

## RCUK Open Access Report – 2015/2016

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## Introduction

This report summarises the expenditure of the RCUK block grant received by the University of Strathclyde for the period of 2015/2016.

The University received a further block grant of £268,873 for 2015/2016, we also carried forward an under-spend of £165,906 from the two years previous block grant allocations.

This year our expenditure, and the number of APC's processed increased, with the amount of £254,708 being spent. This left £187398.50 to bring forward into 2016/2017.

Whilst in previous years the block grant allocations have been announced in March, for a start date of 1<sup>st</sup> of August, this year RCUK will not be announcing grant allocations until mid to late October. RCUK will be analysing the reports from HEI's spend from 2015/2016 and previous years, with an interest in progress towards open access at an institutional level, and the balance of spend supporting the different routes of delivering open access. Additionally RCUK are seeking to understand the level of RCUK block grant and institutions' own investments being used to support open access.

Based on information gathered from all HEI's involved, RCUK will determine the level of funding for both 2016/2017 and for 2017/2018. It should be noted that the overall amount of funding to be distributed is less than in previous years (£22 million, compared to £22.6 million for 2016/17 and £24 million for 2017/18), whilst most institutions including our own have increased expenditure on APCs. A number of additional HEI's may also receive an allocation of this funding. Therefore, whilst it is anticipated that our costs will raise, our allocation may decrease.

Continued presentations and regular updates provided to the Research Directors, working in parallel with increased efficiency and workflows around the processing of APCs has led to an increased confidence in the use of the block grant. Academics trust that we will help them as much as possible to ensure compliance with RCUK, and to ensure that their article is published in as timely a manner as possible. This has contributed to the increase in use of the block grant.

The number of APCs that Strathclyde paid for in the period of 2015/2016 has increased by 73% from the previous year. It is anticipated that this will continue to rise as staff become used to using the block grant for the funding of their research, and see the benefits that this has brought in terms of increased visibility and citations. We are now into the 2<sup>nd</sup> month of the 2016/2017 reporting period, and over 20 APCs have been processed so far.

Green OA deposits that were identified, from Scopus, Web of Science and those deposited in PURE have also increased from the previous year from 95 articles to 199 articles (109% increase). It should be noted that last year's report did not include data from Web of Science. Last year 42 additional articles had an APC paid by other institutions/departments, this has increased to 109 articles this year (160% increase).

The open access webpage has been re-designed from a single page, to a multi-page site, including information on RDM and PURE. This provides clear, user-friendly information on RCUK funding, and other material relating to open access. It is hoped that the library will soon update to the new version of T4, which will enhance the website and give it a more defined Strathclyde look and feel.

## Expenditure

Table 1 provides an overview of the expenditure from the RCUK block grant since its introduction in 2013\*. The majority of finance spent from the RCUK fund has been on APCs.

*Table 1: Overview of expenditure from the RCUK block grant.*

<b>RCUK FUNDING</b>	<b>2013/2014</b>	<b>2014/2015</b>	<b>2015/2016</b>	<b>2016/2017</b>
Block Grant	£ 200,267.00	£ 235,609.00	£ 268,873.00	£ -
Carried Forward from Previous Year	£ -	£ 114,863.14	£ 165,906.17	£ 187,398.50
Credit from Wiley - JISC Offset		£ 4,125.00	£ 3,844.00	
APC Expenses in Total	£ 81,488.54	£ 135,644.16	£ 183,063.57	£ 37,919.74
APCs Not From Pre-Paid Accounts	£ 59,407.35	£ 75,096.50	£ 104,688.17	£ 24,835.72
APC's from Pre Paid Accounts	£ 22,081.19	£ 60,547.66	£ 78,375.40	£ 13,084.02
Additional APC Costs (Colour Pages, extra pages etc)	£ -	£ 3,751.70	£ 3,282.85	£ 760.00
The Royal Society - Membership (for discount)	£ 900.00	£ 1,020.00	£ 850.00	
Staffing	£ -	£ 23,509.11	£ 60,694.92	£ 70,404.96
Printing	£ -	£ 115.00	£ -	
VAT on Pre-Paid Accounts	£ -	£ 20,526.00	£ 3,333.33	£ 3,333.33
JISC Collections Pilot Scheme	£ 3,015.32	£ -	£ -	
Total Spend	£ 85,403.86	£ 184,565.97	£ 251,224.67	£ 112,418.03
<b>Remaining</b>	<b>£ 114,863.14</b>	<b>£ 165,906.17</b>	<b>£ 187,398.50</b>	<b>£ 74,980.47</b>

