




1 = My research funder requires me to do this
2 = I wish to raise the profile of my research
3 = I wish to share work with others more easily
4 = To store my research securely
5 = I want to deposit my research in one location but still have it accessible for reuse and harvesting

.




1 = I didn't know we had an institutional repository
2 = I don't know what a repository is
3 = I don't know how to upload
4 = I'm concerned about copyright
5 = Copyright doesn't allow any version of my work to be made open access
6 = I've already uploaded my research into a subject repository/my own website/my institutional page

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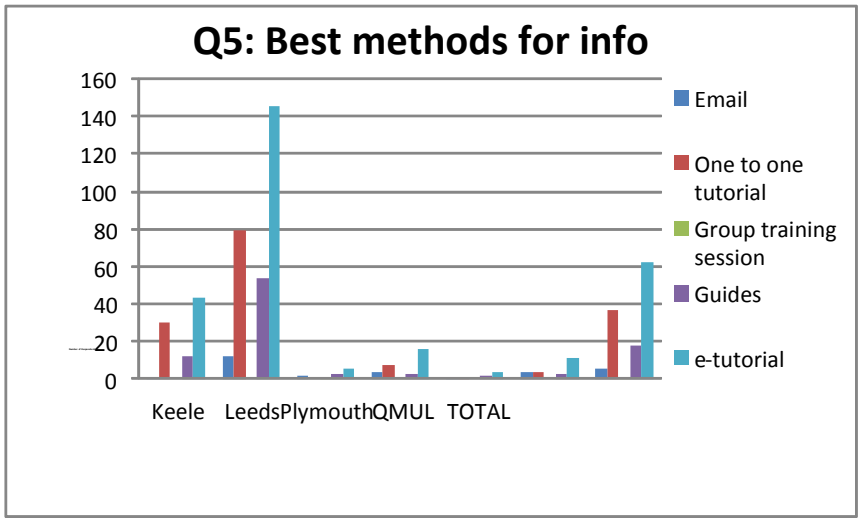

## Appendix 5: About Symplectic Elements Repository Tools Module

The Repository Tools Module allows the Symplectic Elements Publications module to interface directly with an institutional digital repository (currently it can interface to DSpace, EPrints, Fedora and IntraLibrary). Using Repository Tools, academics can upload full-text documents and supporting information into the repository directly from the Elements interface. Publication metadata is automatically uploaded without requiring the academic to rekey any data. In cases where full-text is available from one of the full-text data sources searched by the Publications Module, the document will be offered to the academic for immediate deposit, without the academic needing to find their own local copy. Otherwise, the academic can browse their local files to find the appropriate one to upload.

The aim of Repository Tools is to embed the act of deposit into the academic workflow. As such the Elements interface is designed to be a "one stop shop" for academics. Copyright guidance is collected automatically from SHERPA/RoMEO and supplied to users. The status of the copyright is shown so that the academic can be sure of the current copyright arrangements for an article.

All publication types can be uploaded into the repository and can have any number of digital objects associated with them in the digital repository (for example, an article file together with supporting data).

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