ARC: Open Access and Research Data

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Overview

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ARC and Open Access
ARC Open Access Policy

• From 1 January 2013, the ARC requires that any publications arising from an ARC supported research project must be deposited into an open access institutional repository within a 12 month period from the date of publication

• Mandated by ARC funding rules and funding agreements

• If a publication is not deposited, justification for non-inclusion must be provided to the ARC in the Final Report
Differences between ARC/NHMRC policies

- ARC policy covers all publication outputs including monographs, the NHMRC covers journal articles only.
- NHMRC relates to any publication after 1 July 2012, regardless of the grant that supported the research.
- ARC policy only affects publications arising from Funding Rules and successful grants from January 2013.
Implementation of ARC policy

• Graduated approach to implementation

• Not applied retrospectively

• First publications expected in 2014

• Researchers are required to report on compliance in the ARC Final Report
International Perspective

• Global Research Council (GRC) 2014 Survey of Participating Organizations
  - International Nature of Open Access - over half of organisations have formal open access policies
  - concern regarding Article Processing Charges (APCs)
  - predominant focus on peer-reviewed journal articles
  - Most funders allow for ‘Gold’ and ‘Green’, although a majority of organisations express a preference for Green and encourage deposition of articles into a repository.
ARC/CAUL Open Access Survey

- Survey undertaken in early 2014 to ascertain institutions’ preparedness, capacity and consistency in managing the ARC’s Open Access requirements

- Responses highlighted:
  - Varying approaches and capacity to meet requirements; including level of support for researchers
  - Only 5 of 29 responding universities retained copyright on scholarly articles produced by staff
  - Some inconsistency in such areas as providing or recommending to authors a standard addendum to publisher agreements to assist with open access publication
Compliance Advice

• In June 2014, AOASG, in collaboration with CAUL and the ARC, released an ARC Open Access Policy: Compliance Advice guide

• The guide covers:
  - General information/Policy background
  - Scope of ARC policy
  - Copyright Issues
  - How to comply with the policy

Available at AOASG website: http://aoasg.org.au/arc-open-access-policy-advice/
Australian Repository Systems

• All universities have repositories with:
  - varying degrees of sophistication and usability
  - varying capacity for collating, searching and storing metadata

• Support for Open Access compliance:
  - $26 million Australian Scheme for Higher Education Repositories (ASHER)
  - Grant funds, proportion allowed for publication costs
  - Data repositories
What information needs to be submitted to the repository and when?

- Publication metadata must be submitted ASAP after the paper is accepted for publication, regardless of whether the paper will become openly accessible.

- The manuscript/journal article should be submitted to the institutional repository ASAP after the publication date.

- The repository manager should ensure it is made available at a date that complies with the journal’s copyright transfer agreement.

- If the journal never allows the article to be made available, this information must be provided at the time of Final Report submission.
Which version should be made available via the institutional repository?

- Both the full text author’s version following peer review revisions (‘Accepted Manuscript’ or ‘Postprint’) and the publisher’s version are acceptable under the ARC’s policy.
- Publishers may have different policies regarding the version that can be made available and the timing of availability – this information should be included in any copyright/licensing agreement.
If an article is published in an openly accessible publication or digital database, does it also need to be submitted to an institutional repository?

• No – if the print version of the article is openly accessible via the publisher’s website or via a service, it is sufficient to just make the article metadata available in the institutional repository

• A link should be provided to the site where the print version is available

• Note that some institutions may still require the article to be submitted to their institutional repository
Who is responsible for depositing the work and where?

- The first named Chief Investigator (CI) on the ARC-funded Project is responsible for ensuring the open access conditions of the grant are met.
- A full text version need only be deposited to one open access institutional repository.
- Duplicate metadata may be deposited with additional repositories at the discretion of co-authors from other institutions.
- The lead CI should ensure that all co-authors are aware of the open access arrangements.
The ARC recommends the ‘Policy Compliance Flowchart by an Institution’ developed by the Australian Open Access Support Group as a useful guide to making publications available in an institutional repository.
ARC and Research Data
ARC and Research Data

• The ARC is committed to maximising the benefits from ARC-funded research, including through ensuring greater access to research data

• To continue to foster a culture of good data management by data generators and users, the ARC introduced a new data management requirement in February 2014

• The new requirement is applicable to schemes under the Discovery Program and the current rounds of Linkage Projects, ITRH and ITRP
ARC and Research Data

• The ARC’s new requirement does not mandate open data

• Instead, the ARC is encouraging researchers to consider the ways in which they can best manage, store, disseminate and re-use data generated through ARC-funded research

• The ARC’s approach enables researchers to take into account differences that may exist between institutions, disciplines and research projects
Data management requirement

Funding Rules – DP15 example

The ARC considers data management planning an important part of the responsible conduct of research and strongly encourages the depositing of data arising from a Project in an appropriate publically accessible subject and/or institutional repository.

Instructions to Applicants

For schemes under the Discovery Program, researchers are now required to briefly outline plans for the management of data produced as a result of the proposed research - including but not limited to, storage, access and re-use arrangements.
What do researchers need to include?

• In answering this section of the Proposal form, researchers should briefly articulate their plans for the management of data generated through the proposed Project.

• Answers should focus on plans to make data as openly accessible as possible for the purposes of verification and for the conduct of future research by others.

• Answers need not include extensive detail of the physical or technological infrastructure involved.

• Where it may not be appropriate for data to be disseminated or re-used, justification may be provided.
How will the requirement be assessed?

• The data management requirement will be assessed holistically as part of the overall application.

• Whilst the ARC has not changed selection criteria, the management of data is particularly relevant to the Research Environment and Feasibility and Benefit criteria.

• External assessors and ARC College of Experts panels will expect best practice in the particular discipline of the project being assessed.
Next steps

The next steps in the ARC’s data management initiative include:

• monitoring developments in funding agency and institutional data policies, both in Australia and internationally;

• considering options for evaluating the benefit of the new data management requirement to ARC-funded research; and

• monitoring the impact of effective data management on ARC-funded research outcomes over time.
Discussion/questions
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