

OPEN RESEARCH STEERING COMMITTEE

Minutes February 2020 – January 2021
Minutes of paper discussions held remotely

Membership: Chris Abell (Chair (until Oct 2020)), Steve Russell (Chair (interim) from Nov 2020), Vasily Belokurov, Mark Carrigan, Marta Costa, John Dennis, Jessica Gardner, Emma Gilby, Peter Hedges, Sara Hennessy, Mandy Hill, Patricia Killiard, Ian Leslie, David Owen, Arthur Smith, Niamh Tumelty, Debbie Hansen (Secretary).

Attending Officers: None.

Apologies: None. No members declared their absence for any papers

1 Minutes of previous meeting (27 January 2020) — ORSC-33

The minutes of the previous meeting were approved in September 2020.

2 Matters arising: Report on actions from previous meetings

Matters arising that were not complete or discussed during the period:

1. *Jessica Gardner to develop the idea of an Open Research award and report back to the group on this (item 4 of 27 January 2020 meeting):* Progress has paused due to the impact of the COVID-19 pandemic.

3 UKRI Open Access Consultation

In February 2020, UK Research and Innovation (UKRI) launched a consultation on their revised draft open access policy for publications arising from UKRI (Research Council) funded research. The consultation covered proposals to strengthen open access policy requirements for research articles and also future proposals for open access to monographs. ORSC members were advised that the University Library would coordinate a consultation with Schools and key committees (including ORSC) to develop an institutional response on the proposals to UKRI. The email sent to schools, with briefing material, was shared with committee members.

In May 2020 a draft University response to the consultation, developed from input received from across the university, was circulated to ORSC members for discussion of the proposed response and to comment on any amendments that should be made before the response was submitted. The final University response was submitted via an online form on 27 May 2020. A copy of the response is in the repository here:

<https://www.repository.cam.ac.uk/handle/1810/306010>

4 Conducting ORSC business during the pandemic: approach amendment

Due to the COVID-19 pandemic, many ORSC members switched to working remotely around the end of March 2020. ORSC committee meetings, which had been planned to be held in April and June 2020, were cancelled sequentially.

In July, the new, more flexible, approach for conducting ORSC business, whilst many members were working remotely, was explained to ORSC members via a document posted in the new

Open Research Team - Open Research Steering Committee Channel in Microsoft Teams and comments requested. The new approach, which was based on the approach used by the Research Policy Committee (RPC), includes: a schedule of work (a month-by-month plan of the papers to be considered by ORSC); monthly papers posted in the ORSC Channel (also emailed to members) for consideration by members for one week; twice-yearly minutes of these items. Most (although not all) ORSC members are users of Microsoft Teams. The new approach was adopted for ORSC from beginning August 2020.

Following this the decision was also taken to hold twice yearly committee meetings by teleconference via Teams.

5 ORSC Annual Report 2019 — ORSC-34

The ORSC Annual Report, documenting activity related to ORSC business in 2019 (open access, Plan S, DORA and responsible metrics, research data management, open research infrastructure, research notebooks and open research training) and including the ORSC membership list, ORSC Terms of Reference and the University's position statement on open research during 2019, was approved by the committee in September 2020. The approved document was sent to the RPC for information.

6 Open Research Programme Governance— ORSC-35

A paper on the proposed Terms of Reference for an Open Research Operational Group and proposed amendments to the Open Research Steering Committee Terms of Reference was distributed to ORSC members for comment, and for approval of the proposed terms of reference.

It had been noted previously that there would be benefits to approaching activities, in support of open research, in a more programmatic way. Items brought to past ORSC have included both strategic papers and more operational matters. This paper proposed the establishment of an Open Research Operational Group (OROG): bringing together the staff members across different areas of the university that are tasked with leading projects and activities in support of open research. It is expected that the existence of this group would enable a more streamlined approach to the Open Research Steering Committee. The proposal had been agreed earlier with the Pro-Vice Chancellor (Research) and had the support of the Head of University Research Office and the University Librarian.

The proposed terms of reference were approved by the committee in September 2020.

7 Draft DORA Implementation Guidance— ORSC-36

The DORA working group drafted a framework for the implementation by University of Cambridge of the principles of the San Francisco Declaration on Research Assessment. This paper also included an introduction to the DORA principles and some possible approaches to assessing research in line with this framework. In September the ORSC committee were asked to review the draft and comment on the proposed framework. Following this, as part of the consultation process, this draft was then shared with all Schools for comment. The final version will be shared with ORSC and RPC for approval.

Action: Steve Russell to share the final version of the framework with ORSC and RPC, for approval.

8 Electronic Research Notebook Working Group Report— ORSC-37

This paper describes the results of investigations carried out by the Electronic Research Notebook (ERN) Working Group on the use of ERNs at the University of Cambridge and other institutions and ends with five recommendations regarding the University's provision of ERNs, guidance and support. In October ORSC members were asked to approve the recommendations.