*Table 2: Summary of RCUK block grant spend by publisher - .*

<b>Publisher</b>	<b>2015/2016 APC Costs</b>	<b>Number of Papers</b>
Elsevier	£ 52,979.89	37
Springer (compact)	£ 16,000.00	8
American Chemical Society	£ 15,639.29	6
IEEE	£ 12,789.51	12
Wiley	£ 12,606.00	13
American Institute of Physics	£ 12,232.24	7
Institute of Physics	£ 10,944.00	8
Nature Publishing Group	£ 9,828.00	9
American Physical Society	£ 6,018.93	4
Taylor and Francis	£ 4,827.60	9
The Royal Society	£ 3,825.00	3
Cambridge University Press	£ 3,534.00	2
Oxford (Press/Journals/Open)	£ 3,300.00	2
Optical Society of America	£ 3,300.00	2
Springer (paid)	£ 2,993.51	2
IGI Global	£ 2,484.00	2
SEG Publications	£ 2,184.00	1
Portland Press	£ 1,800.00	1
Copernicus Publications	£ 1,235.06	2
Hindawi	£ 1,096.05	1

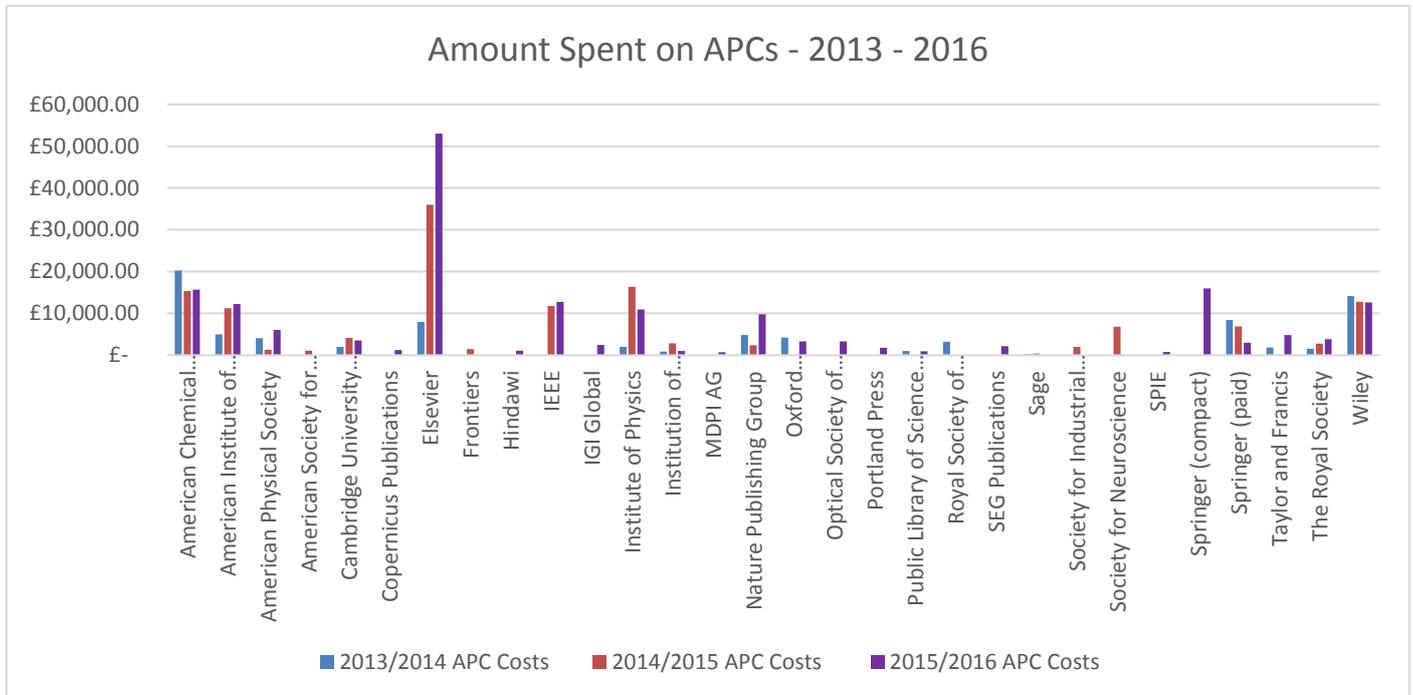
\* Estimation based on existing costings.

