



**Open Access compliance and  
financial report to RCUK  
2014-15**

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Nick Woolley, Head of Library Services, University Library

Ellen Cole, Scholarly Publications Librarian, University Library

[openaccess@northumbria.ac.uk](mailto:openaccess@northumbria.ac.uk)

## 1. Introduction

1.1 This report provides information in support of Northumbria University's compliance with the second year of RCUK's Open Access policy<sup>1</sup> within the context of the University's wider work to support Open Access (OA) as part of its mission to create and apply knowledge for the benefit of individuals and the economy through ground-breaking research<sup>2</sup>.

### 1.2 Underlying information

The underlying mandatory information is provided as a separate Excel file 'Northumbria University RCUK OA year 2.xlsx' using the JISC common reporting template as required by RCUK<sup>3</sup>.

RCUK guidance on second year reporting strongly encourages inclusion of article-level information, and in addition to including this in the 'JISC APC template v2' tab, we have added an 'Other publications' tab to provide the detail of all RCUK funded research papers with Northumbria authors.

### 1.2 Policy compliance

For the year 2 policy census period of 1<sup>st</sup> August 2014 – 31<sup>st</sup> July 2015, Northumbria University has achieved **83%** compliance with the RCUK OA policy. This is based on RCUK's preferred ideal of 'actual publications data' and exceeds RCUK's minimum year 2 target of 53%.

Detailed information and data regarding policy compliance is provided in the accompanying Excel file and presented in section 5.2 below.

### 1.3 Financial accountability

For the census period of 1<sup>st</sup> August 2014 – 31<sup>st</sup> July 2015, Northumbria University has spent **£17,961** on APCs for RCUK funded publications. This exceeds the 2014/15 RCUK block grant of **£9,451** and leaves a net balance for year 1 and 2 of - **£1,349**.

Detailed information and data regarding financial accountability is provided in the accompanying Excel file and presented in section 5.3 below.

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

<sup>2</sup> <https://www.northumbria.ac.uk/research>

<sup>3</sup> <http://www.rcuk.ac.uk/research/openaccess/oareporting2015/>

## 2. Open Access at Northumbria University

**2.1** Northumbria University has an established commitment to supporting OA. In April 2014, the University Executive endorsed a new OA policy (see Annex 1) which supports a balanced approach to OA via both Green and Gold, including establishment of a central institutional publication fund from 2013/14. The University's Pro Vice-Chancellor (Research and Innovation), Professor George Marston, has made OA a priority and leads Northumbria's strategy in this area.

**2.2** In addition to local capability and capacity building, the University Library and Research and Business Services are working jointly on national projects to enhance the wider research environment and infrastructure; Northumbria University is the lead partner in one of the JISC OA Pathfinder<sup>4</sup> projects, and recently delivered one of the JISC and ARMA ORCID pilot projects<sup>5</sup>.

Northumbria's JISC OA Pathfinder project has produced several outputs so far including a cost modelling tool, case studies, and a self-service online decision tool<sup>6</sup> to help researchers identify the correct route to make their publications OA.

Northumbria's ORCID project shared best practice on embedding ORCID upstream in key institutional data. The University Library has established ORCID as a secondary identifier for Northumbria authors in the institutional repository, and is also using the EPrints ORCID plugin to assist capture of publications from the ORCID registry. Both developments illustrate how Northumbria has addressed the same issues as recommendation 1.6 of the first independent review of the implementation of the RCUK Policy on OA<sup>7</sup>.

These initiatives and library service developments are enhancing support for researchers at Northumbria, and improving the quality and timeliness of bibliographic and associated OA metadata collection and analysis, thereby better enabling policy compliance.

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<sup>4</sup> <http://oopathfinder.wordpress.com>

<sup>5</sup> <http://orcidnorthumbria.wordpress.com>

<sup>6</sup> <http://library.northumbria.ac.uk/open-access>

<sup>7</sup> <http://www.rcuk.ac.uk/research/openaccess/2014review/>

### **3. Support for Green OA at Northumbria**

**3.1** Northumbria Research Link (NRL)<sup>8</sup>, the University's publication database and institutional repository, is managed by the University Library's Scholarly Publication Team, who support academic staff to record publication details and deposit full text according to University policy and in line with the external policies of all funding organisations and publishers.

