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Open Access and research impact at a teaching-intensive institution
The whys and the hows

Pablo de Castro
Open Access Advocacy Librarian
University of Strathclyde Glasgow
pablo.de-castro@strath.ac.uk
http://orcid.org/0000-0001-6300-1033
Today’s session

2-hr session (1-3pm): 3 blocks of approx 30 mins talk plus 10 mins Q&A

• Short intro

• Block 1.— The current Open Access framework (plus a bit of history)

• Block 2.— Open Access implementation at a research-intensive institution: similarities and differences with CCCU

• Block 3.— Where is Open Access heading? Current trends and related areas
Short intro

100% Open Access by 2020 or disrupting the present scholarly comms landscape: you can't have both? A mid-way update


Text (deCastro-ReCon2017-100-open-access-by-2020-or-disrupting-the-present-scholarly-comms-landscape)
decastro_ReCon2017_100_open_access_by_2020_or_disrupting_the_present_scholarly_comms_landscape.pdf
Final Published Version
License: CC BY
Download (2MB) | Preview

Pablo De Castro: Open Access Advocacy Librarian, University of Strathclyde
University of Strathclyde

- Established 1796 as “the place for useful learning”
- 21,470 FTE Students and 3,200 staff
- Research: research grants and contracts income of £59,921m in 2016
- Among the 20 top research-intensive universities in the UK
University of Strathclyde – monthly HEFCE report

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Figures as of Mar 1st, 2018
### University of Strathclyde – APC funding

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<td><strong>55</strong></td>
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Figures as of Apr 6th, 2018
The current Open Access framework
(plus a bit of history)
Open access research

The policy states that, to be eligible for submission to the REF 2021, authors' final peer-reviewed manuscripts must have been deposited in an institutional or subject repository. Deposited material should be discoverable, and free to read and download, for anyone with an internet connection.

Note: From 1 April 2018 the REF 2021 Open Access policy will require outputs to be deposited as soon after the point of acceptance as possible, and no later than three months after this date.

We will introduce a deposit exception in to the policy from 1 April 2018. This exception will allow outputs unable to meet this deposit timescale, to remain compliant if they are deposited up to three months after the date of publication.

Policy for open access in the next Research Excellence Framework: Updated November 2016

This document sets out the details of a requirement that certain research outputs should be made open-access to be eligible for submission to the next Research Excellence Framework (REF). This requirement will apply to journal articles and conference proceedings accepted for publication after 1 April 2016.
Open Access as a requirement for the REF? How did we get to this?

- The “journals crisis”
- 3 Bs: Budapest, Bethesda, Berlin Declarations
- Self-archiving as main suggested way forward
- Institutional policies (‘without teeth’)
- Funders’ policies
Why should open access publication be important to research funders?

• Just funding the research is a job only part done – a fundamental part of their mission is to ensure the widest possible dissemination and unrestricted access to that research.

• Research is a public good not depleted but added to through use

• It’s all about improving access – improving research

• Web developments have created a new publishing model - not fully realised whilst access mediated through subscriptions and bundle deals.
  
  ➢ 90% of NHS-funded research available online full text
  ➢ 30% immediately available to public

Only 40% immediately available to NHS staff

Submission to the House of Commons Science and Technology Committee’s Inquiry into Scientific Publications
“How accessible is NHS-funded research to the general public and to the NHS’s own researchers? Matthew Cockerill Ph.D., Technical Director, BioMed Central Ltd.
http://www.biomedcentral.com/openaccess/inquiry/refersubmission.pdf
OA in the REF

Verification and audit principles

a. The collection, retention and submission requirements should be 
   minimal.

b. The audit process should give assurance that the information and data 
   submitted are accurate and reliable and that declarations made about 
   compliance are accurate.

c. The audit process should be light-touch, checking processes rather than 
   data wherever possible.

d. Where samples are taken for auditing the use of exceptions, these 
   should be weighted towards units of assessment within an HEI’s REF 
   submission that show higher than average uptake of exceptions.

e. Processes and data relating to outputs published by an individual while 
   not employed by the submitting HEI will not be audited. This includes 
   outputs published while at a different UK HEI.

f. Information requirements should be unified with those of the research 
   councils wherever possible.
An international endeavour

Open Access policy effectiveness:
A briefing paper for research institutions

Author: Alma Swan
Reviewer: Eloy Rodrigues

September 2015

A model Open Access policy: criteria to include

**Purpose:** This policy aims to make the knowledge created in this institution available to all for the benefit of research itself and for society more widely.

