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RCUK POLICY ON OPEN ACCESS

Compliance data report to Research Councils UK for
the period 1 April 2015 to 31st July 2016 from
Swansea University

Rauter C.



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Swansea University RCUK Block Grant Data Collection

April 2015 - July 2016

1 Financial Accountability

Swansea University is currently in receipt of a medium sized Research Councils UK (RCUK) block grant for facilitating open access through the payment of article processing charges (APCs). The grant for the period April 2015- July 2016 amounted to £142,059. Details of how this grant has been spent are below. The gold open access fund is administered by the Library Research Support team, Information Services & Systems (ISS).

2 Policy Compliance

Swansea University authors continue to access RCUK APC funding through an online application form. The increased use of the gold fund over the past year can be attributed to peer-to-peer advocacy and the commitment provided by library staff to guide researchers through the publication process. Feedback from users of the RCUK APC fund is very positive and the grant is highly regarded as a way to support open access. However, this sentiment must be countered with the argument that the amount of APC money paid to the large traditional publishers for APCs in hybrid journals remains very high. Unless the sector can persuade the large companies to offer better offsetting deals, or reduce the fees to publish open access articles in hybrid journals, then compliance with the policy is in danger of becoming unsustainable.

For the first time the library has used a small amount of RCUK funds to supplement the staffing of the team supporting open access. We anticipate that this will help to improve compliance by removing a variety of barriers and providing more accurate data.

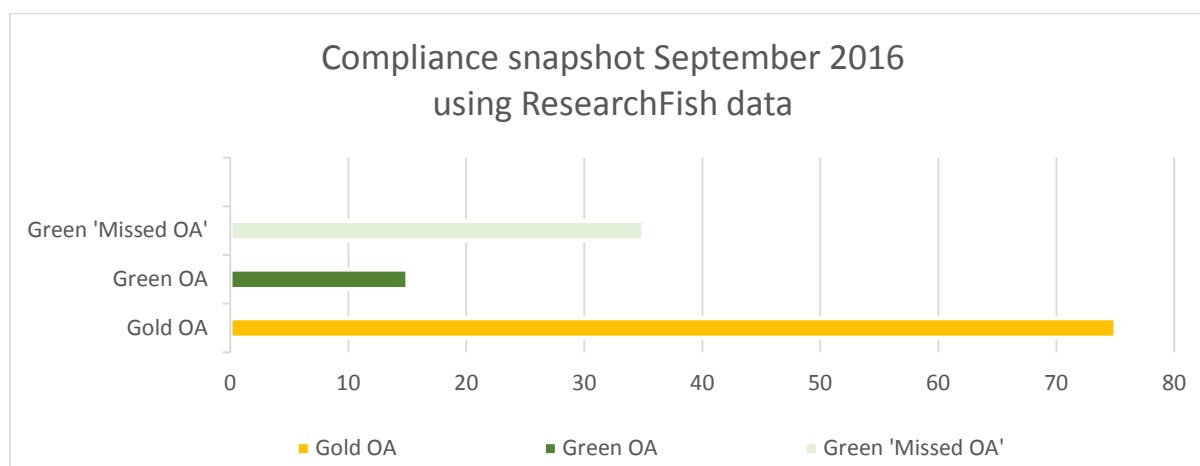
2.1 Accuracy

Both the university and the Library Research Support team will continue to invest in systems and processes to improve data collection and reporting mechanisms. Gathering accurate data on compliance continues to be a challenge and considerable time is required to manually cross-check external databases and internal publication reports to identify RCUK funded papers. This year we took out an enhanced subscription to ResearchFish in an attempt to gather improved data; however this has been of limited value due to missing and variable information making accurate data mining and data analysis problematic. Funder acknowledgment statements were not found to be wholly reliable.

