



Royal Holloway, University of London

RCUK Open Access Report 2014

Open Access Team

Library Services

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Introduction

1. Royal Holloway, University of London (hereafter referred to as Royal Holloway), is a constituent college of the University of London, with around 700 academic and research staff and about 9,000 undergraduate and postgraduate students. The College has three faculties and 19 departments, covering a range of subjects from sciences, social sciences, arts and humanities. Royal Holloway Library has 40 full-time staff members and four casual teams of around 25 staff members in total.
2. This report analyses the Royal Holloway developments with regards to the implementation of the RCUK Open Access Policy¹ for the year 2013 – 2014. During that first year, Royal Holloway received 81,627 GBP from RCUK to cover publication costs and other expenses relating to open access publishing.
3. Throughout this time, Royal Holloway has put in place a strong mechanism to ensure compliance with the RCUK open access policy. The Library's Open Access Team at Royal Holloway has developed a set of strategies for open access advocacy. We provide informative talks and open access presentations to faculties, post-doctoral and doctoral students on a regular basis and devote plenty of time to questions. Over the past 14 months we have planned three College-wide open access events, which were organised to raise awareness on open access and the benefits it brings and to provide clear guidance on how funders' open access policies can be implemented. In addition, we provide in-depth open access training both on a one-to-one basis and in groups. We have created a broad collection of promotional materials, which include web-pages², one-page handouts, and provide open access information in the College's news pages and the Library newsletter. Furthermore, we send one-off emails to grant holders, informing them of recent updates on a timely basis.
4. To better implement the RCUK Open Access Policy, Royal Holloway has developed the "Policy for the Administration of the RCUK Block Grant for Open Access to Fund Article Processing Charges"³, which was produced by the Library Services and the Research and Enterprise, and formally approved on behalf of the College by its Research Committee. This policy sets the ground rules regarding funding allocation, evaluation and monitoring, and the essential criteria that applicants should meet to apply for the RCUK block grant.
5. Apart from the internal policy on the article processing charges (APCs), Royal Holloway has created a decision tree⁴ to indicate its preference for Green Open Access and to encourage researchers to use the College's institutional Repository to comply with the policy. When a publisher or conference organiser does not have a provision for Green Open Access, the library fully supports the Gold Open Access option; we have a mechanism in place to allocate the funding on a 'first come – first serve' basis for which researchers apply by completing an application form⁵. We work closely with the Finance Department to administer the publication costs.

Financial Accountability

6. For the year 2013 – 2014, Royal Holloway received a budget allocation of **81,627** GBP to meet the costs for Open Access. For the time being we have spent **15,979** GBP, which is **21%** of the budget,

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

² <https://www.royalholloway.ac.uk/library/researchsupport>

³ <https://www.royalholloway.ac.uk/library/documents/policies/rhulapcpolicy.pdf>

⁴ <https://www.royalholloway.ac.uk/library/researchsupport/openaccess/oaandrcuk.aspx>

⁵ <https://survey.rhul.ac.uk/TakeSurvey.aspx?SurveyID=822L8I2>

and the rest **79%** will roll over to the second year, 2014 – 2015. In addition, we have allocated a further **6,100** GBP from the funding for outputs submitted recently for publishing.

Expenditure	Credits	Debits	Balance
Budget Allocation from RCUK	81,627 GBP	-	-
Payments to Publishers	-	15,979	-
Total Expenditure	-	15,979	-
Balance Remaining	-	-	65,648

** Please see Appendix for full expenditure breakdown*

Policy Compliance

7. We have a record of 39 journal articles and conference proceedings published during the reporting period (01/04/2013-31/07/2014) that were funded by the RCUK; 14 are open access via the Green route and 13 are via the Gold route (8 of which were funded centrally by the RCUK block grant). There are 12 publications that do not comply with the RCUK open access policy. Thus, our overall compliance rate is 70%.

Publications	Count	Percentages
Total number of RCUK-funded publications at Royal Holloway	39	100%
Open access publications available via the green route	14	36%
Open access publications available via the gold route*	13	34%
Publications that do not comply with the RCUK open access policy	12	30%

** The article processing charges of 8 articles were paid from the central RCUK block grant. The publication expenses of the rest 5 articles were covered by other funds, and the Library does not have any data relating to these publication costs.*

Publication Level Compliance Data

8. The Royal Holloway gold open access publications and their details at the individual article level can be found at <http://dx.doi.org/10.6084/m9.figshare.1153947>. Further data may become available by request at openaccess@royalholloway.ac.uk

Accuracy

9. Royal Holloway has made considerable efforts to ensure the accuracy of all the information in this report. It is essential to emphasise that we can only report on outputs that were recorded in our current research information system, Pure, by the RCUK-funded researchers of our institution and then related to the respective projects in the system. We acknowledge that this information is likely to be incomplete, but believe that at the moment it is not feasible to obtain an exhaustive record of all the RCUK-funded publications that emerged from our institution via another method. In the report, journal articles and conference papers that have been identified by researchers as outcomes of a RCUK grant have been counted as “open access” if they have a publicly visible full text document (post-print or publisher’s PDF where permitted by publisher) attached to the Pure record. We are doing regular checking of the records and will undertake further advocacy to ensure that all the compliance criteria are met in the future. We are actively working to engage with academics to ensure that our Pure records are as complete as possible and we are optimistic that the next year’s reporting will include more open access items.