**Policy conditions:**
- All peer-reviewed publications must be deposited in the institutional repository [name] at acceptance for publication.
- The version to be deposited is the author's final document once the changes required by peer review have been made.
- The deposit must be made, regardless of whether a publisher embargo is to be observed or there are other legitimate reasons for not making the material openly available at a future date.
- Articles must be made openly available immediately wherever possible, or once any embargoes have run their course.
- All assessment and evaluation procedures in this institution will use the institutional repository to source publication lists for candidates: publications not deposited at acceptance for publication will not be eligible for consideration.

An international endeavour

EUROPEAN COMMISSION
Directorate-General for Research & Innovation

H2020 Programme

Guidelines to the Rules on Open Access to Scientific Publications and Open Access to Research Data in Horizon 2020

2. Why have open access to publications and data in Horizon 2020?

Modern research builds on extensive scientific dialogue and advances by improving earlier work. The Europe 2020 strategy for a smart, sustainable and inclusive economy underlines the central role of knowledge and innovation in generating growth. Broader access to scientific publications and data therefore helps to:

- build on previous research results (improved quality of results)
- encourage collaboration and avoid duplication of effort (greater efficiency)
- speed up innovation (faster progress to market means faster growth)
- involve citizens and society (improved transparency of the scientific process).

This is why the EU wants to improve access to scientific information and to boost the benefits of public investment in research funded under Horizon 2020.

3. Mandate on open access to publications

Article 29.2 of the Model Grant Agreement sets out detailed legal requirements on open access to scientific publications: under Horizon 2020, each beneficiary must ensure open access to all peer-reviewed scientific publications relating to its results.

Funder policy (mis)alignment & the role of HEIs
Open Access beyond policy compliance: research impact

IRUS-UK has now recorded over 130 million downloads from over 1,150,000 items from 140 participating repositories @Jisc Join us help@jisc.ac.uk @JiscOpenAccess @Jisc #repositories #openaccess

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<th>Average downloads per month</th>
<th>Downloads in Apr-2018, so far...</th>
<th>Total Downloads</th>
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2:36 PM - 11 Apr 2018
Open Access beyond policy compliance: research impact

FALLS-RELATED PSYCHOLOGICAL CONCERNS IN THE COMMUNITY-DWELLING OLDER ADULT POPULATION.
Open Access beyond policy compliance: research impact
Why (else) is Open Access important?

French Universities Cancel Subscriptions to Springer Journals

Negotiations between the publisher and a national consortium of academic institutions have reached a stalemate.

By Diana Kwon | March 31, 2018

Major German Universities Cancel Elsevier Contracts

These institutions join around 60 others that hope to put increasing pressure on the publishing giant in ongoing negotiations for a new nationwide licensing agreement.

By Diana Kwon | July 17, 2017
Open Access implementation at a research-intensive institution: similarities and differences with CCCU
Scholarly comms work at Strathclyde

OA one area in a network of fully interconnected research support activities

Advocacy

Training

Interest on APC funding as a 'carrot'
OA implementation at Strathclyde: a funder-driven task

<table>
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<th>Research funder</th>
<th>OA flavour</th>
<th>Brief policy description</th>
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<td>Higher Education Funding Council for England (HEFCE)</td>
<td>Green</td>
<td>In operation since 01/04/2016 (implemented since 2014 at Strathclyde). Mandatory deposit of full-text accepted author manuscript no longer than three months since manuscript acceptance. Linked to the UK Research Excellence Framework (REF2021)</td>
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<td>Green &amp; Gold</td>
<td>Mandatory OA availability of funded outputs either via the Green or the Gold OA routes. Block grants delivered to research-intensive HEIs to fund Open Access fees for eligible publications (those that acknowledge RCUK-funded projects)</td>
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<td>Green &amp; Gold</td>
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<td>European Commission – FP7 programme</td>
<td>Green &amp; Gold</td>
<td>Mandatory deposit of full-text accepted author manuscript for projects under Clause 39. Gold Open Access funding available for finished FP7 projects under the OpenAIRE FP7 Post-Grant OA Pilot</td>
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Table 1.— Main Open Access policies by research funders at the University of Strathclyde
OA implementation at Strathclyde: a funder-driven task

7. Acknowledgements
The authors would like to thank EPSRC, Centre for Innovative Manufacturing in Continuous Manufacturing and Crystallisation (Grant Ref EP/I033459/1) and Computationally Designed Templates for Exquisite Control of Polymorphic Form (Grant Ref EP/K039229/1) for funding this work.

Deposit AAM
(HEFCE - Green OA)

APC funding
(multiple funders)
Green OA vs Gold OA or Green OA & Gold OA?

