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THE TIMES  
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GOOD  
UNIVERSITY  
GUIDE  
2022

SCOTTISH  
UNIVERSITY  
OF THE YEAR

## The Wee Country that rOAded: Measuring, Supporting and Building Trust in Open Access in Scotland through institutional repositories

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(Edinburgh), George Macgregor (Strathclyde), &  
Jacqueline Proven (St Andrews)

Open Repositories 2022, June 2022, Denver, CO

WORLD  
CHANGING  
GLASGOW



## Overview

Scotland and Open Access

UK Policy Environment

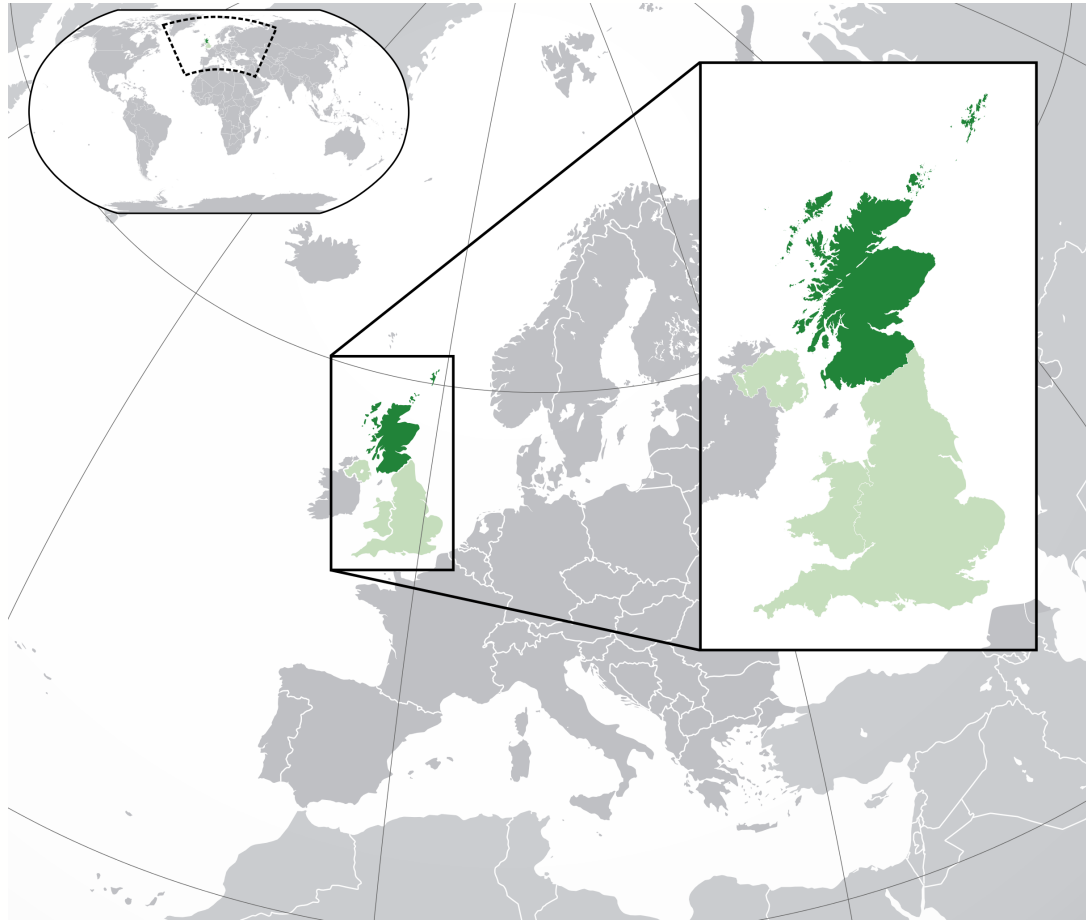
Repositories Key Role

Looking Ahead





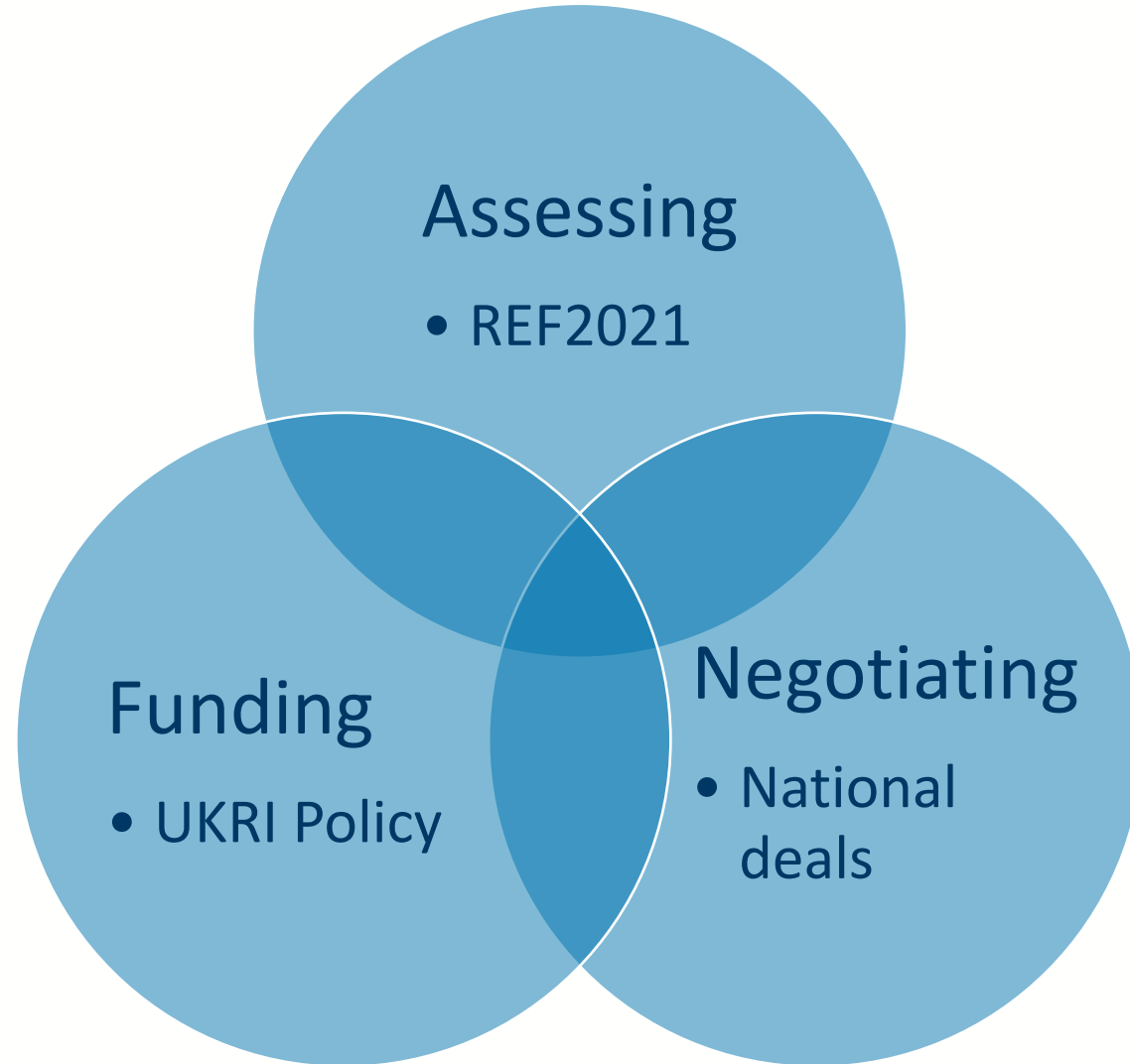
# Scotland and Open Access



- Population c 5.5M (2021)
- 15 Universities
  - 4 'Ancients' including St Andrews (1413)
- Scottish Enlightenment C18<sup>th</sup>/19<sup>th</sup>
- SCURL Higher Education and research libraries
- 2004/5 Open Access Declaration
- 2012 Open Repositories Edinburgh
- 2021 REF2021 Submission
- 2022 Scottish Universities Press



