

Supporting information for the Sep 6th, 2022 Library Finance Committee Meeting

This end-of-Aug'2022 report explores the evolution in the number of APCs paid in past months together with the impact of the R&P deals that Strathclyde runs. The monthly figures below include the usual stats plus a number of additional considerations under 'Other issues' below:

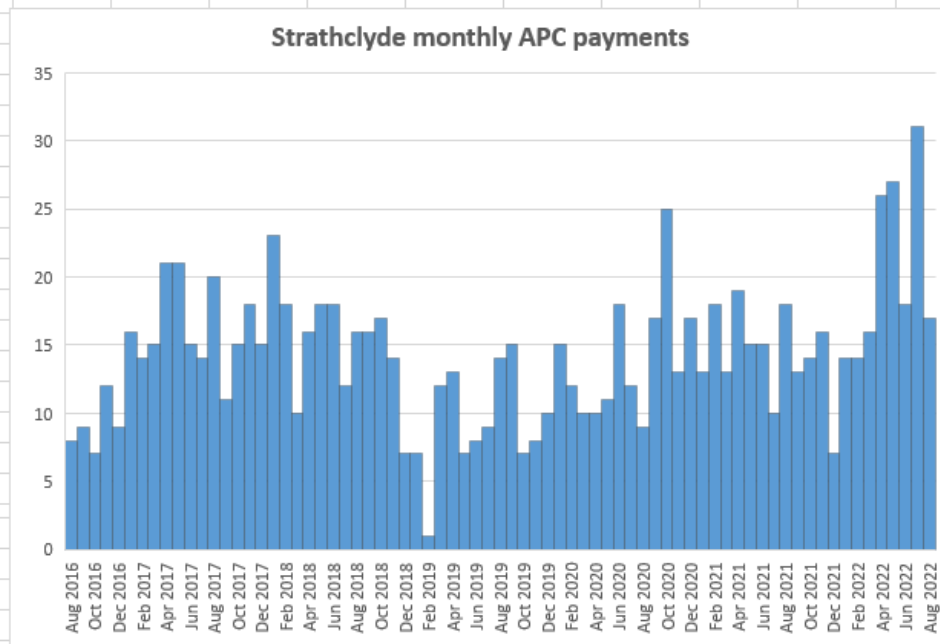
- Total number of funded APCs
- Funded APCs by department/school
- Funded APCs by publisher
- Monthly number of articles published Gold OA under the Springer Compact
- Distribution of Springer Compact articles by department/school
- Monthly number of articles published Gold OA under the Elsevier R&P deal
- Monthly number of articles published Gold OA under the ACS R&P deal
- Monthly number of articles published Gold OA under the Wiley R&P deal
- Monthly number of articles published Gold OA under the Taylor & Francis R&P deal
- Institutional Open Access Fund (IOAF): a snapshot

Other issues:

1. Reporting of UKRI block grant expenditure for Year 9 complete
2. Q2 2022 VAT surcharge invoice for Taylor & Francis R&P deal pending
3. Sep 13th Wellcome Trust workshop in London

Number of APCs paid per month (historical view as of Sep 1st, 2022)

Number of APCs paid per month (historical view as of Sep 1 st , 2022)							
APC payments							
Month	APCs paid (year)						
	2016	2017	2018	2019	2020	2021	2022
Jan		16	23	7	15	13	14
Feb		14	18	1	12	18	14
Mar		15	10	12	10	13	16
Apr		21	16	13	10	19	26
May		21	18	7	11	15	27
Jun		15	18	8	18	15	18
Jul		14	12	9	12	10	31
Aug	8	20	16	14	9	18	17
Sep	9	11	16	15	17	13	
Oct	7	15	17	7	25	14	
Nov	12	18	14	8	13	16	
Dec	9	15	7	10	17	7	
Annual total	45	195	185	111	169	171	163



Note. The number of monthly APC payments (UKRI) in July & Aug 2022 was respectively **31** and **17**. The first one is a historical maximum, same as it was recorded for May and Apr, while Aug has meant a return to lower values during the summer break. This succession of historical maximums is mostly due to the ever growing impact of the Read & Publish deals, whose number keeps steadily growing.

As a result of this, most of the Gold OA workflows these days do not require individual APC payments, but are instead achieved via R&P deals. Although the Publish side of the R&P deals is being regularly charged to the UKRI block grant, the decrease in the number of APC payments may have an impact on the annual expenditure.

Distribution of APC payments by department (historical view as of Sep 1st, 2022)

Department	Aug-Dec'16	Jan-Dec'17	Jan-Dec'18	Jan-Dec'19	Jan-Dec'20	Jan-Dec'21	Jan-Dec'22	Total
EEE	13	19	28	12	29	34	31	166
Physics	5	31	28	18	22	21	25	150
SIPBS	7	26	26	20	28	14	18	139
Pure Appl Chem	4	21	16	5	24	22	22	114
Civil Environm Eng	5	11	11	7	3	9	4	50
DMEM	1	15	12	8	4	3	3	46
Maths & Stats	2	10	14	12	14	8	5	65
Chemic Process Eng	3	6	5	1	7	10	11	43
Biomed Eng	2	7	7	8	4	6	7	41
Mechan Aerosp Eng	3	12	14	7	6	10	7	59
Inst Photon	0	7	9	5	8	2	1	32
Mgt Sci	2	2	1	0	1	2	0	8
Work Employ Org	0	0	0	1	0	1	2	4
Sch Govern Pub Pol	1	4	3	1	2	5	7	23
Comput Inf Sci	1	1	1	0	3	3	2	11
Sch Hums	1	2	3	2	4	3	0	15
Naval Arch	2	8	5	0	3	10	10	38
Econ	0	1	0	0	1	1	3	6
Soc Work Soc Pol	0	3	1	0	1	2	1	8
Law	0	4	0	0	0	1	2	7
Sch Psych Sci Health	0	0	1	1	3	2	1	8
Eur Pol Res Cent	0	0	0	1	0	0	0	1
Inform Serv	0	0	0	1	0	0	0	1
Education	0	0	0	0	1	2	1	4
TOTAL	52	190	185	110	168	171	163	1039

Note. The end-of-Aug'22 APC figures show EEE, Physics, PAC and SIPBS as the departments with the largest figures of Gold OA UKRI-funded publications in 2022. While SIPBS retains its historical 3rd place in the classification for best-funded depts for Gold OA, PAC (2nd last year, 3rd this year) is greatly benefitting from the R&P deals. The distribution for UKRI-funded Gold OA papers keeps showing a strong bias towards depts in the Sciences and Engineering disciplines.