**3.2** As of 30<sup>th</sup> September 2015, NRL contained records of 17,356 outputs including full text for 4,230, which have received 807,376 downloads to date.

**3.3** In 2015, the University Library implemented the new RIOXX metadata profile in NRL to support RCUK compliance reporting and in preparation for the next REF. Appropriate RIOXX elements have been populated for journal articles from 2014 onwards, and the resulting enhanced metadata was used as a key part of the methodology to assess OA compliance for this report (see section 5.1).

### **4. Support for Gold OA at Northumbria**

**4.1** Following a successful pilot in 2013/14, the University Library's Scholarly Publications team manage payment of Article Processing Charges (APCs) from Northumbria's institutional publication fund. Northumbria's OA policy (see Annex 1) emphasises the eligibility of all RCUK funded outputs for APC payments, and academic selection for Gold OA beyond compliance with funder policy.

#### **4.2 Credits, discounts and membership schemes**

As part of subscription management, and a commitment to offsetting the total cost of publication, the University Library has enabled the following APC discount and credit schemes as part of support for Gold OA at Northumbria:

- IEEE Open access deposit account
- Royal Society of Chemistry (RSC) 'Gold for Gold'
- JISC NESLi2 Taylor & Francis Journals OA offset agreement 2015-17

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<sup>8</sup> <http://nrl.northumbria.ac.uk>

**4.3** As part of wider support for OA, the University Library also manages a digital OA journal title publishing service<sup>9</sup> using Open Journal Systems (OJS) from the Public Knowledge Project<sup>10</sup>. The service is currently hosting three journal titles with a fourth in production.

## **5. Compliance and financial reporting**

### **5.1 Methodology**

The University Library's methodology to track and report on OA compliance and financial activity is evolving in response to rapidly changing needs of funders, including RCUK. The methodology used for this report is based on collecting and analysing three different sources of research information and metadata:

- Northumbria RCUK grant information, manually matched to Northumbria publications by author name and / or grant number.
- NRL RIOXX OA article-level data for RCUK funded publications with Northumbria authors.
- Data collected using the JISC APC template, which is now used routinely at Northumbria to track article-level details for each publication where the institutional fund is used to enable Gold OA.

The census period was applied on the basis of publication dates.

Northumbria will be implementing a CRIS in 2016 to better integrate research information including funding and publication data.

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<sup>9</sup> <http://journals.northumbria.ac.uk/>

<sup>10</sup> <https://pkp.sfu.ca/ojs>

## 5.2 Policy compliance

For 2014/15 Northumbria researchers authored or co-authored **29** RCUK-funded papers (see table below), **83%** of which are compliant with RCUK's OA policy.

i. The number of peer-reviewed research papers arising from research council funded research that have been published by researchers within that institution.	29
ii. Of these research council funded papers, the number that are compliant with the RCUK policy on Open Access by: a. The gold route b. The green route.	a. 20 b. 4
iii. And the number which have been published in a journal which is not compliant with the RCUK policy on Open Access.	0
Compliance with RCUK OA policy 2014-15	<b>83%</b>

**Table 1 Northumbria RCUK OA policy compliance** 1<sup>st</sup> August 2014 – 31<sup>st</sup> July 2015

Of the thirteen papers Northumbria made Gold OA, nine resulted from RCUK funding where the PI is a Northumbria researcher and four from RCUK funding where the PI is based at another RO (full details are available in the accompanying Excel file). This situation, in which an RO makes APC payments for an output where the PI is based elsewhere, is contrary to the expectations of RCUK, and in these four instances the PI's RO receives significantly higher RCUK block grants than Northumbria. Conversely, for six out of the seven compliant Northumbria co-authored Gold OA papers where Northumbria did not pay an APC, the PI was based at another RO. Given recommendation 5.3 of the first independent review of the implementation of the RCUK Policy on OA<sup>11</sup>, clarity on this issue would be welcomed for Year 3 management and reporting.

The role of RO's in enabling gold could be expressed as an acknowledgement in the version of record, and we recommend that RCUK consider this to assist transparency and safeguard against publishers collecting multiple payments for the same article. Similarly, RIOXX could benefit from the addition of a term to record which organisation enabled Gold, as well as making the existing term 'apc' mandatory.

The main issue behind non-RCUK OA compliance of Northumbria authored papers is availability of appropriate manuscripts and we recommend RCUK encourage publishers to improve submission and review platforms to better support Green OA via RO's.

