The Changing Landscape of Open Access

Evolving your infrastructure to keep in step with changing funder mandates

DS Showcase 2023

Australia: NHMRC Open Access Policy

NHMRC

BUILDING A HEALTHY AUSTRALIA

Funding | Health advice | Research policy | About us

We support the sharing of outputs from National Health and Medical Research Council (NHMRC)-funded research including publications and data. The aims of the Policy are to mandate the open access sharing and use of publications arising from NHMRC-funded research. The Policy also encourages open access to research data

Combined, th
integrity and

In 2022, we s

- removing
publicatio
- requiring

All recipients
following tab

Table: Impleme

NHMRC grants		
New grants	Immediately	All publications produced from NHMRC grants awarded under Grant Opportunity Guidelines issued on or after 20 September 2022.

1.2 Policy

All peer-reviewed publications that are supported in whole or in part by NHMRC must be:

- made immediately open access, that is, without any embargo period at the time of first online publication, regardless of whether that publication is an advanced or early online publication or the Version of Record.
- published with a Creative Commons Attribution 'CC BY' licence (see **Section 1.3.3**). Use of this open licensing ensures that authors retain rights to their publications whilst providing a broad licence that grants public permission for use of the work.

Metadata for publications that are supported in whole, or in part, by NHMRC, must be made open access in an institutional repository as soon as possible, but no later than three months after publication.

Source: https://www.nhmrc.gov.au/about-us/resources/nhmrc-open-access-policy

New Zealand: MBIE Open Access Policy

Open Research policy

To increase the impact and the innovation potential of our public investment in research, our Open Research policy enables free online access for everyone to MBIE funded peer-reviewed research publications.

On this page

- 1. Purpose
- 2. Definitions
- 3. Scope
- 4. Commencement
- 5. Policy outline

3. Scope

This policy applies to all peer-reviewed research outputs arising from research projects fully or partially funded through research investment processes administered by MBIE, and requires that these outputs be made available through Open Access pathways as outlined below. This includes:

- Peer-reviewed journal articles
- Peer-review conference proceedings

Other research outputs, such as presentations, reports, books and monographs are not covered by the policy. Research data are not covered by the Open Access mandate, although this policy guidance also includes recommendations for researchers around enabling access to research data where possible.

5. Policy outline

5.1 Summary

This policy requires that all peer-reviewed publications arising from research funded through research investment processes administered by MBIE be made available with Open Access (free of charge, online access for any person) through one of the approved pathways. These must be made available either:

(a) immediately on publication; or

(b) where a publisher policy requires an embargo period, immediately at the end of the embargo period or 12 months after the date of such publication, whichever is earlier.

5.2 Pathways to Open Access

For the purpose of this policy, the following publication pathways are considered acceptable:

(a) publication in a fully Open Access journal (i.e., Gold OA); or,

(b) deposit of an acceptable version in a suitable online repository (i.e., Green OA)

5.2.1 Acceptable loci for Green OA deposit

To comply with this policy, an acceptable version (as specified below) must be deposited either:

- in an Institutional Repository that enables Open Access; or
- in a suitable repository that is listed in the Directory of Open Access Repositories (OpenDOAR) maintained by Jisc

Source: https://www.mbie.govt.nz/science-and-technology/science-and-innovation/agencies-policies-and-budget-initiatives/open-research-policy/

UK: UKRI Open Access Policy

Policy scope

Implementation dates

1. The UKRI Open Access Policy applies from the following dates:
   a. In-scope research articles submitted for publication on or after 1 April 2022
   b. In-scope monographs, book chapters and edited collections published on or after 1 January 2024.[1]

Types of publication in scope of the policy

2. The policy applies to the following types of publication, when they are required to acknowledge funding from UKRI or any of its constituent councils.
   a. Peer-reviewed research articles, including reviews and conference papers, that are accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or publishing platform. Additional information is provided at Annex 1.
   b. Monographs, book chapters and edited collections, as defined at Annex 1.
3. Preprints are not in-scope of the UKRI Open Access Policy. However, to facilitate open research practices, UKRI encourages the use of preprints across the research disciplines that we support. UKRI also reserves the right to ensure the use of preprints in the context of emergencies. Also see the MRC policy on preprints and the BBSRC policy on preprints.

Data access statement

14. UKRI requires in-scope research articles to include a Data Access Statement, even where there are no data associated with the article or the data are inaccessible. Further guidance is provided at Annex 1.

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[2] 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.
   a. The deposited version must be free and unrestricted to view and download. It must have a CC BY licence, or other licence permitted by UKRI (see 'licensing requirements').
   b. A publisher-requested delay or 'embargo period' between publication of the Version of Record and open access of the deposited version is not permitted.
   c. The research article must be made open access in a repository that meets the minimum technical standards that facilitate access, discovery and reuse, as defined at Annex 2.

Source: https://www.ukri.org/publications/ukri-open-access-policy/

United States: OSTP ‘Nelson’ Memo

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20502

August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Dr. Alondra Nelson
Deputy Assistant to the President and Deputy Director for Science and Society
Performing the Duties of Director
Office of Science and Technology Policy (OSTP)

SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

This memorandum provides policy guidance to federal agencies with research and development expenditures on updating their public access policies. In accordance with this memorandum, OSTP recommends that federal agencies, to the extent consistent with applicable law:

1. Update their public access policies as soon as possible, and no later than December 31st, 2025, to make publications and their supporting data resulting from federally funded ~~research publicly accessible without an embargo on their free and public release~~;
2. Establish transparent procedures that ensure scientific and research integrity is maintained in public access policies; and,
3. Coordinate with OSTP to ensure equitable delivery of federally funded research results and data.

Australia: ARC Open Access Policy

6. Policy Requirements

6.1 Summary

Any Research Output arising from ARC Funded Research must be made Openly Accessible within a twelve (12) month period from the Publication Date.

In cases where this requirement cannot be met for any reason, including legal or contractual obligations, Final Reports must provide reasons why Research Outputs derived from ARC Funded Research have not been made Openly Accessible within a twelve (12) month period.

In all cases, Research Output Metadata must be made available to the public in an Institutional Repository as soon as possible but no later than three (3) months from the date of Publication. Metadata must include the ARC Project ID, list the ARC as a funding source and contain a DOI or link to the Research Output.

6.2 Requirements for Research Outputs

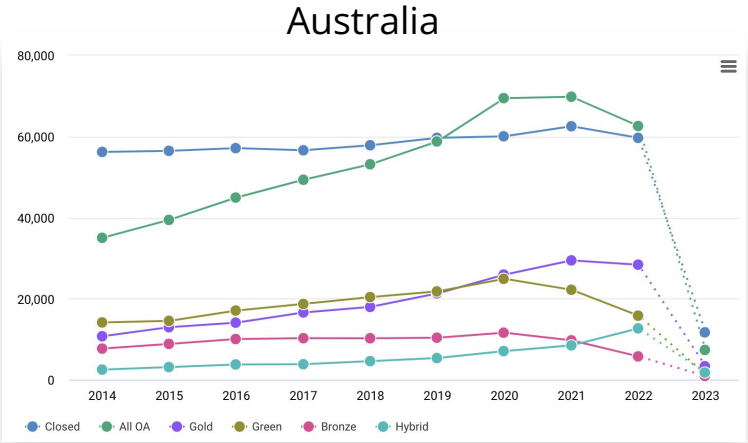
6.2.1 Research Outputs must be made Openly Accessible

