

University of Oxford RCUK open access compliance report 2013-14

Introduction

The University of Oxford has made considerable progress in all areas of its open access (OA) programme. The University is fully committed to making its research as easily accessible as possible, specifically via OA as stated in the University Strategic Plan 2013-18¹:

“‘Oxford Open Access’ will enhance the Oxford Research Archive (ORA) as a permanent and secure online archive of research materials produced by members of the University. Copyright permitting, these materials will be made freely accessible by the Bodleian Libraries.”

Additionally, the University’s statement on OA² states that:

“The University of Oxford academic community is strongly committed to ensuring the widest possible access to its research.... The University encourages its researchers to provide Open Access to published research outputs, so that they are available online with the fewest restrictions on use.”

The University is therefore pleased to present the following summary of its achievements 2013/14 towards greater OA under the RCUK policy and block grant.

It should be noted that compilation of the compliance report (Item 2) has taken a significant amount of staff time. Sources of data were not easily available. The University began work compiling the report in May and June 2013 based on RCUK’s original proposal for the final report (communicated in March 2013) for the year April 2013 – March 2014. Some estimates have been provided to include the additional 4 months to 31st July 2014, as notified in the announcement from RCUK on 17th July 2014. Caveats and assumptions have been explained on each report below.

The University has made a separate submission to the Independent Review of the Implementation of the RCUK OA Policy.

Structure of the report

The report below is structured as follows:

1. Implementation and Compliance Programme
2. Compliance Data (Estimates and Methodology)
3. Financial report - Expenditure by publisher
4. Financial report - Other expenditure analysis
5. Financial report - Expenditure total

¹ https://www.ox.ac.uk/about/introducing_oxford/strategic_plan_201318/strategic_plan_4.html

² <http://openaccess.ox.ac.uk/wp-uploads/2013/03/Statement-on-Open-Access-at-the-University-of-Oxford-Approved-by-Council-on-11-March-2013.pdf>

1. Implementation and Compliance Programme

The University of Oxford adopted an approach that divided activities towards policy implementation and compliance under four main themes. Each is described below giving details of some the main areas that were tackled, the solutions that were adopted and major achievements.

Theme 1: Policies & communications

Two key policies underpinning the University's OA activities were adopted by the University's Research Committee in April 2013:

1. The University of Oxford's open access policy ('*Statement on Open Access at the University of Oxford*') and
2. The policy setting out the distribution and management of the forthcoming RCUK block grant, '*Allocating the RCUK Open Access Block Grant*.'

Both policies are available on the OAO website (<http://openaccess.ox.ac.uk>).

Communications are key to the adoption of OA across the University. Because Oxford is such a highly devolved and distributed institution, and research intensive, communicating OA messages present a number of challenges. The combined efforts of staff based in Research Services and the Bodleian Libraries have made huge strides in provision of information and guidelines for authors.

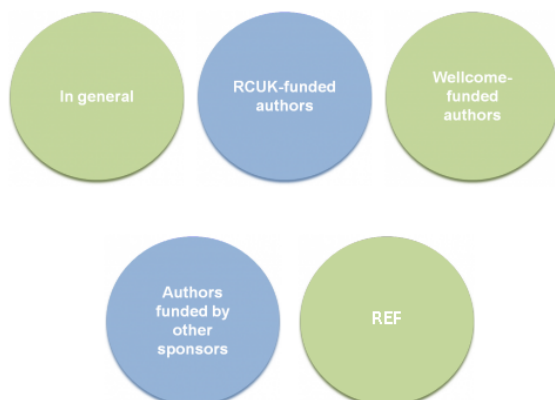
The OAO website continues to be extended with new site sections, FAQs and case studies. The OAO blog is regularly updated with current news and information and OAO Twitter account, @oa_oxford, is live. Pamphlets postcards and posters have been produced and are being distributed and there has been widespread publicity especially of training and information sessions.

Extract from Oxford's Open Access site:

What do I need to do?

Click on the below buttons to find out about particular Open Access requirements set by your research funder and in the case of RCUK and the Wellcome Trust, find out how to apply for funds from the Block Grants they provide to Oxford.

You are very welcome to seek advice via open-access-enquiries@bodleian.ox.ac.uk or via the Live Help button on the Contact Us page.



