Open Access Compliance Reporting Process

Updated Oct 2023

**PART I - Compliance Checking**

# Step 1 - Creating the report

**Create a folder on your computer with the name Compliance Check (current date)**

**You need to be on VPN to access these reports.**

**PURE**:

Login to Pure <https://pure.soton.ac.uk/admin/workspace/editor/overview/>

* Go to report definitions on the side menu, click on Managed report definitions – Add as favourite the compliance reporting link.
* Click on **[ComplianceReporting] Articles/Conferences Open Access Data for Current + Previous Year**. It will open in a new window.
* Click on XLS at the bottom of the window to create the report. The report will be generated. Click on Download XLS.
* Click on the downloaded file and save to your folder.

**SCOPUS**

Go to SCOPUS <https://www.scopus.com/search/form.uri?display=advanced>

* In the advance search enter this query string type: **AF-ID(60025225) AND RECENT(days)** days is the number of days since the last report was generated. Eg. If you generated the report last on the 1st of January and you are generating the new report on 16th of January then you need to type 15 and click on **Search**
* Year: Limit the result to 2018 onwards – select the boxes 2018 and above.
* Document Types: select the following boxes and click on **Limit to**

1. Article
2. Review
3. Conference Paper
4. Editorial
5. Letter

* Go to the top of the search results and under the box **ALL** click the down arrow and click on **SELECT ALL**. Please ensure that you have selected all the records. Click on **Export down arrow**. A new window will open – Under Select your method of export – select **CSV Excel.**
* Under **What information do you want to export?** select the following categories:

Author, Document Title, EID, Source Title, Source & Document Type, DOI, Open Access, Affiliations, Serial Identifiers (eg. ISSN), Publisher, Correspondence address and Acronym.

* Click on **Export** and save the file to you folder.

**Web of Science**

Go to Web of Science [**https://www.webofscience.com/wos/woscc/basic-search**](https://www.webofscience.com/wos/woscc/basic-search)

* Under documents select AFFILIATIONS and UNIVERSITY OF SOUTHAMPTON (Note that the computer may remember the last search).
* Click on **Add date range** – select **Publication date** down arrow and select **Custom**. Enter date range – last date of report drawn and current date eg. **2022-04-04 to 2022-04-25** and click search.
* Limit the results to 2018 onwards.
* Click on Document Types and select the following categories and click on Refine.

1. Articles
2. Early access
3. Review articles
4. Editorial materials
5. Proceeding papers
6. Letter

* Click **EXPORT** – select **Tab delimited file**. New window will open. Select **All records**. Under Record Content - select **Full Record**. Click Export.
* Transform this file into Excel by using the Wizard. Open a blank file in excel and click on open. Select all files and then the file that you have downloaded. Click next, next and finish. Save the file to your folder.

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STEP 2: CLEANING UP THE DATA

After generating these reports we need to clean them up remove duplicates and other data that is not needed.

1. Go to **OA Team site**. Click on Files. Open folder [**Compliance Report**](https://sotonac.sharepoint.com/:f:/r/teams/LREGOperationalGroupBusinessContinuity/Shared%20Documents/OA%20Team%20Channel/Compliance%20Report?csf=1&web=1&e=oblZCr)– open **New** **Sorting Template Prototype.** (Remember to open in DESKTOP APP for it to function better).

* Paste the new data in each of these sheets

1. SCOPUS (Scopus downloaded data) – before pasting delete columns ‘Author full names’ and ‘Author(s) ID’
2. WOS (WOS downloaded data)
3. PURE (PURE downloaded data) - select cell E2 and paste the new data to overwrite the existing data - do not delete. **Do not disturb the formula based yellow columns. Do not paste on the yellow cells as there is formula on those cells to filter PURE data.**

* Open a new Excel workbook and name it DEDUPED. Go to **Sorting template prototype** - copy and paste data from the tabs **SCOPUS ordered** and WOS ordered into the blank sheet one below the other in the DEDUPED workbook. **Copy and paste with values**.

