



# **RCUK Open Access report 2014**

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## 1. Introduction

This report provides data on Northumbria University's compliance with RCUK's Open Access policy<sup>1</sup> within the context of the University's wider work to support Open Access as part of its mission to create and apply knowledge for the benefit of individuals and the economy through ground-breaking research<sup>2</sup>.

## 2. Open Access at Northumbria University

**2.1** Northumbria University has an established commitment to supporting Open Access (OA). In April 2014, the University Executive endorsed a new OA policy (see Annex 1) which supports a balanced approach to OA via both Green and Gold, including establishment of a central publication fund for APCs from 2013/14. The University has recently appointed a new Pro Vice-Chancellor (Research and Innovation), Professor George Marston, who intends to make OA compliance a priority.

**2.2** In addition to local capability and capacity building, the University Library and Research and Business Services are working jointly on two national projects to enhance the wider research environment and infrastructure; Northumbria University is the lead partner in one of the JISC OA Pathfinder<sup>3</sup> projects, and is part of the JISC and ARMA ORCID pilot<sup>4</sup>.

## 3. Support for Green OA at Northumbria

**3.1** Northumbria Research Link (NRL)<sup>5</sup>, the University's publication database and institutional repository, is managed by the University Library's Scholarly Publication Team, who support academic staff to record research output publication details and deposit full text according to University policy and in line with the external policies of funding organisations and publishers.

**3.2** As of 31<sup>st</sup> August 2014, NRL contained records of 13,481 outputs including full text for 3,315, and has received 1,140,787 page views and 425,151 downloads of OA full text.

## 4. Support for Gold OA at Northumbria

**4.1** In 2013/14 the University Library's Scholarly Publications team piloted a new Gold OA service, managing payment of Article Processing Charges (APCs) for 12 articles at the cost of £15,516.31 and three Royal Society of Chemistry Gold OA credits. A full list is provided in a separate spreadsheet (attached).

**4.2** The University Library is currently piloting a digital OA journal title publishing service using Open Journal Systems (OJS) from the Public Knowledge Project<sup>6</sup>. The first title from Northumbria's Faculty of Business and Law, the 'International Journal of Clinical Legal Education'<sup>7</sup> was published in July 2014.

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

<sup>2</sup> <https://www.northumbria.ac.uk/research>

<sup>3</sup> <http://oopathfinder.wordpress.com>

<sup>4</sup> <http://orcidnorthumbria.wordpress.com>

<sup>5</sup> <http://nrl.northumbria.ac.uk>

<sup>6</sup> <https://pkp.sfu.ca/ojs>

<sup>7</sup> <http://www.northumbriajournals.co.uk/index.php/ijcle>

## 5. RCUK OA compliance data

### 5.1 Accuracy

Northumbria University currently has no systems in place to link funding with output. Consequently, the data provided in 5.2 and 5.3 reflects the extent to which the University Library and Research and Business Services have been able to associate RCUK funding with captured outputs on a best effort basis through engagement with researchers and manual checking of acknowledgements in articles. The University is looking to implement a Current Research Information System (CRIS) in the near future which will facilitate compliance monitoring.

### 5.2 Financial accountability

The Year 1 RCUK APC grant to Northumbria University was £8,033. During the census period 1 April 2013 to 31 July 2014 no APCs were paid from the University's central publication fund, including the RCUK grant, for RCUK funded outputs where the PI was based at Northumbria (see table below).

<b>Expenditure</b>	<b>Credits</b>	<b>Debits</b>	<b>Balance</b>
RCUK APC grant	£8,033	-	-
Payments to publishers	-	£0	-
Reverse-charge VAT	-	£0	-
Total expenditure	-	£0	-
Balance	-	-	<b>£8,033</b>

### 5.2 Policy compliance

Published outputs resulting from RCUK funded research include 4 peer reviewed journal articles (see table below and Annex 2).

<b>RCUK OA policy compliance 1 April 2013 to 31 July 2014</b>	
i. The number of peer-reviewed research papers arising from research council funded research that have been published by researchers within that institution.	4
ii. Of these research council funded papers, the number that are compliant with the RCUK policy on Open Access by: a. The gold route b. The green route.	a. 0 b. 0
iii. And the number which have been published in a journal which is not compliant with the RCUK policy on Open Access.	2

Additional outputs from RCUK funded research at Northumbria include several book chapters and conference proceedings.

