

ARMA OPEN ACCESS SPECIAL INTEREST GROUP: JUNE 2016

Many thanks for your participation in the recent Open Access Special Interest Group meeting.

Below is a summary of the actions if you do not want to read the entire detail of the meeting.

At the meeting we asked people to identify

- concerns and questions around open access
- anything they want the SIG to do

TOPIC	ACTION	ACTIONEE
ARMA RESOURCE BASE	It is expected that a full review can be done during 2016. What would people like to have there? Any volunteers to help with the review?	ALL
CASRAI UK	Details of open call for working groups to be shared with SIG http://casrai.org/uk	VALERIE MCCUTCHEON
INTEROPERABILITY	Keep SIG posted on RCUK/ResearchFish interoperability project (update sent 28 th June 2016)	VALERIE MCCUTCHEON
DATA	Group keen to hear when we might be able to import data from DMP to our systems	VALERIE MCCUTCHEON
INTEROPERABILITY	Should we promote ORCID? Share examples. We think so – many forthcoming uses and potential benefits – low investment to get one.	ALL
REF	A consultation event / communication on OA when the consultation is available.	JENNIFER EVANS/VALERIE MCCUTCHEON
REF	Discuss best how to share key issues and possible solutions. Many examples below. VM has created a google sheet and now we have these notes too and there will be more issues arising. Would the spreadsheet do as a start?	ALL
REF	Share some compliance reports examples. Perhaps via a webinar. Is there interest in this? Please email valerie.mccutcheon@glasgow.ac.uk and if there is demand we can try to organise. Example (not necessarily bang up to date) http://bit.ly/294QPY8	ALL
DATA	Take part in the Data Asset Framework survey. See section 2 below	ANYONE

Many of the items on the 2015 discussion resulted in action e.g. the REF Open Access FAQ were updated in response to information provided from our meeting.

A few items were carried forward. For example ‘how we can better coordinate metadata and storage of multi-authored awards?’ It was hoped that Jisc Router might provide some assistance with this in future.

If your issue was not discussed on the day why not use the ARMA mailing list to pose the question and we can try to come up with some suggestions from the community?

To check if you are on the list login to the ARMA site <https://www.arma.ac.uk/> by clicking on the small ‘Log in’ text in the top right hand corner. Click on your name in the same top right hand corner and select ‘My Profile’. On the left hand menu select ‘My Mailing Lists’. The email address to correspond with the group is oa@lists.arma.ac.uk

I will revisit these actions in a few months. Please feel free to contact me directly and I look forward to hearing from you all via the lists.

Valerie McCutcheon valerie.mccutcheon@glasgow.ac.uk

Narrative Summary of June 2016 Open Access Special Interest Group

We discussed questions around 4 areas:

1. REF

1.1 **Communication** - Still concern about lack of understanding by academics e.g. getting people to act at date of acceptance, understanding exactly what acceptance date means. Despite lots of communication, some have not been reached or do not understand the requirements.

How do we focus on both REF and RCUK open access requirements without confusing users?

What is working?

- Periodic review and managerial top down checking.
- One-to-one meetings, regular checks 'Is there anything missing?'
- Workshops with schools and libraries

Point worth noting - embargos have always been there, none of this is new. It is just being enforced.

1.2 Lack of **clarity over rules** until they are published, so why are we worried/bothering? Audit will be light touch anyway.

Worth keeping evidence/notes to demonstrate we did what we could.

Is the 3 months deposit rule going to change?

1.3 **Compliance monitoring** – How many people planned their processed over 2 years....and how many are now 'panic-complying'? And how annoying is this?!!! 😊

How are people ensuring articles are deposited within the 90days?

How will compliance be audited?

I've heard rumours that HEFCE will not be looking for full compliance on Open Access for the next REF, just 'best efforts'. How can we find out what will actually be expected of us??

How do we respond to author questions about what to do if they have an exemption?

Are local school or central reporting/control systems better? Comment: Depends as long as it works.

What have small HEI's done to ensure compliance with OA where they do not have a repository?

What level of REF compliance are institutions seeing since 1 April 2016? Comment: Very high.

1.4 **Exemptions** - no one really worried about this yet.... Partly because the rules aren't know.

How do we deal with journals which don't meet HEFCE's embargo period rules? How do we evidence these were the best option to publish in?

Most assuming will not be 100% strict.

Comment: It is the author's judgement. The author can state this and we can record it.

What records are HEI's keeping in anticipation of future REF audits? Comment: for OA we are recording acceptance date, verified data of compliant deposit, exceptions, a short sentence or two if we feel we need to justify an exception.

Concern about getting compliance if corresponding author is not UK-based. Comment: There is an exception that can be used – if the UK author has tried to obtain the text but been unsuccessful this can be noted.

1.5 Terminology, definitions, understanding

1.6 REF in General

Not done one before - need 'ladybird' version of how to prepare me and my new Directors/Academics

How do part-time workers fit into REF?

