

RCUK Open Access Compliance Monitoring Report

1 Introduction

This report provides detail of the first year of RCUK's Open Access Policy at The University of Manchester.

The University of Manchester was awarded a pump-prime funding allocation from the Department of Business, Innovation and Skills in December 2012. Part of this money funded a Library-led project which carried out a communication programme, developed an Open Access service team and created a mechanism for requesting funds from the institutional block grant.

The Library's overall support service is provided by a distributed team across a number of library departments. Due to the scale and complexity of delivering the support service extra resource has been recruited on a fixed-term basis, i.e., 2FTE additional roles in the Scholarly Communication team to provide Open Access enquiry and request support. Finance-related tasks and technical support have been absorbed into existing roles in the Purchasing, Finance and Institutional Repository teams. Ongoing advocacy and promotion is supported and delivered by staff in the Library's Strategic Marketing department.

The University upholds the principle of academic freedom of choice in both publication outlet and route to Open Access where this is possible within the terms of the policy. It does not make APC payments to publishers for non-compliant journals.

The Library regularly monitors the block grant expenditure and deposit of papers in the institutional repository as well as tracking RCUK-funded outputs with a Manchester affiliation in publication databases and facilitating retrospective Open Access.

2 Financial Accountability

The University of Manchester was awarded a pump-prime funding allocation from the Department of Business, Innovation and Skills in December 2012 and received the block grant for Year 1 in July 2013.

Approximately one third of the pump-prime funding was used to pay for publisher Open Access deals and Article Processing Charges (APCs). This report details the expenditure of the combined amounts.

Budget:	£1,171,187.00
Expenditure – to publishers:	£910,850.12
Expenditure – other:	£193,400.00
Balance:	£66,936.88

1. Expenditure by Publisher – See Appendix A.

Publisher prepayment and membership deals (institutional and individual) were used to get best value from the block grant and increase efficiency for authors and support staff.

2. Expenditure, other – See Table 1.

Staffing has provided crucial resource to process payments from the block grant, advise and support researchers, monitor compliance and enhance the institutional repository.

Table 1: Year 1 expenditure of block grant

APC expenditure by faculty	Budget (block grant + pump prime APC allocation)	# APCs accepted	# APCs per day	Expenditure	Average APC	Balance
Faculty of Engineering and Physical Sciences		309	0.658	£281,551.74	£1,499.62	£378,997.73
Faculty of Humanities		64	0.138	£60,084.75	£1,377.86	£48,835.64
Faculty of Life Sciences		123	0.259	£156,572.43	£1,595.73	£72,980.22
Faculty of Medical and Human Sciences		79	0.175	£81,643.71	£1,529.59	£90,520.78
SUBTOTAL	£1,171,187.00	575		£579,852.63		£591,334.37

Open Access publisher deals			
	Budget	Expenditure	Balance
JISC / Elsevier APC		£117,567.00	£-50,311.00
PeerJ		£3,506.48	£-3,506.48
Royal Society		£4,110.00	£-2,740.00
Royal Society of Chemistry		£17,400.00	£0.00
Wiley		£36,000.00	£-25,000.00
Wiley top ups		£144,000.00	£-144,000.00
SUBTOTAL	£96,916.00	£322,583.48	£-225,557.48
Other expenditure			
	Budget	Expenditure	Balance
Other*	£0.00	£8,414.01	£-8,414.01
Staff support	£0.00	£193,400.00	£-193,400.00
SUBTOTAL	£0.00	£201,814.01	£-201,814.01

***Other payments include publisher memberships for individuals and colour/page charges where payment of an APC is not required.**

3 Policy Compliance

Year 1 of RCUK's policy has required a flexible approach to implementation due to the gradual change in publisher policies and procedures during this period, particularly in respect of licence requirements.

The compliance target for Year 1 was set at 497. During this period the University made payments for 575 Gold Open Access publications from the block grant and identified 52 Green Open Access publications.

Further articles affiliated with The University of Manchester and funded by RCUK were published as Gold Open Access during this period.

From calculations based on all available data we estimate a 65% compliance rate for Year 1.

4 Accuracy

Publication data

The University does not yet have a Current Research Information System to provide more accurate data but estimates that approximately 1200 RCUK-funded papers are produced annually. This calculation is based on an analysis of Web of Science and institutional repository data.

Financial data

The University's APC request mechanism stores costs in Sterling. Payments made in other currencies may not be accurate until 6 weeks after an invoice has been paid.

5 Publication level compliance data

The University's publication level compliance data is available to view in the institutional repository, Manchester eScholar.

This report provides details of Gold Open Access publications, where charges have been paid from the block grant, and Green Open Access publications published and deposited during Year 1.

www.manchester.ac.uk/escholar/uk-ac-man-scw:226368

Checks are carried out on publications made Gold Open Access by payment from the block grant to check compliance with licence requirements and repository submission.

76% of articles paid for from the block grant are published under the CC-BY licence. 28 papers (5%) have been published under non-compliant Creative Commons licences. The majority of remaining papers are marked as publisher copyright. It is unclear if this is a problem with the licence display on journal websites or indicates author choice of traditional copyright transfer.