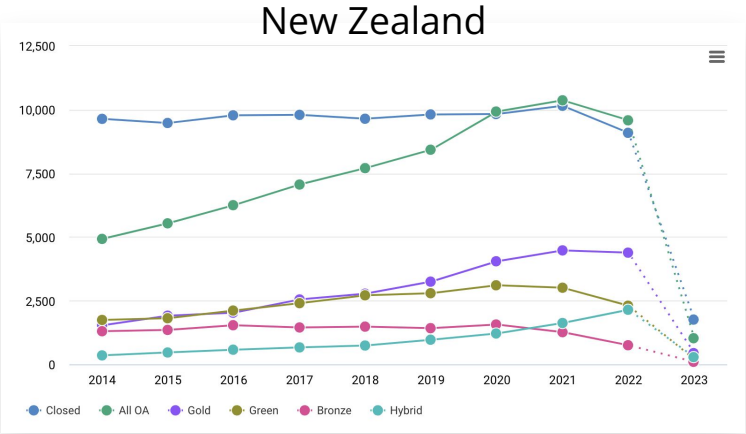
Any Research Output Published in respect of ARC Funded Research must be made Openly Accessible within a twelve (12) month period from the Publication Date and must include acknowledgement of ARC funding and the ARC Project ID.

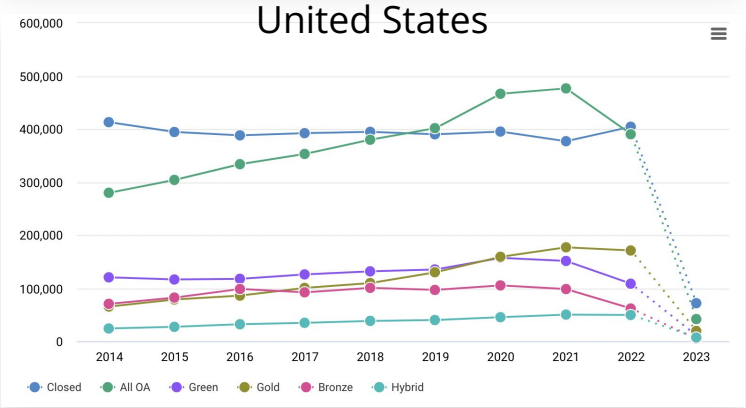
Scheduled for review in mid- 2023

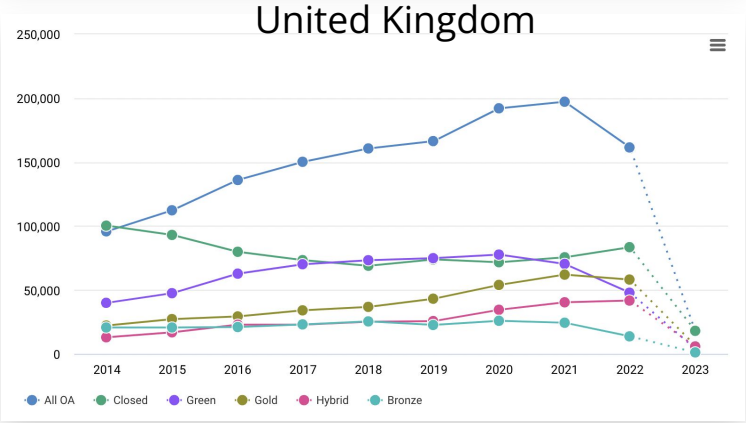
Source: https://www.arc.gov.au/about-arc/program-policies/open-access-policy

Shifting balance of open access around the world









Creating a very complex landscape for researchers…

DIGITAL science

SYMPLECTIC Elements | Beth Breeze | Kate Byrne

RETURN TO THE PREVIOUS PAGE

Deposit scholarly & creative work: Making the tea or making it to the top? How gender stereotypes impact women fundraisers' careers

You are about to deposit this journal article to **Figshare for Institutions**

Deposit advice

Institutional advice | SHERPA RoMEO advice

Voluntary Sector Review: an international journal of third sector research, policy and practice

Submitted | Accepted | Published

Multiple policies were found for this version:

Option 1

Locations	Author's Homepage Funder Designated Location Non-Commercial Institutional Repository Non-Commercial Subject Repository
Embargo:	12 months
Conditions:	Must link to publisher version Publisher copyright and source must be acknowledged with citation Must be clearly identified as the author's post-acceptance version and state that it is not to be cited

Option 2

Prerequisite Funders:	Academy of FinlandAgence Nationale de la RechercheAligning Science Across Parkinson'sArts and Humanities Research CouncilAustrian Science FundBill & Melinda Gates FoundationBiotechnology and Biological Sciences Research CouncilEconomic and Social Research CouncilEngineering and Physical Sciences Research CouncilEuropean Commission (Horizon 2020)Forskningsrådet för hälsa, arbetsliv och välfärdFonds National de la Recherche LuxembourgHigher Council for Science and TechnologyHoward Hughes Medical InstituteInnovate UKMedical Research CouncilNarodowe Centrum NaukiNatural Environment Research CouncilNederlandse Organisatie voor Wetenschappelijk OnderzoekResearch Council of NorwayRijksbankers JubileumfondSchweizerische Akademie der Geistes- und SozialwissenschaftenScience Foundation IrelandScience and Technology Facilities CouncilSlovenian Research AgencyTempleton World Charity FoundationUK Research and InnovationVinnovaWorld Health OrganizationWellcome Trust

1. Prepare deposit (step 1 of 3)

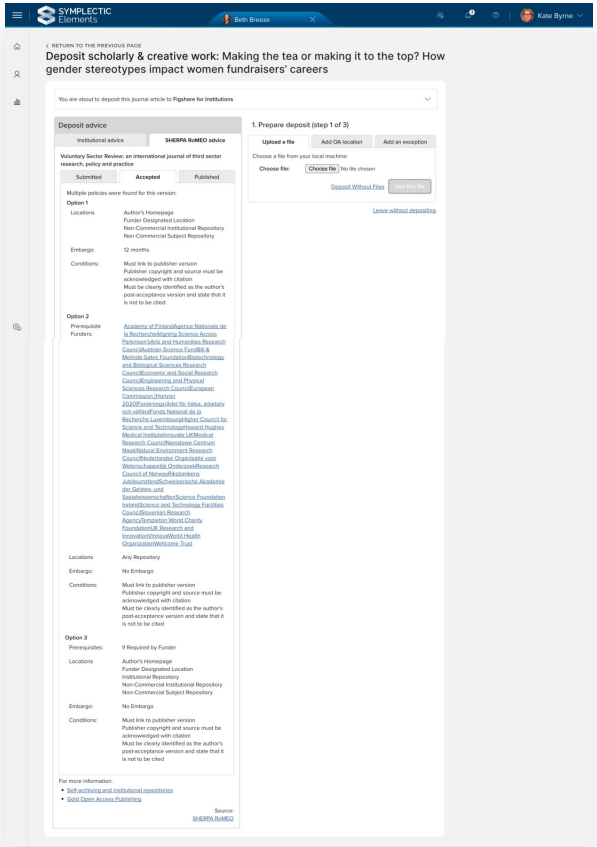
Upload a file | Add OA location | Add an exception

Choose a file from your local machine:

Choose file: Choose file No file chosen

Deposit Without Files | Use this file

Leave without depositing



Implementing Open Access Mandates

Waipapa Taumata Rau

The University of Auckland

Rachel Chidlow, Research Services
Te Tumu Herenga | Libraries and Learning Services

Implementing Open Access Mandates

Waipapa Taumata Rau
The University of Auckland

Rachel Chidlow
Research Services
Te Tumu Herenga | Libraries and Learning Services