\*\* Costings to 20/09/2016 with salary costs forecasted for full reporting year for one grade 7 full time, and one grade 5 full time post.

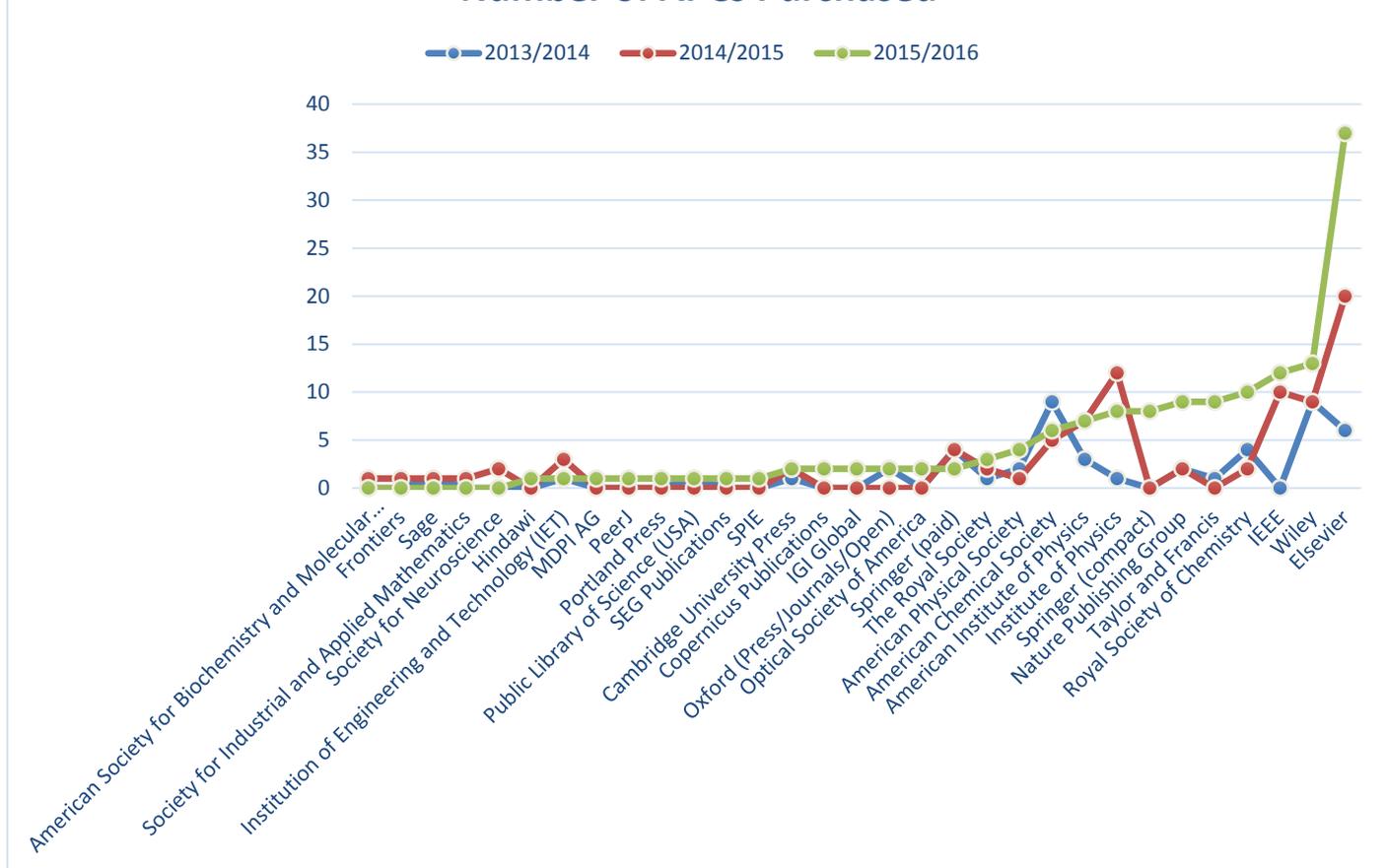
\*\*\* Additional Charges for extra pages were charged by IEEE (£2359.66), OSA (631.38) and Wiley (£291.81)