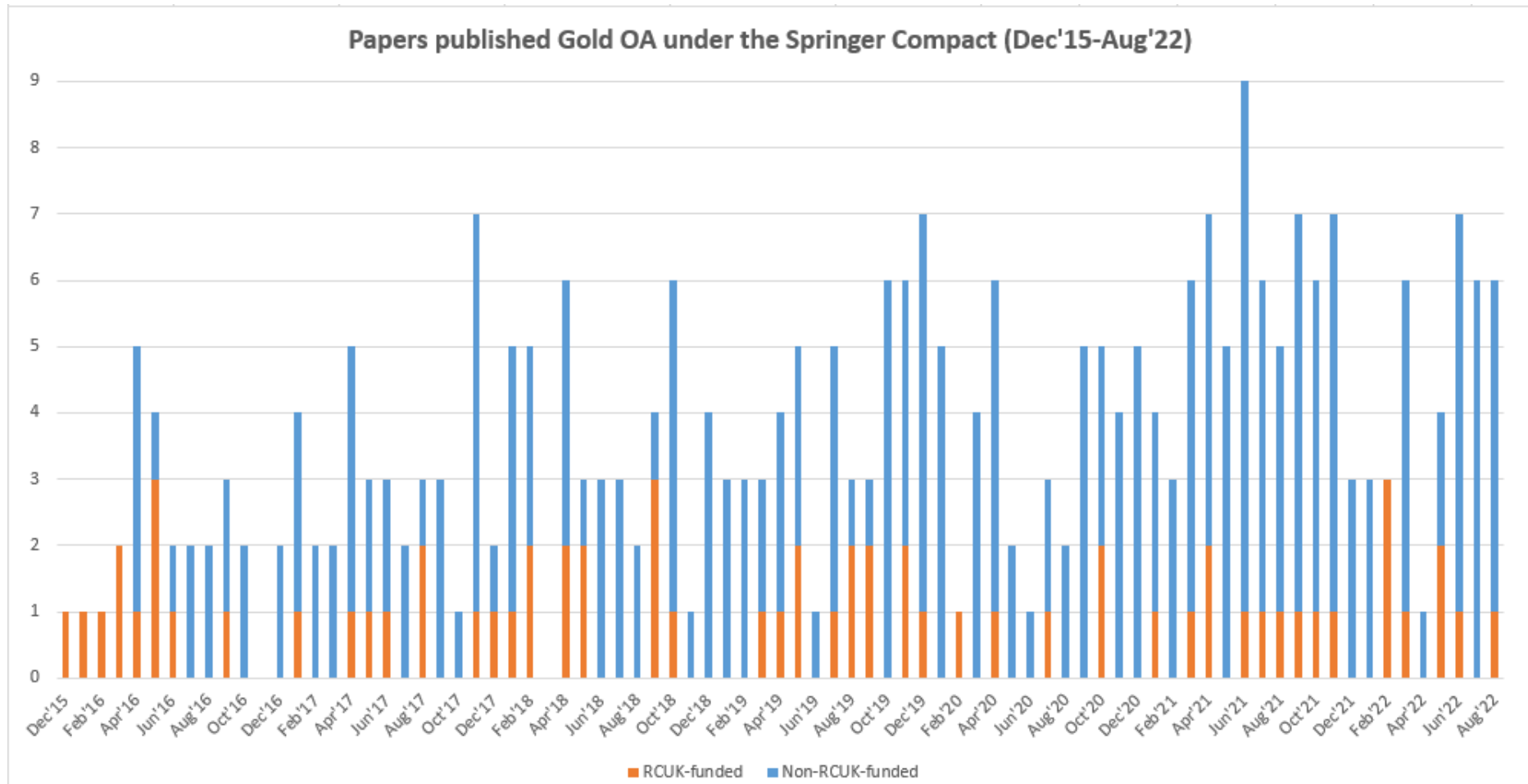
Distribution of APC payments by publisher (historical view as of Sep 1st, 2022)

Funded APCs by publisher	Aug-Dec'16	Jan-Dec'17	Jan-Dec'18	Jan-Dec'19	Jan-Dec'20	Jan-Dec'21	Jan-Dec'22	Total
Elsevier	16	64	53	8	15	6	8	170
Elsevier (R&P)	0	0	0	0	0	0	26	26
IEEE	8	12	11	8	16	15	5	75
American Chemical Society	4	12	12	2	1	0	4	35
American Chemical Society R&P	0	0	0	11	20	16	10	57
Nature Publishing Group	4	12	14	8	6	5	7	56
Wiley	4	12	15	8	4	1	0	44
Wiley R&P	0	0	0	0	18	21	23	62
Institute of Physics	2	9	4	3	3	5	0	26
Institute of Physics R&P	0	0	0	0	10	5	8	23
RSC	2	8	5	0	2	2	2	21
RSC R&P	0	0	0	0	1	8	3	12
Taylor & Francis	2	7	3	4	7	0	0	23
Taylor & Francis R&P	0	0	0	0	0	9	4	13
American Institute of Physics	1	5	4	1	1	2	1	15
AIP (R&P)	0	0	0	0	0	0	2	2
American Physical Society	1	4	4	2	2	0	0	13
The Royal Society	0	0	0	1	1	0	0	2
The Royal Society (R&P)	0	0	0	0	0	0	5	5
Microbiology Society (R&P)	0	0	0	0	0	1	2	3
Optical Society of America	1	8	9	11	11	7	7	54
Oxford	1	4	5	0	0	0	0	10
OUP (R&P)	0	0	0	0	0	1	0	1
Springer (Compact)	1	8	14	11	5	10	7	56
Springer (paid)	0	1	0	0	1	1	0	3
Cambridge	0	5	3	1	2	0	0	11
Cambridge (R&P)	0	0	0	0	0	4	5	9

