Open Access & Research Assessment:
Implementing OA for REF2021

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The University of Edinburgh

• Founded in 1583: Sixth-oldest university in the English-speaking world and one of Scotland's ancient universities
• Largest university in Scotland with 13,800 staff and 35,500 students
• Research-led institution - member of the Russell Group, Coimbra Group, LERU and Universitas 21
• 21 Nobel laureates affiliated with the University
Where is Edinburgh?
Help and support

The Scholarly Communications Team aims to collect the University's entire research output and, where appropriate, to make it available via Open Access to the world.

Scholarly Communications Team

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If you are unable to reach the Scholarly Communications Team please direct your enquiry to the IS Helpline.

IS Helpline
Web: Self service portal (preferred)
Email: IS.Helpline@ed.ac.uk
Phone: +44 (0)131 651 5151
Availability: IS Helpline is open 24 hours a day, 7 days a week
GOLD:
£1.3m from RCUK
£360k Charity Open Access Fund
Preference for green or exclusively Gold models over Hybrid

GREEN:
DSpace in 2003
PURE in 2011
Over 50,000 OA items
83% rate of OA
Policy Environment in the UK

• University of Edinburgh Research Publications Policy

• Medical Charity policies (Wellcome Trust, Cancer Research UK etc.)

• RCUK (seven disciplinary funding councils)

• Horizon 2020 (and any residual FP7 projects)

• REF Policy
So...what *is* REF?

- **RESEARCH EXCELLENCE FRAMEWORK**— successor to previous Research Assessment Exercises (RAE)

- Conducted every 6 or 7 years (last one in 2014, next exercise expected in 2021)

- UK national exercise to measure the quantity and quality of research carried out in UK Universities

- Outcome affects distribution of research funding
REF Submissions Include...

- Statistics about staff, students and finances
- Information about the research environment
- Impact Case Studies - detailing the effect the university’s research has had on society in the wider world
- Example research outputs (typically the top 4 from the last 6-7 years) for each staff member returned
Open access research

Following extensive consultation, the four UK higher education funding bodies have introduced an open-access requirement in the next Research Excellence Framework.

Open access and research assessment

The core of the policy is that journal articles and conference proceedings must be available in an open-access form to be eligible for the next REF. In practice, this means that these outputs must be uploaded to an institutional or subject repository.

Related content

- Infrastructure, libraries and museums
- Review of REF2014

See full details of the policy

More on open access

http://www.hefce.ac.uk/rsrch/oa/
Scope & Timeline

- Policy applies to all journal articles & conference proceedings ACCEPTED for publication from April 1st 2016
  - We started work on implementation back in 2015

- We need to ensure that we are **100% compliant** with this new requirement to ensure that every researcher can select any publication for inclusion in the next REF.
  - There may be extra credit available in “Research Environment” for doing more than the bare minimum
1 - Deposit Requirements

• Must be deposited in an institutional repository (IR) or subject repository (e.g. arXiv or PubMed Central)
  – University of Edinburgh requires deposit in PURE (our Institutional Repository and CRIS)

• DEPOSIT – IMMEDIATELY ON ACCEPTANCE by the publisher (no later than three months after this)

• Academics should deposit the author’s final peer-reviewed manuscript which can be replaced with a later version at a later date.
2 - Access Requirements

• Must be made Open Access at the earliest possible opportunity

• If the publisher requires an Open Access embargo, then this can be respected – **BUT:**

• Normal **maximum embargo is 12 months (science & medicine)** or **24 months (arts & humanities)** though some exceptions may apply.
Implications

• “Any output that falls within the scope of this policy and is submitted to the post-2014 REF but does not meet the requirements without a valid exception will be given an unclassified score and will not be assessed.”

• There is very little scope for retro-active compliance so we must ensure everyone is aware of the requirements.
  
  – There is a real risk that ‘top papers’ by senior researchers could fail to be assessed if they are not put in the repository at the point of acceptance!
Approved “Deposit Exceptions”

1. The individual whose output is being submitted to the REF was unable to secure the use of a repository at the point of acceptance.

2. The individual whose output is being submitted to the REF experienced a delay in securing the final peer-reviewed text (for instance, where a paper has multiple authors).

3. The individual whose output is being submitted to the REF was not employed by a UK HEI at the time of submission for publication.

4. It would be unlawful to deposit, or request the deposit of, the output.

5. Depositing the output would present a security risk.

6. The output was published as ‘gold’ open access (for example, RCUK-funded projects where an open access article processing charge has been paid)
Approved “Access Exceptions”

1. The output depends on the reproduction of third party content for which open access rights could not be granted (either within the specified timescales, or at all).

2. The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate publication for the output.

3. The publication concerned actively disallows open-access deposit in a repository, and was the most appropriate publication for the output.
How has this changed things?