February 2023

DOI https://doi.org/10.17608/k6.auckland.22179023

@digitalsci
@RChidsNZ
@AucklandUni
#ResearchServicesLLS

OA Policy background

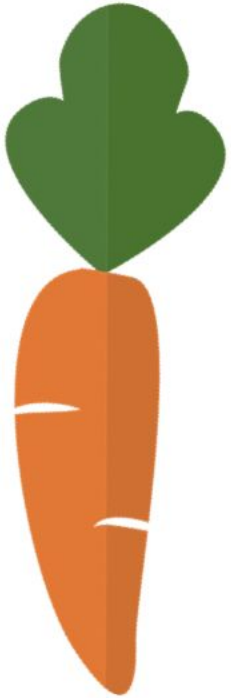
June 2022 – University of Auckland (UoA) OA Policy published

- Replaced very old guidelines
- Mandates deposit into Institutional Repository

Nov 2022 - Ministry of Business, Innovation and Employment (MBIE) Open Research Policy published

- First NZ Govt funder to release a policy that requires publications arising from research funded by MBIE to be made available with Open Access.
- Honours publisher embargoes of up to 12 months

Policy Implementation



or

Image source: Carrot https://pixabay.com/images/id-1751148/, Stick https://pixabay.com/images/id-308013/

How?

Photo by Dan Cristian Păduret on Unsplash

Infrastructure

Waka Huia. (1965): Anthropology Photographic Archive [ANTHPD]. Web. https://catalogue.library.auckland.ac.nz/permalink/f/t37c0t/uoa_digitool583629
NZ Ethnology Wakahuia, Digitool: PID583629, Anthropology Photographic Archive, Department of Anthropology, University of Auckland, 1965-1970?

R&P Agreements

Questions

Rachel Chidlow
r.chidlow@auckland.ac.nz

Poutaki Ratonga Rangahau | Research Services Manager
Ngā Ratonga Manaaki Rangahau o Te Tumu Herenga, Waipapa Taumata Rau
Research Services, Libraries and Learning Services, The University of Auckland
https://profiles.auckland.ac.nz/r-chidlow

DOI https://doi.org/10.17608/k6.auckland.22179023

@digitalsci
@RChidsNZ
@AucklandUni
#ResearchServicesLLS

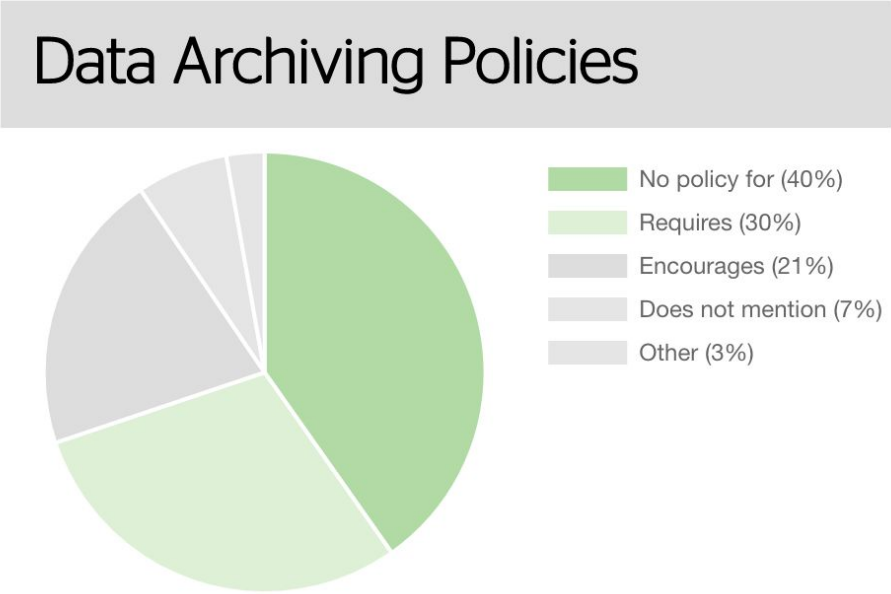
What about data?

How many funders mandate data sharing?

Only 30% of funders worldwide require data archiving (sharing)

Progress towards open data becoming the standard globally has kept pace with funder mandates

Data mandates are important but **present infrastructure challenges for all stakeholders in the research lifecycle** for when they're implemented



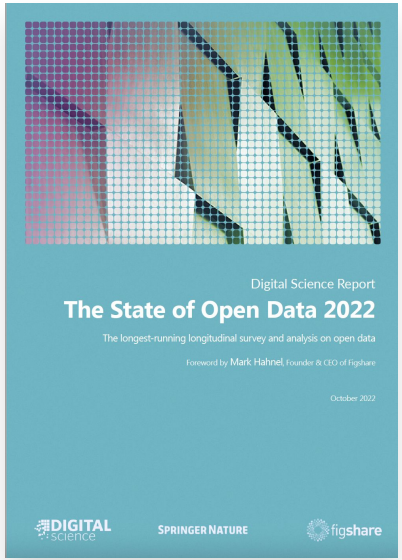
https://v2.sherpa.ac.uk/view/funder_visualisations/1.html

How are faculty feeling about it all?

Drawing lessons from the State of Open Data Report 2022

Key message: The work of compliance is wearing on researchers

- 88% of researchers think OA articles should be common practice and 79% think research data should be openly available
- Researcher support for a national data sharing policy has decreased: 78% in 2019 → 68% in 2022.
- Lack of time is the main reason respondents did not adhere to their data management plan (35% of respondents)
  - Finding time to curate data is what respondents need the most help with (52%)



Source: The State of Open Data Report 2022 - https://doi.org/10.6084/m9.figshare.21276984.v5

When funders move from ‘recommended’ to ‘required’

Benjamin Saunders
@BenSaunders

The more I learn about this grant data management plan - with assumed/suddenly needed expensive and admin heavy infrastructure to support it - whew not at all thought through by NIH

6:17 AM · Feb 24, 2023 · **5,029** Views

Rachel Miller
@rem7101

Replying to @achamess @psalmotoxin and @AllesLab

Thanks - trying to think ahead for the NIH data management and sharing plan and HEAL but also to support FAIR sharing in general so at least processed underlying data but eventually raw data/videos

12:08 PM · Feb 5, 2023 · **117** Views

John Gunn
@DrGunn43

How are people meeting the NIH open access data repository requirements? Any favorite repositories?

7:54 AM · Feb 3, 2023 · **1,078** Views

Tomas Gonzalez-Fernandez
@TomasGF90

For everyone out there struggling with the new NIH Data Management and Sharing plan I found DMPTool which is making my life definitely easier!
Also, any suggestions for widely used data repositories in the biomedical engineering/tissue engineering/biomaterials field? 📊 💻

9:39 AM · Jan 31, 2023 · **2,877** Views

How do researchers choose?

Tomas Gonzalez-Fernandez
@TomasGF90

update to my previous tweet: NIH supported generalist repositories can be found in this link!
sharing.nih.gov/data-managemen...
I think I will go for Figshare as it is the one required by Springer and Nature for publications but Dryad looks like a good option too, both offer DOI linking.

