Life in the FASt Lane: Speedy Workflows for Providing a Faculty Assisted Submission (FAS) Service for Your IR

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Life in the FASt Lane: Speedy Workflows for Providing a Faculty Assisted Submission (FAS) Service for Your IR

Sarah Wipperman
Scholarly Communication and Digital Repository Librarian

Kenny Whitebloom
Digital Scholarly Publishing Librarian
At the Starting Line
Pit Crew

Sarah Wipperman

- ScholarlyCommons Intern 2012-2013
- Repository Services Manager & Analyst 2013-2016
- Scholarly Communications & Digital Repository Librarian 2016-present

Kenny Whitebloom

- Digital Publishing Librarian 2016-present

3-5 Student Workers

Scholarly Communications Intern (coming soon)
ScholarlyCommons: Penn’s IR
Started in 2004
Part of Teaching, Research, & Learning Division, Digital Scholarship Department since 2015/2016
Diverse materials and communities represented

http://repository.upenn.edu
Fuel

- Faculty Assisted Submission (FAS)
- Journal Publishing
- Digital Projects
- Conferences and Events
- Data Management

http://guides.library.upenn.edu/scholarlycommons/services
Who Are You?
Race Track

Problem we were experiencing

Questions

Challenges and strategies

What we did to fix it

What we're doing now

Building and adapting

Start of race

Summon car to pit/disqualification

Mechanical problem

Racer is stopped

Caution

Potential traction hazard

Race finished
The Wrench in the Gears
2011: The Year Faculty Were Going to Start Submitting to ScholarlyCommons

University of Pennsylvania Faculty Open-Access Statement of Principles for Scholarly Articles

September 13, 2011, Volume 58, No. 03

A Committee on Open Access Publishing was appointed by the Provost and Senior Vice Provost for Research in December 2009 to examine the status of open access publishing practices and to make recommendations for establishing procedures to promote open access that better serve the Penn community and the general public. (See Almanac, March 3, 2010, Volume 56, Number 26.) In May 2010 the Committee presented its recommendations to the Provost, the Senior Vice Provost for Research and the Council of Deans. Between September 2010 and April 2011 these recommendations were discussed with the faculty of the schools across the University. In May 2011, the recommendations in the form of a Statement of Principles were endorsed by the Faculty Senate. The Statement is published below and is effective immediately. We would like to thank the Committee Members for their hard work and commitment to adopting open access practices at the University. We would also like to thank the Library staff for their early and continuing efforts to work with faculty to implement Penn’s open access repository, ScholarlyCommons.

University of Pennsylvania Faculty Open-Access Statement of Principles for Scholarly Articles

Every person who conducts research at the University of Pennsylvania is strongly encouraged to grant to the University of Pennsylvania nonexclusive, irrevocable, paid-up, worldwide rights and license to exercise any and all rights necessary under copyright to reproduce, distribute, display, and otherwise disseminate, in any medium now known or hereafter invented, each of his or her scholarly articles, provided that the scholarly articles are not sold or licensed by the University for compensation, and to authorize others to do the same on the same terms and with the same limitations. Faculty who do not submit articles for open dissemination are encouraged to notify the Penn Libraries, through a process made simple and accessible by the University. Authors are encouraged to seek the express, affirmative, written consent of all co-authors of a scholarly article before submitting the scholarly article to the Penn Libraries for open dissemination; however, the University may disseminate a scholarly article if all of the co-authors and co-owners of the copyright of the scholarly article who are members of the Standing Faculty, Standing Faculty Clinician Educators of Research Faculty, grant nonexclusive permission to the University through an express, affirmative consent process to be developed.

The Faculty of the University of Pennsylvania endorses the principle of open access because they recognize the advantages of free access to new knowledge for the authors and the community. It is expected that, in most cases, faculty will choose open access as the best mechanism to rapidly and globally disseminate their work. To this end, the Faculty expects that the University will provide sufficient resources to facilitate this process and sufficient information and expertise to accomplish the goals of open access with the minimum inconvenience and expense to the author(s).

Submitting authors are encouraged to make available a digital copy of the “final version” of the scholarly article, at no charge, to the Penn Libraries, in one or more standard formats (such as PDF) as the libraries may request, and no later than the date of publication of the scholarly article. If, however, the final version is already publicly available through other open access means (e.g., another open access repository or an open access journal), or if there is a legal obligation to make the scholarly article publicly available through other means (e.g., depositing a copy in Published Central or other government repository), the submitting author(s) may provide a digital copy to the Penn Libraries. The “final version” means the author’s manuscript with any changes made as a result of the peer-review process, but prior to any publisher’s copy-editing or formatting. For articles and comments intended for publication in student-edited law reviews and journals, the “final version” is the version after all editing by the student journal editors, or its equivalent. The author(s) are strongly encouraged to notify the Penn Libraries of the location of and/or link to the scholarly article once it has been made public elsewhere.