## **Annex 1 – Northumbria University Open Access Policy**

1. Northumbria University creates and applies knowledge for the benefit of individuals, communities and the economy, and recognises the value Open Access can bring to this mission.
2. Northumbria University supports an optimal balance of Green and Gold Open Access, in order to ensure maximum impact of Northumbria's research, and compliance with funder policies.
3. Northumbria University will achieve Green OA wherever possible via digital deposit of full text in the University's institutional repository Northumbria Research Link (NRL).
  - a. The accepted author manuscript of all journal articles and conference papers must be deposited in Northumbria Research Link (NRL) upon acceptance for publication.
  - b. Access to full text in NRL can be restricted to comply with publisher policies.
  - c. During periods of restricted access, or to provide users with the version of record, the NRL "request a copy" button may be used by external visitors.
  - d. The University Library will continue to develop NRL and related digital services to maximise OA at Northumbria.
4. Northumbria University supports Gold OA for selected articles by payment of Article Processing Charges (APCs) from the institutional publication fund.
  - a. The publication fund comprises revenue investment from the University, and APC funding as part of RGCI, including the RCUK block grant.
  - b. All journal articles and conference papers resulting from RCUK funding will be eligible for an APC payment.
  - c. All journal articles and conference papers resulting from research where APC funding was included in the award will be eligible for an APC payment.
  - d. Additional journal articles may be eligible to access this fund, subject to academic selection within Faculties.
  - e. All outputs subject to payment of an APC from the publication fund must be made available under the Creative Commons Attribution Licence (CC-BY).
  - f. The University Library administers the publication fund and provides expert practical guidance including on compliance with funder and publisher policies.
5. Research and Business Services will provide support, advice and guidance on expected costs of publishing, including APCs, and how these costs should be included in funding proposals, or claimed from the research funder at the earliest opportunity.
6. The University Library is committed to ensuring fair prices for APCs which should reflect the cost of journal subscriptions to Northumbria University. The University Library will monitor hybrid Gold costs for 'double-dipping' and negotiate with suppliers accordingly.
7. Northumbria University staff should inform external co-authors of this policy.
8. This policy will be reviewed annually and a report presented to the University's Research and Innovation Committee.

## Annex 2 – details of 4 journal articles published as outputs of RCUK funded research

1.

Shaw, K. (2014) ‘Our Friends in the North’: Responses to the Independence Debate in the North East and Cumbria’, *Scottish Affairs*, 23 (3), pp. 396-406.

**RCUK funding:**

ESRC ES/L001446/1

**Notes on compliance:**

Not published in OA format with the journal and appropriate accepted manuscript has not been deposited in institutional repository.

2.

Shaw, K., Robinson, F. and Blackie, J. (2014) ‘Borderlands: Rescaling economic development in Northern England in the context of greater Scottish autonomy’, *Local Economy*, 29 (4-5), pp. 412-428.

**RCUK funding:**

ESRC ES/L001446/1

**Notes on compliance:**

Not published in OA format with the journal and appropriate accepted manuscript has not been deposited in institutional repository.

3.

Williams, T. (2013) ‘Iterations: Days, walks, episodes, chapters, scenes’, *TEXT*, 17 (2).

**RCUK funding:**

AHRC AH/J007706/1

**Notes on compliance:**

Deposited in institutional repository but publishers policy toward archiving, including required embargo, is unknown.

4.

Williams, T. (2013) ‘The Writer Walking the Dog: Creative Writing Practice and Everyday Life’, *American, British and Canadian Studies*. pp. 224-238.

**RCUK funding:**

AHRC AH/J007706/1

**Notes on compliance:**

Published in an OA journal without appropriate Creative Commons licence.