# UK Policy Environment

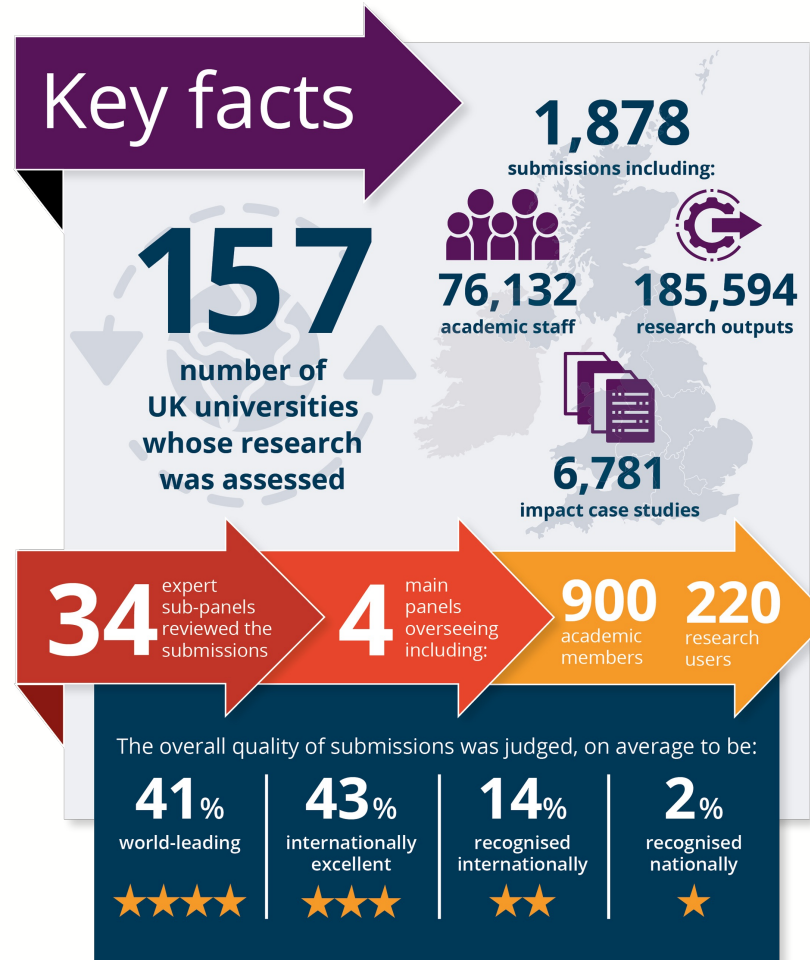


## Underpinned by

- Processes
- Policies
- Partnerships
- Repositories



# Assessment: UK Policy REF2021



## Why do we need REF?

The four UK higher education funding bodies use REF to inform the allocation of circa £2 billion in public funding invested in research annually. It provides accountability for this public funding, invested during the period covered by the assessment and producing key evidence of benefits. REF is also used for:

- Benchmarking and establishing reputational yardsticks with peer institutions and departments
- Understanding institutional strengths for external communications
- Informing strategic university decisions
- Understanding larger sector-wide trends
- Attracting researchers and postgraduate students
- Learning more about a university or department you might want to work with
- Securing funding
- Understanding best practices for future REF submissions



## Our guiding principles

These set the framework for our work and that of our expert panels.

### Equity

All research and research output are assessed on a fair and equal basis. Our panels define criteria and adopt assessment processes to this end. The REF aims to assess all types of research without distorting the activity measured or encouraging or discouraging any research. It aims to provide a general stimulus that enhances the UK research base's overall achievements.

### Equality

Universities must comply with equality legislation in processes for submitting staff and outputs. They must also develop, document and apply an internal code of practice for identifying staff in scope for submission and selecting outputs. We provided guidance to help universities participate in REF in a fair and transparent manner. Research outputs from early career researchers, staff who took family-related leave, or with other equality-related circumstances, were rated equally highly.

### Transparency

All criteria and procedures applied in the assessment are published in full, well in advance of submissions. Outcomes are published for each submission, with decision-making processes at main and sub-panel levels explained openly.

### Value for money

The cost and burden of the REF should be the minimum possible to deliver a robust and defensible process. We estimate the cost of REF 2014 was less than 1% of the total public funding invested in research, over a six-year period of an assessment cycle.



## Assessing: REF2021 Open Access Policy

106. The four UK HE funding bodies believe that the outputs of publicly funded research should be freely accessible and widely available. Open access research brings benefits to researchers, students, institutions, governments, public bodies, professionals and practitioners, citizen scientists and many others. Open access has the potential to make research more efficient and impactful. In view of these benefits, and to embed open access as an intrinsic part of the research process, the funding bodies have introduced a policy requirement on open access in REF 2021.

# Assessing: REF2021 Open Access Requirements

## Criteria for open access

234. The criteria consist of three elements:

- a. Deposit requirements
- b. Discovery requirements
- c. Access requirements.