The Penn Libraries will make the scholarly articles it receives available to the public in Penn ScholarlyCommons and/or a similar open-access repository or repositories. If a Penn faculty author (or no Penn faculty member is an author; the submitting author) requests an embargo, the Penn Libraries will embargo the scholarly article for the requested time period, before making it available to the public, except when (1) the author has a legal obligation to make the scholarly article publicly available within an earlier time period, or the embargo should not extend that earlier time period; or (2) the publisher of the publication within which such scholarly article appears makes such scholarly article freely available to the public for further reproduction or distribution; the embargo period should terminate. In any case, the requested embargo period should not exceed twelve months after acceptance of the scholarly article for publication.

In keeping with this Statement of Principles, the Provost’s Office and the Penn Libraries will develop and monitor an implementation plan and web-based services to make faculty participation in open access and dissemination as convenient as possible. This Statement of Principles will be reviewed regularly to ensure its success.

—Vincent Price, Provost
—Steven J. Fluharty, Senior Vice Provost for Research
2011: The Year Faculty Were Encouraged to Maybe Think About Submitting to ScholarlyCommons Possibly Maybe

University of Pennsylvania Faculty Open-Access Statement of Principles for Scholarly Articles

September 13, 2011, Volume 38, No. 03

A Committee on Open Access Publishing was appointed by the Provost and Senior Vice Provost for Research in December 2009 to examine the status of open access publishing practices and to make recommendations for establishing procedures to promote open access that better serve the Penn community and the general public. (See Almanac: March 3, 2010, Volume 58, Number 26.) In May 2010 the Committee presented its recommendations to the Provost, the Senior Vice Provost for Research and the Council of Deans. Between September 2010 and April 2011 these recommendations were discussed with the faculty of the schools across the University. In May 2011, the recommendations in the form of a Statement of Principles were endorsed by the Faculty Senate. The Statement is published below and is effective immediately. We would like to thank the Committee Members for their hard work and commitment to adopting open access practices at the University. We would also like to thank the Library staff for their early and continuing efforts with faculty to implement Penn's open access repository, ScholarlyCommons.

University of Pennsylvania Faculty Open-Access Statement of Principles for Scholarly Articles

The University of Pennsylvania is committed to disseminating research and scholarship as widely as possible. The Faculty of the University fully supports the University’s commitment to open access to research. In keeping with that commitment, the Faculty Senate endorses the following Statement of Principles:

Every person who conducts research at the University of Pennsylvania is strongly encouraged to grant to the University of Pennsylvania a nonexclusive, irrevocable, worldwide right and license to exercise any and all rights necessary under copyright to reproduce, distribute, display, and otherwise disseminate, in any medium now known or hereafter invented, each of his or her scholarly articles, provided that the scholarly articles are not sold or licensed by the University for compensation, and to authorize others to do the same on the same terms and with the same limitations. Faculty who do not submit articles for open dissemination are encouraged to notify the Penn Libraries through a process made simple and accessible by the University. Authors are encouraged to seek the express, affirmative, written consent of all co-authors of a scholarly article before submitting the scholarly article to the Penn Libraries for open dissemination; however, the University may disseminate a scholarly article if all of the co-authors and co-owners of the copyright in the scholarly article who are members of the Standing Faculty, Standing Faculty Clinician Educators or Research Faculty, grant nonexclusive permission to the University, through an express, affirmative consent process to be developed.

The Faculty of the University of Pennsylvania endorses the principle of open access because they recognize the advantages of this access to new knowledge for the authors and the community. It is expected that, in most cases, faculty will choose open access as the best mechanism to rapidly and globally disseminate their work. To this end, the Faculty expects that the University will provide sufficient resources to facilitate this process and sufficient information and expertise to accomplish the goals of open access with the minimum inconvenience and expense for the author(s).

