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Data required by RCUK to support Open Access compliance monitoring

University of Bath

Date: 12 September 2014

1. Background

This document provides data required by RCUK to support compliance monitoring on the RCUK Open Access policy. This policy applies to institutions in receipt of a block grant to cover the payment of Article Processing Charges (APCs) and other open access related costs. The information below from the University of Bath is in response to the data collection information at: <http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/ComplianceMonitoring.pdf>

2. Reporting period for compliance monitoring

For Year 1 of this policy, the period is 1 April 2013 – 31 July 2014.

3. Reporting schedule

This data must be submitted to the RCUK by 12 September 2014.

4. Financial compliance

The spreadsheet in *Appendix One* uses the template provided by the RCUK. There is a slight overspend on Year 1, but these are due to prepay accounts with credit to be used within the next year.

5. Policy compliance

At a basic level, RCUK have asked institutions to report the following:

- i. The number of peer-reviewed research papers arising from research council funded research that have been published by researchers within that institution.
University of Bath = 247 (data from Scopus and the University of Bath Pure database)
- ii. Of these research council funded papers, the number that are compliant with the RCUK policy on Open Access by:
 - a. The gold route: **64%**
 - b. The green route: **36%**

RCUK OA policy compliance rate = 150 papers (60% compliance - above the expected 45%)
- iii. The number which have been published in a journal which is not compliant with the RCUK policy on Open Access:
University of Bath = 5 (papers published in Optics Express, published by the Optical Society of America. These are openly available, but are not licenced with a CC-BY or equivalent licence. We have included author – publisher correspondence on this point in our response to the Call for Evidence on OA policy implementation.

6. Accuracy

We have used our Current Research Information System PURE to gather figures for compliance monitoring and have cross referenced these numbers with Scopus data. We still feel this data is incomplete and have found green open access particularly difficult to report confidently. This approach also relies on authors' acknowledging grant information within journal articles and it being indexed correctly.

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Appendix One

RCUK Proposed Template for Data Collection

<http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUKOpenAccessPolicy.pdf>

Section A - 'Expenditure by Publisher'

To include all spend connected with publishing individual articles, i.e. APCs, page charges, colour charges, etc.

Publisher	Total GBP£	# Articles
Elsevier	26459.65	19
Wiley	27479.84	18
RSC	17400.00	10
BMJ	12630.00	6
PLoS	7494.75	6
ACS	5329.00	6
Optical Society of America	4096.41	5
Springer	8615.90	4
Oxford University Press	5640.00	3
BMC	3480.00	2
IEEE	2301.44	2
MDPI	1842.87	2
American Society for Nutrition / Dartmouth	4534.84	1
Taylor & Francis/Informa	2145.60	1
Nature	1890.00	1
Royal Society	1680.00	1
PNAS / National Academy Science	1629.63	1
Mineralogical Society	1600.00	1
American Institute of Physics/CCC	1593.91	1
ACM	1305.26	1
Cold Spring Harbor Lab Press	1225.60	1
Hindawi	895.86	1
Life Science Global	334.38	1
Sage	240.00	1
PIER	118.73	1
<i>Grand Total</i>	<i>£141,963.67</i>	<i>96</i>

Section B - 'Other Expenditure'

Other Expenditure Analysis

Activity	Total GBP£
Other Expenditure to achieve OA	
PeerJ Prepay (remaining)	3580.16
BMJ Prepay (remaining)	8040.00

Sub-Total paid to publishers:	£141,963.67
Sub-Total of other expenditure:	£11,620.16
Total expenditure:	£153,583.83
Univ Bath RCUK Block Grant Year 1:	£142,641.00
<u>Budget spend (inc. prepay commitments)</u>	<u>-£10,942.83</u>