UNIVERSITY OF CAMBRIDGE

Open Research Steering Committee

Minutes for Thursday 2 May 2019, 9:00–10:30
General Board Office, The Old Schools

Present: Chris Abell (Chair), Lauren Cadwallader, Marta Costa, John Dennis, Jessica Gardner, Sara Hennessy, Danny Kingsley (participating remotely), David Owen, Steve Russell, Arthur Smith, André Sartori (Secretary).

In attendance: Owen Roberson.

Apologies: Vasily Belokurov, Mark Carrigan, Emma Gilby, Peter Hedges, Mandy Hill, Ian Leslie.

1 Welcome & Introductions

The Chair welcomed members to the first meeting of the Committee. Members briefly introduced themselves.

2 Background: Work of the Open Research Working Group & Open Research Position Statement — ORSC-1

Jessica Gardner summarised work carried out by the Open Research Working Group (ORWG) and highlighted key points of the Group's report to RPC:

a) Recommendation for the University to publish and keep under active review a Position Statement on Open Research (R1).

b) Recommendation for the creation of this Committee (R2).

c) Recommendation that the University should sign DORA and consider consequential impact on HR practices at the University (R4).

d) The definition of Open Research given in paragraph 1.2 of that report.

e) The Open Research Survey conducted by the ORWG, which was intended to help capture existing practices and perceptions of Open Research across the University (section 3 of the report).

f) The University Position Statement on Open Research, which was drafted by the ORWG and approved by RPC in November 2018 and by the General Board in January 2019 (ORSC-1 Appendix).

3 Open Research Steering Committee Terms of Reference & Membership List — ORSC-2

The Committee considered the changes to the Terms of Reference proposed by Jessica Gardner:

a) A term of office of two years, renewable.

b) Recommendation on which members of the Committee should be considered *ex officio*.

No objections were made to these proposed changes. However, the Chair noted discrepancies between sections 1 and 6 of this paper, which will need to be corrected before changes are approved.

Action: Secretary to make corrections and circulate the Terms of Reference to the Committee for approval.

4 Terms of Reference of the Open Research Infrastructure Sub-Group, including Electronic Lab Notebook Working Group — ORSC-3

Owen Roberson summarised the Terms of Reference of the Open Research Infrastructure Sub-Group (ORIG) and of the Electronic Lab Notebook Working Group (ELN-WG). ORSC members were invited to comment. The Committee approved the Terms of Reference of both groups and highlighted the importance of developing University policy on Electronic Lab Notebooks in response to growing interest in such products across the University. It was noted that health and safety concerns about the use of IT equipment in laboratories must be considered, and that achieving consistency in the use of ELN across the University is challenging in the short term. Concerns associated with the acquisition of ELN products by large publishers, particularly ownership of data entered into the system and the present difficulties of extracting from and migrating data across different platforms, were also raised. Sara Hennessy noted that her name is currently included in error in the Membership list of ORIG.

Action: Secretary to notify ORIG of required correction to their membership list.

5 Terms of Reference of the Open Research Training Task Group — ORSC-4

Lauren Cadwallader summarised the Terms of Reference of the Open Research Training Task Group (ORTTG). ORSC members were invited to comment. The Committee approved the Terms of Reference of the ORTTG. It was noted that there is a clear need for improving the provision of Open Research training to Cambridge students and researchers, that a common misconception among researchers is to Open Research consists only of Open Access publishing, and that pilot training sessions in the Education Faculty run by ORTTG have been well-received. The Committee highlighted the importance of ensuring Open Research training is available to the whole Cambridge academic community, including researchers that are only affiliated to Colleges, and of ongoing dialogues with Cambridge University Press for the provision of online training in research integrity, research data management and Open Research.

6 REF Open Access Update — ORSC-5

Owen Roberson highlighted key points of his report (ORSC-5):

  a) The REF2021 submission requires 2.5 papers per FTE of staff submitted to be submitted as the "Outputs" component of REF.

b) There is a 5% "tolerance of non-compliance" for each submission to a unit of assessment. However, these 5% are calculated based on the number of outputs in scope of the policy rather than on the total number of outputs submitted.

c) In the order of 70-90% of the outputs nominated during the Mock REF 2019 exercise are eligible for submission. Units of Assessment that rely on arXiv will be better understood once an analysis of papers deposited in that server has been completed.

d) Weekly reports detailing the Open Access status of the outputs of REF eligible staff are being provided to Units of Assessment, along with reports which detail the outputs nominated by staff in the Mock REF 2019.

e) Tabled estimates of the rate of compliance to the REF Open Access policy of outputs from each of the the University's Units of Assessment are a snapshot of incomplete data and will be refined once the Mock REF exercise is completed.