## Deposit requirements

235. The output must have been deposited in an institutional repository<sup>14</sup>, a repository service shared between multiple institutions, or a subject repository<sup>15</sup>.

236. The output must be deposited within the repository within a specified timeframe, determined by the date of acceptance:

- a. **Outputs accepted for publication from the 1 April 2016 to 31 March 2018.**  
The output must have been deposited as soon after the point of acceptance as possible, and no later than three months after the date of publication.
- b. **Outputs accepted for publication from the 1 April 2018 to 31 December 2020.**  
The output must have been deposited as soon after the point of acceptance as possible, and no later than three months after this date.



# Funding: UKRI Policy April 2022-

## Requirements for research articles

4. This section sets out the UKRI Open Access Policy requirements for in-scope research articles, as defined at paragraph 2a.

### Compliant open access routes

5. Route 1: Publish the research article open access in a journal or publishing platform<sup>2</sup> which makes the Version of Record immediately open access via its website.
  - a. The Version of Record must be free and unrestricted to view and download. It must have a Creative Commons Attribution (CC BY) licence, or other licence permitted by UKRI (see 'licensing requirements').
  - b. The research article must be made open access in a journal or publishing platform that meets the minimum technical standards that facilitate access, discovery and reuse, as defined at Annex 2.
6. Route 2: Publish the research article in a subscription journal and deposit the Author's Accepted Manuscript (or Version of Record, where the publisher permits) in an institutional or subject repository at the time of final publication, as defined at Annex 1.



## About the Elsevier ScienceDirect journals agreement negotiations

The background to the negotiations and why they matter.

### Why Elsevier negotiations matter

Open research, and open access to research publications, is a priority for UK universities and research funders. UK academics produce outstanding high-quality research, often in [collaboration with academics across the globe \(pdf\)](#)<sup>[1]</sup>.

The imperative to ensure wide and free access to research, under conditions that allow for maximum re-use is stronger than ever and the benefits of open access to research content for academics, citizens, students, industry [are well catalogued](#)<sup>[2]</sup>. UK universities and research funders are [committed to full and immediate open access](#) and to transitioning swiftly away from paywalled access, as reflected in [their policies](#) and [requirements for transformative agreements](#).

Elsevier is the largest publisher of UK research, but is now the only major publisher that does not have an agreement in place with UK universities that enables academics to both freely read and to freely publish the version of record immediately open access in compliance with funder policies including [the Wellcome Trust](#).

## Jisc response to the Elsevier open access agreement

23 March 2022

UK universities have reached a three-year agreement with Elsevier providing both unlimited open access publishing and access to paywalled journal articles for a significant reduction on current institutional spend.

Jisc's managing director of higher education and research, [Liam Earney](#), said:

"We have achieved an outcome that meets the requirements of UK institutions. This is thanks to the hard work of the sector and the negotiations team and the strong partnership approach adopted throughout the process.

"This agreement meets all the core requirements of the sector and the contract has now been signed.

"This is the world's largest Open Access (OA) agreement with Elsevier and is unique both in the level of savings and the access it delivers and is a major step in the transition towards full, equitable and affordable transition to open scholarship.

"The agreement provides unlimited and immediate open access to Elsevier ScienceDirect's publications, as well as significant savings on total sector spend. This means that, alongside the sector's other open access agreements, 80% of UK research can be made open access at no cost to authors.

"However, there is still much more work to be done and Jisc will continue to work with the sector through the negotiation of transitional and OA agreements which enable UK research output to be published OA in accordance with UK funder policies."

# CWTS Leiden OA Rankings 2021 (No Minimum)

**Time period, field, and region/country**

Time period: 2016–2019

Field: All sciences

Region/country: World

Min. publication output: No minimum

**Indicators**

Type of indicators: Open access

Indicators: P, P(OA), PP(OA)

Order by: PP(OA)

