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University
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RCUK OPEN ACCESS COMPLIANCE MONITORING REPORT 2014

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Introduction

This report summarises key aspects of the University of Glasgow's activity in support of the RCUK Open Access Policy¹ during the period 1st April 2013 to 31st July 2014.

The University received an open access block grant of £407,728 in 2013/14 and £479,680 in 2014/15. As the reporting period above spans these years we are reporting against the total of £887,408.

The report does not cover expenditure from other sources such as existing grants and local funds within the University. We are aware of significant expenditure on Article Processing Charges (APCs) outwith the RCUK fund.

An informal summary of activity under the previous open access pump-priming grant from the Department for Business, Innovation & Skills is available at: <http://eprints.gla.ac.uk/86332/>

Many of the issues remain the same:

- There is often a long delay between agreeing to pay an APC and the invoice being received and processed to our ledger.
- Publisher policies have to be checked on a case-by-case basis. The format and terminology of these policies varies making it difficult to ascertain the choices available for open access in some cases

The University has an established process for providing open access support for articles at point of acceptance. The library performs as much of the administration as possible. This is very popular with authors.

The University of Glasgow seeks free (green) routes to open access as a first choice where these comply with funder requirements.

Staff at the University are frequently consulted by peers and asked to speak at events as experts on the topic of open access. We represent the community on a number of committees including the Consortia Advancing Standards in Research Administration Information UK group (CASRAI UK²) and as the champion for the Association of Research Managers and Administrators (ARMA³) Open Access Special Interest Group.

We are leading a Jisc Pathfinder Project 'End-to-End – Open Access Process Review and Improvements'^[1] with colleagues from the Universities of Kent, Lancaster, and Southampton and with EPrints services. This project is looking at practical ways of capturing standard metadata requirements for all open access requirements, and at sharing best practice to improve the efficiency by which organisations manage open access. Workshop summaries, consultations, and information are shared widely with the community. We actively promote networking with the various stakeholders regularly working with the other Pathfinder projects, system user groups, and Jisc.

Financial Accountability

The bulk of our expenditure has been on article processing charges.

A – Expenditure by Publisher

PUBLISHER	EXPENDITURE
AEROSPACE TECHNOLOGY JAPAN	288.64
AMERICAN CHEMICAL SOCIETY	20608.87
AMERICAN SOCIETY FOR BIOCHEMISTRY AND MOLECULAR BIOLOGY	2609.93

¹ <http://www.rcuk.ac.uk/research/openaccess/>

² http://www.jisc.ac.uk/whatwedo/programmes/di_researchmanagement/researchinformation/casraipilot.aspx

³ <https://www.arma.ac.uk/>

^[1] <http://e2eoa.org/>

BIOMED CENTRAL	82000
CADMUS	2165.57
CCC	998.3
DARTMOUTH JOURNAL	2670.92
EDP SCIENCES	655.99
ELSEVIER	71288.2
EUROPEAN GEOSCIENCES UNION	134.64
EUROPEAN RESPIRATORY SOCIETY	2400
FRONTIERS MEDIA	805.48
GEOLOGICAL SOCIETY PUBLISHING HOUSE	1500
IEEE	5414.34
IOP	15174.24
JISC	3180.34
MANEY	3600
MDPI	2842.2
NATURE	7278
OPTICAL SOCIETY OF AMERICA	12938.58
ORCID	5950.53
OUP	11885.4
PEERJ	7298.39
PLOS	3636.95
ROYAL SOCIETY	4872
SOCIETY FOR GENERAL MICROBIOLOGY	2100.01
SPRINGER	25249.2
SWETS	10000
THE ENDOCRINE SOCIETY	2706.1
THE GEOLOGICAL SOCIETY OF AMERICA	1745.45
THIEME	3710.12
WALTER DE GRUYTER	1696.28
WILEY	88693.42
WOLTERS KLUWER	412.06
GRAND TOTAL	408510.15

As a guide to number of articles per publisher below is a list of publications that we have allocated for payment against RCUK funds. This is taken from a manually maintained spreadsheet. Some of these may not yet be paid but are included in the commitments figure in section B below.

