جامعة الملك عبدالله
للعلوم والتقنية
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Towards a Comprehensive and Up-To-Date Institutional Repository

DEVELOPMENT OF A PUBLICATIONS TRACKING PROCESS

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Comprehensive? Up-To-Date?

- A complete and reliable resource for research produced by KAUST researchers or supported by KAUST funding.

Why?

- June 2014 adoption of institutional open access policy
- Library task: *“develop and monitor a plan to comply with this policy and existing copyright obligations in a manner as convenient for the faculty as possible.”*

Is our repository ready?

- Waiver form option
- Type-based submission forms
- Cover sheet with version, rights and citation
- Faceted search
  - Distinguish downloadable from embargoed or metadata-only items.

Item Availability :

Open Access (3386)

Embargoed (839)

Metadata Only (7481)

Plan?

- Evaluate systems for:
  - harvesting publication metadata
  - depositing full texts as appropriate

- Select one and integrate it with the existing repository.

Plan carried out…?

- Subsumed into larger project:
  - Selection and implementation of research information system (CRIS).

- Only one consideration among several
  - Institutional reporting, grant management …

In the meantime…

At least we should have a copy of everything with a license that permits redistribution.

- Pubmed Central open access subset retrieval and batch ingest.
    - 300+ publications in simple archive format
- Compared Scopus export with Sherpa Romeo and DOAJ to identify other articles with open access licenses
    - 150+ publications, deposited manually
- Set up Google Scholar email alert for “Creative Commons”
    - 3-5 publications a week

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How are we doing with the open access policy?

- Are people self-depositing?
  - ➢ Same as before OA policy, primarily in electrical engineering and applied mathematics (“send us arXiv IDs”).

- One research center

  … “help us make sure everything is in the repository”

-- We don’t know what we’re missing --

Contacting faculty individually

- List to each faculty member of publications in the last nine months showing what was deposited and what was not.
  - By Scopus ID
    - Then checking on repository by DOI
  - Manual highlighting and review
  - Email with explanation of open access policy and publisher policies

Responses to contacting faculty individually

- Your list is incomplete:
  - please search on Web of Science
  - look at my Google Scholar profile
  - see my attached CV.
- Why are you contacting me, you can download these from the publisher.
- I don’t think the publisher allows this.
- I don’t keep old versions of papers, ask my co-authors.
- **No response…**

Responses to contacting faculty individually

- My accepted manuscripts are all on my web site / arXiv, please copy from there.
- Requested files attached.
- I always pay to publish OA, please check individual article licenses, not just journal policies.
- 650 articles requested from 130 faculty, 60+ items deposited.

How can we do better?

Maximize what we do on researchers' behalf:

- Deposit when possible.
- Check compliance with publisher policies and embargoes.

Contact authors closer to the time of publication:

- All KAUST authors at once.

How can we do better?

Commit to being a complete resource for KAUST work:

- Add metadata-only records to the repository.
- Emphasize that the information will be reused:
  - ORCID
  - PlumX
- All item types?
  - Open access policy applies only to articles, conference papers and book chapters.
  - But repository will also track patents and meeting abstracts

What source(s)?

- Exports from Scopus and Web of Science
  - Varied handling of affiliations
    - Scopus treats listing of current or present address as normal affiliation
    - Web of Science ignores current and present addresses
  - How successfully are affiliation variants matched to institutions?

- “Export” from Google Scholar
  - Full-text search…
  - Using Publish or Perish software
  - Broken into manageable batches

What about outputs from KAUST funded research at external institutions?

- Same sources, with the addition of Fundref/Crossref

Essentially the same conclusion, no source is comprehensive, reliable and up-to-date enough for us to feel confident in relying on it alone.

Established tracking process:

- PHP scripts daily check:
  - Indexer APIs:
    - Scopus, Web of Science, Google Scholar (using scholar.py)
  - Publisher APIs:
    - IEEE, Sciencedirect, Springer, Nature
  - By affiliation keywords and name variants

How does that work:

- De-duplication based on DOI?
  - Spot the difference?

