

Guidance on RCUK open access compliance and financial reporting 2016-17

Context

The Research Councils UK (RCUK) Open Access (OA) policy aims to catalyse a major change in the way that peer-reviewed research papers are made available. Since the policy came into force in April 2013, RCUK has provided 108 Research Organisations (ROs) with a total of £73 million of public funds to support payment of Article Processing Charges (APCs) and other OA costs.

To ensure the good use of public money, and to monitor the effectiveness of the RCUK OA policy, RCUK is required to collect information on how the block grants are actually spent.

RCUK recognises the difficulty some institutions may have in providing the level of information requested and asks that Research Organisations make their best endeavours to provide the information. Please email openaccess@rcuk.ac.uk if you require any help, support or further guidance on financial and compliance reporting and thank you for your co-operation.

Changes for 2016/17 reporting period

Working in collaboration with the RCUK Open Access Practitioners' Group, JISC and Wellcome we have agreed to a number of changes to this year's reporting:

- For RCUK the reporting period for both compliance and financial reporting will now be 1st April - 31st March with immediate effect (i.e. this year's reporting period is 1st April 2016 - 31st March 2017). For publications already reported in the period 1st April 2016 – 31st July 2016, as part of last year's exercise, we ask that you **include these again** in this year's return again so that we have a complete set of data for this financial year.
- The reporting template has been revised to reduce and simplify the amount of information that is requested.
- An additional tab has been added to collect information on offsetting agreements, discount schemes and memberships.
- RCUK will be publishing the APC level data that we have received and aggregate level data on non-APC spend to date in April 2017. This round of data will also be published once it has been validated and cleaned. Details of the fields that will be published are given in Annex A.

What information are we asking for and why?

To monitor the effectiveness of the RCUK OA policy, we require research organisations to provide information on two areas:

- **Compliance by the RO with the targets within the RCUK open access policy**

All ROs in receipt of funding from the research councils are required to provide information on their compliance with the policy.

The information will help RCUK understand the difference that the open access policy is making to the number of peer-reviewed research papers available under OA terms, and the use of the different routes for delivering open access. It will also help RCUK understand progress towards OA at an institutional level and the issues individual ROs may experience in implementing the policy.

- **Financial accounting for how funds provided in the OA block grant have been spent.**

ROs in receipt of OA block grants must provide information on how they have spent the funds provided in the block grant.

ROs not in receipt of OA block grants are also invited to provide information on their costs in supporting the implementation of the RCUK OA policy.

ROs in receipt of OA block grants are accountable to RCUK for how the funds have been spent. The information requested will also help RCUK to understand how the market in APCs is developing and the balance of spend supporting the different routes of delivering OA. We have therefore asked for spend information to be itemised into categories; these can be defined by the RO.

In addition, we are keen to understand the level of RCUK block grant and institutions' own investments being used to support open access. The financial information we have asked for will help us to understand the costs of OA to the sector and gauge the level of support required from the Research Councils through the block grant.

Completing the reporting template

RCUK has worked with Jisc and Wellcome to provide a common reporting template which **must** be used by all ROs. The template can be downloaded from <http://www.rcuk.ac.uk/research/openaccess/oareporting/> .

There are three tabs to complete on the template:

- **'RCUK compliance summary' tab**
This allows for mandatory information about policy compliance and financial accountability to be reported.
- **'Jisc APC template' tab**
This tab should be used to record article-level APC data. Article-level reporting is strongly encouraged as this enables a much more detailed analysis of the development of gold OA on a discipline basis. The data provided here against the RCUK block grant will be published by RCUK in due course under a Creative Commons CC0 licence. This is consistent with Wellcome and some other funders and may encourage a reduction in APCs through competition.

- **Discounts, memberships and pre-payments tab**
APCs from offsetting agreements, discount schemes and memberships have become increasingly used and we would like to understand more about their contribution to the OA landscape and how the RCUK block grant is being used to support this.

Completing the ‘RCUK Compliance Summary’ tab

All ROs in receipt of an RCUK block grant **must** provide compliance information for the reporting year **1 April 2016 to 31 March 2017** under **one** of sections **A, B or C**:

- **A - Compliance based on actual publications data**
Ideally we would prefer data on the number of RCUK-funded papers published during the reporting period, and the number of these that were compliant with RCUK OA policy via the gold and via the green route (see <http://www.rcuk.ac.uk/research/openaccess/policy/> for further information).
- **B - Compliance based on estimates of publication numbers**
We understand that some ROs do not have detailed publications data and therefore can only provide estimates. In this case, ROs are invited to estimate their overall compliance and the proportion of the compliance delivered through the gold and the green route using this section.

For example, an RO may estimate that 60% of their research council-funded papers are compliant with the OA policy, with 35% of this compliance delivered via the gold route and 25% via the green route.

- **C - Compliance summary - no data**
If an RO cannot provide either actual data or estimates, they are asked to provide a short statement in section C on how their implementation of the OA policy is progressing, and how they consider the gold and green routes to OA are developing. Section C can also be used to provide additional information on implementation of the RCUK OA policy to augment information provided in sections A or B.