Useful Links

Applying to the RCUK Block Grant - [check eligibility and request funds for APCs](#)

RCUK Policy on Open Access - [Policy, Guidance and FAQ](#)

Live Help - [on the contact us page](#)

Sponsor Requirements - [Meet RCUK OA Requirements at Oxford](#)

Check funder & publisher OA requirements match - [via the Sherpa FACT tool](#)

Open Access via ORA – the Oxford University Research Archive



The network of Bodleian Libraries' subject specialists now provides a comprehensive training and information support programme.

In addition, subject librarians have held discussions and briefings, and attended departmental meetings across many academic departments.

This has significantly raised awareness, answered queries and concerns, and helped to disseminate information about OA.

Related Information

- Applying for funding from Oxford's RCUK Open Access Block Grant

- Decision Tree – Meeting RCUK Requirements for OA at Oxford (pdf and ppt documents)

- [illegible]



Bodleian LibGuides now include an extra tab on 'Open Access publishing.' These provide subject specific advice on the Open Access policies and requirements of key funding agencies for subject areas and key journals/publishers, and provide valuable subject specific information for Faculties/Departments. Subject Librarians keep the LibGuides updated.

Staff sourcing and adding full text items in ORA have uploaded over 1100 full-text files to the repository in addition to self-archiving. These staff have been enhancing item records to assist with author identification, Oxford affiliations, and funder information wherever possible.

Theme 3: Digital technologies to support OA

A comprehensive programme of work to improve and enhance the institutional repository (ORA), and its interoperation with other systems is underway. A data feed from the University's research outputs system, Symplectic to ORA has been set up. Two reviewers have been appointed to review and enhance records for full text deposits in ORA via Symplectic. Work has started on implementation of new deposit software that will provide a significantly improved review environment, much more robust technology, integration with the University's Core User Directory (CUD person directory), and new features such as the ability for depositors to edit their own items. As part of this work, improved workflows for deposit and review have been designed.

The numbers of items in ORA has increased from around 18,000 in 2012 to over 161,000 in September 2014. The numbers of freely available full text items has increased from around 6,800 to over 11,600. Discussions are underway with a number of academic departments about setting up synchronised feeds to ORA from existing departmental publications data stores.

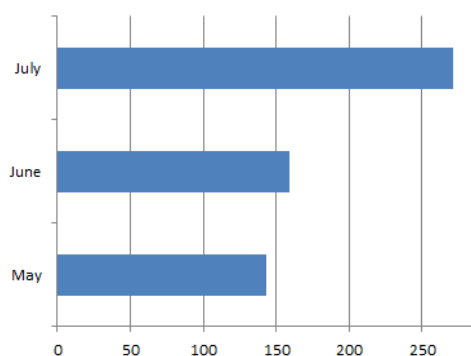
An extensive and flexible metadata model has been designed for the institutional repository which will also underpin other digital collections. There has been considerable work on underlying controlled vocabularies to improve data quality and consistency for better records and more accurate reporting. Controlled lists of Oxford departments, publishers and funders are progressing well and will be used in ORA and Bodleian research data services. The list of funders has been merged and normalised from a number of sources including existing names in ORA, X5 (Research Services' costing and pricing tool) and RIOXX, and the result imported to XML. We are monitoring developments in funder name authority such as FundRef. A decision has been taken to use FAST subject headings in ORA (derived by OCLC from Library of Congress headings) and this has been incorporated into the new deposit software. Some controlled terms are being stored in Fedora, and others are stored and made available in the Vocab.ox service to ensure they can easily be used by other parties. This service has been upgraded and made more robust. The University is in the process of implementing an *ORCID*s at Oxford service to link individual ORCID

The performance web usage statistics software used for ORA has been improved and the software upgraded to the latest version. Views and downloads per item are now displayed on each ORA item

Theme 4: Support for Gold OA

A form and procedures for Oxford authors applying for APC funding have been finalised and made available. The form enables data required for monitoring expenditure to be gathered for RCUK. A credit card has been set up to enable the Libraries to make rapid payment if required. A record of APC details is being maintained. There have been a steady number of APC requests. Uptake of the service has been affected by the large number of existing grants containing funds to pay for Open Access and other publication charges (see Oxford submission to independent review of RCUK OA policy).

The number of APC requests from the Block Fund is rising quite sharply:



Building expertise & services

Expertise and knowledge about OA has increased significantly over the last year across the many groups and individuals it affects at Oxford. The University has moved from a situation of low awareness, interest in and knowledge about OA, to one where authors, administrators, librarians and other support staff are increasingly familiar with the opportunities for OA and how current policies affect them.