University	P	P(OA)	PP(OA)
1 Bilkent Univ	1988	1868	94.0%
2 London Sch Hyg & Trop Med	9055	8486	93.7%
3 Univ Portsmouth	2943	2745	93.3%
4 Univ E Anglia	5648	5210	92.2%
5 Liverpool John Moores Univ	3531	3228	91.4%
6 Univ St Andrews	6374	5820	91.3%
7 Durham Univ	7659	6988	91.2%
8 Lancaster Univ	7080	6416	90.6%
9 Univ Strathclyde	6105	5520	90.4%
10 Univ Bristol	16102	14548	90.3%
11 Univ Dundee	4065	3669	90.3%
12 Aston Univ	2669	2399	89.9%
13 Univ Southampton	16280	14591	89.6%
14 City Univ London	2699	2417	89.6%
15 Keele Univ	2576	2304	89.4%
16 Univ Leeds	14148	12594	89.0%
17 Univ Stirling	2357	2095	88.9%
18 Univ Edinburgh	22362	19870	88.9%
19 Univ Reading	5244	4656	88.8%
20 Univ Huddersfield	1876	1665	88.8%
21 Cardiff Univ	11627	10303	88.6%
22 Univ Kent	3787	3339	88.2%
23 Loughborough Univ	5410	4769	88.2%
24 Univ Glasgow	15021	13225	88.0%
25 Univ Coll London	40263	35448	88.0%

- 24 of 25 Institutions by PP(OA) are in the UK
- 25% are in Scotland
  - St Andrews (91.3%)
  - Strathclyde (90.4%)
  - Dundee (90.3%)
  - Stirling (88.9%)
  - Edinburgh (88.9%)
  - Glasgow (88%)
- Mix of Green and Gold Open Access



# CWTS Leiden OA Rankings 2021 (10K Minimum)

Time period, field, and region/country		Indicators	
Time period:	2016-2019	Type of indicators:	Open access
Field:	All sciences	Indicators:	P, P(OA), PP(OA)
Region/country:	World	Order by:	PP(OA)
Min. publication output:	10000		

University	P	P(OA)	PP(OA)					
1 Univ Bristol	16102	14548	90.3%					
2 Univ Southampton	16280	14591	89.6%					
3 Univ Leeds	14148	12594	89.0%					
4 Univ Edinburgh	22362	19870	88.9%					
5 Cardiff Univ	11627	10303	88.6%					
6 Univ Glasgow	15021	13225	88.0%					
7 Univ Coll London	40263	35448	88.0%					
8 Univ Warwick	12050	10322	85.7%					
9 Univ Sheffield	14190	12081	85.1%					
10 Univ Oxford	41154	35031	85.1%					
11 Univ Birmingham	15827	13396	84.6%					
12 Univ Cambridge	35202	29673	84.3%					
13 Imperial Coll London	32217	27103	84.1%					
14 King's Coll London	22036	18375	83.4%					
15 Queen Mary Univ London	11281	9277	82.2%					
16 Caltech	14557	11957	82.1%					
17 Univ Manchester	24312	19949	82.1%					
18 Newcastle Univ	11927	9596	80.5%					
19 Univ Helsinki	19713	15372	78.0%					
20 MIT	29268	22543	77.0%					
21 Leiden Univ	18484	14157	76.6%					
22 Univ Nottingham	15955	12126	76.0%					
23 Univ Liverpool	14534	11020	75.8%					
24 Princeton Univ	13702	10360	75.6%					
25 Univ California - San Francisco	26511	20022	75.5%					

- 20 of 25 institutions by PP(OA) are in the UK
  - Edinburgh (4<sup>th</sup>)
  - Glasgow (6<sup>th</sup>)
- Mix of Green and Gold Open Access

# Our Repositories: DSpace & EPrints



**St Andrews Research Repository** University of St Andrews


St Andrews Research Repository [Login](#)

## Welcome to the St Andrews Research Repository

This is the official institutional research repository for the University of St Andrews. The repository contains electronic theses and research publications including articles, conference proceedings, working papers and some research monographs. It also contains material and publications affiliated to the University and arising from specific projects. Full text content is provided for all research publications in the repository, and wherever possible (following embargoes) for electronic theses.

The University requires submission of an electronic version of theses. For help with electronic thesis deposit see Library webpages on [how to submit your electronic copy](#) or contact [Digital-Repository@st-andrews.ac.uk](mailto:Digital-Repository@st-andrews.ac.uk).

The full text of research papers can be submitted to the repository via [Pure](#), the University's research information system. For help see our guide: [How to deposit in Pure](#) or contact the Open Access team at [openaccess@st-andrews.ac.uk](mailto:openaccess@st-andrews.ac.uk).