Submitting authors are encouraged to make available a digital copy of the “final version” of the scholarly article, at no charge, to the Penn Libraries, in one or more standard formats (such as PDF) as the libraries may request, and no later than the date of publication of the scholarly article. If however the final version is already publicly available through other open access means (e.g., another open access repository or an open access journal, or if there is a legal obligation to make the scholarly article publicly available through other means (e.g., depositing a copy in PubMed Central or other government repository), the submitting author(s) may provide a digital copy to the Penn Libraries. The “final version” means the author’s manuscript with any changes made as a result of the peer-review process, but prior to any publisher’s copy-editing or formatting. For articles and comments intended for publication in student-edited law reviews and journals, the “final version” is the version after all editing by the student journal editors, or its equivalent. The author(s) are strongly encouraged to notify the Penn Libraries of the location of and link to the scholarly article once it has been made public elsewhere.

The Penn Libraries will make the scholarly articles it receives available to the public in Penn ScholarlyCommons and/or a similar open-access repository or repositories. If a Penn faculty author uses their own funds to publish a scholarly article, the author(s) of the scholarly article will be encouraged to provide a digital copy of the “final version” of the scholarly article, without charge or subject to a reasonable access fee, to the Penn Libraries, in one or more standard formats (such as PDF) as the libraries may request, and no later than the date of publication of the scholarly article.
2011: The Year Faculty Didn’t Start Submitting to ScholarlyCommons

![Faculty Uploads Graph](image)
Challenges of Self-Deposit to an IR
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Challenges of Self-Deposit to an IR
Challenges of Self-Deposit to an IR
Challenges of Self-Deposit to an IR
Challenges of Self-Deposit to an IR
2011: The Year We Were Supposed to Make It Easy

The Provost’s Office and the Penn Libraries will develop and monitor an implementation plan and web-based services to make faculty participation in open access and dissemination as convenient as possible.
Fixing the Problem
Solution...

More Robust Mediated Deposit Service
Why Mediated Deposit?

**Pros**
- Not duplicating efforts
- Easier to get content/More participation
- Control metadata
- Publisher policy compliance
- Schol comm teaching opportunity
- Closer relationship with faculty
- More opportunities for library partnerships

**Cons**
- Requires staff
- Requires staff to be highly trained
- Many moving parts
- Gives faculty less agency
- Scaling can be an issue
- Updates required
Impact of Mediated Deposit
Phasing In Change
Lap 1: Hiring
Hire a Full Time IR Manager

LIBRARIAN WANTED!

A wide-awake intelligent man or woman wanted in every city and town to organize branches of The Parmelee New Book Home Delivery Library. A magnificent opportunity to enter into an up-to-date work of great importance, which appeals to every book lover.

Andrew Carnegie

3. The books are delivered at your door and called for in regular series in numbers. A 50 page catalog mailed each month.

5. In the usual public library none of the above advantages are offered, and as a necessary sequence, the perfected Parmelee Libraries are meeting with extraordinary success in the largest cities, having the best public library facilities.

WE WANT A REPRESENTATIVE IN EVERY CITY AND TOWN. The work is one of relaxation and dedication: an agreeable occupation for any man or woman who seeks a high-class appointment. To study names of those who will send in applications, the weekly arrival of books, and about delivery by messengers to the patrons' homes—the salary is $10 dollars. We do not need experienced men or women, but those easily educated and enthusiastic, as well as good and energetic who will follow our instructions to the letter. If a person can only give a portion of his or her time, the work can be continued in managing the library in such a way. Either of the highest standing in cities throughout the country are carefully inspected as to their integrity and performance to their friends. We shall be glad to hear from any person possessing these qualifications and are strongly interested in finding a man or woman who can do the work with success.

THE PARMELEE LIBRARY, Main Office, 1814 & 1843 Walsh Avenue, CHICAGO
PAID CAPITAL $78,000.00

Anu B. B. o. D. A. I. O., PORTLAND, MINNEAPOLIS, DES MOINES, NEW ORLEANS, LOUISVILLE AND INDIANAPOLIS.
Impact of Staffing

- Full Time IR Manager
- ≤ Part Time IR Manager
- Initial school load
Lap 2: Facelift
“ScholarlyCommons? I thought that was dead.”

It’s hard to offer a service if people don’t know it exists...
Spring 2014: A New Look
Our Initial Mediated Deposit
## Making Permissions Easier: Step 1

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Lap 3: IR as a Service
By 2017, ...the Library will be known for a well-articulated portfolio of researcher services.

Penn Libraries Strategic Plan 2015-2017
Lap 4: Hiring Students
Started Building a Student Workforce

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Impact of Student Workers
Lap 5: Moving to the Cloud; Automating Processes
Googleverse

What is a pub PDF?

