



THE UNIVERSITY *of* EDINBURGH

2014

RCUK Open Access Report



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Introduction

This report reviews the progress the University of Edinburgh has made in its implementation of RCUK's Open Access Policy¹ during the 16-month period 1 April 2013 – 31 July 2014, referred to throughout this report as "Y1". The forthcoming 12-month period 1 August 2014 – 31 July 2015 is referred to as "Y2".

This report details the expenditure of the £830,550 allocation received by the University of Edinburgh from RCUK in 2013. A report on the previous £609,000 RCUK/BIS allocation and the University's Open Access implementation programme can be found in our repository².

The University has continued a programme of work that has successfully put in place both a technical and support infrastructure to encourage the widespread adoption of Open Access by all its researchers, including those funded by RCUK.

The University of Edinburgh has expressed a preference for Green Open Access, and encourages all its researchers to make their research available via its Open Access repositories. Where funder and publisher policies require Gold Open Access to be adopted the institution provides full support to enable our researchers to choose this option. The University's Scholarly Communications Team manages Gold Open Access funds for its researchers on behalf of RCUK and the Wellcome Trust.

The focal point of the support infrastructure is an Open Access advisory service³ which acts as a one-stop-shop for all University staff and students providing tailored help and support. This is underpinned by a team of Publications Assistants based within Colleges providing local administrative support, supported by an infrastructure providing Green and Gold OA options.

In addition to supporting its own research community, the University of Edinburgh seeks to share its expertise in supporting Open Access with other HEIs. We are leading a Jisc Pathfinder Project with Heriot-Watt & St Andrews Universities looking at best practice in the implementation of Open Access (Lessons in Open Access Compliance for Higher Education)⁴. The University of Edinburgh hosts the annual "Repository Fringe" event⁵ each July which was attended this year by 150 professionals dealing with Open Access from across the UK.

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

² <https://www.era.lib.ed.ac.uk/handle/1842/8288>

³ <http://www.ed.ac.uk/openaccess>

⁴ <http://libraryblogs.is.ed.ac.uk/loch>

⁵ <http://www.repositoryfringe.org/>

Highlights

"64% Open Access rate"

"246 Gold articles cost an average of £1612"

"44% Green OA
56% Gold OA"

"Over 50% of budget allocation spent"

Financial Accountability

The University of Edinburgh received a budget allocation of £830,500 to meet the costs of Open Access in Y1. 50.5% of this allocation has been spent and the remaining 49.5% will roll over to Y2.

Expenditure	Credits	Debits	Balance
Budget allocation from RCUK	£830,550	-	-
Payments to Publishers*	-	£396,634	-
Staff costs	-	£15,960	-
Reverse-charge VAT	-	£6,781	-
Total expenditure	-	£419,375	-
Balance remaining	-	-	£411,175

* Please see Appendix for a full breakdown of payments to publishers.

Policy Compliance

Knowing that the primary aim of RCUK's policy was to make its research openly available, achieving Open Access has been the first aim of our implementation. In Y2 we will focus attention on increasing compliance with all the elements of the policy (data access requirements etc.).

Publications	Count
The number of peer-reviewed research papers arising from RCUK-funded research by University of Edinburgh Researchers	680
Papers Open Access by the gold route	246
Papers Open Access by the green route	191
Non-compliant papers*	243

* Some of these papers will have been published in non-compliant journals, but it is estimated that in the majority of cases, it will simply be that the author omitted to make the paper Open Access, even though it would have been possible.

Overall, in Y1, 64.2% of RCUK-funded journal articles and conference proceedings published by University of Edinburgh Researchers have been made Open Access. Of the Open Access papers, 56.3% took the Gold route and 43.7% took the Green route.

Publication-Level Compliance Data

Compliance data at the individual article level for the University of Edinburgh's gold articles for Y1 can be found at <http://dx.doi.org/10.6084/m9.figshare.1146256>. Some paid-for Gold articles have been published with licences other than CC-BY. This is either because the author selected, or the publisher offered an incorrect licence. In Y2 we aim to work more closely with academics and publishers to obviate the risk of this continuing to occur.

The University will continue to add more data as it become available. Further data may be available on request by contacting openaccess@ed.ac.uk.

Accuracy

The University has made considerable efforts to ensure the accuracy of all the information in this report. However, there are a number of caveats which readers should be aware of, as follows:

Systems-related

1. The University of Edinburgh is reliant on its Current Research Information System (PURE) to report on Open Access compliance. To provide accurate reporting, publications must be linked to grants in PURE. Whilst every effort has been made to ensure that this has been done, there may be some RCUK-funded publications which have not been accounted for although these may very well be Open Access.
2. The University of Edinburgh is only able to report on articles *published* during the period 1st April 13 – 31st July 14 (Y1), whereas the policy covers items *submitted to publishers* during this period, as date of submission is not currently recorded.