CROSSRef will save us linking info to DOI from publisher.

2. Research Data

As part of the Jisc [Research Data Shared Service](#) work, [Research Consulting](#) have been developing an updated data asset framework (DAF) survey, which can be used by institutions to gather information on current data assets and requirements from their researchers. The survey is based on the existing [methodology developed by the Digital Curation Centre](#), refined to take account of recent policy developments and input from the 13 pilot institutions in the RDSS project.

The latest version of the online survey is available in demo form here:

<http://www.surveygizmo.eu/collab/90013488/10401d68c05c>, and a Word version will shortly be posted on-line on the [Research Data Network site](#). In the meantime, for a copy of the question set or for more information please contact Rob Johnson (rob.johnson@researchconsulting.co.uk)

2.1. How best can research data be made searchable?

2.2. How do we improve our advocacy programme to engage researchers? How do we make researchers even care about this? Cultural change.

Comment:- Data citing/prestige. Contact individual PI's

2.3. Has anyone set up a central pot where they collect data management budget from grants to pay for RDM storage etc.? Bahbraham Institute. RCUK are not keen on central pots taken from grants being open after the life of the grant but comfortable that some have adopted a 'pay once store forever' approach that allows the cost of the service (based on a charging structure that reflect the data volume in question) to be paid for within the period of the grant funding

2.4. What are major current solutions live data storage – esp. where sharing data

2.5. Multiple systems within an organisation = are staff using the right/best systems?

2.6. Does anyone have standard approaches to Data Management Plans? We (Cardiff) have someone who looks at them – but why not have standardish docs?

Comment: Many organisations have offered standard advice and templates via <https://dmponline.dcc.ac.uk/>
There is also a current initiative to look at standard checks to make on data management plans. Contact research-datamanagement@glasgow.ac.uk who will be happy to exchange views on this and we can set up wider discussion or workshop if appropriate.

2.7. How do you stop academics using 'local' hard drive for key data? YES!! HOW!! What are the consequences? What are the penalties? Bad press? Any examples?

2.8. Is there likely to be a requirement for 'transparent' data in the next REF? What format might this take?

Comment: We don't think so though it may be encouraged as good practice and used in the research environment case.

2.9. User friendly systems for IQA?/EQA?

2.10. Reports for compliance and identify gaps

2.11. What about open data? Current policies?

2.12. From where I could find clean and simple basic (training) material for researchers:

- Who do not know anything about OA data management and
- Who should first time make a data management plan?

Comment– some training out there is great but so long – off-putting/daunting – Mantra/Zenado

3. Research Outputs and Interoperability

Institutional

Tracking outputs from multiple funders in a research institute – not one solution currently? Comment: Some organisations do have a solution.

Funders/ResearchFish

Ensuring wider stakeholder groups are taken account of in ResearchFish interoperability projects

Just let Universities import an excel proforma of publications details to RF.

Comment: This is what was done in the pilot so hopefully we will get some interoperability soon. RF is looking at upload mechanisms and has said they plan to focus on communications more in future.

How to identify which publications are funded publications – ResearchFish, CRIS workflows, web searches, relying on author to tell us?

ResearchFish

- How to encourage compliance?
- How do we get researchers to engage with local systems as they don't want to have to enter outputs/impact etc. twice?

Training and Support

Output management and accreditation bodies –advice, SIG activity, streamlining

We are a small institution with no CRIS or research management system.

Role of ORCID in interoperability?

What are good websites to find out more about open access?

4. Other

4.1. How much are institutions spending on gold (if they are) How are these REF checked (quality not compliance)? Does it matter?

Comment: Not common if not required and funded but some institutes do fund outwith requirements. Advice is to ensure included in applications where funders allow this cost. Another risk management strategy is to avoid choosing journals with long embargoes so that REF compliance is not an issue.

4.2. How to inform researchers of change in OA Policy and what the requirements are?

Comment: Use Research admins

Use a checklist at application stage

Drive behaviour and connections via the benefits to researchers web profiles, PDR process, compliance reports
Managing unknowns even after use of web services such as Web of Science is an issue

4.3. How do people cost open access fees on grant fellowship applications? At Nottingham applications to funders other than RCUK and COAF are costed for open access on an average (£1500 per publication).

Comment: Some organisations typically suggest a higher average £1,800. If know the journal or field can check a journal. At application stage actual journal or cost may be unknown. No significant issues known as excess costs can often be covered by remaining funds in a grant.

4.4. Has anyone heard about 2016-7 budget for RCUK yet? No still waiting for budget letters.

4.5. Ensuring we have systems that evolve quickly enough to keep up with advancements in interoperability e.g. DMP Online, ORCID, publication database changes, ResearchFish

Comment: Keep OA SIG posted on interoperability

Group keen to hear when we might be able to import data from DMP to our systems

Should we promote ORCID? Share examples.