

'Transformative' deals with publishers: a controversial step forward in the implementation of Open Access

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Speaker's academic affiliation

University of Strathclyde Glasgow



- Founded 1796 as “the place for useful learning”
- 22,295 FTE Students and 3,200 staff (2017/18)
- Research: research grants and contracts income of £65.6m in 2017*
- Among the 20 top research-intensive universities in the UK

The screenshot shows the CWTS Leiden Ranking website. The 'Ranking' tab is selected. A table lists universities and their proportion of open access (OA) publications. The University of Strathclyde is highlighted in the 4th position.

University	F	F(OA)	FF(OA)
1 Bilkent Univ	1971	1862	94.5%
2 Univ Portsmouth	2625	2442	93.0%
3 London Sch Hyg & Trop Med	7926	7185	90.7%
4 Univ Strathclyde	5468	4879	89.2%
32 Univ Sheffield	13345	10893	81.6%
38 Univ Politècnica Catalunya - BarcelonaTech	6537	5275	80.7%

* 14.5% increase from previous year and an overall increase of over 60% over a six year period

Speaker's academic affiliation

Co-lead (w/ TIB Hannover) for Open Access WG of CESAER TFOS

- Association of over 50 European Universities of Science and Technology
- Several TU9 institutions are CESAER members, some represented in its Open Access Working Group



Secretary for the euroCRIS Association

- Dutch non-profit founded 2002
- Association of professionals and bodies worldwide in the areas of research information management and CRIS systems
- Custodian for the Common European Research Information Format (CERIF)
- MoUs with various relevant organisations in the RIM field: OpenAIRE, ORCID, COAR...



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German member institutions of CESAER include several TU9 members. **Uni Stuttgart , RWTH Aachen and TIB/Leibniz Uni Hannover** represented (together with **ETHZ** in the CH and **TU Wien** in AT) in the OA WG of CESAER's Task Force for Open Science

The CESAER OA WG conducted some level of collaboration with the BMBF-funded OpenIng project led by TU Darmstadt – both initiatives being devoted to exploring the specifics of Open Access implementation in the Engineering disciplines

Open Access und Open Educational Resources in den Ingenieurwissenschaften

Was ist OpenIng?

Initiativen in den Bereichen Open Access (OA) und Open Educational Resources (OER) verfolgen verstärkt seit Anfang des 21. Jahrhunderts das Ziel einer Öffnung von Wissen. Wie nutzen insbesondere Ingenieurwissenschaftler_innen Open Access und Open Educational Resources und warum tun Sie es unter Umständen noch nicht? Diese Frage stand im Fokus des vom Bundesministerium für Bildung und Forschung geförderten Projekts „OpenIng“.

Die Projektpartner TU Darmstadt, TU Braunschweig und Universität Stuttgart untersuchten das Publikationsverhalten von Ingenieurwissenschaftler_innen im Hinblick auf rechtliche, organisatorische, reputationsbezogene und finanzielle Barrieren und warfen hierbei einen besonderen Blick auf die möglichen Synergien von OA und OER.



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Open Access and innovation: a British (& all-European) approach

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Open Access Article

Energy Yield Assessment from Ocean Currents in the Insular Shelf of Cozumel Island

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Abstract

Marine renewables represent a promising and innovative alternative source for satisfying the energy demands of growing populations while reducing the consumption of fossil fuels. Most technological advancements and energy yield assessments have focused on promoting the use of kinetic energy from tidal streams with flow velocities higher than 2.0 m s^{-1} . However, slower-moving flows from ocean currents are recently explored due to their nearly continuous and unidirectional seasonal flows. In this study, the potential of the Yucatan Current was analysed at nearshore sites over the insular shelf of Cozumel Island in the Mexican Caribbean. Field measurements were

"Why do we need Open Access to our research publications?"

"So that the firms and start-ups working within our specific industrial sector, who usually lack corporate subscriptions to the research content we publish, may have the opportunity to read our work and take subsequent steps towards establishing partnerships and joint projects between Academia and Industry"

Acknowledgments

This research was funded by Newton Fund Institutional Links and SENER-CONACYT-FSE-Institutional Links (grants IL5 332324562 and 291380). The authors highly appreciate the support of Consejo Nacional de Áreas Protegidas, Sociedad Cooperativa de Producción Pesquera Cozumel S.C. de R.L., Fundación Parques y Museos de Cozumel, as well as Xcaret and Xel-Há Parks for the permissions and support during the development of field surveys and data measurement. JE would like to acknowledge the Foreign PhD Scholarship program of the Department of Science and Technology—Engineering Research and Development for Technology (DOST-ERDT) in the Philippines. The British Institutions would also like to acknowledge EPSRC for supporting this research through the EP/R000875/1 grant.