10. From 2008 onwards, all information about funding received from the RCUK has been recorded in Pure. Academics are actively encouraged to create relations between the outputs and the respective

grants in Pure; instructions can be found on the Royal Holloway website⁶ and all RCUK grant holders have received tailored emails on the importance of creating the relations between outputs and grants. Previously, Pure was used as the central tool for reporting to the Research Outcomes System, which was a strong incentive for academics to maintain their records up-to-date. However, this is likely to change due to the shift to ResearchFish⁷ and the lack of functionality for institutions to report to the RCUK on the academics' behalf.

Feedback on RCUK Open Access Policy Implementation

11. At Royal Holloway we are pleased with the level of compliance we reached for the first year of the implementation of the RCUK Open Access policy. During that time, the Open Access Team, which is based in the Library, has developed a close collaboration with the College's Research and Enterprise, the Office of the Vice Principal for Research, the Finance Department and other departments in the College to ensure that consistent advice is given to our research staff. To manage APCs, Royal Holloway has introduced an internal policy (approved by the Research Committee) on the administration of the RCUK block grant and was also a member of the Open Access Key⁸ (OAK) pilot project, a Jisc-funded service that hopes to ease the APCs process for UK Higher Education Institutions (HEIs).

12. Compliance with the policy was a challenging project, mainly for two reasons: firstly, we lacked previous experience and best practice on the matter as this task has not been attempted before in the whole of the UK. Secondly, the onus is on academics to upload data about their research onto Pure and create the links between funding and resulting outcomes, which means that some of the records might be incomplete. Thus, the integrity of available information directly depends on academic involvement, highlighting the importance of open access advocacy.

13. For the forthcoming year and in light of HEFCE's Policy on Open Access⁹ we have already organised a stronger advocacy on open access, where we plan to attend departmental research committee meetings in our institution to raise the issue of compliance with funders' policies. We will also continue to update the College's Research Committee on a regular basis. Furthermore, this summer, we have updated the library webpages, created new informative materials and handouts and are also working on establishing Research Data Management services¹⁰. Furthermore, we received funding from the European Union - funded project "Facilitating Open Science Training for European Research"¹¹ and will host an event on compliance with funders' policies this October.

⁶ <https://www.royalholloway.ac.uk/research/puresupport/researchgrants/createrelations.aspx>

⁷ <https://www.researchfish.com/>

⁸ <https://www.openaccesskey.com/>

⁹ <http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy/>

¹⁰ <https://www.royalholloway.ac.uk/library/researchsupport/researchdatamanagement.aspx>

¹¹ <http://www.fosteropenscience.eu/>

Appendix

Royal Holloway Open Access Block Grant Expenditure 2013 – 2014

During the period 1st April 2013 to 31st July 2014 Royal Holloway has spent:

Article Processing Charges Expenditure*

Publishing House	Journal Title	# of Articles	Total Spent excl. VAT (GBP)
Elsevier	Artificial Intelligence in Medicine	1	1,736
John Wiley & Sons	Ecology and Evolution	1	1,824
John Wiley & Sons	Journal of Animal Ecology	1	1,736
John Wiley & Sons	Journal of Child Psychology and Psychiatry	1	2,880
John Wiley & Sons	Journal of Applied Ecology	1	1,300
Oxford University Press	Bioinformatics	1	820
Royal Society	Philosophical Transactions of the Royal Society	2	1,680 1,340
Total:		8	13,316

Around the same period, we have committed to provide funds to the following forthcoming publications:

Forthcoming Publications Article Processing Charges Expenditure Allocation

Publishing House	Journal Title	# of Articles	Total Spent excl. VAT (GBP)
BioMed Central Ltd	BMC Plant Biology	1	1,300
Elsevier	Cognitive Psychology	1	1,800
European Geophysical Union	The Cryosphere	1	1,200
IEEE	Transactions on Geoscience and Remote Sensing	1	1,800
Total:		4	6,100

Forthcoming Colour/Page Charges Expenditure Allocation

Publishing House	Journal Title	# of Articles	Total Spent excl. VAT (GBP)
American Association for the Advancement of Science	Science Translational Medicine	1	1,300
American Society for Pharmacology and Experimental Therapeutics	Journal of Pharmacology and Experimental Therapeutics	1	1,200
MIT Press	Journal of Cognitive Neuroscience	1	1,800
Total:		3	4,300

Totals:

Payment type	Total Spent including VAT (GBP)
Royal Holloway University of London Block Grant	81,627
Paid Article Processing Charges	13,316
Forthcoming Article Processing Charges	6,100
Forthcoming Colour/Page Charges	4,300
Expenditure Subtotal:	23,716
VAT (20%)	4,743
Total balance of Expenditure:	28,459
Balance of Block Grant Remaining	53,168