Institution of Engineering and Technology	0	2	2	0	0	2	0	6
AAAS	0	1	1	0	1	0	0	3
Frontiers	0	2	1	4	7	6	3	23
National Academy of Sciences	0	1	0	0	0	0	0	1
Geological Society London	0	1	0	0	0	0	1	2
SAGE	0	1	2	0	2	1	0	6
SAGE R&P	0	0	0	0	3	6	1	10
British Editorial Soc of Bone and Joint	0	1	0	0	0	1	0	2
Joule Inc (Canadian Medical Assoc)	0	1	0	0	0	0	0	1
MDPI	0	5	9	10	20	30	24	98
ASBM	0	1	1	0	1	0	0	3
American Physiological Soc	0	0	1	0	0	0	0	1
Am Soc Microbiology	0	0	2	0	1	0	2	5
BMJ	0	0	2	1	0	0	0	3
Oncotarget	0	0	1	0	0	0	0	1
Soc Naval Archirects Korea (SNAK)	0	0	1	0	0	1	0	2
SIAM	0	0	2	3	2	0	0	7
FASEB	0	0	1	0	0	0	0	1
PLoS	0	0	1	1	0	1	0	3
Hindawi	0	0	0	2	0	0	0	2
IUCr	0	0	1	0	0	0	0	1
Copernicus	0	0	0	3	1	3	1	8
European Soc Medicine	0	0	0	0	0	1	0	1
Wageningen Univ Press	0	0	0	0	0	0	1	1
Hylonome Publications	0	0	0	0	0	0	1	1
eLife	0	0	0	0	2	0	0	2
TOTAL	52	190	185	110	168	171	163	1039

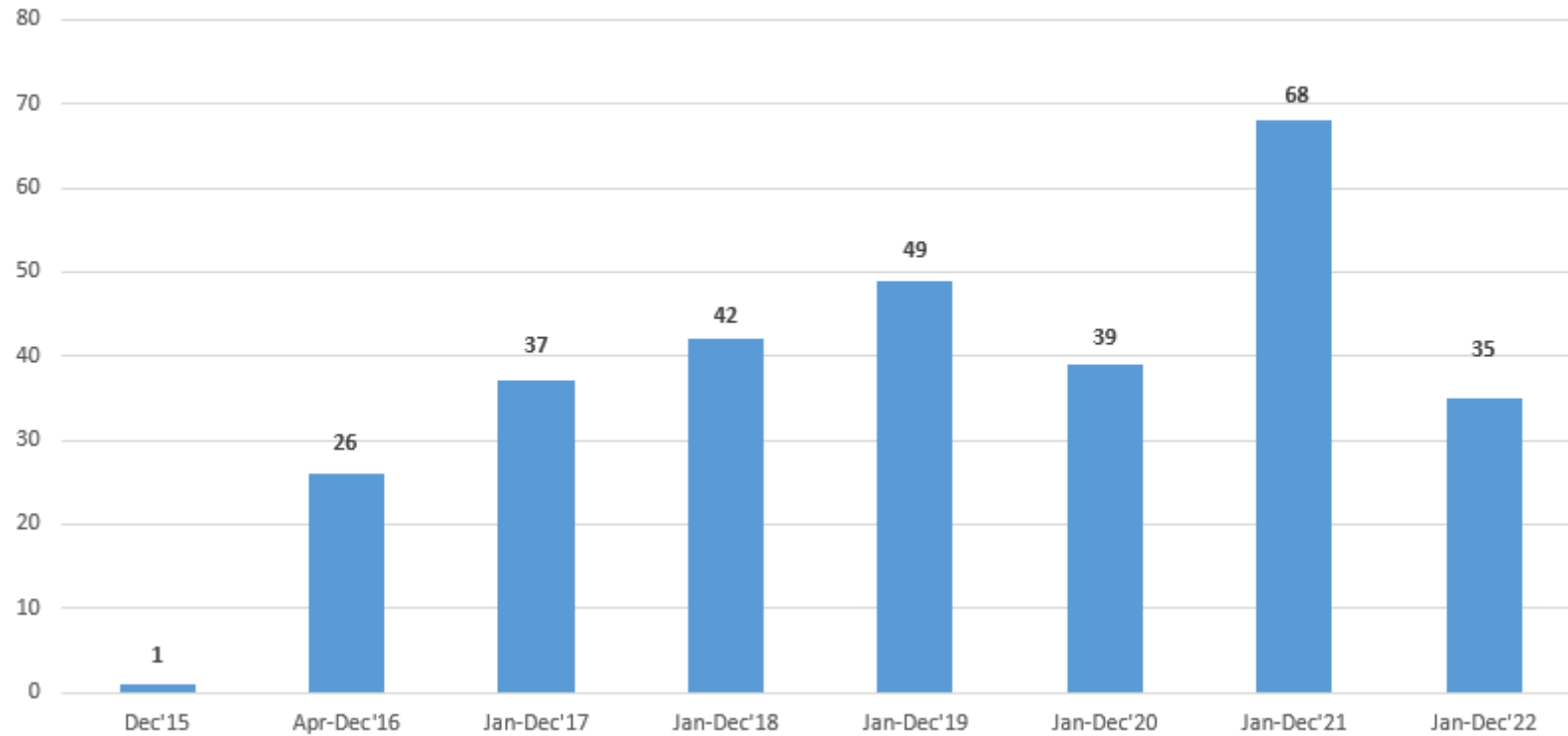
Note. The 2-page distribution of APC payments by publishers shows a strong impact of the R&P deals, esp those for Elsevier and Wiley. Five months after the deal was first introduced, the Elsevier R&P deal is already the most important Gold OA publishing channel, closely followed by the Wiley deal. MDPI remains the most successful fully OA publisher (charging mandatory APC fees) with similar figures to the two mainstream R&P deals.

