

Guidance on research councils' open access block grant

Compliance and financial reporting

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.

There are three tabs to complete on the template:

1. 'RCUK compliance summary' tab

- a. This allows for mandatory information about policy compliance and financial accountability to be reported.

2. 'Jisc APC template' tab

- a. 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.

3. 'Discounts, memberships and pre-payments' tab

- a. 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.

Guidance on completing the tabs:

Completing the 'RCUK Compliance Summary' tab

All ROs must provide compliance information for the reporting year 1 April to 31 March 20xx 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

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.

In recent years UKRI have worked with RO's to restore awards back to a standard 12-month award (so no carried forward credit and debit) therefore RO's are required to complete the following, where applicable (for the year you have an award):

- Total OA Grant – So the total of the award from UKRI for the current reporting year and new year
- Total OA grant spend – The current year should match what is reported in the FES and the new reporting year should be the forecasted estimated spend for that year. This provides useful financial forecasting information to UKRI.

E- Summary of non APC spend

Report in Section E the costs incurred in implementing RCUK OA policy for the reporting year, 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.

Completing the 'Jisc APC template' tab

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.

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

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 constrained drop-down list (if the deal is not contained in the drop down select "Other" and then provide details in the "Discounts" tab").

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 spent on the scheme and how much can be attributed to RCUK and/or COAF.

See Introduction & definitions tab's for additional guidance or queries can be raised to Jisc.Apc@jisc.ac.uk

All templates must be completed by the data requested in the Timetable provided to you by UKRI and emailed to openaccess@funding.ukri.org