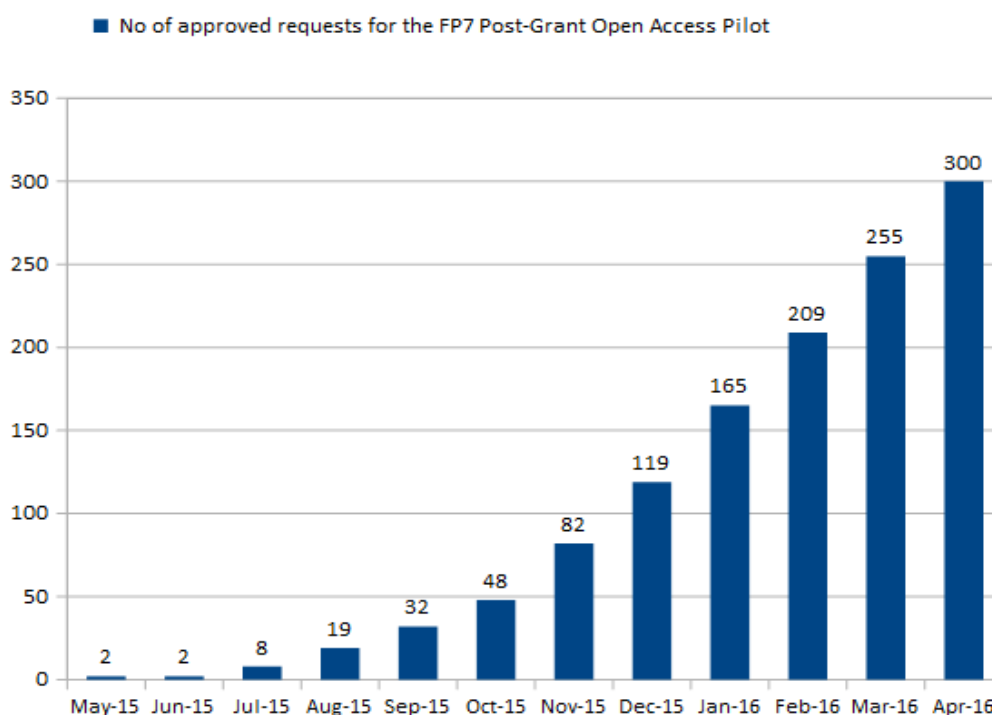


FP7 Post-Grant Open Access Pilot: Fifth Progress Report

This is the fifth progress report for the FP7 Post-Grant Open Access Pilot ten months into the initiative. It's dated early Apr 2016 and it's based on the data collected as of Mar 31st, 2016.

Up-to-date figures for the Pilot implementation are permanently available at the [live reporting module](#) in the OpenAIRE system, while this series of reports provide snapshots that can be compared with previous and future ones.



As of Mar 31st, the number of approved funding requests keeps steadily growing and **has already reached 300**, which already makes it one of the largest funding initiatives of its kind even at this relatively early stage. The ongoing dissemination actions among institutions and researchers will keep the funding requests arriving, while conversations are being held at the same time with a number of publishers to engage with them for further implementation of the initiative [via a parallel strategy](#).

Ten months into the FP7 Post-Grant OA Pilot: some results

1.1. Funding request analysis: document types

Out of the 300 applications approved for funding as of Mar 31st, **283 were for journal articles, 12 for books and 5 for book chapters**. Although the vast majority – nearly 95% – of the funding requests we are receiving are for journal articles, the number of funded Open Access books will also keep rising as per email consultations received during this reporting period.

The stats module provides an updated classification by funding request status, which includes those which have been conditionally approved, formally approved and paid, those which have been put on hold and those for which payment is being processed. The table below shows the evolution of the number of requests in the main statuses every second month since the Pilot was launched.

	Approved/Paid Requests	Rejected Requests	Incomplete Requests
5 th Pilot report – Mar 31 st	240	173	162
4 th Pilot report – Jan 31 st	210	137	130
3 rd Pilot report – Nov 30 th	116	57	124
2 nd Pilot report – Sep 30 th	43	20	34
1 st Pilot Report – Jul 31 st	11	14	24

Table 1.- Total number of requests stored in the system

The comparison between the number of paid requests (240) and the number of approved funding requests above (300) means that 20% of the approved requests are still undergoing an approval process at any given time – normally waiting for an adequate invoice to be provided by the publisher of (in case of a reimbursement) by the institution.