Finance-related

1. The financial data provided in the appendix is an accurate record of *actual expenditure* of the RCUK grant during the period April 1st 2013 – July 31st 2015.
2. The University of Edinburgh only started charging staffing costs for running the fund from January 1st 2014, so only six months costs are included in Y1. During Y2, we anticipate charging staffing at the same grade for the full 12 month period, so the staffing costs will be higher.
3. We are awaiting the final quarter reverse-charge VAT bill and so this will be debited in Y2. The proportional costs for VAT will therefore be higher in Y2.
4. The University of Edinburgh has rolled outstanding applications to the fund from Y1, into Y2. We are currently committed to pay out up to a further £80,704.88 for articles for which we have agreed to cover the cost, subject to the article being accepted for publication.

Experiences of Open Access Implementation

Overall, we are satisfied with the level of compliance we have reached during Y1. Management of APCs has been straightforward and we have found that providing a dedicated member of staff to be a more economical and reliable way of handling Gold Open Access than using an intermediary, such as Jisc APC.

An intensive programme of outreach has contributed to increased levels of engagement with Green Open Access, and the University of Edinburgh will continue this into Y2, especially in light of HEFCE's policy on Open Access in the post-2014 REF⁶.

The most difficult aspect of Open Access implementation remains to obtaining the correct version of the manuscript (e.g. post-print) at a time when the author still has it. We anticipate the Open Access requirements for the next REF will assist with this and increase compliance in Y2.

It would be useful for researchers to receive a strong message about Open Access from policy makers, as well as from their institutions as this would help to consolidate the message about Open Access and achieve the cultural change required to achieve higher rates of policy compliance.

⁶ <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy/>

Appendix

University of Edinburgh Open Access Block Grant Expenditure 2013-14

Payments to Publishers	Total Spend (GBP)	Number of Articles
American Association for the Advancement of Science	382.00	1
American Association of Immunologists	5181.66	2
American Chemical Society	2154.97	2
American Physiological Society	3717.74	2
American Psychological Association	4964.19	2
American Society for Cell Biology	1572.80	1
American Society for Microbiology	2658.62	1
American Society of Animal Science	594.39	1
American Society of Hematology	1238.94	1
Association for the Sciences of Limnology & Oceanography	730.21	1
BioMed Central	32909.50	24
BioScientifica	1368.00	1
BMJ Publishing Group Ltd	4645.00	3
Cambridge University Press	1952.47	1
Company of Biologists Ltd	12100.00	5
Copernicus Publications	2196.82	3
Elsevier	92205.61	52
Emerald Group Publishing	4776.00	4
Frontiers	827.41	1
Future Medicine	4282.00	2

HAU Society of Ethnographic Theory (Institutional Membership 2014-15) ⁷	3000.00	-
Hindawi	978.86	1
IEEE	3668.58	3
International Glaciological Society	5060.00	2
IOS Press	1107.78	1
Journal of Visualized Experiments	2549.75	1
Karger	2072.85	1
Landes Bioscience	2179.87	2
Lippincott Williams and Wilkins	344.40	1
MDPI	1442.83	2
National Academy of Sciences	2334.13	2
Nature Publishing Group	33964.00	12
Nucleic Acids Research (Institutional Membership 2014-15) ⁸	2875.20	-
Oxford Journals	23386.00	13
Portland Press (UK)	1800.00	1
Public Library of Science	29110.71	30
Resilience Alliance	1430.80	2
Rockefeller University Press	2173.38	1
Royal Society of Chemistry ⁹	0.00	1
Royal Society Publishing	2520.00	2
Royal Society Publishing (Institutional Membership 2013-14)	3150.00	-
Sage	480.00	1
Society for General Microbiology	4200.00	2

⁷ Membership paid from Y1 allocation, publications forthcoming.

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⁹ Publication made Gold Open Access using complimentary "Gold for Gold" voucher.

Society for Neuroscience	1934.69	1
Springer	11479.06	5
Taylor & Francis	10638.60	7
Wiley	62294.62	42
Total:	396,634.44	246

Other Expenditure	Total Spend (GBP)
Staff costs (01 Jan 14 - 31 July 14)	15,960.00
Reverse-charge VAT	6,780.84
Total:	22,740.84

Totals	Total Spend (GBP)
University of Edinburgh Block Grant 2013-14	830,550.00
Sub-total of Payments to Publishers	396,634.44
Sub-total of Other Expenditure	22,740.84
Total Expenditure in 2013-14	419,375.28
Balance of Block Grant Remaining	411,174.72