A publisher PDF is the final, published version of your article with all the publisher formatting. It will likely contain headers, footers, page numbers, typsetting, etc. Other terms: Version of Record (VOR), Published Version, Published Article, Final Version, Final Published Version. Example: http://dx.doi.org/10.1016/S0898-5898(01)00055-9

What is a postprint?

A postprint is a version of your article after peer-review but before the final publisher formatting. It should NOT look like the final version. It is typically a Word document. Other terms: Accepted Manuscript, Author’s Accepted Manuscript, AM. Example: http://repository.upenn.edu/gse_pubs/80/

What is a preprint?

A preprint is the original version of your article that you wrote and submitted to the journal. Other terms: Author’s Original Manuscript (AOM), Author’s Original (AO), Submitted Version.
Spreadsheet Automation (Version 1)
Lap 6: Develop a Better Training Program
Lap 7: Hiring, Again
What We’re Doing Now
Faculty Assisted Submission (FAS)

- Recently rebranded mediated deposit service offered to all Penn faculty, including associate and emeritus professors
- Done individually and on behalf of entire departments
- Benefits
  - Building our IR
  - Teaching scholarly communication best practices (save your postprints!)
  - Providing early career faculty with exposure
  - Providing legal, streamlined avenue for sharing work online for mid-late career faculty

Image: Richard PJ Lambert via CC BY-NC 2.0 license
Our Team of Student Employees

- Five undergraduate and graduate student employees supervised by Digital Scholarly Publishing Librarian
  - 10-20 hours per week when classes are in session
  - 30-35 hours per week when classes aren’t in session

- Daily tasks and workflow
  - Reviewing publisher policies and making verdicts on suitability for self-archiving
  - Corresponding with publishers and journal editors seeking permission or clarification
  - Uploading papers
  - Communicating with faculty about results and process
  - Documenting policies for quicker reviews in the future

- Success built upon comprehensive training experience
Student Training
Step 1: Crash course in copyright, publishing, and author rights
Step 2: Find and describe policies for major publishers

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<td>pre-print immediately, some exceptions, After embargo period-accepted manuscript</td>
<td>0-36 months</td>
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<td>Lippincott, Williams &amp; Wilkins</td>
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<td>12-24 months</td>
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<td>Sage</td>
<td>pre-print immediately, post-print after embargo period</td>
<td>12-24 months</td>
<td><a href="https://us.sagepub.com">https://us.sagepub.com</a></td>
<td>Additionally, please pre publish.</td>
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<td>Springer</td>
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<td>12 months</td>
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<td>0-18 months</td>
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<td><a href="https://authorservices.tas">https://authorservices.tas</a></td>
<td><em>This is the peer reviewed</em></td>
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<td>Cambridge University Press</td>
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<td>VoR-abstract only with the link to original</td>
<td><a href="https://www.cambridge.org">https://www.cambridge.org</a></td>
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<td>Oxford University Press</td>
<td>post-print immediately after publication</td>
<td>0-6 months</td>
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**Step 3: Run permissions for 25 sample works**
Step 4: Upload instructions and quiz
Step 5: Upload 10 sample works to training space on demo site
Supporting Student Employees
Benefits

- Cost effective
- Independent, flexible
- Education in scholarly communication, copyright, author’s rights, OA, and publishing
- Workplace and project management skills

Image: Guido van Nispen via CC BY 2.0 license
Challenges

- Timing and gaps in service
- Permissions emails can get lost or dropped
- Quality varies
- They graduate

Image: Hamza Butt via CC BY 2.0 license
Workflow and Tools
Step 1: CV/list of publications lands in our queue
Step 2: CV intake and processing
Step 3: Student transfers CV to Google spreadsheet and begins permissions review
Step 4: Student reaches out to publishers
Dear [Name],

We have completed the initial stage of the permissions process to put your works on ScholarlyCommons! We have uploaded what we can to ScholarlyCommons and have contacted publishers for permission as needed. We will continue to monitor any responses we receive from publishers and upload more works as we are able.

You can find the results of our permissions process in this Google spreadsheet: [link to google sheet results tab]

On the "Results" tab in the above spreadsheet, you will notice a number of columns. These columns indicate which of your works can go into ScholarlyCommons based on our permissions research.