The compliance data required covered the period for the reporting year **1 August 2015 to 31 July 2016**. The ResearchFish sample size obtained for the analysis was 603 records, most of which appear to have been added to the database in March 2016 and updated in August. The data was de-duplicated to remove research papers with multiple listings. The records

were then checked against published versions of the paper for the publication date to ensure that each paper fell within the required reporting period. This resulted in 125 peer reviewed papers. The open access status of the research paper was then checked and the following research council-funded compliance estimates are reported:

Gold Open Access Route	75 papers = 60%
Green Open Access Route	15 papers = 12%
Papers that might have been made green OA in repositories subject to compliant embargo periods but were not (missed)	35 papers = 28%



2.3 Next Steps

The library team is currently redeveloping the functionality and reports of the bespoke Research Information System (RIS) to improve the association of publications with funder awards and open access policy requirements. For example, we are unable to satisfactorily capture data on gold APC research papers paid by College administrators; during 2015-16 the Library has been a pilot institution for the development of the JISC Monitor project, which is working towards providing a solution for the sector for managing and monitoring open access publications and APC payments.

The HEFCE policy for open access in the post-2014 Research Excellence Framework, together with a greater awareness of the Swansea University Open Access policy, have slightly increased green self-archiving of peer-reviewed research papers in RIS and Cronfa, the institutional repository. However, the lack of accurate publication dates in various systems has hampered analysis of green open access papers to meet our funder obligations. Many of the recent green papers are still under embargo but appear to be within the scope of the 12-24 month period depending on discipline. We are unable to report on papers published in non-compliant journals at this time.

It is also worth noting the variation between open access publisher models that still cause difficulties for authors, particularly with some of the American journals that maintain expensive pricing structures and inflexible self-archiving policies. Feedback from some authors this year has indicated growing disenchantment with gold open access due to the

high level of page and colour charges imposed by some hybrid journals in addition to the APC fee.

3 Expenditure breakdown April 1st 2015-July 31st 2016

Detailed article level data on gold APCs available upon request.

Budget underspend carried forward to 2015/16	£57,914.00
RCUK grant allocation for 2015-2016 (Year 3)	£142,059.00
Available funds for period 2015-16	£199,973.00
Expenditure for reporting period April 2015- March 2016 Year 3	£115,066.72
Expenditure for April-July 2016*	£29,423.88
Total	£144,490.60
Current committed expenditure (2.9.16)*	£17,673.00
Budget remaining until next OA grant	£37,810.00
* Reporting period Year 4	Data return: RCUK require expenditure data for year 3, publisher spend data for year 3 and partial publisher spend data for year 4. Projected expenditure for Year 4 must be estimated for the compliance return submitted in September 2016

Expenditure on OA operations

Staff costs included in expenditure total for year 3	£10,000
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Expenditure by Publisher (Gold Route APCs)

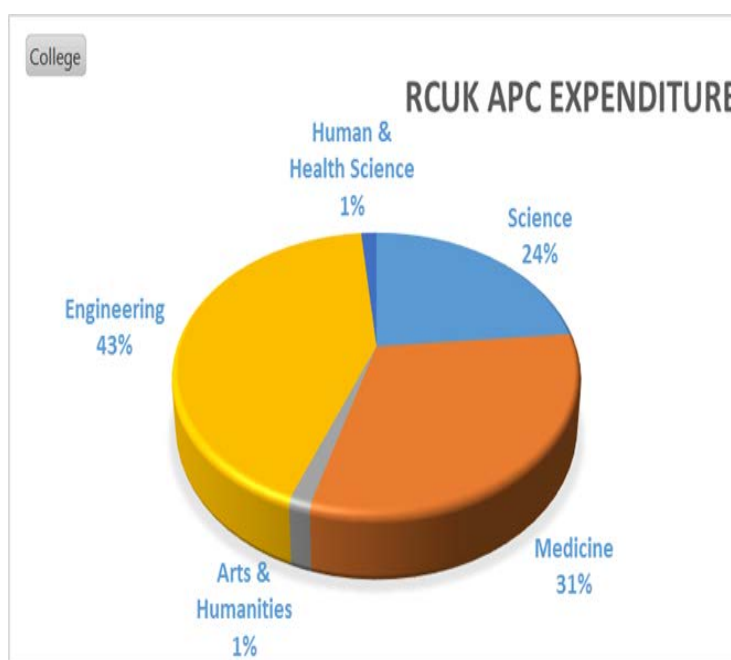
AGU Publications (via Wiley)	£1,875.00
American Association of Immunologists	£2,574.65
American Institute of Physics	£2,235.62
American Physical Society	£1,403.59
BMJ	£1,320.00
BMJ Publishing Group	£6,600.00
C.U.P.	£1,346.95
Cenveo Publisher Services (Cadmus) for the American Society for Microbiology	£2,800.81
Copernicus	£1,171.68
Elsevier	£47,442.91
IEEE	£5,665.97