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Open Access in the UK: Green & Gold OA

Research funder	OA flavour	Brief policy description
Higher Education Funding Council for England (HEFCE)	Green	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)
Research Councils UK (UK Research and Innovation since 01/04/2018)	Green & Gold	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)
Charity Open Access Fund (COAF): coalition of UK charities led by the Wellcome Trust	Green & Gold	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). Green OA publications need to be deposited in EuropePMC
European Commission – FP7 programme	Green & Gold	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
European Commission – H2020 programme	Green & Gold	Mandatory deposit of full-text accepted author manuscript for all H2020 projects (plus associated datasets). Gold Open Access funding may be claimed from project grant

Table 1.— Main Open Access policies by research funders at the University of Strathclyde

Please use this identifier to cite or link to this item:

<http://hdl.handle.net/11366/691>

Title: **The Role of Current Research Information Systems (CRIS) in Supporting Open Science Implementation: the Case of Strathclyde**

Authors: **De Castro, Pablo** 

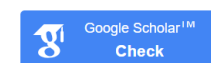
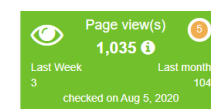
Keywords: current research information systems; research information management; open science; open access; institutional case studies; University of Strathclyde

Issue Date: Nov-2018






























Publisher: Slovak Centre of Scientific and Technical Information (CVTI SR)

Source: P De Castro (2018), "The Role of Current Research Information Systems (CRIS) in Supporting Open Science Implementation: the Case of Strathclyde". ITlib. Informačné technológie a knižnice Special Issue 2018: pp 21–30

Journal: Informačné technológie a knižnice (ITLib)



OA ranking – CWTS Leiden 2020

<div> CWTS Leiden Ranking Meaningful metrics</div> <div>Leiden University CWTS CWTS B.V. Other CWTS sites ▾</div>									
Home Ranking Information ▾ Downloads Products Contact ▾									
CWTS Leiden Ranking 2020 Start tour									
	University		P	P(OA)	PP(OA)				
1	Bilkent Univ		1971	1862	94.5%				
2	Univ Portsmouth		2625	2442	93.0%				
3	London Sch Hyg & Trop Med		7926	7185	90.7%				
4	Univ Strathclyde		5468	4879	89.2%				
5	Univ St Andrews		5754	5127	89.1%				
6	Liverpool John Moores Univ		3184	2830	88.9%				
7	Durham Univ		7491	6654	88.8%				
8	Univ Edinburgh		19150	16755	87.5%				
9	Loughborough Univ		4591	4008	87.3%				
10	Rockefeller Univ		2826	2467	87.3%				
11	Keele Univ		2366	2065	87.3%				
12	Aston Univ		2444	2125	86.9%				
13	Univ Glasgow		12702	11030	86.8%				
14	Univ Bristol		15543	13173	86.4%				

“Controversial”

Declarations



STATEMENT

FIRST CONSORTIUM ASSEMBLY FROM IBERO-AMERICA AND THE CARIBBEAN

Ciudad Juárez, Mexico
August 31st and September 1st, 2017

The participants of this First Consortium Assembly from Ibero-America and Caribbean countries, after two days of work state that:

In Latin America, the publications have always been Open Accessed under a “free” model – that subsists with the financial encouragement from the Governments – but it needs to be noted that Latin America contributes with the 4.9% of the global scientific production, this means that Latin America and the Caribbean are a different region from other “emergent markets”.

We agree that an OA expansion policy, through the payment of APC fees, is impossible to undertake from a financial point of view for the participant countries.
To not create grants to pay a publication in OA-APC magazines is recommended to the institutions.

What should “transformative” actually mean?

- *Officially: to “flip” titles from a hybrid to a pure Open Access model*
(too early to tell if the cOAlition S proposal will work but guidance is being provided)
- Specifically for an institutional Open Access advocate: to be able to offer ECRs a choice *not to be forced to wait until the end of an embargo period of up to 24 months (SSH) to openly share their research findings regardless of whether or not their accepted manuscript carry external funding acknowledgements*
- So – couldn’t they publish elsewhere, these ECRs? (*“Why should we carry the weight of the publishing transition on our shoulders potentially damaging our prospects to build a successful research career for ourselves?”*)
- The DORA Declaration, the Leiden Manifesto and the general drive to leave behind the JIF are all great, but will not see short-term consolidation. Plan S is a pragmatic attempt at fixing the issue in the short-term

A few relevant divides: (v busy) institutional researcher engagement vs (v vocal) ideology

Yelling at cOAlition S vs taking note of the market evolution for its application to institutional Open Access funding



Georgios Margaritis
@cOAlitionS

Unbelievable. A 55% increase in APC cost. In what screwed up market would such an increase be acceptable? This Gold APC based approach to [#OpenAccess](#) is working out beautifully, isn't it [@cOAlitionS_OA](#) ?



