



The University of Edinburgh



THE UNIVERSITY of EDINBURGH  
*Library & University Collections*

# Open Access & Research Assessment: Implementing OA for REF2021

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Head of Library Research Support  
Edinburgh University Library

# 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





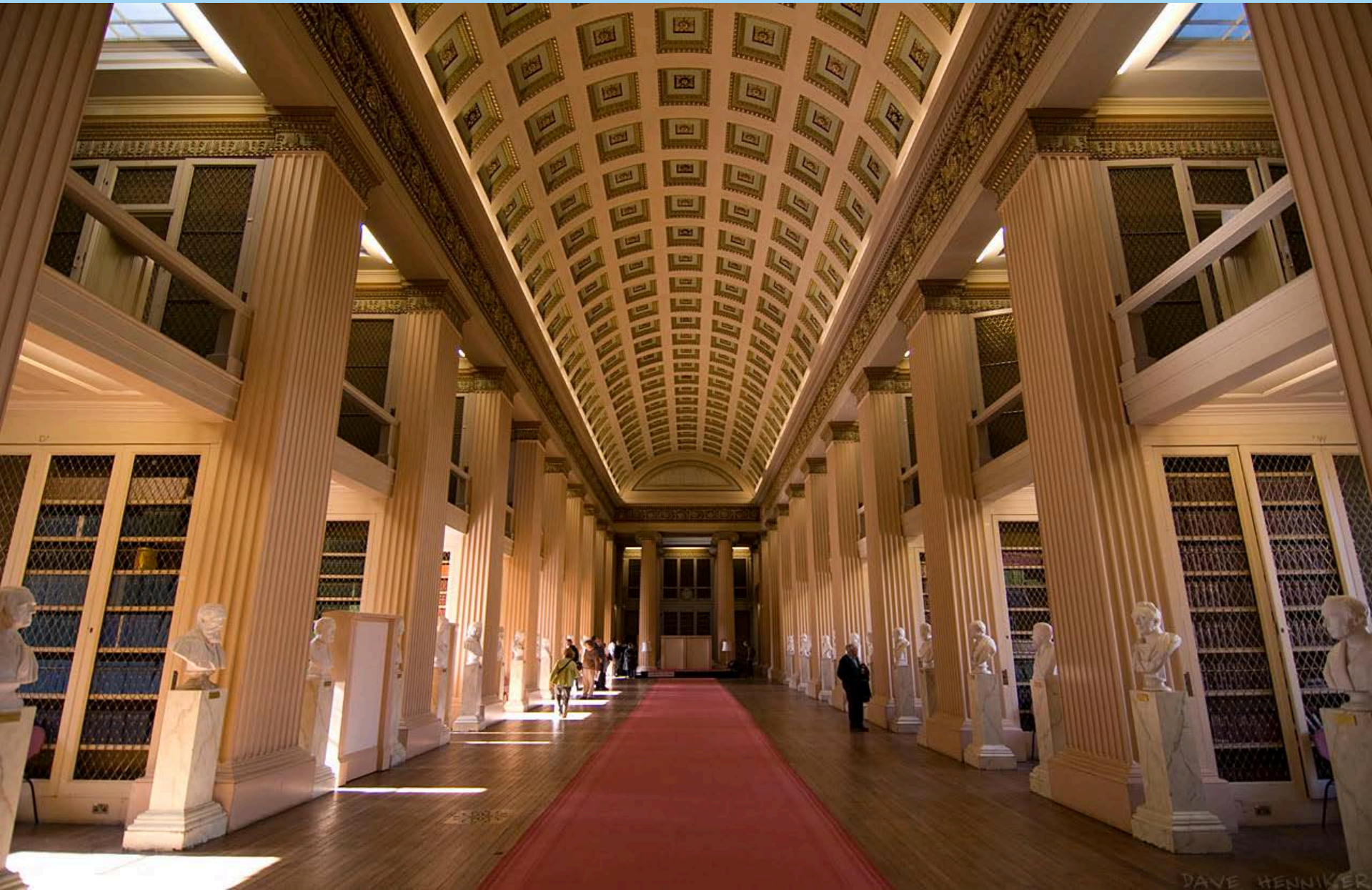
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DAVE HENNIKER