Showing all research outputs from the full Altmetric database sorted by Altmetric Attention Score with keywords containing sosu, edward.

- Economic Deprivation and its Effects on Childhood Conduct Problems: The... Article in *Frontiers in Psychology*, January 2017
- Are all beliefs equal? investigating the nature and determinants of... Article in *Educational Studies*
- Predicting maternal aspirations for their children's education: The role of... Article in *International Journal of Educational Research*, January 2014
- You have to be a bit brave: barriers to Scottish student-teachers'... Article in *Journal of Education for Teaching*, January 2016
- The Development and Psychometric Validation of a Critical Thinking... Article in *Thinking Skills & Creativity*, November 2012
- The Complexities of Teachers' Commitment to Environmental Education: A Mixed... Article in *Journal of Mixed Methods Research*, April 2008
- Does Initial teacher education make a difference? The impact of teacher... Article in *Journal of Education for Teaching*, November 2010
Open Science implementation at Strathclyde

The role of Current Research Information Systems (CRIS) in supporting Open Science implementation: the case of Strathclyde

Pablo de Castro, Open Access Advocacy Librarian, University of Strathclyde

Abstract

CRIS systems are playing an increasingly relevant role in the implementation of Open Access and Research Data Management policies at research-performing organisations. This is not just because of the deep insight these systems provide into the workflows that underpin the institutional research activity, but also because they allow an effective teamworking across institutional research support units, which critically include research libraries.

This article describes the way the institutional Pure CRIS is used at the University of Strathclyde in Glasgow to support the implementation of Open Science in collaboration with the researchers themselves and with the institutional Research Office. In terms of training, which is in itself an important and often challenging part of the effort towards Open Science implementation, the key objective is to make researchers aware that all the seemingly independent processes they’re being asked to carry out on top of their research activity are interconnected and are part of the same drive towards openness and digital science.

Finally, the paper describes the international collaboration networks for the realisation of Open Science that the University of Strathclyde is involved in and some of the areas where this cross-institutional collaboration is taking place.

Keywords

Open Science; Research Information Management; Open Access; Research Data Management; Scholarly Communications; Current Research Information Systems (CRIS); Institutional case studies
Open Science implementation at Strathclyde: Institutional systems

Diagram showing the integration of various systems, including:
- HRIS (HR Information)
- External Organisations
- Registry (Neptune/Spider) (Supervisor/Student relationship)
- Research Grant (RKES)
- pFACT (costing)
- Award Management
- Research Spend (Finance)
- Medical Imaging (MRI/CT)
- Asset Management (Equipment)
- Scopus
- PURE
- Strathprints
- KnowledgeBase
- Staff Webpages
- Annual Review
- REF Submission
- Management Info
- Specific Funder Requirements
- CV's
Open Access implementation at Strathclyde: Institutional systems
Best practices in ‘internal’ scholarly publishing by Strathclyde researchers

Pablo de Castro, Open Access Advocacy Librarian

A number of research outputs by Strathclyde researchers ranging from the very valuable to the extraordinary are typically being released without meeting the basic standards of open publishing. This is mainly because these are unusual types of publications – i.e. not the standard journal articles, conference proceedings, books or book chapters, but rather reports or policy papers, which automatically fall under the category of ‘grey literature’. Scholarly publishers face a great deal of often justified criticism from Open Science advocates, but this specific area is one where they definitely prove to be reliable collaborators for academics. Very few publishers these days will not make emphasis on aspects like using the appropriate open licence, minting the appropriate persistent identifiers (DOIs or ISBNs) or ensuring that the impact of their publications on social media is adequately tracked. As opposite to this, and even in cases where they are made openly available, ‘internally’ published reports or books are to a certain extent condemned to ‘digital obscurity’ if they fail to keep these aspects in mind upon their online release.
Block 3

Where is Open Access heading?
Current trends and related areas
Results for Open Access policies so far?

Open Access Policy

You can view the RCUK Policy on Open Access (PDF, 299KB), along with FAQs (PDF, 692KB) to help clarify the policy.

In order to help implement the policy, the research councils introduced (from April 2013) a new funding mechanism - a block grant to universities and eligible research organisations to cover the cost of article processing charges (APCs). Further information on the block grants, including reporting requirements and lists of previous awards, is available.

The analysis of a 2017 survey on institutions’ progress with open access policies, commissioned by the former HEFCE, Jisc, the Wellcome Trust and the research councils, will be published in Spring 2018.

https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy
Results for Open Access policies so far?

