

## UKRI block grant allocation policy 2022/23

Allocation policy in force from 1<sup>st</sup> April 2022

### POLICY

Principles:

- Must enable as much OA publishing for UKRI funded papers across schools, career status, and disciplines as possible
- Must also include UKRI funded Doctoral Researchers
- Must meet aims and ambitions of the UKRI OA Policy

Meets **one** of the below eligibility criteria (people):

- UKRI PI on the grant is based at Loughborough and at least one of the authors is affiliated with Loughborough
- UKRI Co-I is based at Loughborough and at least one of the authors is affiliated with Loughborough
- A UKRI funded Doctoral Researcher with Loughborough affiliation is an author

Eligibility criteria (journals):

- Must meet [UKRI OA block grant terms and conditions](#)
- Must ensure compliance with the UKRI Open Access Policy

Eligibility criteria (costs):

- Fully open access journal (e.g. as indexed in DOAJ) – unlimited
- Hybrid open access which meets the criteria of a [Transformative Journal](#) (TJ) – limit £2500
  - Exceptions by approval of relevant ADR (unless ADR is an author in which case Dean)

Eligibility criteria (article):

- The article must acknowledge UKRI funding
- The article must include a Data Access Statement
- The article must be made available with a CC BY licence (or CC BY-ND if approved by UKRI)

Block grant cannot be used for:

- Paying for APCs retrospectively (i.e. if the article has already been published as a Version of Record – or equivalent)
- Over length page charges
- Colour charges
- Hybrid journals which do not meet UKRI TJ criteria or are not part of a TA

## NOTES

UKRI funded authors, including Doctoral Researchers ('authors'), and their PIs are asked:

- To deposit a copy of their article in the Research Repository (RR) via LUPIN within 3 months of acceptance
- To support the University's preference for sustainable cost-effective OA dissemination by:
  - utilising the 'green route' to OA via deposit of the accepted manuscript in the RR (as above),
- To complete the UKRI Open Access Funding Request form
  - ideally before submitting your paper to a journal
  - at the very latest on the date of acceptance
  - note that funding is not guaranteed unless you have had a funding request approved.
- To ensure the article is added to ResearchFish

In the event of a request resulting from UKRI funding lying outside of the criteria laid out above, the Library will assess eligibility to determine if the APC charge should be covered in liaison with ADRs (or nominated representative).

The University, via the Library, for UKRI funded authors will:

- Process the UKRI Open Access Funding Request form and:
  - Check funder compliance
  - Check available funds
  - Calculate any institutional discounts
  - Suggest alternatives if necessary
  - Email the applicant to inform them of the outcome
- Support the academic freedom of researchers to publish in their choice of publication, having regard to quality, dissemination channels and impact, and value for money.
- Provide an APC administration service to respond to authors' queries about the availability and requests for payment of APC funds, and completion of publishers' forms.
- Administer and allocate the UKRI block grant as described in this policy, and monitor use of the funds.
- Whilst funds remain available, pay APCs as described above in this policy.