Ross Mounce @rmounce · Jun 4

⚠️ Frontiers in Earth Science has increased its APC from 1,900 USD to 2,950 USD
⚠️ ...this is why library/funder/institution governed journals are a good idea.
Price-jacking is easy when there's nothing to prevent it. HT Heather Morrison cc
[@seis_matters](#) sustainingknowledgecommons.org/2020/06/03/fro...

10:43 AM · Jun 9, 2020 · [Twitter Web App](#)

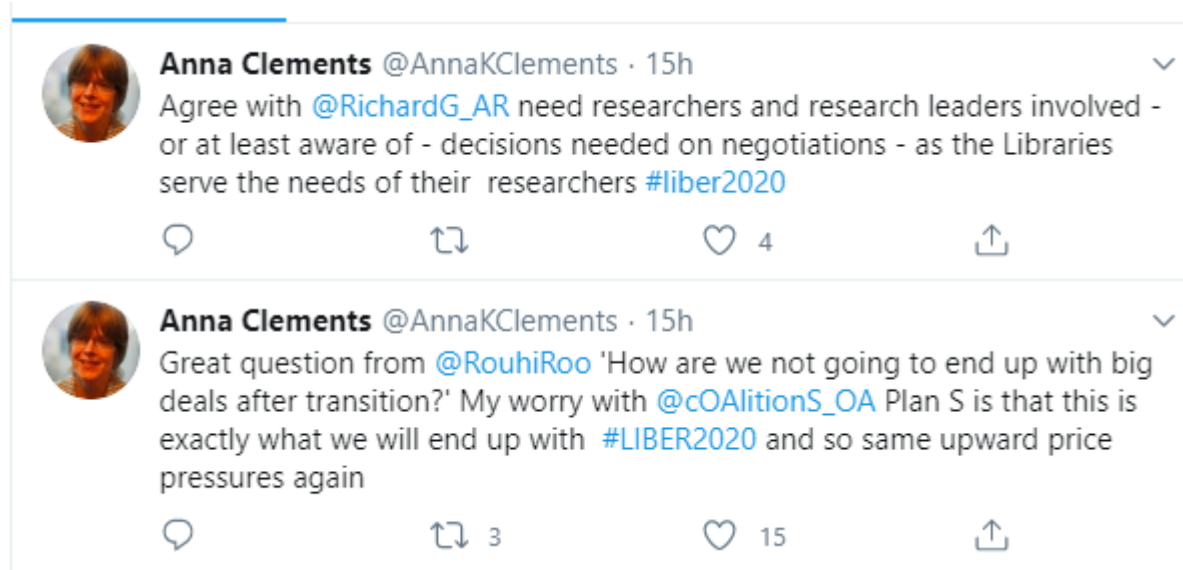
Funded APCs by publisher at U Strathclyde (2016-2020)

	Frontiers	MDPI	
Aug-Dec'16	0	0	
Jan-Dec'17	2	5	
Jan-Dec'18	1	9	
Jan-Dec'19	4	10	
Jan-Dec'20	2	2	
Total	9	26	

The analysis of the Open Access funding landscape needs to be conducted *bearing the institutional publishing landscape well in mind* – this is not being properly done and it's also completely at odds with the usual generalisations

A second v relevant divide: STM vs SSH

- Where do researchers want to publish? Can they be persuaded to behave more accordingly *with the institutional interest?* (meaning the library's interest, which is a tricky one on its own)
- *How many researchers are attending Open Access events? Are we perhaps witnessing a significant echo-chamber here?*
- *How many researchers are attending publisher-led sessions at their own institutions, being often urged to attend by their own faculty librarians?*
- *Most initiatives for developing Academia-led publishing infrastructure are SSH – same as most library professionals are SSH*
- "Build it and they will come"? Open Research Europe