• Open Access now affects everybody (not just holders of certain grants)

• Open Access is no longer optional, even for unfunded research

• Open Access is now being discussed amongst researchers

• Open Access can no longer be put off, or ignored.
Issues (I)

• Academic awareness in the University is still not as high as it should be – although we have undertaken a lot of outreach we need to do more.
  – Monthly reminders are needed
  – Make OA part of the induction for new staff

• The notion of “acceptance” can be woolly in some disciplines

• Acceptance is a private transaction between publisher and author and we are reliant on author engagement.
Issues (II)

- New repository metadata fields are needed (e.g. “Date of Acceptance” or “Date of first compliant deposit”).

- The 3-month deposit deadline can be problematic and the lack of scope for fixing things before the final REF submission is a concern.

- Guidance for the use of the approved “exceptions” has been minimal.
Our message to researchers...

• Researchers must **take action immediately** on being notified of acceptance by a publisher. Either:
  – Log in to PURE, create a record and upload the correct file
  OR
  – Email your acceptance email and the file to the appropriate support email (this is not the preferred route)

• Researchers must **contact us** if they are unsure of how to do this or how the policy affects your publication.
  – Scholarly Communications Team OR in-School support
What are we doing?

• The Scholarly Communications Team is working to:
  - Train existing administrators in schools and research centres
  - Implement project plans for each school and research centre
  - Communicate the message to authors across the University
  - Provide statistics to Heads of School and Research Directors
  - Liaise with HEFCE regarding practicalities of the policy
  - Co-ordinate technical development of repositories to meet new requirements
  - Share best practice via a Jisc pathfinder projects
    [http://libraryblogs.is.ed.ac.uk/loch/](http://libraryblogs.is.ed.ac.uk/loch/)
Measuring Progress

OACR for April-May-June-July-Aug-Sept-Oct 2016

Reporting period 1st April - 30th of June 2016: 74.18%
Reporting period 1st April - 31st of July 2016: 76.21%
Reporting period 1st April - 31st of August 2016: 81.58%
Reporting period 1st April - 30th of September 2016: 80.79%
Reporting period 1st April - 31st of October 2016: 83.12%

NOTE:
This report looks at research outputs accepted for publication between 1 April and 31 October 2016 and their REF OA compliance status as resulting from PURE.

The publication process can vary according to the discipline (and journal) - while a STEM article can be published in three months after acceptance, in humanities and arts the publication process can easily take more than six months.

<table>
<thead>
<tr>
<th>SCHOOL</th>
<th>1 April - 30 September</th>
<th>1 April - 31 October</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biological Sciences, School of</td>
<td>181 out of 222</td>
<td>207 out of 242</td>
</tr>
<tr>
<td>Chemistry, School of</td>
<td>76 out of 92</td>
<td>88 out of 102</td>
</tr>
<tr>
<td>Engineering, School of (without conference proceedings)</td>
<td>113 out of 163</td>
<td>153 out of 190</td>
</tr>
<tr>
<td>Geosciences, School of</td>
<td>175 out of 189</td>
<td>156 out of 206</td>
</tr>
<tr>
<td>Informatics, School of</td>
<td>104 out of 187</td>
<td>200 out of 204</td>
</tr>
<tr>
<td>Mathematics, School of</td>
<td>54 out of 58</td>
<td>63 out of 70</td>
</tr>
<tr>
<td>Physics and Astronomy, School of</td>
<td>77 out of 174</td>
<td>115 out of 188</td>
</tr>
<tr>
<td>Clinical Sciences, School of</td>
<td>432 out of 533</td>
<td>494 out of 613</td>
</tr>
<tr>
<td>Biomedical Sciences, Deanery of</td>
<td>88 out of 101</td>
<td>102 out of 122</td>
</tr>
<tr>
<td>Molecular, Genetic and Population Health Sciences, Deanery of</td>
<td>317 out of 382</td>
<td>373 out of 447</td>
</tr>
<tr>
<td>Veterinary Studies, Royal (Dick) School of</td>
<td>230 out of 242</td>
<td>269 out of 286</td>
</tr>
<tr>
<td>Business School</td>
<td>38 out of 50</td>
<td>45 out of 54</td>
</tr>
</tbody>
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81.53% vs 85.54%
81.52% vs 80.27%
67.26% vs 85.00%
52.59% vs 94.23%
98.40% vs 90.04%
93.10% vs 90.00%
44.25% vs 61.17%
81.05% vs 80.59%
87.13% vs 82.93%
82.96% vs 83.45%
95.04% vs 94.39%
76.90% vs 79.63%
So...what next?

• Despite any difficulties – we are very much in support of the policy which essentially says “if you can make this Open Access then you must do so”.

• We are monitoring compliance – currently sitting at around 83%...so there is still work to do!!
Questions?

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Stats – behind login