This spreadsheet provides details of APCs made by the University Library as part of a pilot to support Gold OA at Northumbria University 2013/14.  
Scholarly Publications Team, University Library, September 2014  
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Date of initial application by author	Submitted by	University department	Affiliated author	Publisher	Journal	ISSN	Type of publication	Article title	Fund that APC is paid from (1)	Fund that APC is paid from (2)	Fund that APC is paid from (3)	Funder of research (1)	Funder of research (2)	Funder of research (3)	Grant number (1)	Grant number (2)	Grant number (3)	Date of APC payment	APC paid (actual currency) including VAT if charged	Currency of APC	APC paid (£) including VAT if charged	Additional costs (£)	Amount of APC charged to COAF grant (include VAT if charged) in £	Discounts, members hips & pre-payment agreements	Date of publication	DOI	PubMed Central (PMC) ID	PubMed ID	Licence	Correct license applied?	Problem-free open access publication?	Notes	
19/07/2013	Ian Postlethwaite	Engineering & Environment	Ian Postlethwaite	Taylor & Francis	International Journal of Control	0020-7179	Journal Article	Multi-Agent Motion Planning for Nonlinear Gaussian Systems	Institutional									01/07/2013	£1,788					10/09/2013	<a href="http://dx.doi.org/10.1080/002071713">http://dx.doi.org/10.1080/002071713</a>			CC-BY	Yes	Yes			
26/02/2014	Iain Sutcliffe	Health & Life Sciences	John Dean	Elsevier	Journal of Chromatography A	0021-9673	Journal Article	Evaluation and application of static headspace - multicapillary column - gas chromatography - ion mobility spectrometry for complex sample analysis	Institutional									25/03/2014	\$3300		£2,525.67			18/04/2014	<a href="http://dx.doi.org/10.1016/j.chroma">http://dx.doi.org/10.1016/j.chroma</a>			CC-BY	Yes	Yes			
26/02/2014	John Woodward	Engineering & Environment	Nick Rutter	Wiley	Journal of Geophysical Research	0148-0499	Journal Article	Snow stratigraphic heterogeneity within ground-based passive microwave radiometer footprints: implications for emission modeling	Institutional			Environment Canada	Canadian Space Agency					12/03/2014	\$3500		£2,118.12			13/03/2014	<a href="http://dx.doi.org/10.1002/2013JF">http://dx.doi.org/10.1002/2013JF</a>			CC BY-NC	Yes	Yes			
19/03/2014	Iain Sutcliffe	Health & Life Sciences	Christo Christov	Royal Society	Molecular BioSystems	0000-0000	Journal Article	How does conformational flexibility influence key structural features involved in activation of anaplastic lymphoma kinase?	Institutional										0			0		RSC Gold	19/03/2014	<a href="http://dx.doi.org/10.1039/C4MB">http://dx.doi.org/10.1039/C4MB</a>			CC-BY	Yes	Yes	RSC Gold Au-011883	
05/04/2014	John Woodward	Engineering & Environment	Antonio Moro	Elsevier	Annals of Physics	0003-4916	Journal Article	Shock dynamics of phase diagrams	Institutional									28/04/2014	\$2200		£1,388.34			01/04/2014	<a href="http://dx.doi.org/10.1016/j.aop">http://dx.doi.org/10.1016/j.aop</a>			CC BY-NC	Yes	Yes			
05/04/2014	John Woodward	Engineering & Environment	Antonio Moro	American Physical Society	Physical Review E	1539-3755	Journal Article	Mechanism of wave breaking from a vacuum point in the defocusing nonlinear Schroedinger equation	Institutional									14/04/2014	\$1700		£1,033.18			12/02/2014	<a href="http://dx.doi.org/10.1103/PhysRevE">http://dx.doi.org/10.1103/PhysRevE</a>			CC-BY	Yes	Yes			
24/04/2014	Iain Sutcliffe	Health & Life Sciences	Valery Kozhevnikov	Royal Society	Chemical Communications	1359-7345	Journal Article	Ditopic bis-terdentate cyclometalating ligands and their highly luminescent dinuclear iridium(III) complexes	Institutional										0			0		RSC Gold	01/04/2014	<a href="http://dx.doi.org/10.1039/C4CC">http://dx.doi.org/10.1039/C4CC</a>			CC-BY	Yes	Yes	RSC Gold Au-011872	
12/05/2014	Iain Sutcliffe	Health & Life Sciences	Marcus Durrant	Royal Society	Dalton Transactions	1477-9226	Journal Article	A computational study of ligand binding affinities in iron(III) porphine and protoporphyrin IX complexes	Institutional										0			0		RSC Gold	12/05/2014	<a href="http://dx.doi.org/10.1039/C4DT">http://dx.doi.org/10.1039/C4DT</a>	24846575		CC-BY	Yes	Yes	RSC Gold Au-011873	
18/07/2014	Iain Sutcliffe	Health & Life Sciences	John Dean	Elsevier	Analytica Chimica Acta	0003-2670	Journal Article	Bacteria detection based on the evolution of enzyme-generated volatile organic compounds: Determination of Listeria monocytogenes in milk samples	Institutional									21/08/2014	\$3300		£2,334.72			23/07/2014	<a href="http://dx.doi.org/10.1016/j.aca">http://dx.doi.org/10.1016/j.aca</a>	20		CC-BY-NC	Yes	Yes			
24/07/2014	John Woodward	Engineering & Environment	Neil Beattie	Elsevier	Solar Energy Materials	0927-0248	Journal Article	Analysis of InAs/GaAs quantum dot solar cells using Suns-Voc measurements	Institutional									04/08/2014	\$3300		£2,334.72			01/11/2014	<a href="http://dx.doi.org/10.1016/j.solmat">http://dx.doi.org/10.1016/j.solmat</a>			CC BY-NC	Yes	Yes			
29/07/2014	Francis Boyle	Health & Life Sciences	Francis Boyle	Scientific Research Society	Advances in Physical Education	2164-0386	Journal Article	A comparison of children's fitness in the Northwest and Southwest of England	Institutional									31/07/2014	\$750		£437.08			Awaiting publication									
15/08/2014	John Woodward	Engineering & Environment	Michael Deary	Elsevier	Ultrasonics Sonochemistry	1350-4177	Journal Article	Use of 24 kHz ultrasound to improve sulfate precipitation from wastewater	Institutional									09/09/2014	\$2200		£1,556.48			23/08/2014	<a href="http://dx.doi.org/10.1016/j.ultsonch">http://dx.doi.org/10.1016/j.ultsonch</a>	2014.08.01			No	No			
12/06/2014	Robert Burriss	Health & Life Sciences	Robert Burriss	PLOS	PLOS ONE	1932-620	Journal Article/Review	(Full OA journal)	Institutional										\$1350									CC-BY				Not yet submitted - funds need to be committed in advance	