We note inconsistencies in recording grant information in papers that make it difficult to connect a paper to a specific grant. We capture grant information at the APC request stage and our report includes this detail. In all cases we connect papers to funding bodies and are able to provide grant codes for 86% of requests.

In Year 2 we will continue to review and improve data capture and compliance monitoring procedures.

Appendix 1: Payment by publisher

AACR	£473.23	1	1	0	£473.23	0
ACS Publications	£67,448.40	34	34	0	£67,448.40	0
American Association of Immunologists	£1,580.96	1	1	0	£1,580.96	0
American Heart Association	£1,272.00	1	1	0	£1,272.00	0
American Institute of Physics	£4,741.34	3	3	0	£4,741.34	0
American Meteorological Society	£12,129.62	6	6	0	£12,129.62	0
American Physical Society	£2,631.49	4	4	0	£2,631.49	0
American Psychological Association	£2,843.25	1	1	0	£2,843.25	0
American Society for Biochemistry and Molecular Biology, Inc.	£13,124.72	8	8	0	£13,124.72	0
American Society for Microbiology	£10,763.27	4	4	0	£10,763.27	0
Association for Computing Machinery, Inc.	£2,400.55	3	3	0	£2,400.55	0
Beijing Baishideng BioMed Scientific Co., Ltd	£993.72	1	1	0	£993.72	0
BioMed Central Ltd.	£19,109.39	15	15	0	£19,109.39	0
BioScientifica Ltd.	£4,428.00	3	3	0	£4,428.00	0
BMJ Group	£1,950.00	1	1	0	£1,950.00	0
Cambridge University Press	£6,158.89	3	3	0	£6,158.89	0
Copernicus GmbH	£15,259.28	14	14	0	£15,259.28	0
CSH Press	£4,441.96	3	3	0	£4,441.96	0
Elsevier	£179,063.72	121	29	91	£61,496.72	£117,567.00
Frontiers Research Foundation	£9,100.35	9	9	0	£9,100.35	0
Genetics Society of America	£1,460.20	1	1	0	£1,460.20	0
Hindawi	£1,913.43	2	2	0	£1,913.43	0
Humana Press	£2,171.60	1	1	0	£2,171.60	0
ICE Publishing	£4,440.00	2	2	0	£4,440.00	0
Imperial College Press	£1,074.92	1	1	0	£1,074.92	0
Institute of Electrical and Electronics Engineers	£15,531.29	11	11	0	£15,531.29	0
Institute of Physics Publishing Ltd.	£10,565.43	5	5	0	£10,565.43	0
InTech	£884.23	1	1	0	£884.23	0
International Union of Crystallography	£923.84	2	2	0	£923.84	0

IOS Press	£916.80	1	1	0	£916.80	0
Karger	£2,034.00	1	1	0	£2,034.00	0
Korean Society for Neurobiology	£1,567.41	1	1	0	£1,567.41	0
M D P I	£2,317.50	2	2	0	£2,317.50	0
Manchester University Press	£6,500.00	1	1	0	£6,500.00	0
Maney	£1,039.82	1	1	0	£1,039.82	0
Mary Ann Liebert, Inc. Publishers	£8,325.28	4	4	0	£8,325.28	0
Mineralogical Society	£1,500.00	1	1	0	£1,500.00	0
Mineralogical Society of America	£1,621.56	1	1	0	£1,621.56	0
My Jove Corporation	£7,455.19	3	3	0	£7,455.19	0
Nature Publishing Group	£21,588.25	9	9	0	£21,588.25	0
Optical Society of America	£1,362.13	1	1	0	£1,362.13	0
Oxford University Press	£35,556.76	19	19	0	£35,556.76	0
Palgrave Macmillan	£1,920.00	1	1	0	£1,920.00	0
Policy Press	£1,800.00	1	1	0	£1,800.00	0
Public Library of Science	£41,047.96	38	38	0	£41,047.96	0
R S C Publications	£33,089.89	41	10	31	£15,689.89	£17,400.00
Radiological Society of North America, Inc.	£1,766.95	1	1	0	£1,766.95	0
Sage	£5,356.60	13	13	0	£5,356.60	0
Scientific Research Publishing	£960.62	2	2	0	£960.62	0
Society for Industrial and Applied Mathematics	£6,038.13	4	4	0	£6,038.13	0
Society for Neuroscience	£2,550.06	1	1	0	£2,550.06	0
Springer	£50,904.93	25	23	0	£50,904.93	0
Statens Arbeidsmiljoeinstitutt	£1,283.38	1	1	0	£1,283.38	0
Taylor & Francis	£27,455.11	13	13	0	£27,455.11	0
The Company of Biologists Ltd.	£23,222.46	12	12	0	£23,222.46	0
The Institution of Engineering and Technology	£694.98	1	1	0	£694.98	0
The Royal Society Publishing	£10,425.60	7	7	0	£10,425.60	0
The Science and Information Organization Inc.	£324.65	2	2	0	£324.65	0
Wiley	£192,068.64	106	5	101	£12,068.64	£180,000.00