> **Tomas Gonzalez-Fernandez** @TomasGF90 · Jan 31
> For everyone out there struggling with the new NIH Data Management and Sharing plan I found DMPTool which is making my life definitely easier!
> Also, any suggestions for widely used data repositories in the biomedical engineering/tissue engineering/biomaterials field? 📊 💻

2:24 AM · Feb 1, 2023 · **286** Views

Rachel Miller
@rem7101

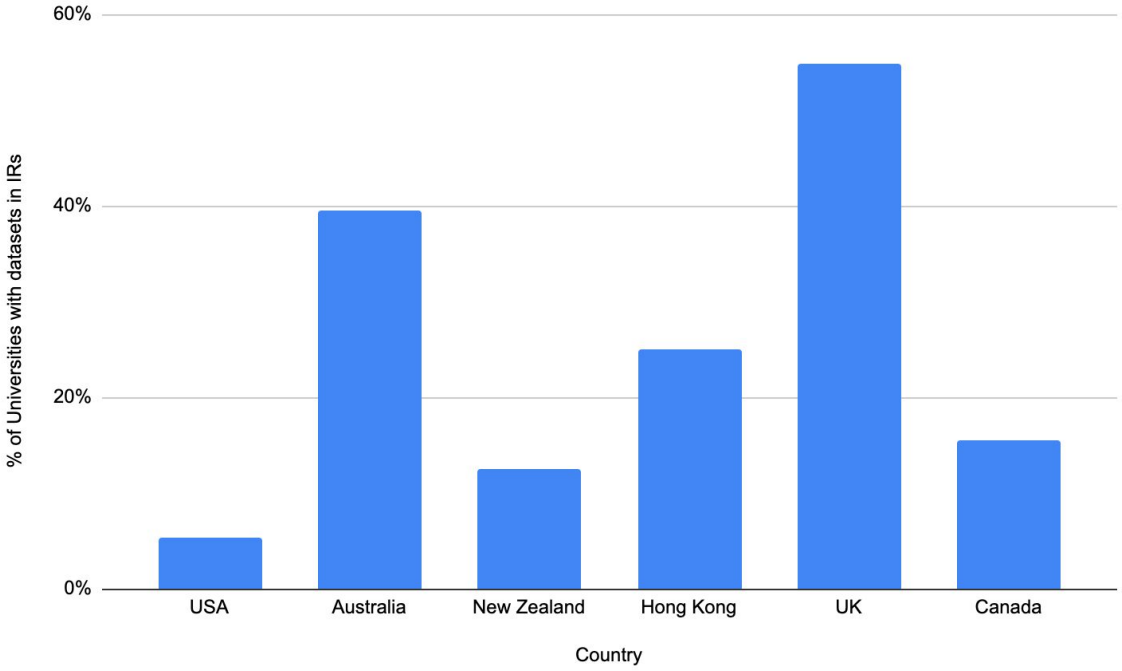
Replying to @AllesLab @achamess and @psalmotoxin

Great suggestions all - figshare is listed as an approved option for HEAL so will likely propose that in combination with local hosting for now:

healdatafair.org
Page | HEAL Data Stewards
Heal

10:00 AM · Feb 6, 2023 · **34** Views

Some countries are more primed than others



Prepared people are ready

PSBrookes
@PSBROOKES

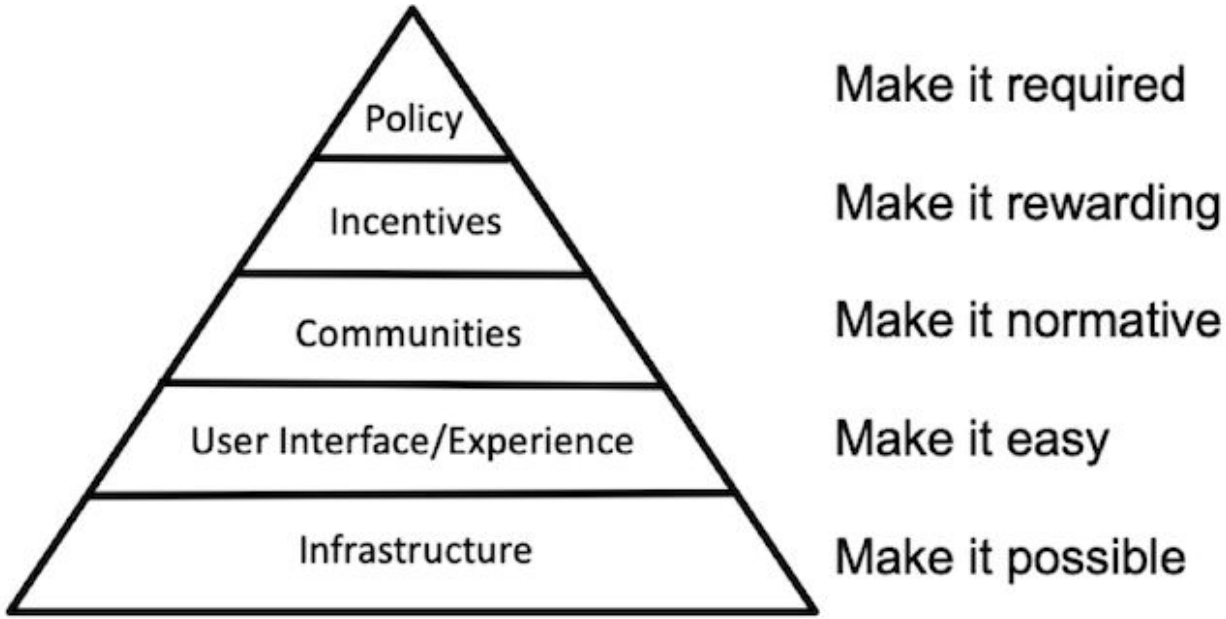
Replying to @BenSaunders

Meh 🤦 it's not a big deal if you've been doing it right all along. Every bit of data from my lab since 2003 is on backed-up dept'-owned server. Full data sets posted on @figshare since 2016. Institutional protocols.io subscription. Big-data sets in repositories, etc.

2:16 PM · Feb 24, 2023 · **223** Views

Responding to this changing landscape

Planning for embedding cultural change



Source: Centre for Open Science: Strategy for Cultural Change

Growing maturity of your OA initiatives

DIGITAL science

	Level 1	Level 2	Level 3	Level 4
Systems	Publications repository with core metadata Separate databases	Separate publications and data repositories Separate RIMs	Separate Publications and Data Repositories integrated with RIMS	Combined publications and data repository integrated with RIMS
Data & Monitoring	Tracking # of deposits to repository Basic reporting on OA publishing	Tracking publication and data deposits Tracking OA publishing using curated data	Monitoring % of works deposited and other OA pathways Introducing grant data	Proactive monitoring of OA publishing and deposits including compliance tracking
Services & Processes	Support for depositing publications Publishing advice	Support for depositing publications & data Publishing advice	Streamlined workflows supporting OA engagement for publications and data	Embedded OA engagement and compliance strategy for publications and data

Explore your existing datasets (demo)

- **Explore available data to understand your own Open Access (OA) landscape**
  - Where are your researchers publishing and what OA pathways are they using to date
  - Exploring the data you have for your repositories
  - Beginning to overlay publishing data with grants data

Review your systems' capabilities

- **Review your system capabilities and identify where you may need configuration changes or new tools:**
  - Is your repository ready for publications, NTROs and data?
  - How are you managing identifiers?
  - Do you have effective monitoring and reporting capabilities?
  - Are your systems researcher friendly?