LIBRARY

LIBRARY

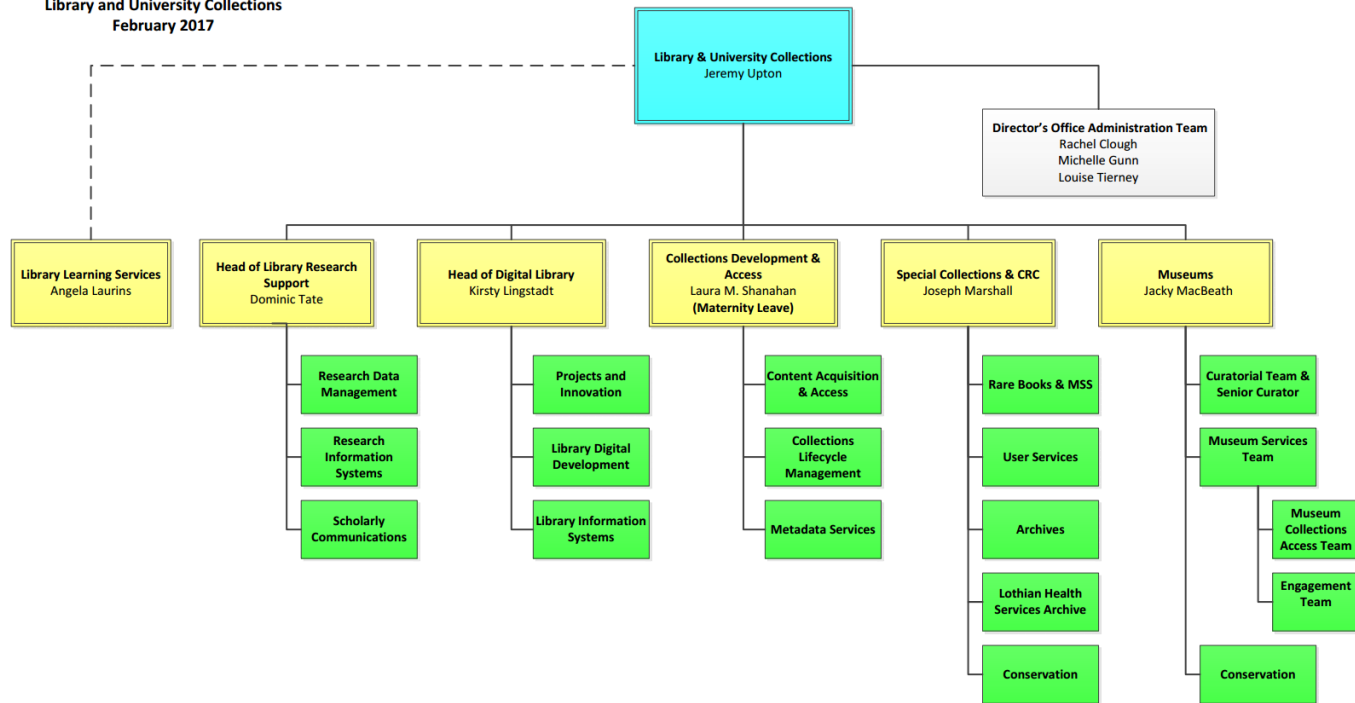
## Where is Edinburgh?







