University of Cambridge
Open Access Project Board

Minutes – 31 March 2015

Meeting held at 14.00-15.00 on Tuesday 31st March 2015
in the Syndicate Room, The Old Schools

Present
Professor Lynn Gladden, Pro-Vice-Chancellor for Research (Chair)
Dr Alan Blackwell, School of Technology *(for Professor Richard Prager)*
Professor Patrick Maxwell, Head of School of Clinical Medicine
Professor Steve Russell, School of Biological Sciences *(for Professor Duncan Maskell)*
Professor Rob Kennicutt, Head of School of Physical Sciences
Dr Nicholas White, School of Arts and Humanities
Mrs Anne Jarvis, University Librarian
Dr Peter Hedges, Head of University Research Office
Dr Danny Kingsley, Head of Scholarly Communications, University Library
Mr Chris Edwards, UIS *(for Dr Martin Bellamy)*
Dr Gill Rands, Research Strategy Office (Secretary)

Apologies
Professor Steve Young, Pro-Vice-Chancellor for Planning & Resources
Professor Graham Virgo, Pro-Vice-Chancellor for Education
Professor Richard Prager, Head of School of Technology
Professor Duncan Maskell, Head of School of Biological Sciences
Professor John Danesh, School of Clinical Medicine
Professor Peter Mandler, School of the Humanities and Social Sciences
Dr Martin Bellamy, Director of UIS
Dr Ralph Ecclestone, Research Strategy Office (REF Manager)

Declarations of Interest: At item 4, Professor Rob Kennicutt and Dr Alan Blackwell declared interests as former Editor-in-Chief of the Astrophysical Journal (RK) and as Vice President of the Cambridge Philosophical Society, which derived revenue from publications (AB).

The Chairman welcomed colleagues to the first meeting of the reconstituted Open Access Project Board.

1. Minutes of previous meeting and matters arising – OAPB-34

1.1 The draft minutes of the meeting held on 13 November 2014 were approved (OAPB-34). Matters arising from that meeting were included at items 2 and 3 below.

2. Project Board Terms of Reference and Membership – OAPB-35

2.1 The Project Board accepted the new Terms of Reference (OAPB-35), which had been approved by the Research Policy Committee on 5 March 2015. It was agreed that the Board would welcome the addition of a member nominated by the User Needs Committee (a group recently established by the Information Services Committee).

2.2 **Action:** Secretary to contact the User Needs Committee about a nomination to the Project Board.

3. ORCID Proposal – OAPB-36

3.1 As an action from the previous meeting of the Project Board, Peter Hedges introduced proposals for initiating an institutional implementation of ORCID identifiers for Cambridge researchers (OAPB-36). ORCID was a global initiative that offered every researcher a persistent personal digital identifier that could be used to link grants, publications, research data and other outputs (http://orcid.org/).

3.2 There would be significant benefits to individual researchers and the University if ORCID identifiers could be used to remove the ambiguity in assigning publications to researchers with the same or similar names, and to identify and link outputs for meeting Open Access and REF requirements. ORCID was increasingly being adopted within research activities and workflows, and was already supported by some funders (e.g. Wellcome Trust), publishers (e.g. PLOS) and repositories (e.g. arXiv). It had recently been recommended that the Research Councils mandate the use of ORCID in grant applications, journal articles and associated activities. ORCID had been added as an optional field in the 2014/15 HESA return, with a view to making it a required HESA field in future. Imperial College had recently reported positively on an institutional project to issue ORCID identifiers to all their academic and research staff[1]. However, further investigation of the uptake of ORCID identifiers in the Arts and Humanities was needed.

3.3 It was agreed that an ORCID implementation project, in association with Symplectic, should go ahead during the Easter Term. Communication messages and channels would need to be carefully planned, with a clear statement of the benefits and a mixture of University-wide, School and local communications to complement web resources. College researchers and holders of Voluntary Research Agreements would be included where possible (as in Symplectic). Individuals would be able to decline to claim their ORCID identifier if they wished.

3.4 **Action:** Peter Hedges and Danny Kingsley to circulate by email in April a detailed plan for the ORCID project and associated communications, for comment and approval by the Project Board.