Funded requests via Springer Compact (historical view as of Sep 1st, 2022)



Note. July and August have again seen high figures for Gold OA papers funded under the Springer Compact after the *impasse* earlier in the year. The annual uptake for this R&P deal remains lower than in 2021 but it's starting to recover and it's likely to surpass the values for 2019 (see annual figures below).

Strathclyde papers published Gold OA under Springer Compact (Dec'15-Aug'22)



The 'historical' distribution of UKRI-funded papers against the total number of outputs published Gold OA under the Springer Compact is 65 over a total of 302, which means a **21.5%**. While this is not a particularly high figure, it is high enough to justify the payments made for this R&P deals from successive UKRI block grants.

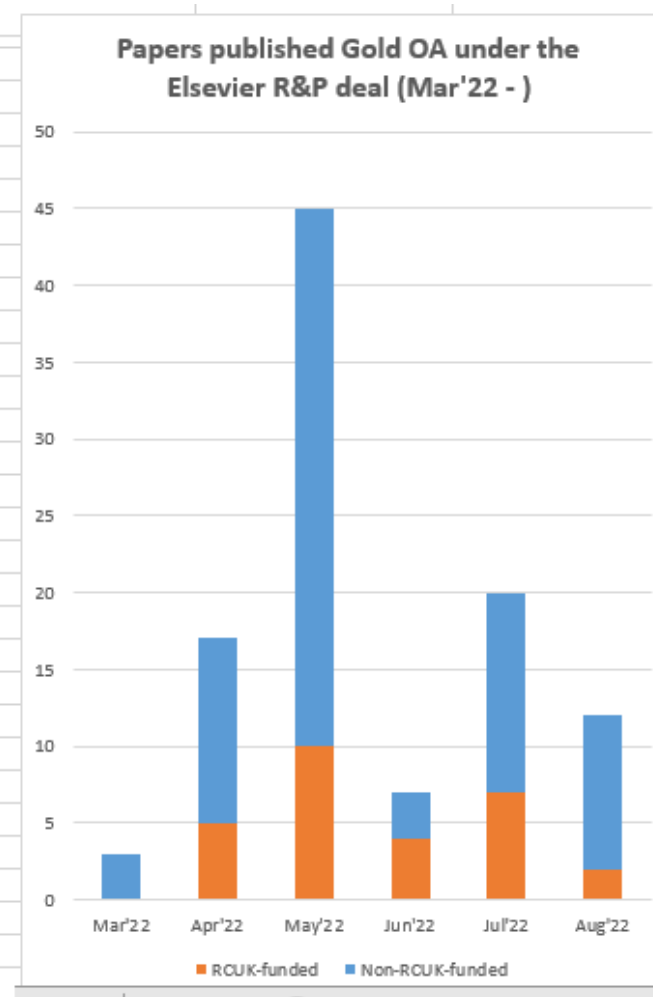
Funded Gold OA requests via Springer Compact by department (historical view as of Sep 1st, 2022)

Department	Dec'15	Apr-Dec'16	Jan-Dec'17	Jan-Dec'18	Jan-Dec'19	Jan-Dec'20	Jan-Dec'21	Jan-Dec'22	Total
Maths & Stats	0	5	4	5	6	4	2	5	31
Civil Environm Eng	0	5	4	3	5	3	6	4	30
Mechan Aerosp Eng	1	2	5	1	3	6	13	2	33
DMEM	0	1	4	8	6	6	14	4	43
Biomed Eng	0	1	1	5	1	1	2	3	14
Education	0	2	0	3	2	0	3		10
EEE	0	0	3	2	4	2	4		15
Pure Appl Chem	0	1	2	0	1	0	0	2	6
Sch Soc Work Soc Pol	0	1	2	0	0	0	0		3
Management Science	0	1	2	0	0	0	2	2	7
SIPBS	0	0	3	2	3	3	6	1	18
Psychology	0	0	3	1	1	0	4	2	11
NAOME	0	0	1	2	7	6	3	3	22
Economics	0	0	0	4	0	1	0		5
Spanish	0	1	0	0	0	0	0		1
Physical Activity for Health	0	0	0	0	0	0	0	1	1
Hunter Centre for Entrepreneurship	0	1	1	0	1	0	1		4
Advanced Forming Research Centre	0	1	0	0	3	2	0		6
Journalism	0	1	0	0	0	0	0		1
Comp Inform Sci	0	1	1	0	1	0	0	3	6
Accounting and Finance	0	1	0	0	0	1	2		4
Law	0	1	0	0	1	1	0		3
Physics	0	0	0	2	1	0	1	1	5
Chemic Process Eng	0	0	0	2	2	3	2		9
Architecture	0	0	1	0	0	0	0		1
Inst Photon	0	0	0	0	0	0	0		0
History	0	0	0	0	0	0	3		3
Politics	0	0	0	2	1	0	0	2	5
	1	26	37	42	49	39	68	35	297

Note. So far Maths & Stats is the department with the highest number of Springer Compact publications this year followed by CEE and DMEM. It's interesting to see departments such as Physical Activity for Health getting their first ever Springer Compact Gold OA paper. The presence of departments and schools in the HaSS and the SBS provides the usual more balanced distribution for this R&P deal.