1.2. Rejected funding requests

Numerous funding requests keep being delivered into the system for manuscripts accepted at or articles published in hybrid journals. These requests are automatically rejected following the Pilot policy guidelines. Requests for publications in hybrid journals represent the most frequent cause for rejection as shown in the table below. During the last two months there was also a significant number of rejected requests due to (i) refusal by the project coordinator and to (ii) the manuscript having been accepted while the project was still running.

Total number of rejected requests	173
– previously published articles	50
– manuscripts accepted in hybrid journals	113
– refused by project coordinator	4
– non-existing journals	3
– ongoing project (not post-grant)	2
– not Open Access	1

Table 2.- Total number of rejected requests by cause

The distribution of rejected requests by country unsurprisingly shows the three countries on top that have the highest number of approved funding requests. The causes for the rejection show strong variations per country.

Country	Total rejected requests	Previously published papers	Hybrid journals
UK	36	1	31
ES	33	18	13
IT	11	0	10
NL	11	2	9
DE	11	3	7

Table 3.- Total number of rejected requests by country and type (n>10)

1.3. Reimbursements

Although the preferred workflow is to directly pay APC fees to the publisher at manuscript acceptance time, the FP7 Post-Grant OA Pilot is also covering reimbursements for previously paid APC fees. Both the number of reimbursements and the list of countries where they've been made keep steadily growing – their number nearly doubled during the last 2 months and they currently make up for nearly 20% of the granted funding requests.

Total number of reimbursements	58
ES	13
DE	8
CH	6
NL	5
FR, IT, SE	4
FI	3
BE, UK	2
AT, DK, IE, IL, NO, PL, TR	1

Table 4.- Total number of reimbursed APC payments by country

1.4. Funding request distribution by publishers and journals

The approved funding request distribution by publishers keeps showing an increasing distance between the most frequently chosen publishers and the rest of them. With the sole exception of NPG/Macmillan, the rest of the most frequently funded publishers are fully Open Access publishers. Approved funding requests for book chapters are included in the section devoted to book publishers, as these funded chapters are always part of an Open Access book.

Publisher	Number of funded requests	Previous position (Jan 3 ^{1st})
Journals		
NPG/Macmillan	56 (+22)	1
PLoS	48 (+15)	2
Frontiers	27 (+6)	3
BioMed Central	22 (+5)	5
MDPI	21 (+3)	4
Copernicus	19 (+5)	6
Wiley	12 (+5)	7
Institute of Physics	10 (+4)	8
Optical Society of America	8 (+4)	11
Elsevier	7 (+4)	-
Hindawi	6 (+2)	9
Books + book chapters		
Ubiquity Press	5 (0)	1
InTech	2 (+2)	-
Springer	2 (0)	7
River Publishers	1 (+1)	-
EDP Sciences	1 (0)	3
Amsterdam University Press	1 (0)	4
University of Manchester Press	1 (0)	5
IOS Press	1 (0)	6

Table 5.- Distribution of approved funding requests by publisher as of Mar 31st, 2016. In brackets, the number of new approved funding requests since the last report on Jan 31st, 2016.

The list of the most frequently requested journals as of Jan 31st is shown below, with the usual multidisciplinary titles, PLoS ONE and Scientific Reports, still clearly on top.

Journal title	Publisher	Number of funded requests
PLoS ONE	PLoS	37
Scientific Reports	NPG	34
Nature Communications	NPG	19
Frontiers in Microbiology	Frontiers	7
Optics Express	OSA	7
Sensors	MDPI	7
Cell Reports	Cell Press/Elsevier	6
Biogeosciences Discussions	Copernicus	5
Environmental Research Letters	IoP	5

Table 6.- Distribution of approved funding requests by journal titles (n>4)

1.5. Funding request distribution by countries, institutions and projects

The funding request distribution by countries shows eight countries have already submitted at least 10 approved funding requests, with Spain and the UK clearly on top of the list as it's been the case since the start of the initiative. The list of countries with at least one funded request keeps growing, with Bulgaria and Luxemburg as recent inclusions, and only five EU countries remain on the still-no-approved-requests section: Cyprus, Estonia, Latvia, Malta and Romania.

Country	Approved funding requests
Spain	47
UK	46
Italy	30
Germany	27
Switzerland	19
France	16
Netherlands	15
Sweden	11
Greece, Portugal	9
Finland	8
Belgium, Israel	7
Austria	6
Hungary	5
Norway, Turkey	4
Ireland	3
Australia, Czech Republic, Denmark, Lithuania, Poland, South Africa	2
Bulgaria, Burkina Faso, Croatia, Luxembourg, Mexico, Slovakia, Slovenia	1
Cyprus, Estonia, Latvia, Malta, Romania (EU only)	0

Table 7.- Distribution of approved funding requests by [requestor's] country as of Mar 31st, 2016

The information on the institutions which have collected funding so far is included in the live reporting module, where the full list can be seen together with the specific amount of funding allocated to each of them and the average APCs paid. The Spanish National Research Council (CSIC), the University of Oxford, ETHZ in Zürich, the Karolinska Institute in Stockholm and the University of Helsinki lead this list at the moment.

