

Data required by RCUK to support compliance monitoring

In order to be able to help RCUK understand how the institutions it supports are progressing on implementing the RCUK policy on Open Access, RCUK will require institutions to provide the following compliance data.

Financial accountability

Institutions in receipt of a block grant from RCUK to cover the payment of Article Publishing Charges (APCs) and other open access related costs are required to account to RCUK on how they have spent the block grant they have received. Information on the financial accountability data to be provided is detailed in Annex A of the RCUK Open Access Policy and Guidance notes.

Policy compliance

RCUK would like to understand how institutions are complying with the policy and if there are specific areas where compliance is proving either easy or problematic. At a basic level, RCUK would like 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.
- 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.
- iii. And the number which have been published in a journal which is not compliant with the RCUK policy on Open Access.

The number should be for publications which have been published during the reporting period, even if they are not yet available open access because of a green embargo period.

Reporting period: The reporting period for compliance data for year-1 of the policy is from 1 April 2013 to 31 July 2014. In subsequent years the reporting period will be for the year from 1 August to 31 July.

Reporting schedule: Institutions should report as soon after 31 July 2014 as is possible, and no later than 12 September 2014.

Accuracy: RCUK recognises that some institutions may not yet have the necessary systems in place to capture information on all articles produced under RCUK funding or to collect financial data at the level of an individual article. Therefore, please indicate any assumptions or uncertainties in the data provided, and include any necessary 'health warnings' as appropriate.

Publication level compliance data: RCUK is encouraged that some institutions are already publishing compliance data at the level of individual articles. For example, Imperial College (http://figshare.com/articles/Imperial_APC_data_2006_2014_/1086122) or Liverpool University (http://figshare.com/articles/Liverpool_APC_data/1083499). RCUK encourages institutions which

have this detailed article level compliance data to make them publicly available, as they provide a valuable source of information for understanding the development of Gold OA, especially disciplinary differences in the value of APC payments.

RCUK analysis of publications data: RCUK intends to undertake an analysis of the open access status of publications arising from research council funding and reported to it via the research councils outputs reporting systems and available through Gateway to Research.

RIOX: RCUK is working closely with JISC, HEFCE and the RIOX project to develop an article level metadata standard that will allow a clear determination of compliance with the RCUK policy on Open Access via the green route.