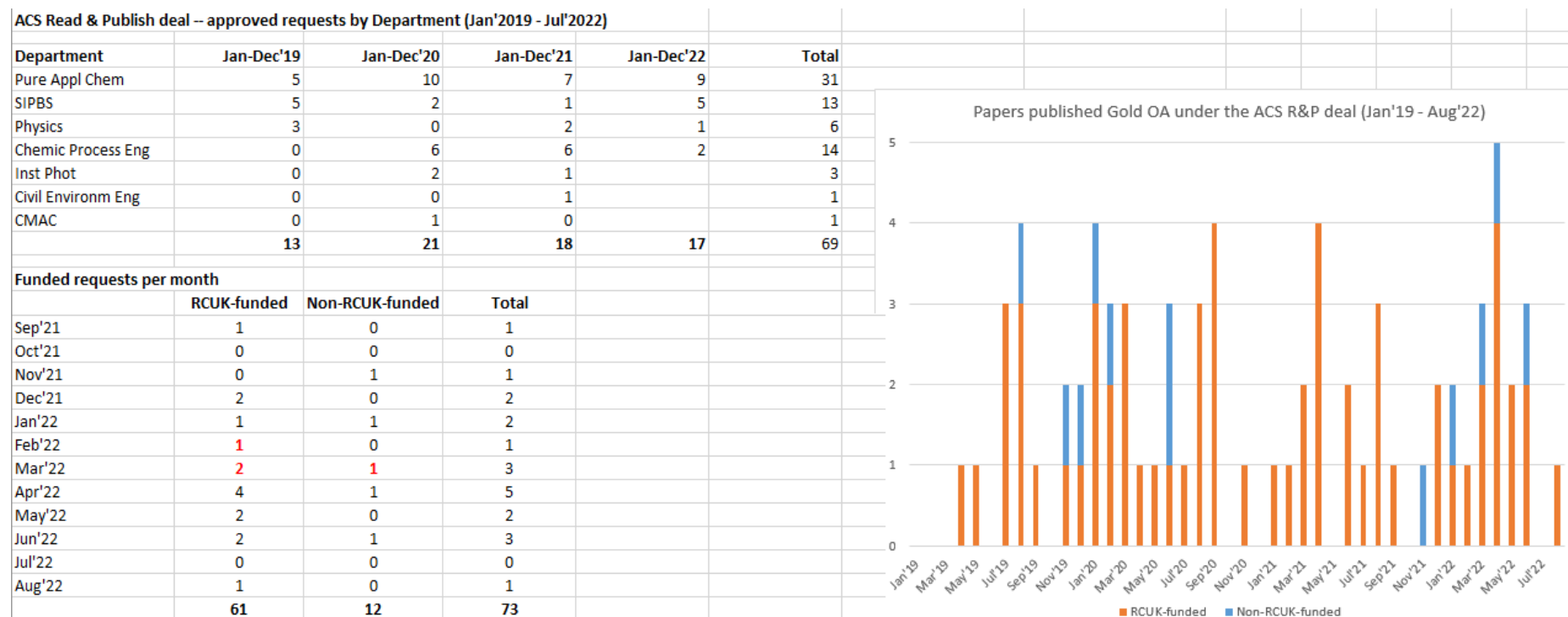
Funded requests via the Elsevier R&P agreement (view as of Sep 1st, 2022)

Elsevier Read & Publish deal -- approved requests by Department (Mar'2022 -)			
Department	Mar-Jun'22		Total
Pure Appl Chem	7		7
SIPBS	3		3
Maths & Stats	2		2
Mech Aerosp Eng	7		7
NAOME	32		32
Biomed Eng	3		3
Politics	3		3
Inst Photon	1		1
CEE	7		7
SBS	8		8
Politics	2		2
Comput Inform Sci	1		1
Chem Proc Eng	4		4
DMEM	6		6
EEE	12		12
Architec	2		2
Soc Work Soc Pol	1		1
Mgt Sci	1		1
Educ	2		2
	104		104
Funded requests per month			
	RCUK-funded	Non-RCUK-funded	Total
May'22	10	35	45
Jun'22	4	3	7
Jul'22	7	13	20
Aug'22	2	10	12
Total	28	76	104



Note. The R&P deal with Elsevier has already become the most successful one this year with over 100 Gold OA papers in five months. The figures for July and Aug 2022 show a return to strong values after a somewhat lower June figure. Naval Architecture (32) is by far the department that has seen the highest uptake for this deal – almost a third of all Gold OA papers are NAOME – followed by EEE (12) and MAE, CEE and PAC (7).

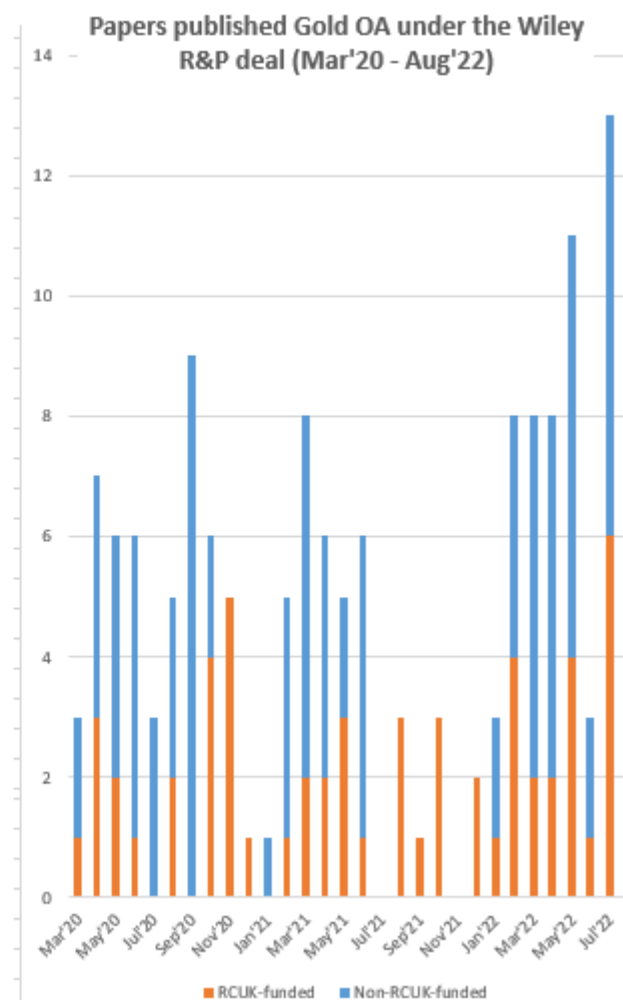
Funded requests via the ACS R&P agreement (historical view as of Sep 1st, 2022)