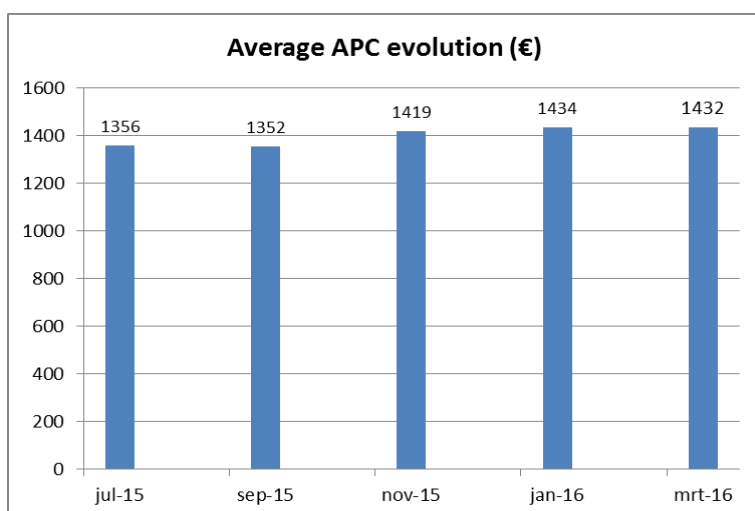
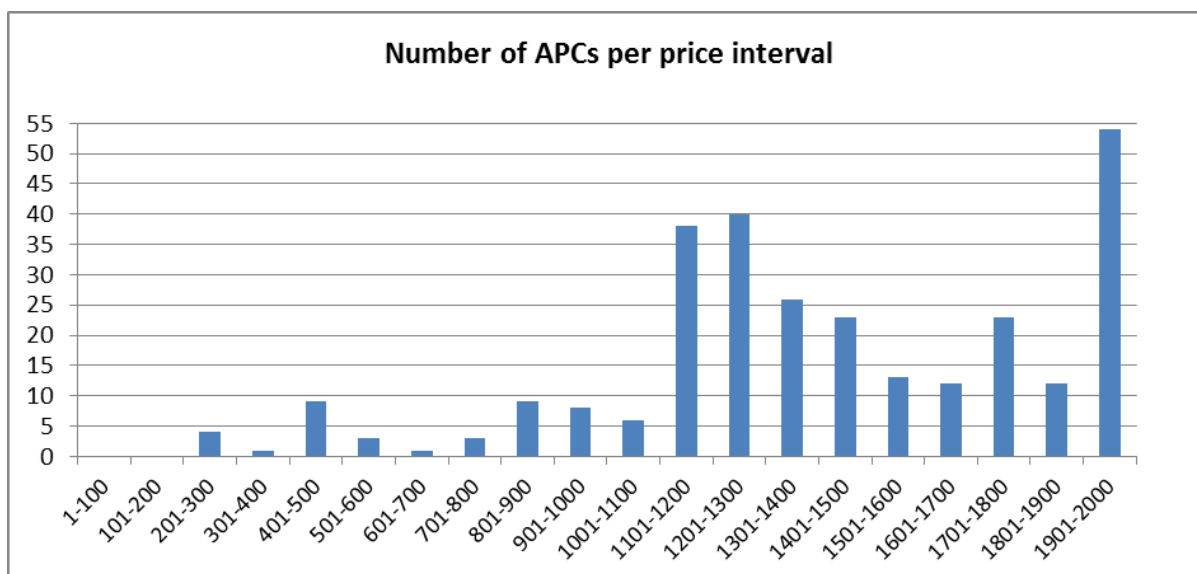
The analysis of the funding request classification by FP7 project type is shown below for the FP7 projects that have collected funding as of Mar 31st, 2016. This is the closest distribution by discipline we can get from the information included in the CORDIS project database.

