



## University of Leeds RCUK open access compliance report 2015

October 2015

Leeds has used the 2014-15 block grant to pay for 216 papers to be made OA. A further 26 RCUK papers have been paid for from BIS money, prepayment accounts from previous years and publishers offset deals, making a total of 242, compared to the target of 315 set in the RCUK block grant allocation.

Other RCUK funded papers with Leeds authors have been made gold OA during the period but these have not been funded by the block grant. Data is not available to enable reporting on whether these papers were paid for by Leeds. It is expected that the number of gold and green OA papers will continue to rise in 2015-16, encouraged by the HEFCE OA policy requirements.

Some improvements have been made to internal systems to make the process of monitoring and reporting easier. An online APC application form has been developed for use by authors and we are using the JISC template to record APC data, but the process of managing and monitoring payments is still very labour intensive.

Handling large numbers of small invoices is inefficient but managing pre-payment accounts, each with its own terms and conditions and complex interactions with University financial processes, is also difficult. Aligning RCUK grant periods with the academic year would reduce administrative overheads.

We know which RCUK publications we pay for from the block grant but tracking other Leeds publications (green and gold) is still very difficult. We have no way of knowing whether we have identified everything, hence we have completed box B, based on the data we have been able to find.

There are still issues with hybrid journals applying the wrong licence for gold APCs and difficulties with interpreting publisher policies with regard to embargoes, though Sherpa Fact is helpful in this respect.

The HEFCE policy for the next REF is encouraging more timely deposit of gold and green papers to the institutional repository. In addition to the expenditure shown on this template the University of Leeds has spent a further £10k on APCs for RCUK papers in 2014-15. This has been funded from pre-payment accounts with publishers set up using BIS money in 2012-13.

Though the University does not have an institutional OA fund, it has investing in supporting OA by financing 3.17 FTE repository posts from core funds, in addition to the salary costs charged to the RCUK block grant. It also supports OA through a



White Rose Consortium digital publishing initiative in which it has invested £15k to date. The University also has a programme of OA advocacy which is supported from core budgets. We continue to work with software suppliers to improve the user interface for our institutional publications database (Symplectic Elements). These investments are not exclusively to support RCUK funded research.

A Compliance based on actual publications data		Number
Total publications arising from research council funding		
Number of gold compliant publications		
Number of green compliant publications		
Overall compliance		

  

B Compliance based on estimates of publication numbers		Percent
Proportion of compliance delivered through the gold route		59%
Proportion of compliance delivered through the green route		16%
Estimate of overall compliance		75%

  

C Compliance summary - no data	
Provide short statement on how implementation of RCUK OA policy is progressing. <b>ants are not exclusively to support RCUK funded research.</b>	

  

D OA block grant summary information	OA grant brought forward	OA grant received	OA Grant available	OA grant spent	OA grant carried forward
Year 1 (April 2013 - March 2014)	0	£ 443,593	£ 443,593	£139,598.69	£ 303,994.31
Year 2 (April 2014 - March 2015)	£303,994.31	£ 521,874	£ 825,868.31	£445,586.97	£ 380,281.34

**Summary information on block grant spend (reporting year 01 August 2014 to 31 July 2015)**

E Summary of non-publisher spend	
OA operations/APC processing	Amount
Staff costs	£ 35,583.23
Non-staff costs	£ -
Total OA operations/APC processing	£ 35,583.23
Other OA costs	Amount
Advocacy	£ 43.45
Staff training , development	£ 1,109.90
Support for new OA monograph/journal initiatives	£ 15,774.68
Total other - details	£ 16,928.03
<b>Total of non-publisher spend</b>	<b>£ 52,511.26</b>

  

F Summary of publisher spend	APC spend charged to RCUK OA fund	Page and colour charges	Number of papers resulting from spend	Spend on discount or membership scheme
Wiley				£ 4,259.00
IEEE				£ 2,008.41
RSC				£ 26,112.00
<b>Total all publishers</b>	<b>£364,855.26</b>	<b>£ 24,014.76</b>	<b>216</b>	<b>£ 32,379.41</b>

Information about individual APC payments is available at:

<http://dx.doi.org/10.6084/m9.figshare.1600936>