IOP Publishing	£4,080.00
MDPI	£2,242.14
Nature Publishing Group	£8,208.00
O.U.P.	£7,350.00
PLOS	£6,485.62
Portland Press	£2,100.00
Public Library of Science	£1,174.02
Royal Society of Chemistry	£1,920.00
Society of Exploration Geophysicists (SEG)	£2,182.91
Springer	£3,058.48
Taylor & Francis	£6,676.77
The Royal Society	£6,120.00
Wiley	£8,455.48
Total expenditure	£144,490.60

2015-16 APC Expenditure by College (gold route)

The number of RCUK gold route papers facilitated by the Library for the period is 68. Some of these papers are yet to be published.

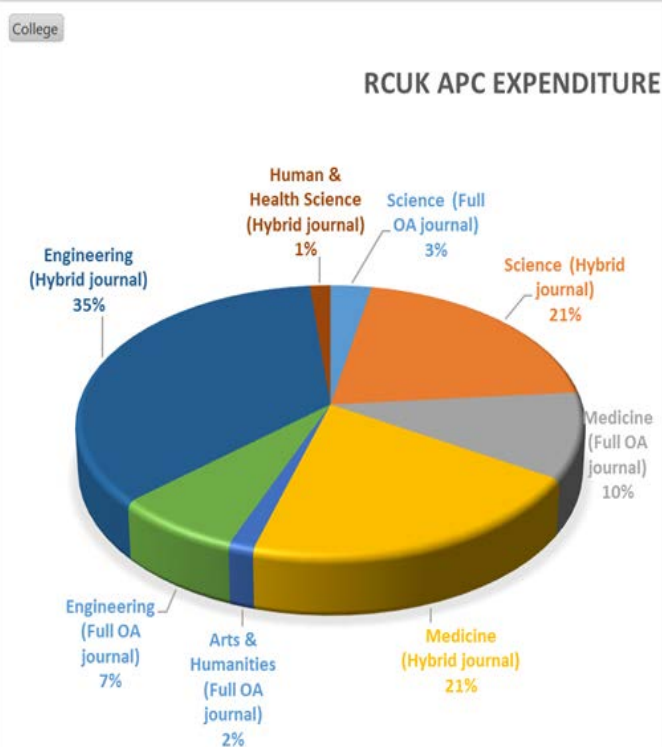
Science	16
Medicine	21
Arts & Humanities	1
Engineering	29
Human & Health Science	1
Rejected requests	9
Total APCs paid	68



Open access or hybrid model journals selected by authors

Swansea University authors have the academic freedom to select the most appropriate journal to support the university research strategy.

Hybrid open access journals typically offer subscription content with the option to pay additional open access fees to the publisher.



3.1 Gold: instances where additional charges have been made

Funder	Publisher	APC	DOI	Additional Charges
BBSRC	American Association of Immunologists	£2,575	10.4049/jimmunol.1501080	£2,245 Colour and page charges
BBSRC	Nature Publishing Group	£3,240	10.1038/mi.2015.131	£2,076 Colour and page charges considered excessive by author
NERC	Wiley	£1,875	10.1002/2014JF003333	£764 "Further excess page charge" disputed. Not clear if this was a valid charge and we were unable to obtain a thorough explanation from publisher.

Caroline Rauter, ISS

08/09/2016