PUBLISHER	NUMBER OF APC'S
ACS	7
Aerospace Technology Japan	1
AIP Publishing	1
American Chemical Society	5
American Physical Society	1
American Society for Biochemistry and Molecular Biology	2
American Society of Plant Biologists	1
ASBMB	2
ASN	1

Biomed Central	1
BMJ	3
Cambridge University Press	1
Dartmouth Journals	1
De Gruyter	1
EDP Sciences	3
Elsevier	45
Endocrine Society	1
European Geosciences Union	1
European Respiratory Society	1
Frontiers	3
Geological Society	1
Geological Society of America	1
IEEE	5
Institute of Physics	1
IOP	10
Macmillan Publishers Limited	1
Maney Publishing	1
MDPI	3
Meteorological Society	2
National Academy of Sciences	1
Nature Publishing Group	1
Optical Society of America	11
OUP	1
Oxford Journals	1
Oxford University Press	5
PLoS	4
Royal Society of Chemistry	1
Royal Society of London	1
RSC	7
Sage	8
Society for General Microbiology	1
Springer	15
Taylor & Francis	8
The Royal Society	4
Thieme	1
University of Nebraska Press	1
Wiley	52
Grand Total	230

B – Other Expenditure Analysis

Expenditure/Income £	Description
403.71	Consumables – hand-outs, refreshments for briefing sessions
1747.38	Staffing
-14473.45	Costs recovered e.g. against pre-payments made from RCUK fund where funder on paper was not RCUK
3634.83	Adjustments still to be finalised

-8687.53

Category	£
Sub-total paid to publishers	408,510.15
Sub-total other expenditure/income	-8687.53
Total Net Spend	399,822.62
Block grant	887,408.00
Balance of block grant left Finance System (for use to 31/03/15)	487,585.38
Estimated commitments to 31/07/14	90,100.00
Estimated realistic balance of block grant left	397,485.38

At 31st July 2014 we had 44% of the total budget allocated for 2 years left with 33% of the budget period to run. We expect to spend all of the funds as:

- The process is becoming more established and awareness of requirements is growing.
- There was a slow start to spend on the RCUK allocation. Various pre-payments were in place before the 1st April 2013 and have used some of these first before using the RCUK funds.
- There are a number of applications pending decision on open access.
- VAT for some cases included in the totals has not yet come through on our ledgers.

There may also be some further recoveries to the RCUK fund to be made.

Policy Compliance

We have identified 362 papers funded by one or more RCUK awards in our institutional repository. Of these papers:

Gold	232
Green	50
Non-compliant	80
Grand Total	362

Publications were selected based on date added to the repository 1st of April 2013 to 31st July 2014 inclusive and filtered for peer-reviewed papers published during 2013-14.

We do not currently capture full DD/MM/YY data for publication date so it is possible that the dataset above includes a few publications that were published early in 2013 before the RCUK policy started.

Publications by funder attribution can be seen at: <http://eprints.gla.ac.uk/view/funder/>

The items categorised as non-compliant may include:

- Outputs where open access was not addressed at time of acceptance
- Outputs where the publisher does not offer suitable open access options
- Outputs which are compliant but for which we don't yet have details of open access status.

We identified 29 papers presented at conferences and were funded by RCUK. Of these 2 have been identified as Green, they do not however have ISSNs. Only 1 paper of the 29 has an ISSN and it is not compliant with RCUK requirements.

Publication-Level Compliance Data

A listing of publication level compliance data taken from our institutional repository is available at <http://eprints.gla.ac.uk/96892>

Accuracy

Actual transactions from the Finance System were analysed and some adjustments made. This included some recoveries and adjustments to be made for further recoveries yet to be made. Typically these relate to cases where we have lodged funds with a publisher as a pre-payment to secure discounts. As all University of Glasgow cases are then charged to the pre-payment for a publisher we refund the RCUK account periodically e.g. from the Wellcome Trust account if papers relate to Wellcome Trust awards.

Internal budget checks have been done throughout the budget period by reconciling commitments and actual spend manually in a spreadsheet.

The compliance statistics have come from our repository and are not a direct match to the transactions summarised in the financial accountability section. We do not currently hold comprehensive records of the open access status in the same place as the financial transactions. There is also some difficulty with matching transactions to publications. There is not always a one-to-one relationship and therefore no unique identifier to link the transactions to the publication. In addition many of the open access fees have been paid from sources other than the block grant for which we are providing the financial aspects of this report.

The list of open access compliance includes all publications that we know of where these are linked to one or more RCUK award.

We have only been able to provide compliance information for those articles linked to RCUK awards on our repository. There may be other articles that relate to RCUK funding but the article is not on our repository or the funding has not been identified on the repository.

We have reported on items published during 2013 and 2014 (and added to our repository from the 1st of April 2013). We do not currently hold the precise date of publication therefore the compliance report may contain some items published prior to the start of the policy on 1st April 2013.

Please do contact us if further explanation of our approach to reporting is required.

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