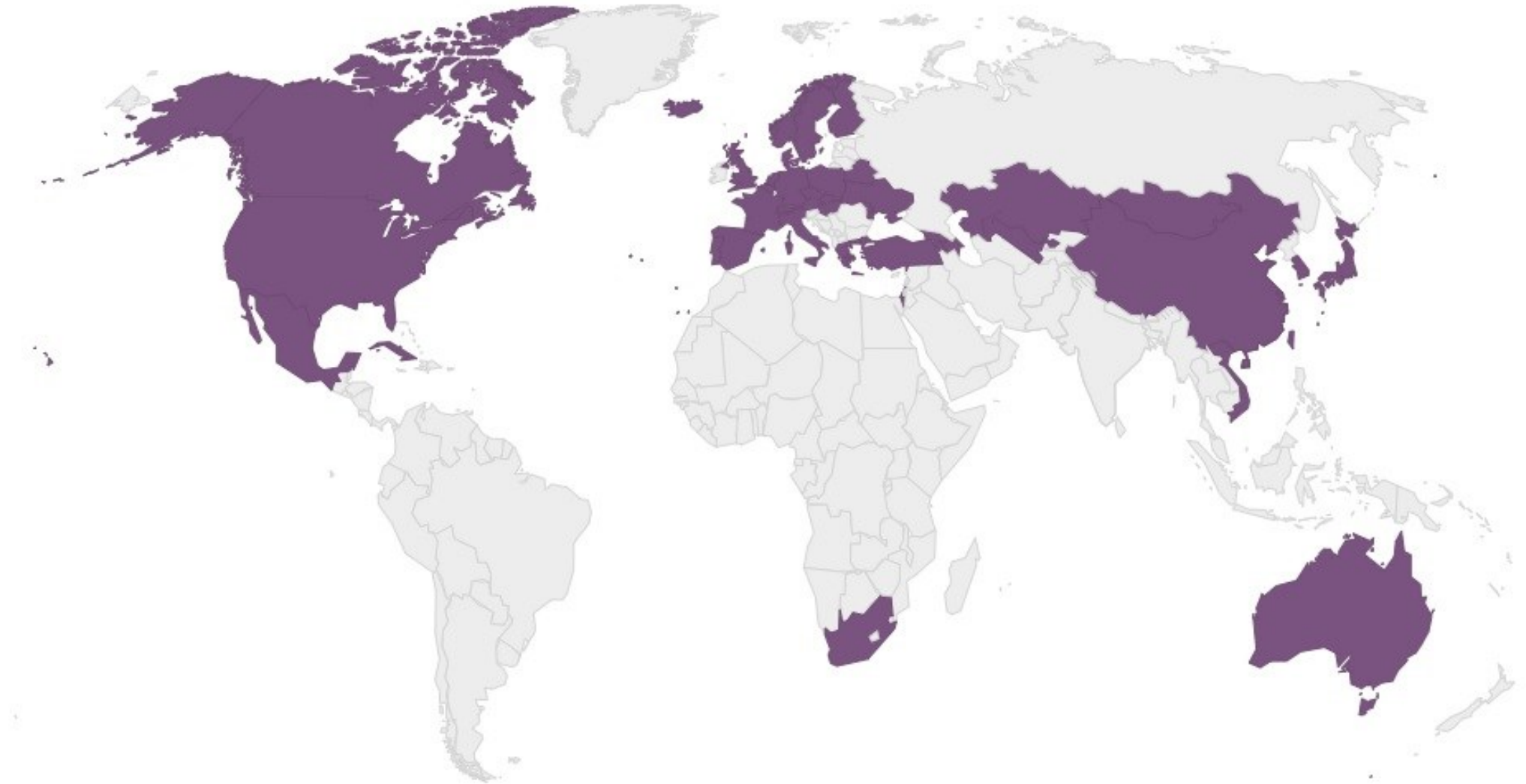
A third divide: language

- Most foreign advocates for "the Latin American [non-APC] way" do not speak Spanish/Portuguese or know the actual state of the scholarly comms infrastructure in the region other than the (commendable) non-APC Gold OA initiative SciELO
- "[APCs] Not a sustainable business model in Latin America"?
<https://investigacion.usil.edu.pe/financiamiento-investigacion/pago-apc/>
- "ACS [partners with University of Campinas](#) in first open access agreement in Latin America"

A fourth divide: Global North vs Global South

- Homework is not being done: it's not just that LatAm institutions have funding for APCs but that *far more APCs are directly being paid by researchers from their grants* – they know why they want this. Neither institutions nor consortia or (esp) OA advocates are tracking these payments → OpenAPC promotion remains paramount
- The (painful) SCOAP3 funding landscape: free-riding?
- It's not reasonable to ask advanced research landscapes to stop exploring models to reach full OA just because their approach may not be applicable everywhere. A mix of models may work better. Wealthy institutions will offer these deals to their researchers regardless of what region they're based in

SCOAP3 funding landscape



The actual point of TAs...

- ... is to *promote competition among publishers, bringing some market-driven behaviour into what's basically an oligopoly*
- If researchers can be made aware that by *submitting to the right titles* (those covered by TAs) they can get their papers published Gold Open Access at no cost for them, they're likely to listen. A thorough (and sorely missing) researcher engagement activity needs to take place in order to ensure this can happen
- TAs are indeed benefitting *some* of the usual suspects, but *not all of them*. There's an element of competition being introduced (at least in the UK and for the time being) that may help shift the OA landscape
- The work required to test this approach is as hard as that devoted to the implementation of the Green OA HEFCE/REF policy. Very few institutions are actually aware of the implications of this in terms of balance of work across sub-teams. Without this effort, TAs risk becoming a missed opportunity

Cross-institutional collaboration around TAs in Scotland

2019/20 OA + Read & Publish Deals ☆ 📁 ☁

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Danke!

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