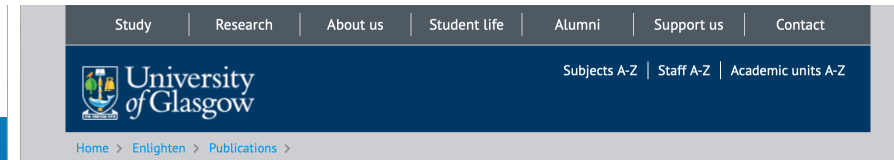
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## University of Edinburgh Research Explorer

Advanced search

We're committed to doing all we can to assist in the global response to the Coronavirus (COVID-19) pandemic. [Explore all our related research and expertise](#)

- Research output: 187210
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## Enlighten: Publications

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### Welcome to Enlighten: Publications

Atom | RSS 1.0 | RSS 2.0

**Latest Additions**

View items added to the Enlighten: Publications in the past week.

**Search Enlighten: Publications**

Search the repository by title, author or fulltext



## Strathprints

Login

### Strathprints: The University of Strathclyde institutional repository

The Strathprints institutional repository is a digital open archive of University of Strathclyde research outputs. It has been developed to disseminate Open Access research outputs, expose data about those outputs, further the goals of open research, and enable the management and persistent access to Strathclyde's intellectual output. Explore Strathprints by searching and browsing.

Enter your search query...

[Advanced search](#) [Browse by subject](#)

- Browse research content
- By author or creator
- By year
- By subject
- By department or faculty