\*\*\*\* 10 Articles published with Royal Society of Chemistry – All APC's paid for with "Gold for Gold" vouchers – no additional cost

Institution of Engineering and Technology (IET)	£	986.48	1
Public Library of Science (USA)	£	968.52	1
SPIE	£	787.98	1
MDPI AG	£	703.51	1
<b>TOTAL</b>	<b>£</b>	<b>183,063.57</b>	135****

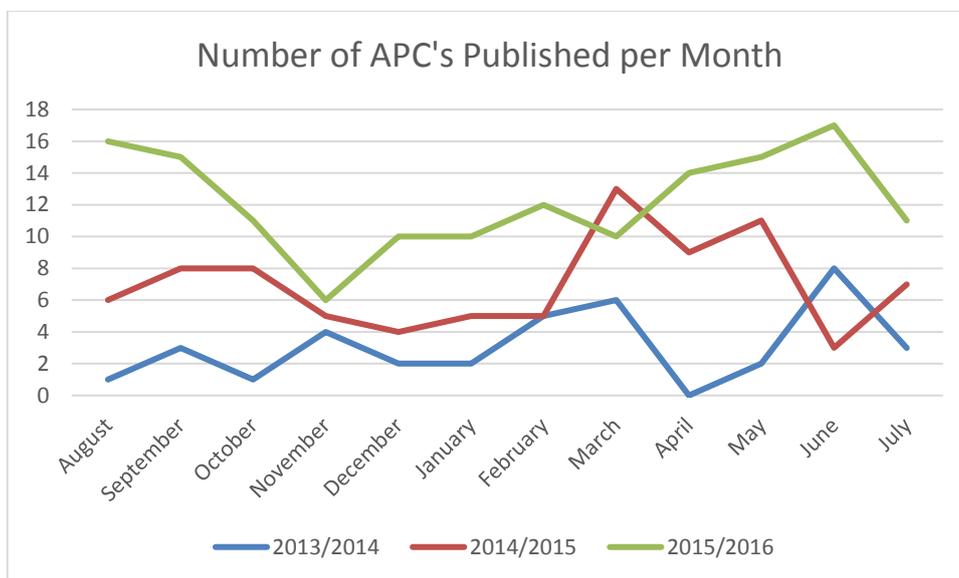


## Number of APCs Purchased



There does not appear to be any particular pattern as to when articles are published that require an article processing charge, which highlights the unpredictability of expected amount of incoming work in relation to article processing charges.

Number of APCs per month	2013/2014	2014/2015	2015/2016
August	1	6	16
September	3	8	15
October	1	8	11
November	4	5	6
December	2	4	10
January	2	5	10
February	5	5	12
March	6	13	10
April	0	9	14
May	2	11	15
June	8	3	17
July	3	7	11
<b>Total</b>	<b>37</b>	<b>84</b>	<b>147</b>



### Policy Compliance

From Scopus, Web of Science and our CRIS, PURE, 455 research outputs were located that were published during the period 1<sup>st</sup> August 2015 to 31<sup>st</sup> July 2016 that were funded by RCUK, this includes those that were published early online during this timeframe.

RCUK is still operating under its “transitional phase” our official report was based on the “transitional phase” with a maximum 12 month embargo period for STEM and 24 month embargo period for AHSS. Statistics were compiled for both the “transitional phase” embargoes, and the shorter embargoes (6 months STEM; 12 months AHSS) which are RCUK’s embargo target in the longer term. Tables 3, 4 and 5 set out the compliance data and the OA routes adopted to achieve compliance.

Using the 12/24 month embargo as per the transitional phase, **90%** of Strathclyde’s research outputs that were funded by RCUK were **compliant**. This is comparable to last year’s figures, where 91% compliance was achieved. Unfortunately we did not have the capacity to achieve a higher compliance rate, but a number of our publications that were funded by RCUK do not have records and/or the accepted manuscript in our repository, and therefore are not available.

With the shorter embargo period of 6 months, compliance drops to 70%. This is largely due to most STEM journals operating embargo periods of 12 months or greater. Nevertheless, this data demonstrates that under stricter compliance conditions Strathclyde would still have exceeded RCUK’s 65% target. It is unlikely that journals will change to shorter embargo periods. There is therefore an inherent difficulty in moving to RCUK’s intended targets. From various Universities that have published their findings we are in line with the likes of Imperial College and St Andrews University.