ORSC members were invited to comment. It was noted that due to the allowed exceptions and the possibility of complying with the policy via self-archiving in Open Access repositories provided by other institutions, it is challenging to establish with certainty that an output is not eligible for submission to REF2021. The Committee highlighted the importance of liaising with other institutions to identify outputs that are compliant with the Open Access policy for the REF.

7 Plan S Update — ORSC-6

Jessica Gardner highlighted key points of her report (ORSC-6):

a) Plan S will affect a significant proportion of the research published by Cambridge academics.

b) Plan S is currently focused on journal articles, but the coalition of funders intends it to also cover monographs in the future.

c) Research institutions are strongly encouraged to sign up to DORA. The Wellcome Trust will require institutions to report on their progress towards the goals set out in DORA.

d) The University's submission to cOAlition S consultation on Plan S was developed with input from academic representatives, the University Library, Research Office and Cambridge University Press, to help develop key messages shared across those stakeholders.

e) The University's submission includes concerns about the speed of change required to achieve compliance from January 2020 and risks to research collaboration, recognition and career progression in an international context.

f) cOAlition S is expected to publish revised implementation guidelines on 15 May 2019.

g) Until further policy clarification is released, planning communication about Plan S to the University's community is complex

h) Governance arrangements will need to be adaptive, with much greater integration across governance structures and teams responsible for journal renewals and Open Access policy compliance.

ORSC members were invited to comment and, in particular, to provide feedback on communication planning and on the need for adaptive governance. The Committee agreed on the need for adaptive governance and recommended waiting for the revised Plan S guidelines to be published before finalising communication plans with the University's community. It was also noted that it is currently difficult to collect data on the University's expenditure on Article Processing Charges (APC) outside of the UKRI and COAF block grants.

Action: Plan S communication plan will be revisited during the next meeting of the Committee.

Action: Chair to liaise with Finance to obtain data about APC payments across the University.

8   DORA and Responsible Metrics — ORSC-7

Chris Abell summarised the decisions made by the Research Policy Committee on the meeting of 25 April 2019 concerning DORA. RPC agreed:

a) That the Pro-Vice-Chancellor for Research be given delegated authority to sign DORA on the University's behalf.

b) That the ORSC should be asked to lead on, or appoint a sub-group to lead on, implementation of DORA.

ORSC members were invited to comment. The Committee decided that a sub-group will be appointed to lead on implementation of DORA. The sub-group will include HR representation.

Action: Chair to liaise with Jessica Gardner and Peter Hedges to establish a sub-group to lead on implementation of DORA.

Action: Paper on responsible metrics will be discussed during the next meeting of the Committee.

9   Report on UKRI and COAF Open Access grants — ORSC-8

Arthur Smith highlighted the key points of his report (ORSC-8):

a) Wellcome Trust published their analysis of the 2017/18 COAF spend and highlighted the possibility that the COAF arrangement will end with the current grant.

b) Office of Scholarly Communication will wait for further information from COAF in June, after which steps will be taken to communicate any changes in policy or procedure to affected grant holders.

    c) Changes introduced in August 2018 to funding guidelines for the UKRI OA Block Grant were sufficient to ensure the grant finished just under budget.

10   Items to be referred to the Research Policy Committee

The following papers will be forwarded to the RPC for information:

    a) A copy of these minutes.

    b) Terms of Reference of the Open Research Steering Committee.

    c) Terms of Reference of the Open Research Infrastructure Sub-Group.

    d) Terms of Reference of the Electronic Lab Notebook Working Group.

    e) Terms of Reference of the Open Research Training Task Group.

11   Any Other Business

ORSC members agreed that a web page containing information about the Committee should be hosted by the Office of Scholarly Communication on its domain `https://osc.cam.ac.uk`. The web page should include agendas and minutes of ORSC meetings, redacted if necessary.

Action: Secretary to create and maintain a web page for the Committee.

Next Meeting: Wednesday, 3 July 2019, 15:00–16:30
Sir Geoffrey Keynes Room Room, University Library

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