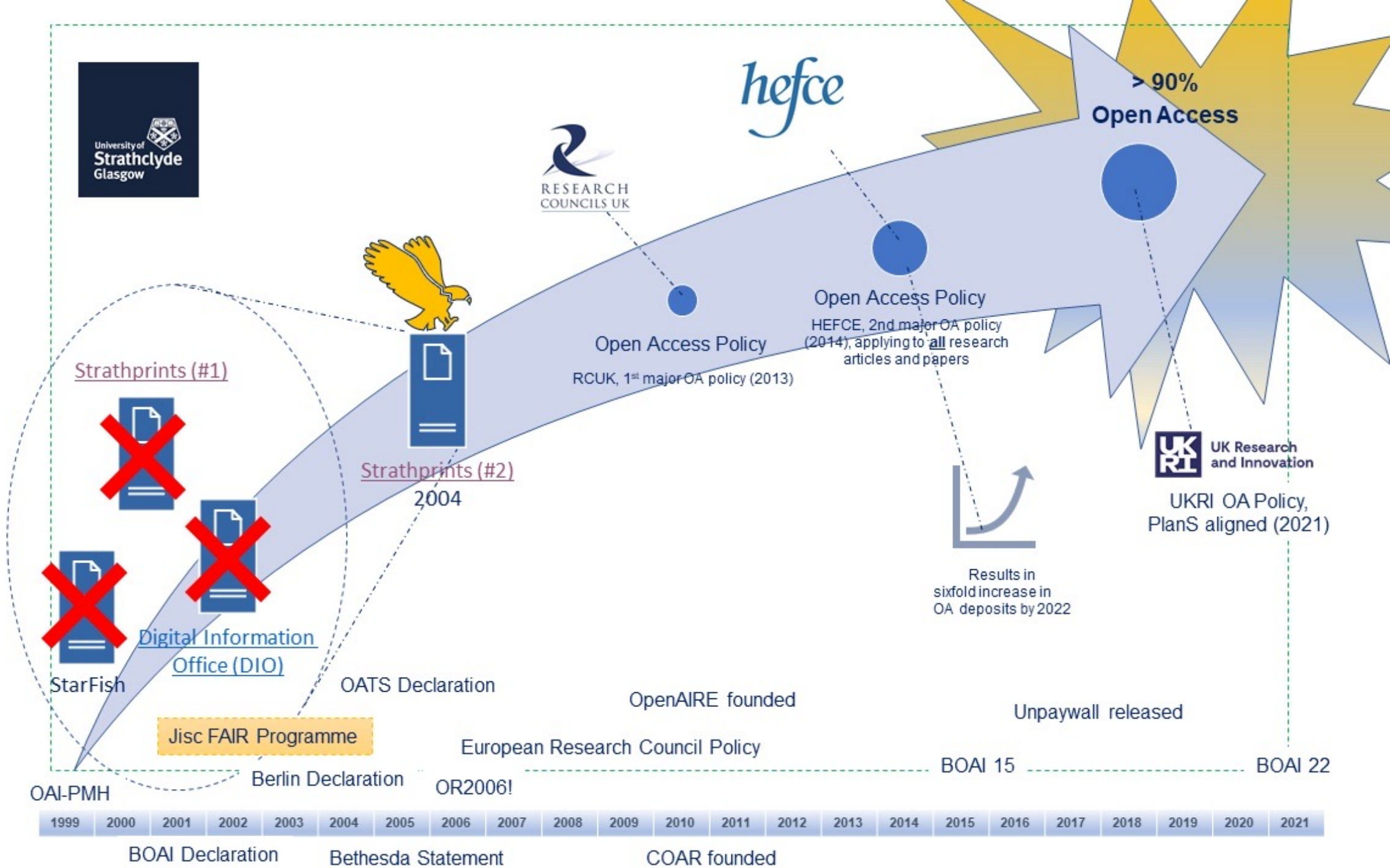
## Case Studies: Trust in Open Access

Measuring

Supporting

Building





# Case Study: Glasgow

Enlighten: Publications

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Welcome to Enlighten: Publications

Latest Additions  
View items added to the Enlighten: Publications in the past week.

Search Enlighten: Publications  
Search the repository by title, author or fulltext.

Browse Enlighten: Publications  
Browse by Glasgow Author, Year, College/School or Journal Title.

My Publications  
Login to deposit your latest publications.

Enlighten: Publications supports OAI 2.0 with a base URL of <https://reprints.gla.ac.uk/cgi/oa2>

Enlighten: Research Data

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Research Data Management  
My Research Data

Welcome to Enlighten: Research Data

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View items added to the repository in the past week.

Search Repository  
Search the repository using a full range of fields. Use the search field at the top of the page for a quick search.

Browse Repository  
Browse the items in the repository by subject.

Enlighten: Knowledge Exchange & Impact

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Search  
Browse  
My Impact

Welcome to Enlighten: Knowledge Exchange & Impact

About this Repository

Repository Policies

Records in the Impact repository are not publicly available in the way that publications on Enlighten are and will not be searchable from outside the repository. However, as an added security measure, do not upload anything that is potentially sensitive or confidential here.

Potentially sensitive or confidential information can be stored securely elsewhere and referenced here. Examples of documents not to upload include (but are not limited to):

- Documents containing intellectual property information
- Commercially sensitive data e.g. testimonials, sales figures
- Pending patents
- Business partnership notes
- Anything which may impact any commercial agreements

If you are unsure on how to store your confidential information please refer to the University's Information Security webpage, or contact [is-and-impact.repository@glasgow.ac.uk](mailto:is-and-impact.repository@glasgow.ac.uk)

Enlighten Privacy Notice

Enlighten: Theses

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Search  
Browse  
ORCID  
My Thesis

Welcome to Enlighten: Theses

Latest Additions  
View items added to the repository in the past week.

Search Repository  
Search the repository using a full range of fields. Use the search field at the top of the page for a quick search.

Browse Repository  
Browse the items in the repository by subject.

Getting Started  
Information on depositing your thesis.

## Measuring:

- Downloads and impact
- Embedded in staff profiles, promotion & performance reviews, REF2021 and institutional KPIs

## Building:

- Range of EPrints repositories
- No commercial CRIS

## Supporting:

- Close collaboration with other teams, researchers and systems across the university

# Support and trust in repository services

## Pure and Dspace – best of both

**DEPOSIT** - Pure CRIS retains single user interface and familiar functionality for researchers. Personal profiles, links to projects and related research activity and content, import options, system integrations.

- Using Pure enables simple messaging and joined-up support across Library, Research & Innovation Services and School administrators.

**DISCOVERY** – Dspace still has better OAI-PMH, dc metadata for harvesting, visibility in Google Scholar, handles for citation of repository versions, integration with IRUS-UK and [Altmetric](#), wider scope of content (e-theses and grey literature through direct deposit).

- With Dspace hosting partnership we have knowledge sharing and impact of a strong repository community.

## Bespoke guidance with disciplinary perspectives

**Art History:** considerable use of 3<sup>rd</sup> party content, anxiety around liabilities, concern over relationships with publishers, tentative about open access....