- RCUK & COAF/Wellcome Open Access policy to support APC payments under the microscope

- Analysis of RCUK policy results for 5 year period (2013-2018) due this year

- What are the criteria for impact? Citation advantage, altmetrics – this is not enough

- New collaborations (also with Industry), access at SMEs, schools, medical practices? Increased effectiveness at institutional research support activity? Science closer to the lay person? → How to measure this
Offsetting agreements for open access publishing

by Liam Earney  on 13 April 2015

Last year my colleague Lorraine Estelle blogged about how we've unpicked the full cost of publishing in open access (OA). She reported a sharp increase in article processing charges (APCs) from UK universities' central funds, particularly over the previous two years.
New, subtler ways forward*

* But just for Wellcome-funded authors (thus far)
New, subtler ways forward

Wellcome Open Research »

FAQs

General Questions

- Is the Wellcome Open Research platform fully controlled by Wellcome and independent of any specific provider?
- Why is this platform only open to Wellcome grantees to publish?
- What are the advantages of publishing in Wellcome Open Research?
- How does Wellcome Open Research benefit early career researchers?
- Will publishing on Wellcome Open Research, or providing peer review on this platform, increase a Wellcome researcher’s chance of receiving future Wellcome funding?

- Does Wellcome Open Research have an Impact Factor?

Wellcome Open Research will not have an Impact Factor. An increasing number of funders and institutions strongly support a move away from the flawed metrics of the Journal Impact Factor and related measures. The Wellcome Open Research model provides the start of an evolution in scientific publishing that moves away from the use of such measures.

The expectation is that this, and other similar funder platforms that are expected to emerge, will ultimately combine into one central platform that ensures that assessment can only be done at the article-level.

- How will publications on this platform be judged by funders and institutions?
- What will it cost to publish on this platform?
New, subtler ways forward

- Ireland’s Health Research Board (HRB)
- Bill & Melinda Gates Foundation
- European Commission
- UCL Institute for Child Health…
New, subtler ways forward

UK SCHOLARLY COMMUNICATIONS LICENCE AND MODEL POLICY

RESEARCHERS RETAIN RE-USE RIGHTS IN THEIR OWN WORK

The UK-SCL is an open access policy mechanism which ensures researchers can retain re-use rights in their own work, they retain copyright and they retain the freedom to publish in the journal of their choice (assigning copyright to the publisher if necessary).

Re-use rights retention enables early public communication of research findings and use in research and teaching, including online courses.

Increased visibility of research outputs greatly improves opportunities for increased impact and citations.

A single deposit action under the model policy ensures eligibility for REF2021 and compliance with most funder deposit criteria.

Researchers retain copyright and remain free to assign it to the publisher.
New, subtler ways forward

Introducing EmpowOA at OLH
Posted by James Smith on 2018-03-09

Humanities publishing can be a harsh and unforgiving place for open access.

We understand. In 2018, the Open Library of Humanities will pool its knowledge and resources to empower its membership, its authors and the wider humanities open access community. Now is the time to form the bonds that will give strength and conviction to all those supporting the APC-free gold open access of the future.
Open Access monographs and the REF

Open access monographs will be included in the REF 2027 – but how, is very much up for discussion. Steven Hill explains.

Beware…
Open Access monographs and the REF

On the OA "mandate" for books in the Third REF and the worry over trade books

In the past few days, well over a year since HEPCE signalled its "intention" to move towards an open-access requirement for monographs in the exercise that follows the next REF (expected in the mid-2020s), humanities academics have been getting themselves stirred up on the basis of a document issued by the Royal Historical Society. It is curious that it is only now that people are paying any attention to this. The original document (see Annex C of the consultation on the Second REF) was issued in December 2016 "to give due notice to the sector", yet many have been caught off guard.

Apt timing or not, though, there are many reasons why academics should not be so alarmed:

1) HEPCE (now RE) consulted heavily during the implementation of the mandate for journal articles and changed the policy many times in response to this approach. They will do so again for any future monograph mandate. The challenges of OA monographs and their economics on a global scale are well understood and noted (not least by me in a recent article on the difficult costs of such a proposal).

On this note, Steven Hill of HEPCE (now RE) said: "there is lots of work to do, and there are many conversations to be had" and that "engagement and collaboration with a range of stakeholders will be crucial to support these activities". Consultation is the watchword here, but from the RHS document, you'd think it was all a done deal with the details set in stone.

https://www.martineve.com/2018/04/02/the-OA-mandate/
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Two thoughts and one recommendation

Open Access and Open Science go far beyond funder mandates like the REF.

Whatever it may look like, this is not about telling authors where to publish, but rather trying to ensure that their legitimate free choice is as well informed as possible.
Thanks!