DOI	DOI
10.3233/FI-2009-74	10.3233/FI-2009-0074
10.1016/S0065-2881(10)57009-3	10.1016/B978-0-12-381308-4.00009-1
10.1364/OE.23.0010224	10.1364/OE.23.010224
10.1021/acs.organomet.5600749	10.1021/acs.organomet.5b00749

    - Both Scopus and Web of Science have small numbers of invalid DOIs.

How does that work:

- De-duplication based on DOI?
  - Cases of multiple DOIs:
    - *Angewandte Chemie*
      - German and international editions issue separate DOIs, though research article is in English in both cases.
    - Cover pages
      - Issued their own DOIs, and citations sometimes use this DOI, rather than the main article DOI.
    - IEEE
      - Initial error of year in initial DOI registration for all items in a conference.

How does that work:

- Items without DOIs?
  - From WOS and Scopus
    - Mostly meeting abstracts, but also a small number of items for which we can identify valid DOIs.
  - From Google Scholar
    - Attempted matching to DOIs based on title and known publisher URL strings
  - Self-deposited accepted manuscripts prior to DOI issuance?

How does that work:

- Centrally managed deposit
  - Library staff check that there is a KAUST affiliation or KAUST funding acknowledgement
  - Deposit if license or publisher policy permits
    - Including accepted manuscripts made available by publishers prior to copyediting and final formatting.
    - With embargoes as required

How does that work:

- Manuscript requests
  - If only publisher version is available and its deposit is not permitted.
    - Request accepted manuscript from KAUST authors
    - If file sent, deposit.
    - Else, upload metadata-only record via batch CSV upload after two weeks.

Time lag of Scopus (for sample of recent items)

First source	Average lag (months)	% of total
Google	2.5	35%
Scopus	0	27%
Springer	2	6%
IEEE	4	15%
Sciencedirect	1.7	13%
Nature	1.5	3%

Open access compliance after 2 years:

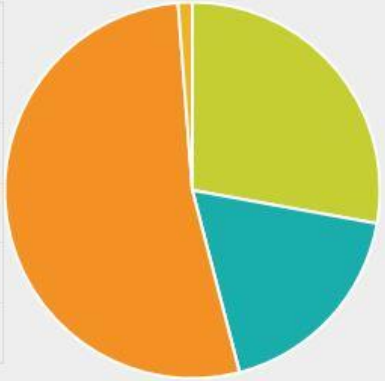
Overall compliance with the open access policy

	Number of Publications	Percent
After July 2014	2436	100%
File deposited	1804	74%
No file deposited	632	26%

Versions and licenses:

Versions and licenses of deposited files

	Number of Publications	Percent
Files deposited	1804	100%
Publisher version with CC license	502	28%
Publisher version deposit allowed by journal policy	327	18%
Accepted manuscript deposited	953	53%
Other versions or licenses	22	1%



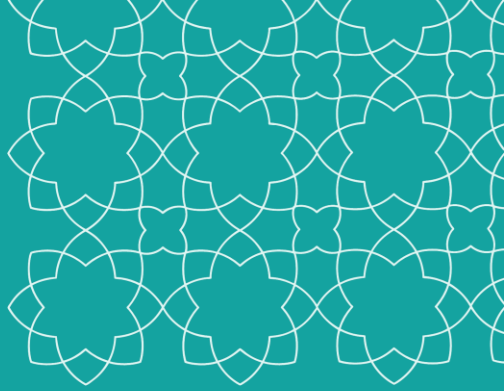
Effectiveness of email requests:

Response to emails to all KAUST authors

	Number of Publications	Percent
Items for which email manuscript request was sent to all KAUST authors	904	100%
Manuscripts deposited after receipt from one of the authors	326	36%
No manuscript from authors after request	578	64%

Where will it all end:

- More item types?
  - Patents
  - Meeting abstracts / presentations
  - Datasets
  - Software
- More automation?
  - SWORD or Rest API deposits and metadata updates to DSpace?



Questions?

THANK YOU!