Note. The ACS R&P deal has seen little uptake in July and Aug 2022. This is part of the normal monthly fluctuations – the number of Gold OA funded papers in ACS titles in 2022 is already almost as high by the middle of the year as it was for the whole of 2021. Pure and Applied Chemistry is the Department benefitting the most from this deal. Most papers (83.5%) funded for Gold OA under this agreement are UKRI-funded, which makes it unique among all the R&P deals.

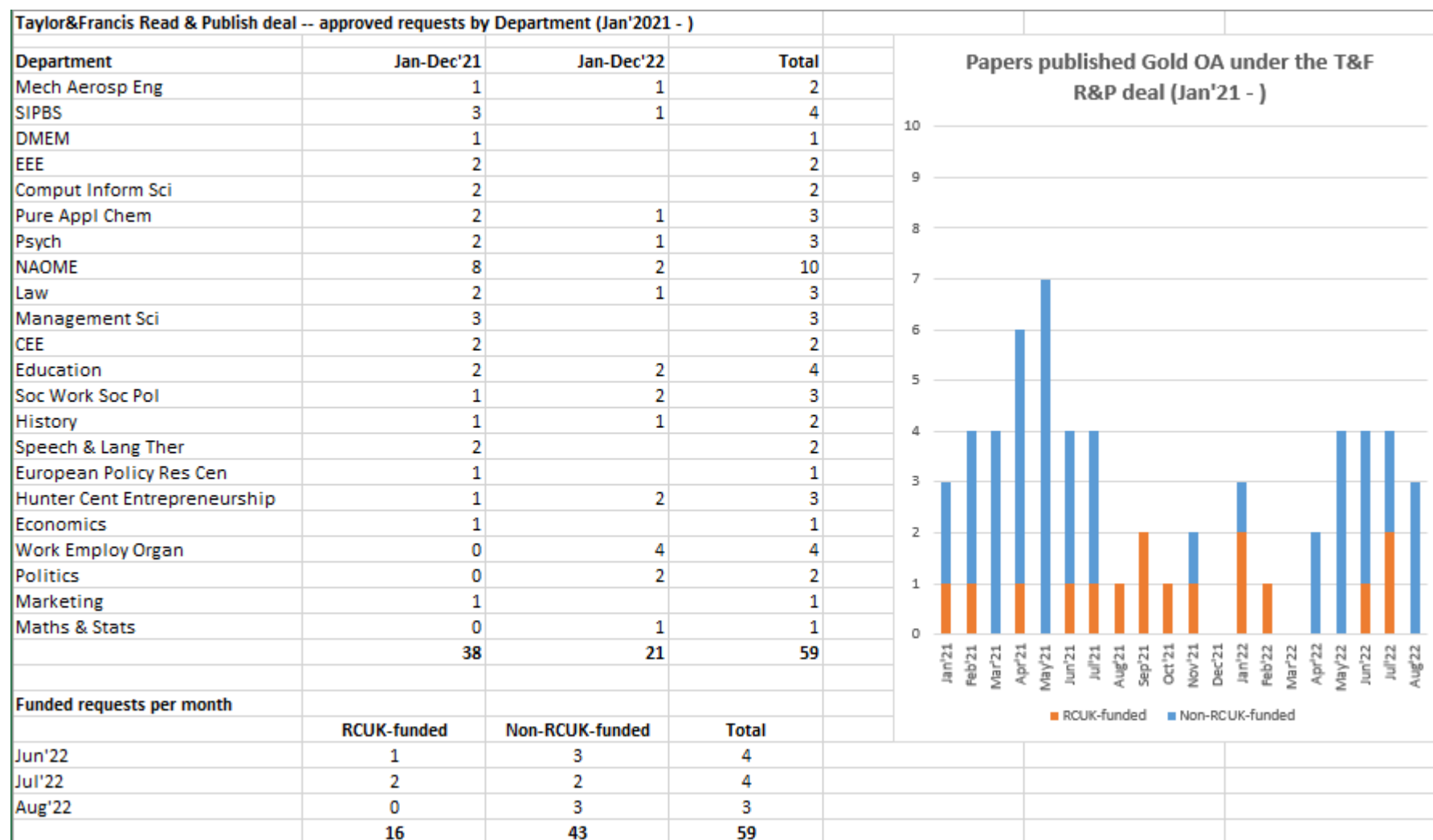
Funded requests via the Wiley R&P agreement (historical view as of Sep 1st, 2022)

