Guidance on research councils’ open access block grant compliance and financial reporting 2018/19

Context
Since the Research Councils (RCUK) policy on Open Access (OA) came into effect in April 2013, over £117 million of public funds has been provided to over 100 Research Organisations (ROs) to support making peer-reviewed research papers publicly available. The research councils are now part of UK Research and Innovation (UKRI). The RCUK OA Policy will continue until UKRI has completed a review of open access.

What information are we asking for and why?
To monitor the effectiveness of the RCUK OA policy, we require ROs to provide information on two areas:

1. Compliance by the RO with the targets within the RCUK OA 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 UKRI 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 UKRI understand progress towards OA at an institutional level and the issues individual ROs have experienced in implementing the policy.

2. 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.

Completing the reporting template
UKRI has worked with Jisc and the Wellcome Trust to provide a common reporting template which must be used by all ROs. The template can be downloaded from https://www.jisc-collections.ac.uk/Jisc-Monitor/APC-data-collection/.

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.

- 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 has been used to support this.
Completing the ‘RCUK Compliance Summary’ tab
All ROs must provide compliance information for the reporting year 1 April 2018 to 31 March 2019 under one of sections A, B or C:

A- Compliance based on actual publications data
Ideally we would prefer data on the number of Research Council-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 https://www.ukri.org/funding/information-for-award-holders/open-access/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 2018/19)
ROs are required to report in Section D the amount of block grant received, spent and carried for each financial year from April 2013-March 2014 up to April 2018-March 2019.

In addition, we also require your organisation’s estimated spend for year seven, (April 2019-March 2020).

E- Summary of non APC spend
Report in Section E the costs incurred in implementing RCUK OA policy between 1 April 2018 and 31 March 2019, excluding money spent on APCs. OA operational costs, covering day-to-day activity such as administration of APC payments, 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.

UKRI 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 reporting period for this is 1 April 2018 to 31 March 2019.

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

- Publisher
- Journal
- e-ISSN
- Type of Publication

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.

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

Discounts, memberships and pre-payments tab (1/4/2018 – 31/3/2019)

In column X of the JISC template ROs are asked whether a discount, membership of pre-payment agreement applies and, if it does, to select an agreement from the constrained drop-down list (if the deal is not contained in the drop down select “Other” and then provide details in the “Discounts” tab”). The reporting period for this is 1 April 2018 to 31 March 2019. Where the deal is in the drop-down list it will populate columns E-I automatically based on the information provided in the template. For columns B-D you are asked to manually enter the amount spend on the scheme and how much can be attributed to RCUK and/or COAF.

Submitting your information to UKRI

All information on compliance and block grant accounting should be submitted using the template provided at [https://www.jisc-collections.ac.uk/Jisc-Monitor/APC-datacollection/](https://www.jisc-collections.ac.uk/Jisc-Monitor/APC-datacollection/).

Completed templates should be emailed to openaccess@rcuk.ac.uk by 1 May 2019.

UKRI 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.