Metadata	✓ Rich & flexible metadata schemas	✓ DOIs, Handles and other identifiers	✓ Capture func related meta
Workflows	✓ Streamlined deposit workflows	✓ Curation workflows for admins	✓ Collaborati workspace
Scalability	✓ Supports uploads of any file type	✓ Preview wide range of files in browser	✓ Open acces restricted publ
Integrations	✓ Open API for custom integrations	✓ RIMS system integration(s)	✓ ORCID integra

Review your systems' capabilities

Google Scholar

About Search Profiles **Inclusion** Metrics Publishers Libraries Search Scholar

Overview

Content

Crawl

Indexing

Troubleshooting

Questions

Inclusion Guidelines for Webmasters

Content Guidelines

Google Scholar includes scholarly articles from a wide variety of sources in all fields of research, all languages, all countries, and over all time periods. Chances are that your collection of research papers will be a welcome addition to the index. To be considered for inclusion, the content of your website needs to meet the two basic criteria.

1. Scholarly articles

The content hosted on your website must consist primarily of scholarly articles - journal papers, conference papers, technical reports, or their drafts, dissertations, pre-prints, post-prints, or abstracts. Content such as news or magazine articles, book reviews, and editorials is not appropriate for Google Scholar. Documents larger than 5MB, such as books and long dissertations, should be uploaded to Google Book Search; Google Scholar automatically includes scholarly works from Google Book Search.

2. Showing abstracts

Users click through to your website to read your articles. To be included, your website must make either the full text of the articles or their complete author-written abstracts freely available and easy to see when users click on your URLs in Google search results. Your website must not require users (or search robots) to sign in, install special software, accept disclaimers, dismiss popup or interstitial advertisements, click on links or buttons, or scroll down the page before they can read the entire abstract of the paper. Sites that show login pages, error pages, or bare bibliographic data without abstracts will not be considered for inclusion and may be removed from Google Scholar.

Source: https://scholar.google.com/intl/en/scholar/inclusion.html#content

Review your systems' capabilities

DIGITAL science

DCC
Because good research needs good data

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How-to Guides
Case Studies
Policy Analysis
Metadata
Curation Lifecycle Model

Home » Guidance » How-to Guides

Where to keep research dat

Version 1.1 of the DCC checklist for evaluat

By Angus Whyte, Published: 28 December 2015. Up

Please cite as: Whyte, A. (2015). 'Where to keep rese
evaluating data repositories' v.1.1 Edinburgh: Digital C
online: www.dcc.ac.uk/resources/how-guides

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International: creativecommons.org/licenses/by/4.0/
The guide is available to browse below, or you can d

**** This publication is available in print and can be o**

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ARDC > Resource Hub > Guide to Choosing a Data Repository

Guide to Choosing a Data Repository

It can be important to publish your data when you've completed your research. Find out in this guide how to choose a repository to publish your data.

Publishing Your Data: When, Why and Where

When you have completed your research, the publisher, funder or your institution may require you to publish a final version of your data. This can be to verify the findings in your article or to enable reuse by other researchers that want to build on your findings. Reasons why you would want to publish your data include:

1. meeting journal and funder requirements
2. promoting new discoveries and transparency and contributing to scholarly records
3. preserving data for the long term
4. increasing the research impact of your work.

Publishing in a data repository is a common way to achieve this.

Choosing a Suitable Data Repository

Last updated
12 December 2022

Type
Page

Categories
Research Data Management

Research Topic
All

Related Resources

Source: https://www.dcc.ac.uk/guidance/how-guides/where-keep-research-data
https://ardc.edu.au/resource/guide-to-choosing-a-data-repository/

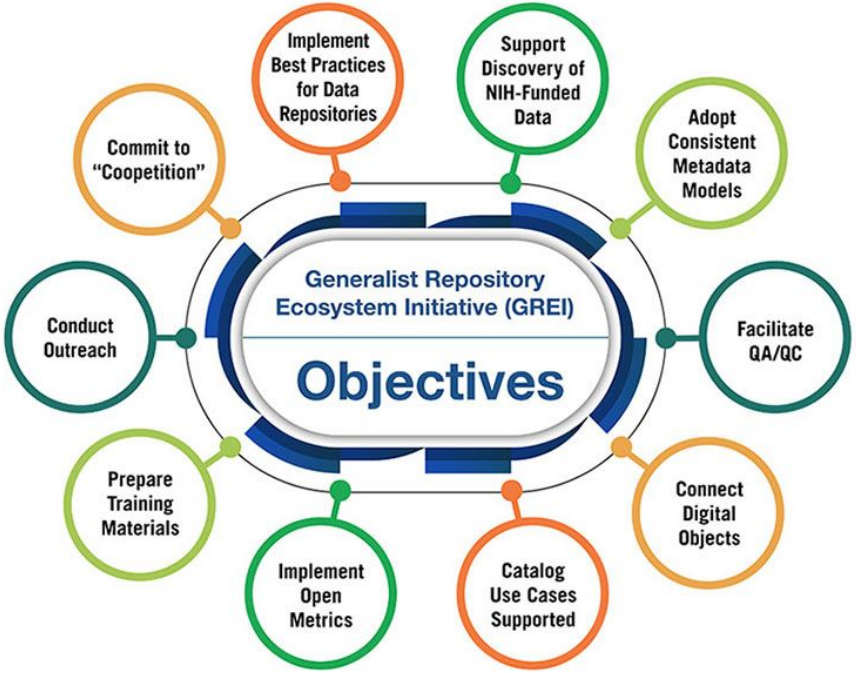
Plan your support structures

- **Consider how you will support your research ecosystem**
  - Identify how you will support and incentivize your researchers
  - Plan communication points between stakeholders (Researchers, Research Office, Library, IT)
  - Review institutional policies and procedures relating to publishing and open access
  - How do systems connect with people?

How is Figshare responding to this changing space?

Repositories need to keep pace with landscape

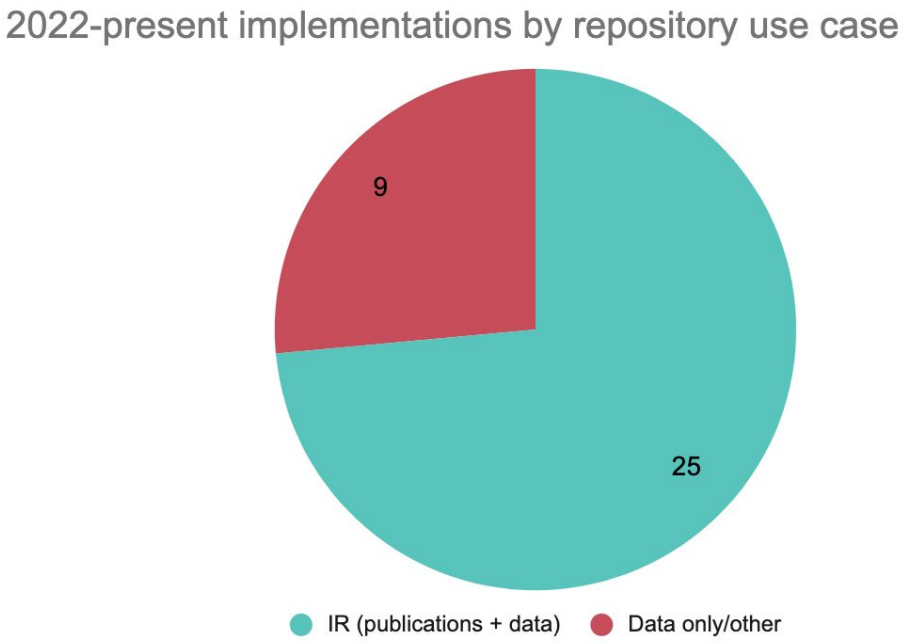
- **10 years in, sharing research data in Figshare is still a core use case**
- Partnering with other data repositories through an NIH grant (GREI) to **implement best practices for data repositories**