1. Check for duplicates and remove:

* Duplicate DOIs – go to conditional formatting in Excel and delete the duplicates.
* Duplicate titles – go to conditional formatting in Excel and delete the duplicates.
* Books, conference papers, meeting abstracts, proceeding papers that have an ISBN but does not have an ISSN
* Articles from Health Technology Assessment
* Large consortiums (We have identified these beginning with Tumasyan, B. P. Abbot, Sirunyan, etc. There may be others).

1. Open[**Compliance Report folder**](https://sotonac.sharepoint.com/:f:/r/teams/LREGOperationalGroupBusinessContinuity/Shared%20Documents/OA%20Team%20Channel/Compliance%20Report?csf=1&web=1&e=oblZCr)and check for duplicates against **Already Checked** file – select all the data and copy and paste at the end of data in the DEDUPED file to remove any duplicates:

* Do conditional formatting for duplicates.
* Check for duplicates in DOI and for titles (please be mindful of common phares such as editorial. These may not be duplicates).

1. Open file [**New Compliance Check TemplateV5**](https://sotonac.sharepoint.com/:x:/r/teams/LREGOperationalGroupBusinessContinuity/Shared%20Documents/OA%20Team%20Channel/Compliance%20Report/New%20compliance%20check%20templates/New%20Compliance%20Check%20Templatev5%20-%20Oct%202023.xlsx?d=w5ee7063ebd184063a3649626b6892962&csf=1&web=1&e=qLxyFT). Paste the data in each column as per the template headings. Save as **Combined Check with YYYYMMDD** into your folder.

# Step 3: Checking

**Part A:** Visit each article webpage by following the DOI to check the records. Visit each article webpage by following the DOI to check the records. If there is no DOI paste the article title in Google Scholar and go to the webpage.

* 1. Record **SCH1, 2 and 3** - School/department of Southampton authors. Select from the dropdown list or refer to Table 1 at the end of this document. If you are not sure, check their profile in Pure or ServiceNow.
     + If Emeritus or former staff mark **Faculty** column as OOS (out of scope) and put a reason in the **Notes** column – do not check further.
     + If not University of Southampton – e.g. Hospital, Malaysia Campus, National Oceanography Centre, non-UoS business based at Chilworth Science Park or Chinese ISVR – mark **Faculty** as OOS and put reason in the **Notes** column - do not check further
  2. Record **Accepted date** (if there is no accepted date, leave it blank) and **Epublished D**ate (first online date). If no date is found, right click on the webpage, select View Page Source and check the metadata for a date.
  3. Record if the article is open on the publisher site. Publisher Open Access Yes or No
     + If Open Access record Publisher license – CC BY, CC BY NC, CC BY NC ND from the dropdown list
  4. Record Funder(s) – Search article for funders under acknowledgement or funding section. From the dropdown list select AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC, CRUK, Wellcome Trust, Innovate UK or NIHR. If there is no funder select N/A.
     + If the funder is any of the above, check if there is a data statement and mark **Yes** or **No**. If the data statement reflects a Soton DOI - check if this link works. If not, report on Teams site SOTON DOIs.
  5. Record if there is a Rights Retention Statement and mark Yes**.**  Normally found under acknowledgement or funding section.
  6. UoS Corresponding author – if the cell is blank check the webpage if there is a UoS corresponding author and mark Yes.

**Part B – Check records in Pure**

1. Any rows marked No in the column Publisher Open Access check for a Pure record.

* If there is no Pure ID on your sheet paste the article title in Pure and record the ID, Accepted Manuscript and Licence in Pure. If no record is found leave the cell blank.
* If there is a Pure ID on your sheet check for Accepted Manuscript. If Yes, record the License type.

1. Add the data to **Already Checked workbook** in the [**Compliance Report folder**](https://sotonac.sharepoint.com/:f:/r/teams/LREGOperationalGroupBusinessContinuity/Shared%20Documents/OA%20Team%20Channel/Compliance%20Report?csf=1&web=1&e=oblZCr) at the end of the last row and put the date you have updated this sheet.