Project research area	Number of approved funding requests
Marie-Curie Actions	72
ERC	42
Health	42
Information and Communication Technologies	37
Food, Agriculture and Fisheries, and Biotechnology	29
Environment (including Climate Change)	27
Nanosciences, Nanotechnologies, Materials and new Production Technologies	16
Research for the benefit of SMEs	8
Research Infrastructures	6
Socio-economic sciences and Humanities	5
Transport (including Aeronautics)	4
Space	3
Energy	2
Research Potential	2
Science in Society	2
JTI	1
Regions of Knowledge	1
Security	1
TOTAL	300

Table 8.- Distribution of approved funding requests by project research area as of Mar 31st, 2016.

1.6. APC fees paid: average and distribution

The average APC fee paid by the FP7 Post-Grant Open Access Pilot as of Mar 31st displayed here is calculated on the basis of the 283 APC fees currently coded into the system as approved funding requests for journal articles. On this basis, **the present average APC fee is € 1432, with a standard deviation of € 421.** The average APC payment has remained stable with regard to earlier average values collected in previous reports. While a rather high number of requests keeps arriving for journal articles with fees above the €2,000 funding cap – see the specific analysis below – the numerous requests for manuscripts accepted in Scientific Reports (APC €1,165) and PLoS ONE (APC \$1,495) are keeping the average fee at bay. This is shown in the up-to-date histogram for APC fees, which besides the spike against the €2,000 wall, shows high values in the €1,100-1,200 and €1,200-1,300 intervals.



Once we have data for a number of average APC events from the bi-monthly reports, it's useful to monitor the evolution of the average APC fee paid, which tends to stay fairly stable.

These average APC fees are regularly being compared with the figures resulting from the datasets collected by the [OpenAPC initiative](#) in Bielefeld, even if the fact that the FP7 Post-Grant Open Access Pilot will (if just partially) fund APCs above the €2,000 funding cap

does inevitably yield average APC fees slightly above the averages collected there.

Funding requests for APC fees above the €2,000 funding cap: an analysis

As of Mar 31st, 49 funding requests have been received and approved for articles with above-the-funding-cap APC fees. The monthly distribution below shows these above-the-cap requests – which are significantly harder to process from an admin viewpoint – gradually becoming steadier, so that their initial impact on the global average APC fee is lower as the initiative progresses.

	Jun'15	Jul'15	Aug'15	Sep'15	Oct'15	Nov'15	Dec'15	Jan'16	Feb'16	Mar'16
Requests	0	0	1	3	10	6	6	7	8	8

The distribution of these above-the-funding-cap requests by publisher and journal shows relevant differences with the global one shown in section 1.4 above: as a rule, fully Open Access publishers tend to be much lower placed in this specific distribution, and specific ones like Frontiers and MDPI are not in the list at all.

Publisher	Number of funded requests above the cap
NPG/Macmillan	17
PLoS	8
Elsevier	7
Wiley	5
Impact Journals LLC	2
Oxford University Press	2

Table 9.- Distribution of approved above-the-funding-cap requests by publisher (n>1) as of Mar 31st, 2016.

The list of journals these requests have applied for funding for is shown below. It is interesting to see that APC fees for the same journal may occasionally vary depending on the type of paper that has been accepted, sometimes coming above the funding cap and others below it.

Journal title	Publisher	Number of above-the-cap requests
Nature Communications	NPG	17
Cell Reports	Elsevier	6
PLoS Computational Biology	PLoS	3
Aging Cell	Wiley	2
EMBO Molecular Medicine	Wiley	2
Nucleic Acids Research	OUP	2
Oncotarget	Impact Journals LLC	2
PLoS Genetics	PLoS	2

Table 10.- Distribution of approved above-the-funding-cap requests by journal titles (n>1)

The distribution of these above-the-funding-cap requests by country also shows significant differences with the global distribution shown in section 1.5. The high dispersion of the distribution is shown by the large number of countries represented in the list.

Country	Approved above-the-funding-cap requests
France, UK	7
Italy	6
Germany	5
Sweden, Switzerland	4
Israel, Netherlands, Spain	3
Austria, Czech Republic, Denmark, Finland, Ireland, Portugal, South Africa	1

Table 11.- Distribution of approved above-the-funding-cap requests by country as of Mar 31st, 2016

As a result of the more complex admin process these requests need to undergo, involving either invoice splitting or reimbursements, they usually take longer to get processed and paid. This explains why the average APC shown in the live reporting module in the system will normally be a slight underestimation of the real value, as it's based on the requests that have actually been paid.

Looking deeper into hybrid journals

Answering a specific question collected from Utrecht after the previous report was released, we have looked into the specific hybrid journals we have collected (and turned down) funding requests for thus far. The question also suggested to provide suitable alternatives for these, but instead of doing this here, we remind readers that [an updated list of eligible journals we have funded so far](#) is available on the OpenAIRE blog.