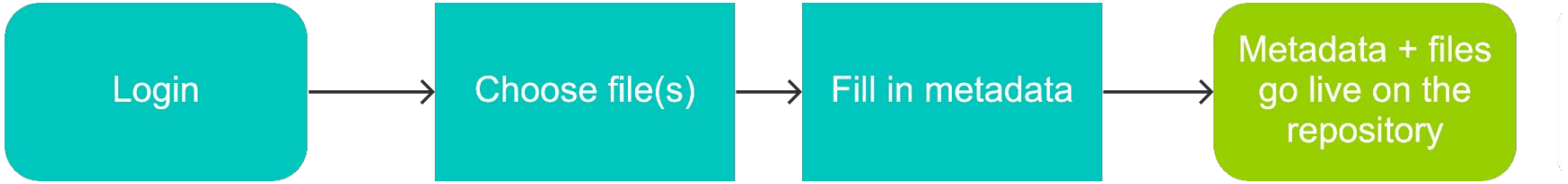
Smaller set of seamless systems

- Trends of clients choosing Figshare now moves towards **publications + data**

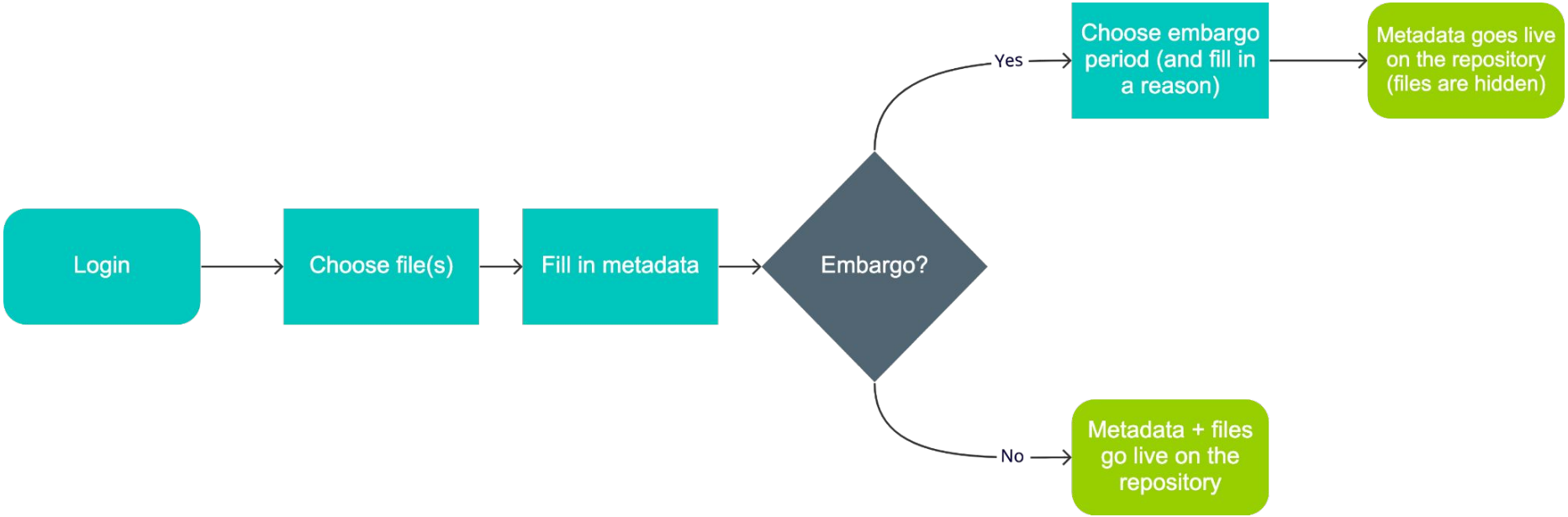
- Figshare is evolving to continue to meet our clients needs



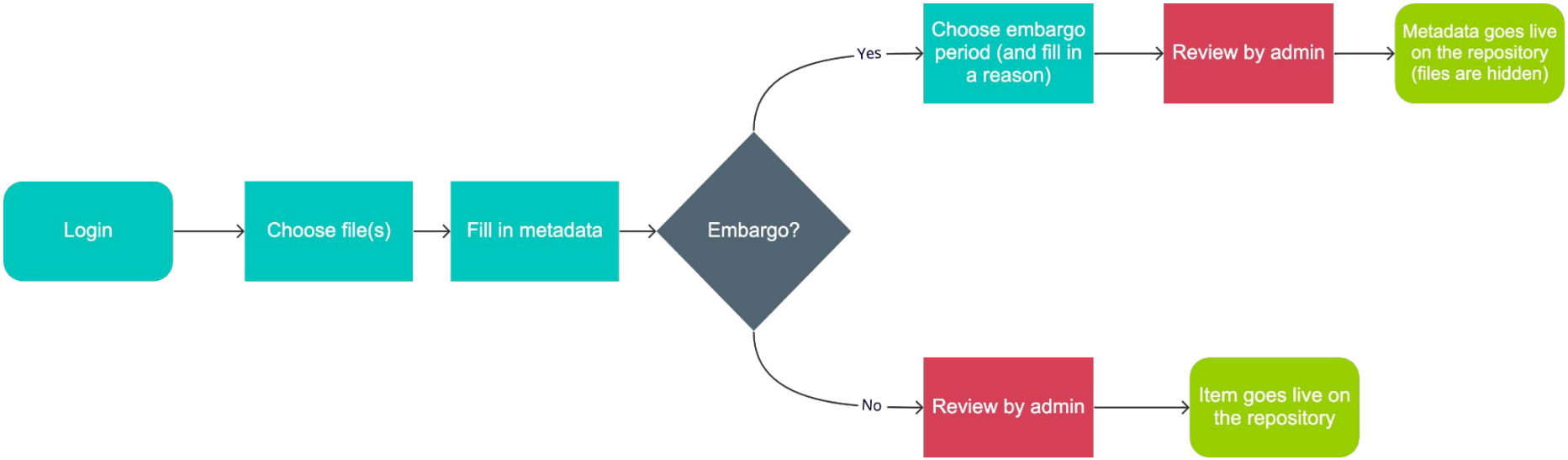
1st iteration



No mediated deposit



Mediated deposit



Integrations - make deposit easy

DIGITAL science

Push to Figshare from tools researchers are already using

Overleaf

binder

<LAB FOLDER>

GitHub

ORCID

SYMPLECTIC Elements

Provide guidance and preservation

SHERPA/RoMEO

arkivum

What's next?

DIGITAL science

Metadata

Enhancements

- 2020 FOR code
- Map custom fields to any datacite/crossref field
- References improvements
- Partial date

Search + discovery

Facets + indexing

- Full text search
- Funder and Institution as a facet on figshare.com
- Custom metadata as facets on Institutional Figshares

Configs in the GUI

More control

- Choose thumbnail image
- Remove download but keep preview
- Maintain folder structure
- Use existing DOI in the interface

What's next?