# Step 4: Analysis

1. Record Column A (Faculty to which the School 1 belong to): Check SCH 1 and mark with the faculty abbreviation (see table 1 at the end of this document).
2. Record Column C (Ref OA Compliance):

* If Column T (Publisher Open Access) is **Yes** – mark Column C (REF OA Compliance) as **YES**.
* If Column T (Publisher Open Access) is No and there is an AM (Accepted Manuscript) in Column W mark Column C (Ref OA Compliance) **as YES**
* If Column T (Publisher Open Access) is No and there is no AM (accepted manuscript) in Column W mark Column C (Ref OA Compliance)as **No** and add reasons in Column D (Reason for Non-Compliance) as under:
* If there is a Pure ID and no AM then put the words **‘No accepted manuscript’.**
* If there is no Pure ID and no AM put the words ‘**No Pure Record’**.
* Upon entering **No** in Column C (Ref OA Compliance**)** check that the formula in Column E (Time remaining to make compliant) has updated with a number.

1. Record Column AD (UKRI Compliant): Check Column Y (Funder 1) Funders for UKRI funding (AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC). If there any of these funders mark the following:

* If there is a CC BY licence mark Column AD (UKRI Compliant) with **Yes**.
* If there is no licence or UoS, CC BY NC, CCBY-NC-ND mark it as **No**.

1. Record Column AE (OA Status): select from the drop down list whether the status is **Green** or **Gold** or **No**.

* If Column T (Publisher Open Access) is Yes – select Gold.
* If Column T (Publisher Open Access) is No and if there is an Accepted Manuscript – select Green.
* If Column T (Publisher Open Access) is No and there is no Accepted Manuscript and no Pure record – select No.

1. In Column B (Report date) : enter the date when the report was generated.
2. On the sheet go to the Tab Revision Table and complete the details as under:

|  |  |  |
| --- | --- | --- |
| **Title** | Date the report was generated | (date) - Combined Check |
| **File Name** | Date report was generated | Combined Check (year-month-date) eg. 20231015 |
| **Description** | Last report generated date and current report generated date | REF, UKRI checks on info added to WOS and Scopus between (dates) |
| **Created by** | Name of the person doing the report |  |
| **Created** | Report drawn date |  |
| **Last Modified** | Report completion date |  |

1. Upload the Combined check file from your folder in the [Compliance Report folder](https://sotonac.sharepoint.com/:f:/r/teams/LREGOperationalGroupBusinessContinuity/Shared%20Documents/OA%20Team%20Channel/Compliance%20Report?csf=1&web=1&e=oblZCr)

# Step 5: Completion

1. Upload the Combined check file to the folder **Past OA Check Files** on [RAN Sharepoint](https://sotonac.sharepoint.com/teams/RAN/SitePages/Reports.aspx)
2. Add any REF Non-Compliant lines to the **Non-compliant Workbook** on the RAN Sharepoint
3. Email RAN - [ran-members@lists.soton.ac.uk](mailto:ran-members@lists.soton.ac.uk) to let them know the workbook has been updated. Use the below text:

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**Table 1 – Faculty and Schools**