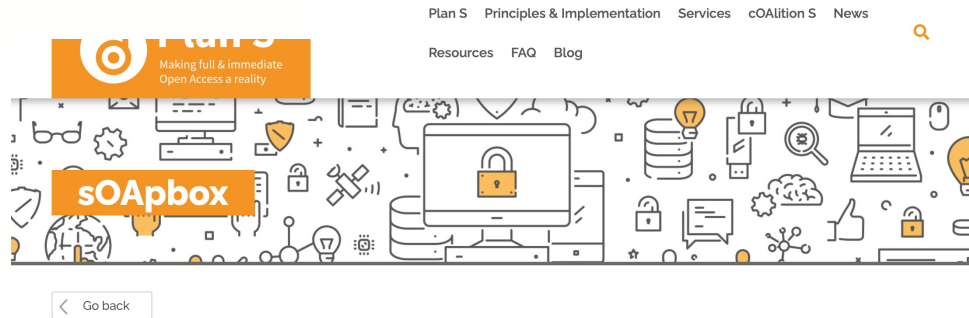
- introduced culture of deposit early (2015)
- created deposit guides addressing concerns
- communicated with authors about *every* article
- respected author preferences on redaction to build trust

**Physics:** long history using [arXiv](#), high volume of articles, use of preprints, frustration with manual deposit process...

- worked with School admin staff on mediated deposit
- created deposit guide using simple import from [arXiv](#)
- focused on enhancing metadata from basic records
- allowed flexibility on creating records for preprints

Resulted in pool of outputs with 100% OA compliance for REF2021 submission





## “Our policy is an affirmation that the University of Edinburgh fully supports authors in their open access practices”

07/04/2022

In 2008 Harvard's Faculty of Arts & Sciences voted unanimously to adopt a ground-breaking [open access policy](#). Since then, over 70 other institutions, including other Harvard faculties, [Stanford](#) and [MIT](#), have adopted similar policies based on the Harvard model. In Europe such institutional policies have, so far, been slow to get off the ground.

We are beginning to see that situation change.

The University of Edinburgh adopted its [Research Publications & Copyright policy](#) in 2021. In the following interview, Theo Andrew, Scholarly Communications Manager at the University of Edinburgh, explains how this policy was developed, describes the benefits for the University's staff and shares his tips for any other institution that might consider adopting a similar policy.

**cOAlition S:** Could you, please, describe the author copyright policy you have adopted at your university?

**Theo Andrew:** The [University of Edinburgh Research Publications & Copyright policy](#) starts off by confirming that members of staff own the copyright to their academic publications in line with current custom and practice. Then, upon acceptance of publication each staff member agrees to grant the University of Edinburgh a non-exclusive and irrevocable licence to make the accepted manuscript version of their scholarly articles publicly available under the terms of a Creative Commons Attribution (CC BY) licence. It is important to note that this assignation of rights happens automatically and no effort is required by the author to fill in forms or add rights retention statements to journal submissions.

<https://www.coalition-s.org/blog/university-of-edinburgh-research-publications-copyright-policy/>

## Research Publications & Copyright Policy (2021)

This policy supersedes and updates the first University of Edinburgh Research Publications Policy passed by University Court in 2010.

Academic staff at the University of Edinburgh have traditionally, when publishing research outputs, exercised an independent right to assign or give away their scholarly works (in addition to the University's right). This has enabled the current process of the corresponding author assigning copyright to publishers, which results in many journal articles and scholarly works now being under partial or complete ownership by the academic publishers.

In order for the University and its researchers to comply with funder requirements, and to enable the University to disseminate its research and scholarship as widely as possible, whilst enabling its staff to publish their work in a journal of their choice the University of Edinburgh will adopt the following mandatory policy which applies to all staff on research contracts :

[Research Publications & Copyright Policy \(190.03 KB PDF\)](#)

The key parts of the policy which **starts in full on 1 Jan 2022** are described below:

- [+ Copyright](#)
- [+ Grant of rights](#)
- [+ Accepted manuscript \(AM\)](#)
- [+ Deposit in repository](#)
- [+ Journal articles and conference proceedings](#)
- [+ Other research outputs](#)
- [+ Opt-out](#)

<https://www.ed.ac.uk/information-services/about/policies-and-regulations/research-publications>



## The Scottish Factor(s)

Ethos of collaboration

Shared intellectual tradition

Our size





## Looking Ahead

Open Research

Rights Retention

Digital Preservation

E-only Theses

Scottish Universities Press



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**Thank You**

**#UofGWorldChangers**



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