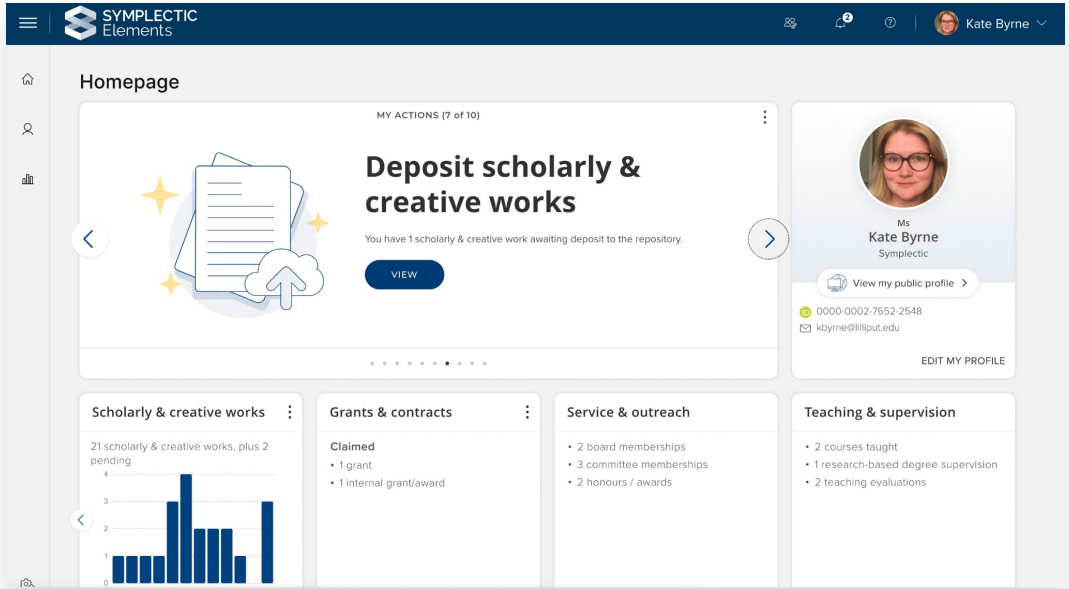
DIGITAL science

Configurations in the interface.. for admins

- Local timezone for embargoes
- **Edit item page = easier edit functionality for admins!**
- Add private files to an item
- Use existing DOI in the interface

What about Elements?

Integrating with institutional repositories



figshare

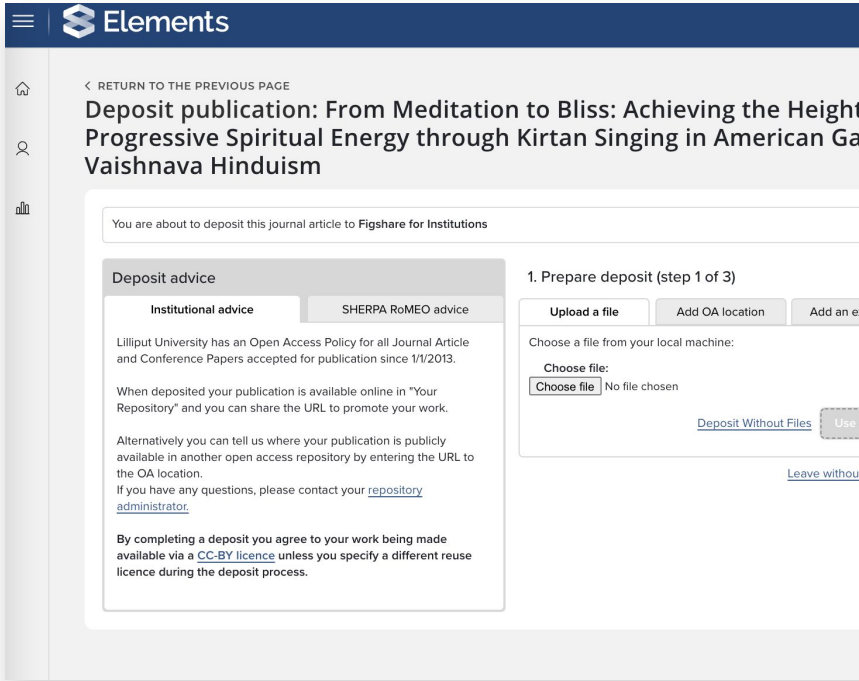
DSPACE

eprints repository software

Hyrax

Why integrate your OA repository with Elements?

- **Encourages researcher engagement and higher rates of deposits** thanks to easy to navigate deposit workflow with no need to visit multiple systems.
- **Reduces data entry** by reusing metadata records already within Elements saving time and effort.
- Supports **actively monitoring OA engagement** with reports and tools to give visibility of the proportion of deposited works.
- **Drive OA engagement**, by actively prompting researchers to deposit their publications.
- Enables organisations to provide **customised deposit advice** at an organisational, publisher or journal level.

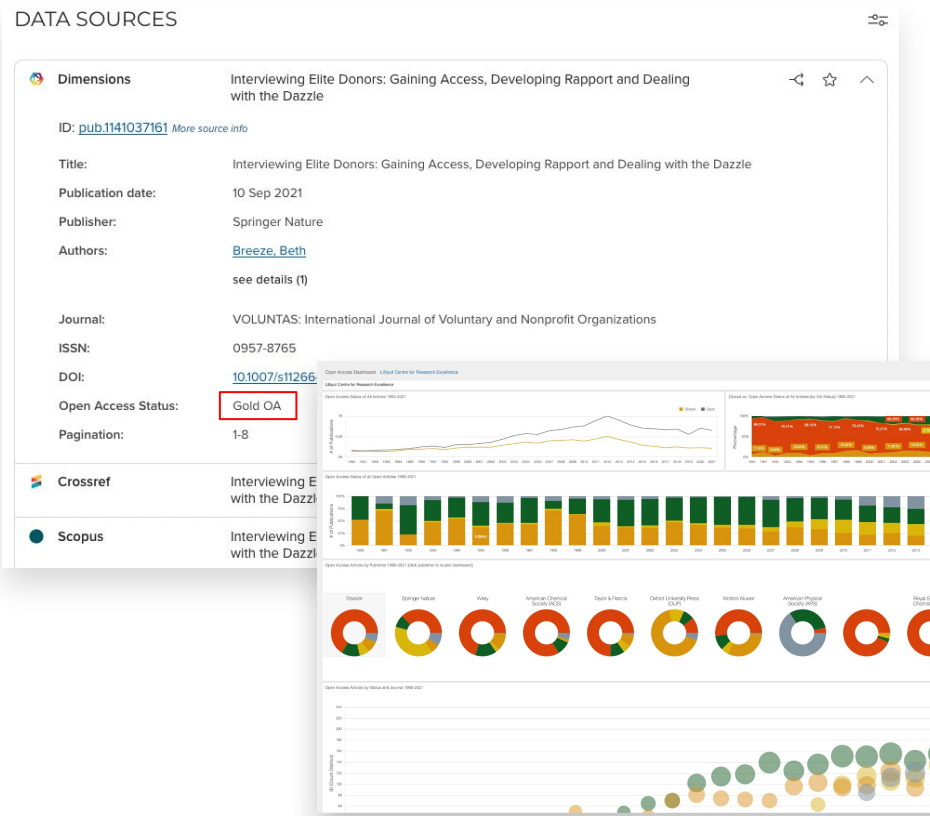


Roadmap: Expanding Open Access Reporting

Growing our range of stock reports and dashboards to help organisations better understand their Open Access strategies.

We have recently updated a number of our existing data source integrations (eg. Dimensions) and update DOAJ data within Elements to begin to capture more metadata about open access.

Combined with metadata from the OA Monitor, this data will help power a new suite of OA Reports and Dashboards* to help you understand your OA publishing patterns.