ROs in receipt of an OA block grant **must** complete sections **D and E** on financial spend.

ROs not in receipt of a block grant are also invited to provide information on their costs of implementing the RCUK OA policy in section **E**.

- **D - OA block grant summary information (financial years 2013-14 to 2016-17)**
ROs are required to report in section D the amount of block grant received, spent and carried for the financial years April 2013-March 2014, April 2014-March 2015, April 2015-March 2016 and April 2016-March 2017.

In addition, we also require your organisation’s estimated spend for year five, (April 2017-March 2018).

- **E – Summary of non APC spend (April 2016 to March 2017)**

Please report in section E the costs incurred in implementing RCUK OA policy between 1 April 2016 and 31 March 2017, excluding money spent on APCs. OA operational costs, covering day-to-day activity such as administration of APC payments, bank charges etc., should be broken down into total staff and non-staff costs. ROs should choose appropriate descriptive headings for the aggregation of these non-operational, non-APC spend costs. If an aggregated spend amounts to more than £10,000 this should be entered as a separate line item with a suitable descriptor. All costs entered in section E should include VAT where appropriate.

Completing the ‘Jisc APC template’ tab

RCUK does not currently mandate article-level APC data to be reported. However, if ROs have article-level APC data, we **strongly encourage** this to be reported via the ‘Jisc APC template’ tab. The data provided here against the RCUK block grant will be published by RCUK in due course under a Creative Commons CC0 license.

This year the template has been revised to reduce and simplify the amount of information that is requested. We have highlighted within the template the relative importance of each column so that ROs can focus their efforts on the information that is of most use to us. Each column also has a guidance comment associated with it so that you can check guidance as you are completing the template.

The main changes are summarised below.

The following fields have been deleted and are no longer requested:

Submitted by	University Department	PMC ID	Affiliated author	Correct License applied
APC paid (actual currency) including VAT if charged	VAT (actual currency”	APC paid (£) excluding VAT	VAT (£)	Problem free Open Access publication

Providing a valid Digital Object Identifier (DOI) or PubMed ID is provided, the following fields will be populated by RCUK from article metadata:

Publisher
Journal
e-ISSN
Type of Publication

For the following fields we will be introducing a constrained list of entries that people will be able to choose from in order to reduce the scope for keying errors and to simplify the information that is provided:

Fund that APC is paid from (1)
Fund that APC is paid from (2)
Fund that APC is paid from (3)
Funder of research (1)
Funder of research (2)
Funder of research (3)

For columns X (Discounts, memberships & pre-payment agreements) and column AA (Licence) there is a drop-down list but you are able to add your own entry if those provided do not match your needs.

The article-level data will be collated by the Jisc Monitor project, and will be used to help track both the progress and route of OA implementation nationally, as well as to provide valuable information on such things as disciplinary differences between APCs, and the amount of APC funding going to individual publishers.

RCUK does not currently require any article-level information to be reported for green OA.

Discounts, memberships and pre-payments tab

This tab has been added in recognition of the increasing importance that these deals are having in the OA landscape. *RCUK has previously asked for some of this information to be included under section F of the “RCUK compliance summary” tab – this will no longer be required.*

In column X of the JISC template ROs are asked whether a discount, membership or pre-payment agreement applies and, if it does, to select an agreement from the drop-down list (if the deal is not contained in the drop you will be able to add your own deal and this will show up in the “Discounts, memberships and pre-payments” tab). The names of all the deals entered will be populated in column A of the “Discounts” tab and columns E-I will automatically populate based on the information provided for that line in the JISC template. For columns B-D you are asked to manually enter the amount spent on the scheme and how much can be attributed to RCUK and/or COAF. RCUK recognises that this request may prove difficult for ROs who generate the JISC template from their own systems and are willing to be flexible in the format that this information is provided – the aim is to get a feel for the number, type and approximate cost of these deals.

Submitting your information to RCUK

All information on compliance and block grant accounting should be submitted using the template provided at <http://www.rcuk.ac.uk/research/openaccess/oareporting/>.

Completed templates should be emailed to openaccess@rcuk.ac.uk by 12 May 2017

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ANNEX A: Data fields that RCUK will publish

Year	Organisation	Fund that APC is paid from (1)	Fund that APC is paid from (2)	Fund that APC is paid from (3)	Funder of research (1)	Funder of research (2)	Funder of research (3)	APC paid (£) including VAT if charged	Amount of APC charged to RCUK OA fund (include VAT if charged) in £	DOI	Type	Publisher	Publication	Title	ISSN	Licence	IsOpenAccessJournal
2015/2016	Organisation 55	RCUK			NERC				660.24	10.1002/2014F	Journal-ar	Wiley-Black	J. Geophys. R	Linking th	2169-9003	Unknown	Hybrid
2015/2016	Organisation 69	RCUK			BBSRC	Other		1680	1680	10.1074/jbc.M1	Journal-ar	American Sq	J. Biol. Chem.	Structural	0021-9258	CC BY	Hybrid