4. Open Access Project – OAPB-37

4.1 The Project Board received an update on the Open Access Project from Danny Kingsley (OAPB-37). This paper included a handover report prepared by John Norman, the outgoing Open Access Project Manager, which summarised the University's actions and approach through the first two years of the project.

4.2 Danny Kingsley drew attention to four issues highlighted in OAPB-37. The Project Board agreed the following responses.

a) RCUK block grant
   In view of concerns about future exhaustion of the RCUK annual block grant, new measures should be introduced. First, page and colour charges should no longer be paid from the Fund (in alignment with Wellcome Trust policy). Second, a contingency plan should come into force when expenditure reached 50% of the RCUK block grant. However, the possible parameters of such a contingency plan were complex, particularly in relation to non-science disciplines, and a more detailed proposal was needed.

b) Offset funds
   Any funds returned from publishers as part of deals to offset the cost of article processing charges should be retained for the payment of open access costs, but ring-fenced from

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[1] Imperial College ORCID project report Feb 2015: https://spiral.imperial.ac.uk/handle/10044/1/19271

the block grants and kept available for emergency uses under the supervision of the Project Board.

c) Publisher compliance
The significant and continuing problem of publishers who did not deliver open access on the terms for which they had been paid should be escalated via the Russell Group.

d) Author reminders
The Open Access team should start to monitor publications registered in Symplectic and alert an author by email if their article had not previously been uploaded as an accepted manuscript at www.openaccess.cam.ac.uk. It would also be helpful for authors to receive an email reminder when the embargo period on a manuscript in the repository expired.

4.3 **Action:** Danny Kingsley to implement these decisions and provide the Project Board with a more detailed proposal for the contingency plan that would come into force when 50% of the RCUK block grant had been spent.

5. Open Data Project – OAPB-38, OAPB-39, OAPB-40 and OAPB-41

5.1 The Project Board noted the Terms of Reference of the newly established Open Data Project Working Group (OPAB-38).

5.2 Danny Kingsley introduced three work-in-progress documents prepared by the Working Group:
- Draft Research Data Management Policy Framework (OAPB-39). It was noted that any implications of the recently updated ESRC research data policy would be incorporated at the next stage.
- Updated Roadmap for meeting EPSRC's expectations in relation to management of and access to research data (OAPB-40).
- Open Data communications schedule (OAPB-41).

Project Board members gave some initial comments on the draft Policy Framework and were invited to provide any further comments by email after the meeting.

5.3 **Action:** Secretary to re-circulate OAPB-39, OAPB-40 and OAPB-41 for any further comments after the meeting.

6. Items to be referred to Research Policy Committee

6.1 It was agreed that the following items would be forwarded from the Project Board to the Research Policy Committee:
- The decision to proceed with the ORCID project.
- The Open Data Project papers OAPB-39, OAPB-40 and OAPB-41, once any comments from the Project Board had been incorporated.

6.2 **Action:** Secretary to finalise and forward the ORCID and Open Data items to the Research Policy Committee.

7. AOB

7.1 John Norman
The Chairman recorded warm thanks to John Norman for his leadership of the University's Open Access Project in the two years since the establishment of the Project Board in January 2013.

7.2 <u>Licence status of REF impact case studies</u>
The Chairman reported that HEFCE had again asked all universities for permission to release their case studies in a database under a CC-BY licence. The University had previously declined this request on the basis that individual authors would have no control over inappropriate usage of their case study. Nevertheless, HEFCE had subsequently released all case studies (other than those redacted) in a publicly-accessible database on ill-defined licence terms. Whilst noting that in practice the licence status would now make little difference, the Project Board agreed that permission for CC-BY should again be declined on principle. For any future REF, it was suggested that the possibility of assigning a CC-BY licence to the academic owner of the case study should be considered.

7.3 <u>San Francisco Declaration on Research Assessment</u>
It was confirmed that the League of European Research Universities (LERU) – of which the University was a member – had signed the San Francisco Declaration on Research Assessment this month, and the Chairman proposed to draw this to the attention of the Research Policy Committee. The Declaration asserted that journal impact factor should not to be used as a proxy for the quality of research, either in research assessment or in appointment, promotion or funding decisions.

7.4 <u>Date of next meeting</u>
The Secretary would shortly contact members to schedule the next two meetings of the Project Board. It was hoped to be able to hold the next meeting before the summer.