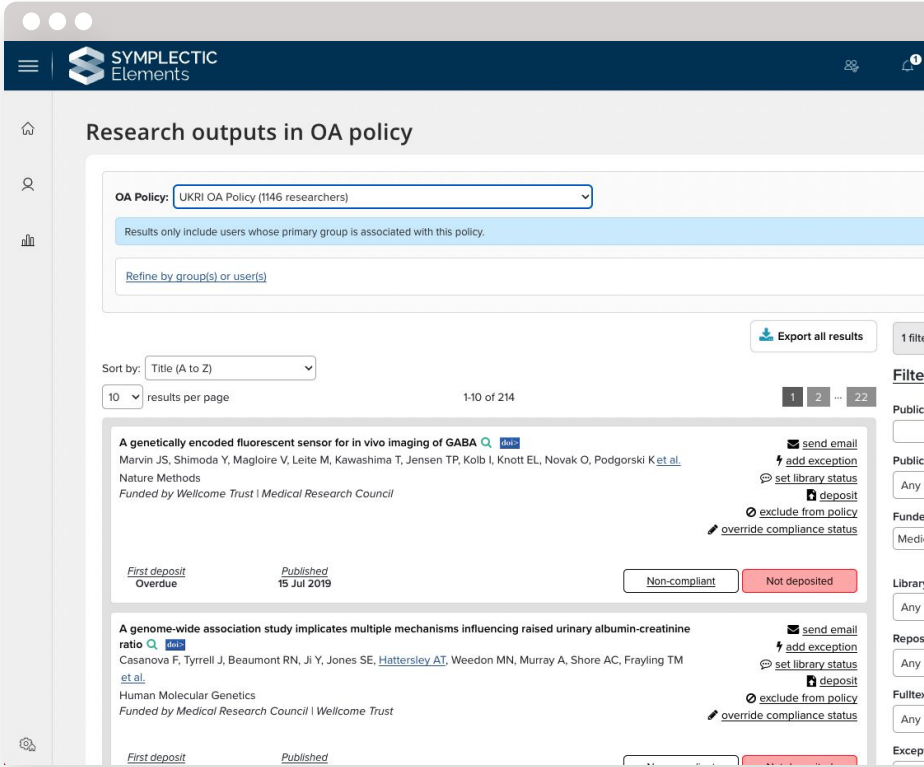
Roadmap: Monitoring Funder Policies

DIGITAL science

Expanding the OA Monitor to help you monitor compliance with key research funders' OA policies.

We plan to offer new configuration options for the OA Monitor to allow organisations to monitor compliance with key funder OA Policies (eg. UKRI, NIH, WHOSTP, NHMRC). This will include the ability to consider 'OA Status' (eg. Gold OA) when calculating compliance and new functionality to support monitoring multiple OA policies.

This expansion of the OA Monitor will allow organisations to comprehensively monitor their open access compliance and engagement activities.



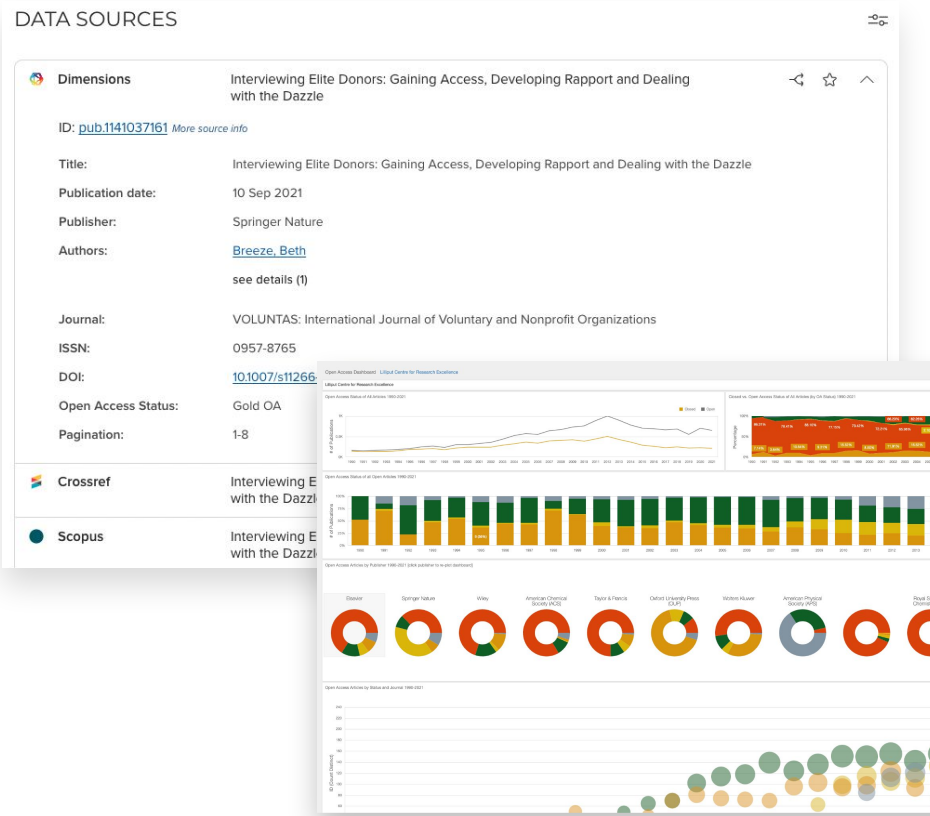
How can you get involved?

Start playing with the available data...

A variety of new Open Access related article-level metadata fields (such as OA Status) are already available for you to explore via the Reporting Database.

We encourage you to start exploring this data and considering what you would like to be able to better understand about your researchers' open access publishing patterns.

You can use this data to build extracts, reports or dashboards within Elements or explore it in a BI tool of your choice.

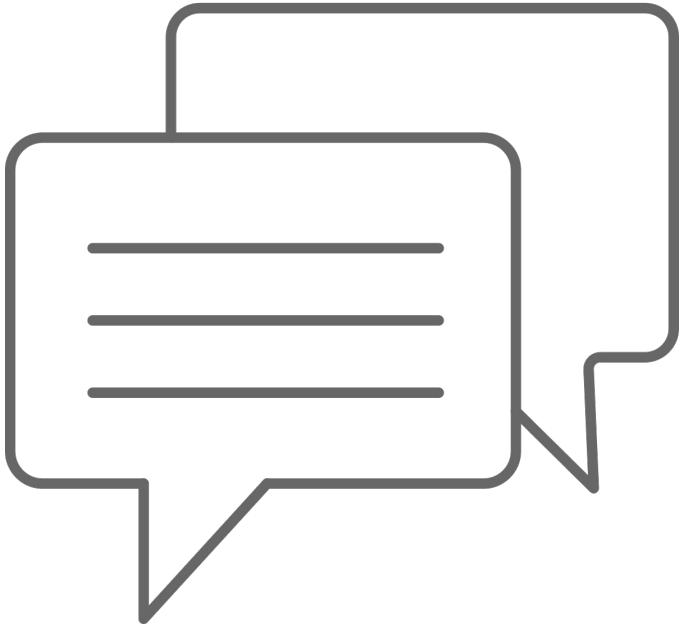


We want your reporting & analytics use cases!

To ensure the reports and dashboards we add to Elements are as relevant as possible, we are eager to hear from you about the kinds of open access related reporting questions you would like to see answered.

Later this year, we will be looking for members of our community to participate in some user research to help us understand the reporting you are doing in this space currently and that you would like to be able to do in the future.

If you are keen to be involved, please let us know!



Questions?

Our agenda for today

09:40 - 10:25	Symplectic & Figshare Team Updates
10:25 - 11:25	The Changing Landscape of Open Access: Evolving your infrastructure to keep in step with changing funder mandates. Including client talk from The University of Auckland
11:25 - 11:45	**Morning Tea**
11:45 - 12:45	Roundtable Session: Discussions to explore key topics & meet colleagues from the region with shared interests
12:45 - 13:45	**Lunch**