Wiley Read & Publish deal -- approved requests by Department (Mar'2020 - Aug'2022)				
Department	Mar-Dec'20	Jan-Dec'21	Jan-Dec'22	Total
Pure Appl Chem	13	5	10	28
SIPBS	9	4	1	14
Maths & Stats	5	0		5
Mech Aerosp Eng	1	0		1
Politics	4	5	5	14
Comp Inf Sci	2	2		4
Psych	4	2	5	11
Speech Lang Ther	1	0		1
Law	1	0	3	4
Work, Employ & Organ	1	0	6	7
Educ	5	5	3	13
Econ	0	0	4	4
History	0	0	1	1
Phys Act Health	2	0		2
Physics	1	2	1	4
CEE	1	1	1	3
SBS	1	0	3	4
Mgt Sci	0	2		2
Soc Work Soc Pol	0	2		2
Chem Proc Eng	0	1	2	3
DMEM	0	1		1
BME	0	0	1	1
Naval Arch	0	0	1	1
CELCIS	0	0	1	1
EEE	0	8	11	19
	51	40	59	150



Note. The Wiley R&P deal was back to a historical maximum in July (same as in previous months this year), then its uptake descended again in Aug. EEE is still the best-served department this year followed by PAC and WEO, while historically Pure & Appl Chem is by far the leader. This is the deal with the most balanced distributions across departments and schools.

Funded requests via the Taylor & Francis R&P agreement (historical view as of Sep 1st, 2022)

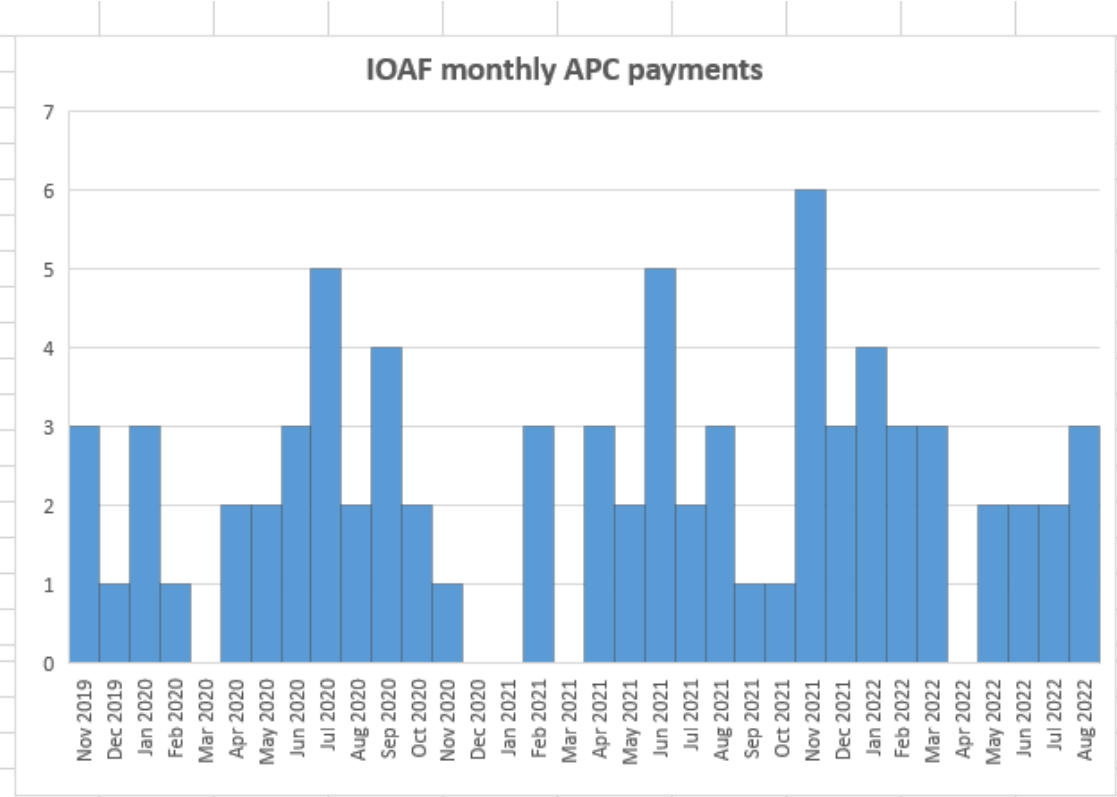


Note. The uptake for the Taylor & Francis R&P deal has reached a plateau and remains stable in the past few months. Together with the SAGE one, this deal is the most HaSS/SBS-friendly of them all, with SBS departments (esp WEO, but also the Hunter Centre) doing particularly well this year.

Institutional Open Access Fund (historical view as of Sep 1st, 2022)

IOAF APC payments (historical view as of Sep 1st, 2022)

APC payments				
Month	IOAF APCs paid (year)			
	2019	2020	2021	2022
Jan		3	0	4
Feb		1	3	3
Mar		0	0	3
Apr		2	3	0
May		2	2	2
Jun		3	5	2
Jul		5	2	2
Aug		2	3	3
Sep		4	1	
Oct		2	1	
Nov	3	1	6	
Dec	1	0	3	
Annual total	4	25	29	19



Note. Five new unfunded papers have been published Gold OA with IOAF funding in July and August. A couple of these were papers ‘sitting in the queue’, i.e. manuscripts waiting for acceptance for which early funding requests had been made by their authors, either some months ago or more recently while the extension of the IOAF was still uncertain. One of the new Gold OA requests came from Architecture, a department that’s never had any IOAF funding before. The available PLS budget has not been used yet.