Whilst there is a growing awareness of the requirements from RCUK in terms of publishing, many do still fail to include the grant number in the acknowledgments section of the paper. When dealing with datasets underlying the data, we are aware from our APC processes that some academics do not provide this until prompted by our processes, this is when the manuscript has already been accepted, and results in a dataset needing to be uploaded quickly to PURE and a DOI minted for inclusion. It is however, harder to monitor compliance in relation to datasets, as one cannot assume

that every paper has a dataset. Hopefully this is something that RCUK will be able to pick up from Research Fish.

A number of articles were identified from Scopus and Web of Science which were not in PURE, or which were in PURE, but were not linked in PURE to the respective research grant. Work has been done to try and overcome the sentiment that “as I am not submitting this to REF it doesn’t need to go in PURE”, but further advocacy and monitoring should be undertaken in this area.

*Table 3: Data on institutional compliance with the RCUK policy on OA (2015/2016).*

	<b>6/12 month</b>	<b>6/12 month %</b>	<b>12/24 month</b>	<b>12/24 month %</b>
Total Non-Compliant	136	30%	46	10%
<b>Total Compliant</b>	<b>319</b>	<b>70%</b>	<b>409</b>	<b>90%</b>

*Table 4: OA route compliance.*

	<b>6/12 month</b>	<b>6/12 month %</b>	<b>12/24 month</b>	<b>12/24 month %</b>
Total Green (Non)	63	32%	46	77%
Total Gold (Non)	0	0%	0%	0%
Total Non-Compliant	136	30%	46	70%

Note: Although there were 256 gold published articles, the University of Strathclyde only funded 147 of these (other articles would likely be joint papers, with other institutes paying the article processing charge).

### Challenges

- Data collated from different sources often contains records that may be duplications that are not easily identifiable due to slight differences in DOI (an extra space, or dot added at the end), or titles – eliminating these records is time consuming
- Data from Scopus can only be searched on by year, the RCUK reporting period is from August to July – so a lot of data that is not reportable is collected and needs to be eliminated from the date to be processed
- Some papers acknowledge the use of Archie, or CMAC – this is therefore identified as being a Strathclyde paper, even if no authors are from Strathclyde – identifying and eliminating these records is time consuming, and increases the numbers of papers that need to be checked
- Publishers failing to apply the correct licence and/or clearly identifying the research output as being Open Access
- Financial procedures for payment of APCs – this is a time consuming task at best, however it may become further convoluted as the block grant is to be monitored under the same conditions as a research grant going forward – this means that quarterly reporting will be required. It may also mean that pre-paid accounts that are currently in use with our most frequently used publishers (Elsevier, IEEE and Wylie) may not be able to be used – this will increase the time required for processing these APCs.
- Arduous reporting requirements of RCUK/JISC – reporting on “green” compliance is time consuming – and will only continue to do so if the number of papers published increases (Over 200 articles were individually checked for compliance).
- Currently unaware of the amount of block grant that we will receive for 2016/2017 and 2017/2018, and also of any new rules and conditions that will come attached to this – dependent

upon this will determine whether changes need to be made in terms of how the RCUK block grant is spent.

### Recommendations

- Purchase institutional access to Research Fish – this should improve reporting and monitoring
- Follow up with non-compliant academics
- Complete a report on “green” research outputs from Scopus early in January
- Do not top-up IEEE pre-paid account until after amount of block grant is provided (IEEE allow compliance with RCUK through the green route – our authors currently have a choice – this may need to be restricted in future – with funding only made available where compliance cannot be met via the green route)
- Once block grant amounts have been announced (October), analyse and submit findings and recommendations for going forward to DRAMS group
- Where possible continue the use of pre-paid accounts – these are easier to administer
- Royal Society of Chemistry has stated that they will not be continuing with their “gold for gold” vouchers for 2017 – therefore costs going forward should include an estimated APC price for these (10 papers this reporting period – potential additional cost £20,000).
- Continue to monitor Springer Compact Articles – many do not initially include acknowledgment to funder
- Wellcome Trust have recently issued changes to requirements of publishers that include benefits to all who process APCs – including the title of the article on the invoice etc (RCUK may follow suit) – provide list of approved publishers to Research Directors and on website when announced (December).
- Make extra resource available to person responsible for reporting on RCUK expenditure in both January and in September
- Carry out quarterly checks on APC spreadsheet for monitoring of Gold compliance to ensure that all is up to date
- Continue use of social media when academic has published article, or article accepted – twitter