Library and University Collections  
February 2017





Researchers & Teachers

Support staff

Library

Computing

Learning Technology

**Research Support**

Help & Consultancy

About IS

Service info

### Related links

Help

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## Scholarly Communications Team

### 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.

[Open Access homepage](#)

### Scholarly Communications Team



#### Dominic Tate

Scholarly Communications Manager

Providing support for: policy development, management and implementation, green and gold open access

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Providing support for: Open Access advice and advocacy, e-theses & dissertations, FOI

Practitioner

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### 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](mailto:IS_Helpline@ed.ac.uk)

Phone: +44 (0)131 651 5151

Availability: IS Helpline is open 24 hours a day, 7 days a week





Information Services

Contact

University home > Schools & departments > Information Services > Research Support > Publishing your research > Open Access



What is Open Access?

Find out more about Open Access Journals and Repositories, and the benefits of making your research open.

Open Access overview



Making your research open

If you are not sure what to do follow the instructions in the flowchart below

Decision Tree



Deposit your publication

Step-by-step guides on how to deposit your research into the University's Open Access repository

Self-service and mediated deposit



Request APC payment

Information for authors on funding available for open access publishing, and publisher discount schemes

Paid for Gold Open Access



Research funders policies

Find out about sponsor requirements about Open Access and the local support available to you

Open Access policies



**The next REF**  
Journal articles and conference proceedings submitted to the post-2014 REF must be made available on an open access basis.

Post-2014 REF requirements



**Help & Support**  
Contact details for Library staff who can help you with any Open Access questions

Scholarly Communications Team

**Quick links**

- Edinburgh Research Explorer
- UoE Journal Hosting Service
- UoE Publication & Open Access policy
- Bogus & predatory journals
- Copyright for researchers
- PhD theses

**GREEN:**

DSpace in 2003

PURE in 2011

Over 50,000 OA items

83% rate of OA

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**GOLD:**

£1.3m from RCUK

£360k Charity Open  
Access Fund

Preference for green  
or exclusively Gold  
models over Hybrid





# 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



Home > [Research](#) > [Open access research](#)

**Policy Guide**

# 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 research
- [Policy](#)
- [What is open access?](#)
- [Monographs](#)
- [FAQ](#)

## 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.

[See full details of the policy](#)

More on open access

### Related content

- [Infrastructure: libraries and museums](#)
- [Review of REF2014](#)

<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 fileOR
  - 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/>



# Measuring Progress

Create ...

Pages / Scholarly Communication / UofE Next REF 2021 OA Compliance Reports

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

Created by Eugen Stoica, last modified on Feb 10, 2017

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.

SCHOOL	1 April - 30 September		1 April - 31 October	
Biological Sciences, School of	181 out of 222	81.53%	207 out of 242	85.54%
Chemistry, School of	75 out of 92	81.52%	88 out of 102	86.27%
Engineering, School of (without conference proceedings)	113 out of 168	67.26%	153 out of 180	85.00%
GeoSciences, School of	175 out of 189	92.59%	196 out of 208	94.23%
Informatics, School of	184 out of 187	98.40%	200 out of 204	98.04%
Mathematics, School of	54 out of 58	93.10%	63 out of 70	90.00%
Physics and Astronomy, School of	77 out of 174	44.25%	115 out of 188	61.17%
Clinical Sciences, School of	432 out of 533	81.05%	494 out of 613	80.59%
Biomedical Sciences, Deanery of	88 out of 101	87.13%	102 out of 122	82.93%
Molecular, Genetic and Population Health Sciences, Deanery of	317 out of 382	82.98%	373 out of 447	83.45%
Veterinary Studies, Royal (Dick) School of	230 out of 242	95.04%	269 out of 285	94.39%
Business School	38 out of 50	76.00%	43 out of 54	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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Head of Library Research Support

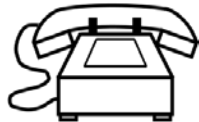
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# Stats – behind login

- <https://www.wiki.ed.ac.uk/pages/viewpage.action?spaceKey=PubRep&title=OACR+for+April-May-June-July-Aug-Sept-Oct+2016>