



**Open Access compliance and
financial report to RCUK
2015-16**

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1. Introduction

This report provides information in support of Northumbria University's compliance with the third year of RCUK's Open Access (OA) policy¹.

2. Open access at Northumbria University

Northumbria University's mission is to create and apply knowledge for the benefit of individuals and the economy through excellent research, teaching and innovation². In April 2014, the University Executive endorsed a new OA policy (see Annex 1) which supports a balanced approach via both Green and Gold routes, including establishment of a central institutional publication fund from 2013/14. The University's Pro Vice-Chancellor (Research and Innovation), Professor George Marston, has made OA a priority and leads Northumbria's strategy in this area.

Northumbria Research Link (NRL)³, the University's publication database and institutional repository, is managed by the University Library's Scholarly Publication Team, who support academic staff to record publication details and deposit full text according to University policy and in line with the external policies of all funding organisations and publishers. As of 7th September 2016, NRL contained records of 20,265 outputs including full text for 5,434, which have received 1,131,533 downloads to date.

As part of subscription management, and a commitment to offsetting the total cost of publication, the University Library has enabled the following APC discount and credit schemes as part of support for OA at Northumbria:

- IEEE open access deposit account
- Royal Society of Chemistry (RSC) 'Gold for Gold'
- JISC NESLi2 Taylor & Francis Journals OA offset agreement 2015-17
- Springer Compact.

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

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

³ <http://nrl.northumbria.ac.uk>

3. RCUK OA policy compliance

For the reporting year of 1st August 2015 – 31st July 2016, Northumbria University has achieved **92%** compliance with the RCUK OA policy. This is based on RCUK's preferred ideal of compliance measured using actual publications data.

i. The number of peer-reviewed research papers arising from research council funded research that have been published by researchers within that institution.	36
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. 30 b. 3
iii. And the number which have been published in a journal which is not compliant with the RCUK policy on Open Access.	0
Compliance with RCUK OA policy 2015-16	92%

Table 1 Northumbria RCUK OA policy compliance 1st August 2015 – 31st July 2016

The underlying mandatory information is provided as a separate Excel file 'Northumbria University RCUK OA year 3.xlsx' using the JISC common reporting template as required by RCUK⁴.

4. RCUK OA block grant financial accountability

For the financial year April 2015 – March 2016, Northumbria University spent **£37,529** on APC's for RCUK funded publications. This exceeds the 2015/16 RCUK block grant of **£10,785** and leaves a net balance at the end of financial Year 3 of - **£20,882**⁵. Detailed information and data regarding financial accountability is provided in the accompanying Excel file.

For the reporting year of 1st August 2015 – 31st July 2016, Northumbria University spent **£32,118** on APC's and page charges for RCUK funded publications.

No non-publisher costs have been returned as part of this compliance report as these costs are not supported by the block grant at Northumbria. Staff costs for all new and enhanced services to support scholarly publication and OA at Northumbria have been absorbed into

⁴ <http://www.rcuk.ac.uk/documents/documents/oa/rcukoareportingguidance-pdf/>

⁵ In line with RCUK guidance we are providing financial year period spend data for section D of the reporting template. In previous years we provided financial data aligned to the reporting year period, and in this report have subsequently amended figures for Year 1 and Year 2 accordingly.

existing University Library resource, and no roles or teams are dedicated solely to RCUK-related activity.

5. Estimated spend in Year 4

As required by RCUK we estimate financial year April 2016 – March 2017 spend on APCs for articles resulting from RCUK funded research to be **£41,336**. This is based on actual spend in Year 4 so far added to an estimate of spend for the remainder of the period based on the average cost of an APC to Northumbria for reporting Year 3 and an assumption that we will support at least as many published articles for Year 4 as for Year 3. On this basis a Year 4 block grant of **£62,218** would achieve a zero balance at the end of March 2017.

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.