Funded requests by department for the Institutional Open Access Fund (historical view as of Sep 1st, 2022)

Department	Nov-Dec'19	Jan-Dec'20	Jan-Dec'21	Jan-Dec'22	Total
EEE	1	3	4	5	13
Physics	0	0	0	0	0
SIPBS	0	0	1	3	4
Pure Appl Chem	0	0	0	0	0
Civil Environm Eng	0	3	3	1	7
DMEM	1	1	4	0	6
Maths & Stats	1	2	0	0	3
Chemic Process Eng	0	1	1	1	3
Biomed Eng	0	2	3	0	5
Mechan Aerosp Eng	0	3	4	0	7
Inst Photon	0	0	0	0	0
Mgt Sci	1	0	2	2	5
Work Employ Org	0	0	0	0	0
Sch Govern Pub Pol	0	1	0	0	1
Comput Inf Sci	0	0	1	2	3
Sch Hums	0	0	0	0	0
Naval Arch	0	4	3	1	8
Econ	0	0	0	1	1
Soc Work Soc Pol	0	0	0	0	0
Law	0	1	0	0	1
Sch Psych Sci Health	0	3	2	0	5
Marketing	0	1	0	0	1
Centre Lifelong Learning	0	0	1	0	1
Architecture	0	0	0	2	2
Education	0	0	0	1	1
TOTAL	4	25	29	19	77

Note. EEE is by far the best-funded department from the IOAF this year followed by SIPBS. Almost as importantly, Architecture and Education have received their first IOAF funding in July month. The IOAF is traditionally well balanced across faculties. MDPI, Frontiers and Copernicus (all of them fully OA publishers) are the most usual publishers this year with over half the requests granted.

Other issues

1. Reporting of UKRI block grant expenditure for Year 9 completed

The expenditure report for the Year 9 UKRI block grant (1 Apr 2021-31 Mar 2022) was duly submitted to the research funder as of Aug 30th. As per the report, we have spent the full UKRI block grant in a mix of APC payments and payments for the Publish side of the transformative agreements signed by Strathclyde.

One interesting aspect of the report is the evolution in the rates of Gold vs Green vs non OA papers funded by the UKRI produced at Strathclyde, see the figures below. While for Year 8 (1 Apr 2020-31 Mar 2021) we reported a **53% Gold vs 41% Green OA** distribution, this year (Year 9) shows a **65% Gold vs 30% Green OA**. This increase in the fraction of Gold OA papers funded by the UKRI is largely due to the application of the Read & Publish agreements that have been running in ever greater numbers during Year 9. It's worth bearing in mind that both the Elsevier and the ACS Read & Publish deals only started being implemented in early April 2022, meaning their impact on these figures is very limited. We are not expected to provide any further reports like this one in subsequent years, but these two recently signed R&P deals will probably mean further increases in the percentages of Gold Open Access for UKRI-funded papers at Strathclyde. This has a significant effect on the visibility and the impact of the institutional research outputs.

It's also relevant that the percentage of compliant papers for Year 9 has reached 95%, a small increase from the 94% figure we reported last year.

Summary information on compliance with RCUK OA policy 1 April 2021-31 March 2022 (to be completed by all ROs)

A	Compliance based on actual publications data	Number	
	Total publications arising from research council funding	493	
	Number of gold compliant publications	320	64.9%
	Number of green compliant publications	146	29.6%
	Overall compliance	95%	

Summary information on compliance with RCUK OA policy 1 April 2020-31 March 2021 (to be completed by all ROs)

A	Compliance based on actual publications data	Number	
	Total publications arising from research council funding	501	
	Number of gold compliant publications	266	53.1%
	Number of green compliant publications	206	41.1%
	Overall compliance	94%	

2. Q2 2022 VAT surcharge invoice for Taylor & Francis R&P deal pending

As of Sep 1st, 2022 no invoice has yet arrived from LM Prenax for the VAT surcharge associated with the implementation of the Taylor & Francis R&P deal in Q2 2022. During the most recent call of the R&P Deals Scotland working group (held Aug 22nd), all Scottish institutions in the group declared they hadn't received any invoice either. An English institution also member of this group confirmed that EBSCO hadn't sent out this invoice either despite the fact that the cut-off date for manuscripts to which this invoicing was applicable was a few days before the end of June. Some institutions stated they were already directly contacting the publisher about this.

3. Sep 13th Wellcome Trust workshop in London

On Sep 13th the Wellcome Trust will organise a workshop at their Euston Rd seat in London to discuss the implementation of their Plan S-aligned Open Access policy and the way forward for such policy. This will be a hybrid event that institutions may attend in person or online. Margaret Hurley asked for confirmation of attendance (either in person or virtually) by Aug 22nd. We confirmed we will attend this event online, same as most of the Scottish universities with whom we discussed this event at the R&P Deals WG meeting.

From: Margaret Hurley <m.hurley@wellcome.org>
Sent: 11 August 2022 16:00
To: openaccess@strath.ac.uk
Subject: Wellcome Open Access Policy - Workshop Invite

Dear Pablo,

As you will be aware Wellcome's revised open access policy has now been in place for 18 months and we would like to invite you to a workshop on **Tuesday 13 September 2022 (13.30-16.30)** for an opportunity to discuss and hear your thoughts and feedback on the following topics.

- How organisations are using Wellcome's block grant funding towards Transformative Agreements, including the methodology used when calculating Wellcome's contribution. The discussion will help to inform on any changes that may be required on our guidance on the use of Wellcome's funds towards TAs for the funding period 2022/23.
- A chance to feedback on any issues or ask questions relating to compliance with the updated policy.
- Post 2024 policy position and funding of open access. While Wellcome's high level policy position post-2024 is set out, we're considering some of the practical elements of this and would like to informally gather your views on how funding could alternatively be used to support the broader "open" ecosystem needs of the Wellcome-funded community in your organisation.

The workshop will be held at our offices on the Euston Rd ([Contact us](#) | [Who we are](#) | [Wellcome](#)) and there will be an opportunity to attend in person and online. Our preference is for one person per organisation to attend. However, we may be able to accommodate a second representative depending on attendance and the split between online and in person attendance.

Can you let me know by **22nd August** if you are able to attend (in person or online) and if you have a second individual you'd like to nominate in case of availability.

Many thanks,

Margaret

Margaret Hurley

Funding Policies Adviser

Wellcome Trust

Gibbs Building

[215 Euston Road](#)

London NW1 2BE, UK