2 Compliance Data (Estimates and Methodology)

The University of Oxford has used the figure of 665 items as the target for 45% compliance as indicated in the RCUK block grant allocation spreadsheet³. The figures below demonstrate that the University of Oxford exceeded the target figure.

	1 June 13 – 31 March 14	<i>Extrapolated figures</i>
Number of peer-reviewed research papers arising from research council funded research that have been published by Oxford researchers	2379 ^a	3331
Of those, number that are compliant via the gold route	522 ^b	731
Of those, number that are compliant via the green route	148 ^c	207
Number of papers which have been published in a journal which is not compliant with the RCUK OA policy	X ^d	X
Total OA	670^c	938

Caveats and clarifications

Best efforts have been made to generate a meaningful report: figures have been difficult to ascertain.

Data for the report was gathered and manipulated in May 2014 according to details provided by RCUK (draft, July 2013). Staff resource was not available to extend the data to July 2014. Calculations have been made to extrapolate the collated data for the additional 4 months (April – July 2014).

Notes:

- a) This figure was obtained by collating, de-duplicating and normalising data from a number of sources. The core dataset was created using Web of Science. Other sources included ROS and Researchfish. Data were of mixed quality and limits were set with the aim of obtaining a meaningful figure. It is entirely possible that the figure should be higher. There were too many records to undertake any comprehensive checking as it was too labour intensive
- b) This figure includes the total number of articles for which APCs were paid (section 1a) and items that had a journal title or ISSN that could be checked against DOAJ. There was a group of items that did not have adequate details to check against DOAJ and so it is unknown whether they are OA or not. 'Hybrid' journals were not identified so some OA items may have been missed.
Two assumptions were made: i) any item reported in Researchfish and tagged 'MRC' is OA because of the MRC OA requirement and ii) the date submitted is unknown; the report therefore comprises publications with 'date published' from June 2013.
A significant amount of staff time was involved to check OA status, accurate date of publication etc.
- c) This figure comprises items in ArXiv (obtained via Symplectic), CERN and ORA. There are an additional 180 items that have records in ArXiv or PMC which may also be valid. They weren't checked at the time due to lack of grant number confirming RCUK award, but may possibly be added towards the total

³ Available at http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUK_APCfundDistribution.pdf

It was assumed if a paper was published in ArXiv it is compliant OA although we were unable to ascertain the exact version without a significant amount of labour intensive work.

Includes 36 items in the CERN repository which are assumed compliant.

- d) Items that were processed via the Bodleian APC route have been checked for OA status and licence. This is currently a resource intensive task and not scalable. Other items retrieved and sorted by machine have not been thoroughly checked because of lack of staff capacity, so we are not confident with the figures. The range of papers published in non-compliant journals is somewhere between 1 and 1709 (extrapolated to 2393).

3. Financial report

Expenditure by publisher

Publisher	No of articles	Spend
ACM Association for Computing Machinery	1	£1,063.25
American Chemical Society	25	£57,047.68
American Physical Society	2	£1,074.20
American Society for Biochemistry and Molecular Biology	1	£1,683.29
BioMed Central	8	£12,905.52
Cambridge University Press	2	£3,986.64
Cell Press	3	£9,481.99
Copernicus Publications	2	£1,734.52
Ecological Society of America	1	£750.00
Elsevier	21	£36,971.33
Frontiers	4	£4,264.86
Geological Society of America	1	£1,754.72
Impact Journals	1	£1,930.55
Institute of Physics	3	£2,493.48
Maney Publishing	1	£500.00
National Academy of Sciences of the United States of America	1	£3,008.91
Nature	4	£15,166.00
Optical Society of America	1	£1,365.51
Oxford University Press	4	£6,765.00
Paleontological Society	1	£1,492.11
PLOS	11	£14,618.11
Royal Society	8	£14,722.40
Royal Society of Chemistry	2	£4,320.00
SAGE	1	£1,920.00
Scientific Research	1	£248.42
Society for Leukocyte Biology	1	£1,512.41
Springer	3	£5,330.19
Taylor and Francis	1	£2,145.60
Wiley	22	£52,603.22
TOTAL	137	£262,859.91

A number of articles resulting from RCUK research funding were published OA during the reporting period where APCs were paid from the BIS pump-priming:

Publisher	Number of articles resulting from RCUK funded research	Cost (£) Paid from BIS pump-priming
Public Library of Science	1	£1,038.58
Institute of Physics and IOP Publishing	1	£711.48
Public Library of Science	1	£1,040.55
Elsevier	3	£6,142.67
Wiley-VCH	1	£5,576.33
Springer	1	£2,243.97
TOTAL spent from BIS pump-priming fund	8	£16,753.58

Caveats and clarifications

- a) The figures presented here do not reflect the University's overall OA publication of RCUK funded research outputs. Oxford authors have published over 670 RCUK OA publications which exceeds the RCUK target figure of 665 publications (figure stated by RCUK in the block grant award spreadsheet⁴).
- b) Most of the APCs (533 of the 670 reported OA articles – see compliance report below) have been paid for from existing awards. RCUK guidance is clear that where such funding had been allocated, the award should be used and not the block grant. (Policy Para 3.12 (iii))
- c) In November 2012 the University was awarded a significant sum as part of the BIS OA pump-priming initiative. These funds were used to pay for 8 RCUK APCs (in addition to non-RCUK APCs) and for a large proportion of the early groundwork on OA at Oxford. This fund has now been completely spent.
- d) APCs for 15 articles in Royal Society of Chemistry journals were arranged using vouchers with no cost to RCUK
- e) We expect that as the numbers of APCs paid for on existing grants reduces over time, the numbers of applications for APC funding from the block grant will increase (see Oxford submission to independent review of the implementation of the RCUK OA policy).

⁴ See http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUK_APCfundDistribution.pdf

4. Financial report

Other expenditure analysis

Other expenditure to achieve OA By OA Program Theme	Amount (£)	Description
A) Policies & Communications	72,971	Adoption and review of OA policy. Consultation and communication across the academic community. Ensuring timely and accurate information for authors with sources of support. Compiling reports for RCUK.
B) Training and guidance and dissemination enhancement	27,748	Training and help for authors across disciplines. OA 'WISER' training continues to be well attended. On-going and popular OA support services delivered by Subject Librarians and co-ordinated by OA Subject Librarian. Staff sourcing and adding full text files to the University's institutional repository, the Oxford University Research Archive (ORA).
C) Digital technologies and services to support OA	96,184	Significant improvement to robustness of archive technologies, redesign of metadata scheme; integration with existing University profile system; data cleaning and enhancement including controlled vocabularies; co-ordination with research data activities to link publications and data. Growth of review team to assist researchers and receive OA copies, check copyright compliance, and metadata enhancement for legal compliance.
D) Support for Gold OA	26,293	A successful APC processing service has been set up staffed by a single APC Assistant. Includes checking compliance of RCUK items, OA publication, CC-BY licence. Demand is expected to grow in short-mid term. Scalability for the future is a concern when dealing individually with multiple publishers.
Total other expenditure	223,195	

Notes

- i. In March 2013 the University's Research Committee agreed that 20% of the RCUK block grant would be assigned to support non-APC OA activities. An extensive amount of work has taken place in this area since the policy was introduced. The entire 20% of both 2013/14 and 2014/15 block grants have been fully allocated towards OA support at Oxford to 31st March 2015.
- ii. It should be noted that many costs for initiating the OA programme and incurred during the period 2013-14 were met by the OA pump-priming grant awarded by BIS and which had to be spent by end July 2014.
Staff hired on short term contracts and seconded or allocated to support the OA programme include: OA Programme Manager; APC Assistant; APC Service Manager; ORA Research Archive Assistant; Technical development staff; OA Communications Manager; Publications Application Support; OA Subject Librarian; Metadata Assistants; Research Archive Librarian; Senior staff to drive through strategy and policy.

5. Financial report

Expenditure totals

Sub-total paid to publishers	£262,859
Sub-total of other expenditure	£223,195
[A] Total spend	£486,054
[B] RCUK block grant 13/14	£1,102,549
Balance of block grant remaining [B – A]	£616,495

Notes

- a) The vast majority of APCs for Oxford authors over the past year were paid from were funded from RCUK grants awarded pre 1 April 2013. These costs do not show here as they were met from research grants not the Block Fund.
- b) The sum remaining will be used in support of the University's continuing drive towards RCUK OA compliance.
- c) The scale of the operation at Oxford is significant. It has taken time for the OA programme to become embedded, and there is still considerable work to do to increase efficiencies to enable compliance and reporting for RCUK.