<sup>11</sup> <http://www.rcuk.ac.uk/research/openaccess/2014review/>

## 5.3 Financial accountability

### 5.3.1 Block grant and publisher costs

The Year 2 RCUK APC grant to Northumbria University was **£9,451**. During the census period 1<sup>st</sup> August 2014 – 31<sup>st</sup> July 2015 **13** papers were made Gold OA. **12** APCs at a total cost of **£17,961** were paid from the University's central publication fund, including the RCUK grant, for RCUK funded outputs (see table below). An additional RCUK-funded paper was made Gold using a Royal Society of Chemistry 'Gold for Gold' voucher.

Expenditure <sup>12</sup>	Credits	Debits	Balance
RCUK APC grant 2013/14	£8,033	-	-
RCUK APC grant 2014/15	£9,451	-	-
Payments to publishers 2013/14	-	£871.92	-
Payments to publishers 2014/15	-	£17,960.76	-
<b>Total</b>	<b>£17,484</b>	<b>£18,832.68</b>	<b>- £1,348.68</b>

**Table 2 Northumbria RCUK block grant 1<sup>st</sup> August 2014 – 31<sup>st</sup> July 2015**

Publisher	Number of APCs	Cost
American Physical Society	1	£1697.9
Elsevier	2	£4384.73
Institution of Engineering and Technology	1	£931.75
Nature Publishing Group	1	£3780
Royal Society of Chemistry	1	'Gold for Gold' voucher
Sage	1	£960
Taylor & Francis	5	£4,305.60
Wiley	1	£1900.78
<b>Total</b>	<b>13</b>	<b>£17,960.76</b>

**Table 3 Northumbria RCUK APC payments to publishers 1<sup>st</sup> August 2014 – 31<sup>st</sup> July 2015**

<sup>12</sup> All expenditure includes reverse-charge VAT

### **5.3.2 Non-publisher costs**

No non-publisher costs have been returned as part of this compliance report as these costs are not supported by the block grant at Northumbria.

Staff costs for all new and enhanced services to support scholarly publication and OA at Northumbria have been absorbed into existing University Library resource, and no roles or teams are dedicated solely to RCUK-related activity.

## **Annex 1 – Northumbria University Open Access Policy**

1. Northumbria University creates and applies knowledge for the benefit of individuals, communities and the economy, and recognises the value Open Access can bring to this mission.
2. Northumbria University supports an optimal balance of Green and Gold Open Access, in order to ensure maximum impact of Northumbria's research, and compliance with funder policies.
3. Northumbria University will achieve Green OA wherever possible via digital deposit of full text in the University's institutional repository Northumbria Research Link (NRL).
  - a. The accepted author manuscript of all journal articles and conference papers must be deposited in Northumbria Research Link (NRL) upon acceptance for publication.
  - b. Access to full text in NRL can be restricted to comply with publisher policies.
  - c. During periods of restricted access, or to provide users with the version of record, the NRL "request a copy" button may be used by external visitors.
  - d. The University Library will continue to develop NRL and related digital services to maximise OA at Northumbria.
4. Northumbria University supports Gold OA for selected articles by payment of Article Processing Charges (APCs) from the institutional publication fund.
  - a. The publication fund comprises revenue investment from the University, and APC funding as part of RGCI, including the RCUK block grant.
  - b. All journal articles and conference papers resulting from RCUK funding will be eligible for an APC payment.
  - c. All journal articles and conference papers resulting from research where APC funding was included in the award will be eligible for an APC payment.
  - d. Additional journal articles may be eligible to access this fund, subject to academic selection within Faculties.
  - e. All outputs subject to payment of an APC from the publication fund must be made available under the Creative Commons Attribution Licence (CC-BY).
  - f. The University Library administers the publication fund and provides expert practical guidance including on compliance with funder and publisher policies.
5. Research and Business Services will provide support, advice and guidance on expected costs of publishing, including APCs, and how these costs should be included in funding proposals, or claimed from the research funder at the earliest opportunity.
6. The University Library is committed to ensuring fair prices for APCs which should reflect the cost of journal subscriptions to Northumbria University. The University Library will monitor hybrid Gold costs for 'double-dipping' and negotiate with suppliers accordingly.
7. Northumbria University staff should inform external co-authors of this policy.
8. This policy will be reviewed annually and a report presented to the University's Research and Innovation Committee.