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| --- | --- | --- | --- |
|  | **Faculty** | **Abr.** | **School/department** |
| **Faculty of Arts & Humanities** | FAH | Arc | Archaeology |
|  | FAH | DH | Digital Humanities |
|  | FAH | E | English |
|  | FAH | F | Film |
|  | FAH | H | History |
|  | FAH | LCL | Languages, Cultures and Linguistics |
|  | FAH | Mu | Music |
|  | FAH | Ph | Philosophy |
|  | FAH | WSA | Winchester School of Art |
| **Faculty of Environmental and Life Sciences** | FELS | BS | Biological Sciences |
|  | FELS | GES | Geography & Environmental Science |
|  | FELS | HS | Health Sciences |
|  | FELS | IES | Institute of Environment & Sustainability |
|  | FELS | ILS | Institute for Life Sciences |
|  | FELS | OES | Ocean and Earth Science |
|  | FELS | Psy | Psychology |
| **Faculty of Engineering and Physical Sciences** | FEPS | Ch | Chemistry |
|  | FEPS | CS | Computer Science |
|  | FEPS | EEE | Electrical & Electronic Engineering |
|  | FEPS | Eng | Engineering |
|  | FEPS | MMI | Marine & Maritime Institute |
|  | FEPS | ORC/ZI | ORC/Zepler Institute |
|  | FEPS | PA | Physics and Astonomy |
|  | FEPS | WSI | Web Science Institute |
| **Faculty of Medicine** | Fmed | CaS | Cancer Sciences |
|  | Fmed | CES | Clinical and Expermental Sciences |
|  | Fmed | CIC | Cancer Immunology Centre |
|  | Fmed | HDH | Human Development and Health |
|  | Fmed | HEI | Healthcare Enterprise and Innovation |
|  | Fmed | Med | Medicine |
|  | Fmed | MRC | MRC Lifecourse |
|  | Fmed | PPM | Primary Care Population Science & Medical Education |
|  | Fmed | WI | Wessex Institute |
| **Faculty of Social Sciences** | FSS | Ec | Economics |
|  | FSS | Ger | Gerontology |
|  | FSS | MS | Mathematical Sciences |
|  | FSS | PIR | Politics & IR |
|  | FSS | S3RI | Statistical Science Research Institute |
|  | FSS | SBS | Business School |
|  | FSS | SES | Education School |
|  | FSS | SLS | Law School |
|  | FSS | SSD | Social Statistics & Demography |
|  | FSS | SSPC | Sociology, Social Policy & Criminiology |
| **Others** | oos | MC | Malaysia Campus |
|  | oos | Not UoS | Not University of Southampton |
|  | PS | CHEP | Centre for Higher Education Practice |
|  | PS | PE | Public Engagement |
|  | PS | PPS | Public Policy Southampton |
|  | PS | PS | Professional Services |

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| --- | --- |
| **Departments** | |
| **EEE** | **Electrical and Electronic Engineering - EEE** |
|  | Biomedical Electronics |
|  | Electrical Power Generation |
|  | Electronic Technology |
|  | Smart Electronics |
|  | Sustainable Electronic Technology |
|  | Tony Davis Laboratory |
| **CS** | **Computer Science** |
|  | Agents, Interactions and Complexity |
|  | Cyber Physical Systems/Cyber Security |
|  | IT Innovation |
|  | Next Generation Wireless |
|  | Vision & Learning Control |
|  | Web and Internet Science |
| **CES** | **Clinical & Experimental Sciences** |
|  | Allergy, Immunity, Respiratory |
|  | Infection |
|  | Innate Immunology |
|  | Faculty of Medicine and Institute for Life Sciences |
|  | Clinical Neuroscience/Psychiatry |
| **HDH** | **Human Development and Health** |
|  | Academic Geriatric Medicine |
|  | Bone & Joint |
|  | Epidemiology/Epigenomics/Epigenetics |
|  | HDH General/Endocrinology |
|  | Human genetics and genomic medicine |
|  | Human Nutrition and Metabolism |
|  | Maternal, Fetal & Neonatal Physiology |
|  | Medical Research Council Lifecourse Epidemiology Centre |
|  | Mother pregnancy, child and cardiovascular |
|  | Nutrition and metabolism |
|  | Global Health |
| **CAS** | **Cancer Sciences** |
|  | Cancer Immunology Centre - CiC (Part of Cancer Sciences) |
|  | Clinical Informatics Research Unit |
|  | Southampton Clinical Trials Unit |
| **PPM** | **Primary Care, Population Science and Medical Education** |
|  | Medical Education |
|  | Population Sciences |
|  | Primary Care Research Centre |
| SBS | Business School |
|  | Marketing |
|  | Risk Analysis |

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| **Funders** | |
| AHRC | Arts & Humanities Research Council |
| BBSRC | Biotechnology and Biological Sciences Research Council |
| EPSRC | Engineering and Physical Sciences Research Council |
| ESRC | Economic & Social Research Council |
| MRC | Medical Research Council |
| NERC | Natural Environment Research Council |
| STFC | Science & Technology Facilities Council |
| BHF | British Heart Foundation |
| CRUK | Cancer Research UK |
| NIHR | National Institute for Health Research |
| Innovate | Innovate UK |
| Wellcome | Wellcome Trust |