Overall the recommendations were approved alongside a number of comments and suggestions (e.g. ensure involvement of UIS Head of Research Computing and UIS Research IT Portfolio Programme board to discuss how we take support forward; consider how updated guidance will be publicised; ideally provide support for a portfolio of ELNs; the importance of interoperability between ELNs was stressed). The paper will be updated to incorporate the comments before being forwarded to the Open Research Operational Group for action.

Action: ELN WG to update the document and forward the updated document to OROG for action.

9 Cambridge Open Access Spend: Determining Expenditure ‘In The Wild’— ORSC-38

A presentation by the Library REF Manager, giving an overview of the total expenditure on open access and other publication activities, was provided for comment in October. This paper showed an estimated £6M spend between 2012 and 2019 'in the wild' (open access and other publication expenditure to publishers not coming from the University's journal subscriptions and open access block grants (which are managed by the University Library)). The Committee were asked to consider what changes could be made to improve financial reporting of open access expenditure made through CUFS and research grants in the future (for example, by standardising transaction codes, consistent budgeting for open access as a distinct task on research grants, how changes can be implemented and communicated).

The paper was very well received. It is the first time the 'in the wild' spend has been reported. The recommendation to standardise transaction codes was supported by all respondents (to be done by working with Finance and the Research Office). Other actions arising were to discuss the findings further with ORSC Chair, consider sharing the information with RPC and to forward to the JCS steering group (the document has been forwarded for the JCS Steering Committee).

Action: Jessica Gardner and Niamh Tumelty to discuss the findings further with ORSC Chair and consider sharing with RPC.

10 CWTS Leiden Ranking 2020: Open access indicators— ORSC-39

A second presentation by Arthur Smith for ORSC Committee members in October 2020 analysed the Leiden Ranking 2020 for institutional, national and international open access trends. This paper, provided for information, shows that Cambridge is doing well against Oxford, UCL, Imperial, Manchester and other UK research-intensive institutions. Cambridge, and the UK, are well ahead of the US and other countries around the world. The main drivers in the UK have been through green and hybrid open access, enabled by the REF and UKRI/COAF open access policies respectively.

This paper was again well received. The data will be referenced in the forthcoming report to Arcadia. Also a blog was suggested to celebrate the progress with open access that Cambridge has made over time. The blog was subsequently written, by Arthur Smith, and can be found here - [Open access: fringe or mainstream?](#) This was published on the OSC website as one of the series of blogs posted during Open Access Week (the annual global scholarly communication event).

Action: Jessica Gardner to include aspects of the paper in the Arcadia report.

11 Wellcome Trust Audit Recommendation: Manual Records Policy— ORSC-40

There was one paper for the month of November, for approval by the ORSC Committee. The Committee previously approved a plan to look at the feasibility of creating a dedicated policy on manual records. This paper, Wellcome Trust Audit Recommendation: Manual Records

Policy, outlined the findings of this investigation, conducted by Lauren Cadwallader and Dominic Dixon (OSC), with three recommendations:

- Revise the existing Research Data Management Policy Framework and add new FAQ on data.cam.ac.uk.
- Revise the University of Cambridge Good Research Practice Guidelines.
- Revise the Statement of Records Management Practice and Master Records Retention document.

The recommendations were supported by the committee. Following a request from Wellcome Trust, committee members agreed that the report could be forwarded to Wellcome Trust. It was suggested that a summary paper could also go to RPC for their endorsement; the paper is currently with RPC. The recommendations are being taken forward by the Research Data Management team in the OSC.

12 Transformative Deals— ORSC-41

This paper, presented in December, covers transformative (Read and Publish) deals both in place and under consideration, a comment on communication of these deals to the University and financial considerations. The committee were asked to provide comments, particularly with regard to the financing of agreements with fully open access publishers.

The paper raised many comments, questions and responses, particularly around the deals' financing and sustainability, with agreement for a meeting to discuss the issues further. A joint ORSC and JCS workshop, to combine the best insights from both Committees and well-structured to make the best use of attendees' time, was finally suggested.

Action: Discussion time to be included for this item in the next ORSC Teams call.

Action: Patricia Killiard to arrange a joint workshop on transformative deals for ORSC and JCS committees.

13 Author Rights Retention— ORSC-42

A second paper distributed in December provided an introduction to author rights retention with examples of requirements for retention and proposed actions in preparation for supporting author rights retention for University of Cambridge authors. Committee members were asked to approve the proposed next steps in supporting Cambridge researchers with these requirements. The next steps were approved.

14 Items to be referred to the Research Policy Committee

The following papers will be forwarded to the RPC:

1. A copy of these minutes.

Next Meeting: Wednesday, 3 February 2021, 14:00–15:30
Microsoft Teams video conference

Open Research Steering Committee Secretary:

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Office of Scholarly Communication, University Library, Cambridge