- **We need a different version (NOT the final version):** We need a non-final version of your paper, such as a preprint or postprint, in order for it to be uploaded to ScholarlyCommons (please upload copies to the folder below). For more information, examples, and definitions of the various versions of a scholarly paper, please see the "Preprint vs Postprint vs Preprint" tab.
- **We can post the final version:** We were allowed to post the final published version of your paper to ScholarlyCommons and we did so.
- **Prohibited by the publisher:** We were prohibited from posting any version of your paper to ScholarlyCommons.
- **Contacted publisher for permission:** We were either unsure of the publisher's policy or they required written permission from us. We will continue to monitor any responses we receive from publishers and upload more works as we are able.
- **Other:** We were unable to find the work online or determine the identity of the publisher.

For additional information about the permissions process, I'm posting a short set of FAQs below this message.

You can upload copies of your preprint/postprints here: [Insert author’s Penn Box URL]

You can provide feedback on our Faculty Assisted Submission service by taking a short survey: https://goo.gl/forms/WrkJl9s9TWG5Ye82

Over the next year, we will periodically check for your new publications, but if you want us to put something up sooner, please contact us (if you do not want us to add new things, let us know). If you would like to schedule a time to discuss the results of the process, review strategies for making more of your works available, or demo the Author Dashboard (ScholarlyCommons' statistics feature), please let me know.

We are so happy to have some of your works in ScholarlyCommons, and I hope that we will have more to add soon! Please let me know if you have any questions or trouble using the Google Sheet.

---

**Step 5: Student uploads VoRs, communicates results with faculty member**
Publisher no response follow up

Last updated: 6 months ago by Kenny W.

This email is sent to a publisher if after one month they have not responded to your original permissions request. Please follow up using this template in the same thread as your original email to the publisher. The repository manager will prompt you when to send this email.

[subject]: please "reply all" to publisher using same thread as before
[cc]: kenwhl@upenn.edu

To Whom It May Concern:

I am following up on my [date] request on behalf of [Dr. X] to self-archive an [article/book/book chapter/etc] that [he/she] wrote for [journal/book/publisher name] in Penn's openly accessible institutional repository, ScholarlyCommons (http://repository.upenn.edu). We have not heard back from you and are thus planning to post a copy of this work to ScholarlyCommons in one month ([enter date one month from now]). Please feel free to pass this email along to the appropriate contact, or contact me should you have any questions about this request or ScholarlyCommons. We would really love to include [Dr. X's] work and thus preserve [his/her] contribution to Penn's scholarly community!

Best,
[Your name]
ScholarlyCommons Digital Publishing Assistant

Step 6: Upload faculty-provided pre/postprints, respond to publisher emails (ongoing)
Supporting Faculty Through the Process

- Status reports (with FAQs included) emailed to faculty at following points:
  - Intake
  - Out of the queue
  - Initial permission complete
  - 3 months after (check-in for postprints)
  - 1 year after (permissions update)
- Faculty not having their preprints or postprints presents challenges
- CV Log (pictured) helps us keep track of CVs for post-deposit follow up
Welcome to the Publisher Policy Database

The Publisher Policy Database is a growing database of information about journal publishers and their permissions policies specific to self-archiving. It is maintained by the University of Pennsylvania Libraries as part of its work on ScholarlyCommons.

If you have any questions or would like to request an update for one of our records, contact the ScholarlyCommons administrator.

While all information on the Publisher Policy Database is accurate to the best of our knowledge, it should not be relied upon for legal purposes.

Publisher Policy Database (under development)
Building Outreach Capabilities

● Updated web presence
  ○ Featured projects
  ○ Upload CV directly to LibApps queue

● Other types of ScholarlyCommons services
  ○ Digital projects
  ○ Journal publishing
  ○ ETDs

● Faculty Assisted Submission fits into a bigger picture
  ○ Scholarly Communication initiatives
  ○ Data services
  ○ Teaching, Research, and Learning Services initiatives
  ○ Liaison activities
Adapting & Implementing
This folder contains materials produced by the ScholarlyCommons team at the University of Pennsylvania as part of their Faculty Assisted Submission (FAS) service. All items are made available under a CC BY NC 4.0 License unless otherwise noted.
Strategies For Your Own FAS

- Start small and see where it goes
- Don’t be afraid of receiving too many requests
- Build on existing services
- Communicate, communicate, communicate
- Make liaisons look good
- Build community of users

Image: Gabriel Saldana via CC BY-SA 2.0 license
Thanks!

Sarah (swipp@upenn.edu)
Kenny (kenwhi@upenn.edu)

bit.ly/dc-glug-sc
repository.upenn.edu

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