A quick analysis of this list of hybrid journals shows that:

- the list of journals is highly scattered: only five of the 115 titles have collected more than one funding request;
- most publishers/scientific societies in the list have just one title. The five publishers with the largest number of titles in the list (Elsevier, IEEE, OUP, Springer, Wiley) cover two thirds of the total number of journals.
- for most of the titles there are suitable fully Open Access journals that could be used instead. There are specific areas though, such as Engineering and Marine Policy/Fisheries, where it may be more difficult to find alternatives.
- there is also a significant number of SSH titles in different areas.

Hybrid journals by publisher which have received funding requests thus far within the FP7 Post-Grant Open Access Pilot:

Publisher	Journal(s)
Am Assoc Cancer Res (AACR)	Molecular Cancer Therapeutics
Am Assoc Immunol	Journal of Immunology [2]
Am Chem Soc (ACS)	Environmental Science & Tech
Am Inst Phys (AIP)	Journal of Renewable and Sustainable Energy
Am Physiol Soc	AJP Heart and Circulatory Physiology
Am Meteor Soc	Journal of Climate [3]
Am Soc Biochem Mol Biol (ASBMB)	Journal of Biological Chemistry
AM Soc Comp Eng (ASCE)	Journal of Computing in Civil Engineering [2] Journal of Construction Engineering and Management
Am Soc Microbiol	Infection & Immunity
Am Soc Nephrol	Journal of the American Society of Nephrology
Am Soc Pharmacol Exp Therap (ASPET)	Molecular Pharmacology
Am Soc Plant Biol (ASPB)	Plant Physiology
Cambridge UP	Animal
Elsevier	Advanced Drug Delivery Reviews Applied Geochemistry Biomaterials Composites B: Engineering Deep Sea Research Electrochimica Acta Energy and Buildings Environmental and Experimental Botany Environment International Environmental Pollution Environmental Science & Policy Fisheries Research International Journal of Greenhouse Gas Control International Journal of Hydrogen Energy Journal of Autoimmunity Journal of Biomechanics

	Journal of Molecular and Cellular Cardiology JoVE Land Use Policy Marine Ecology Marine Policy Marine Pollution Bulletin Mechanical Systems and Signal Processing Neuron Vaccines
Emerald	Advances in Strategic Management Journal of Health Organization and Management
Future Science Group (FSG)	Personalized Medicine
IEEE	IEEE Journal of Oceanic Engineering IEEE Transactions in Communications IEEE Transactions on Cloud Computing IEEE Transactions on Components, Packaging and Manufacturing Technology IEEE Transactions on Consumer Electronics IEEE Transactions on Geoscience and Remote Sensing IEEE Transactions on Neural Systems and Rehabilitation Engineering IEEE Transactions on Smart Grid [2] Journal of Display Technology Journal of Lightwave Technology
INFORMS	The Organization Science Journal
Ingenta	Evidence & Policy
Institute of Physics	The Astrophysical Journal Biomedical Materials Journal of Statistical Mechanics: Theory and Experiment Nanotechnology
InterResearch	MEPS
Linguist Soc Am	Language
Mary Ann Liebert	Biopreservation and Biobanking
Nat Acad Sci (US)	PNAS
NPG	The ISME Journal Nature Energy
OUP	Brain Cardiovascular Research FEMS Microbiology Ecology French History Geophysical Journal International Health Policy and Planning Human Molecular Genetics Industrial and Corporate Change
Royal Soc Chem (RSC)	J. R. Soc. Interface RSC Advances RSC J Mater Chem A
SAGE	Proceedings of the Institution of Mechanical Engineers
Soc Leukoc Biol	Journal of Leukocyte Biology
SPIE	Journal of Medical Imaging
Springer	Acta Neuropathologica Appl Phys B' Arktos Behavior Research Methods Chromosoma Eur. Phys. J. D

	J Mater Sci Natural Hazards Plant Cell Reports Real-Time Systems Science and Engineering Ethics
Taylor & Francis	Acta Oncologica Ethnos J. Appl Statistics Religion, Brain & Behaviour
Wiley	Advanced Energy Materials Advanced Functional Materials Angewandte Chemie Biofactors BJOG Ecography Euro Choices FEBS J Functional Ecology Geophysical Research Letters Journal of Biogeography JAWRA JBMT JCMS Journal of Geophysical Research - Oceans Molecular Ecology [2] The New Phytologist Pharmacoepidemiology & Drug Safety
Wolters Kluwer	AIDS Optometry and Vision Science