

RCUK/UKRI Open Access block grant allocation policy 2018/19

This policy sets out how the RCUK block grant will be allocated from 1st July 2018 – 31st March 2019.

RCUK funds will **not** be used to pay for APCs retrospectively, in accordance with RCUK policy.

Box 1: Whilst RCUK funds are available, the block grant will be used for these payments on behalf of corresponding authors, and where the grant is held at Oxford:

1. Article Processing Charges (APCs) for any article published OA in the chosen journal where the journal is either a fully gold journal (listed in DOAJ <https://doaj.org>), or a hybrid (subscription) journal with a 'green route' embargo period longer than 6 months science/medicine, 12 months social science/humanities.
2. Non-APC publication charges as described in the separate policy (see [Table 1](#)).
3. APCs of articles in hybrid journals (i.e. subscription journals with a paid OA option) where the University of Oxford (via the Bodleian Libraries) participates in a paid offsetting deal with the publisher (currently 'Open Choice' journals published by Springer).
4. The RCUK proportion of APCs for research funded jointly between RCUK and Wellcome Trust/COAF (Charity Open Access Fund)

NOTE: Where a paper has been written in collaboration with authors from other UK universities in receipt of RCUK OA Funding, Oxford will pay the whole APC as described above in this policy, where the Oxford author is the corresponding author (or equivalent). It is anticipated that UK universities will take a similar approach but where this is not the case and an Oxford co-author (who is not the corresponding author or equivalent) is approached to contribute to the cost of an APC, the University will pay a proportion of the cost relative to the number of UK authors supported by Research Council funding. Where a paper has been written in collaboration with authors from other countries, Oxford will pay the whole APC (as described in this policy above) upon request from the Oxford co-author.

This policy will enable the Bodleian Libraries to manage the fund to be fully spent as close to year-end (31/3/19) as possible. As the year progresses, in the event of significantly slower or more rapid spend than previous years, and which would result in under/over spend by year-end, changes may be necessary. This will be carried out supported by wide communication across the Collegiate University.

RCUK funded authors, including PGRs ('authors') are asked:

1. **To deposit a copy of their article in ORA** (Act on Acceptance) (see OA Publications Policy)
2. **To be mindful of the University's preference for sustainably cost-effective OA dissemination using the 'green route' to OA** via deposit of the accepted manuscript in ORA (as above) and to apply for APCs for articles as described in Box 1 above.
3. **To notify the Bodleian APC Team of their request for an APC at the point of acceptance.** This procedure matches with Wellcome Trust policy and Oxford's AoA (Act on Acceptance) instructions. (apc@bodleian.ox.ac.uk).
4. **If funded by MRC or BBSRC and using the 'green' route to OA**, the author should also self-deposit a copy of the article in Europe PubMed Central via Europe PMC Plus (<http://plus.europepmc.org>) in compliance with publisher's embargo permissions.¹
5. **To abide by the Oxford non-APC Publication charges policy** (see [Table 1](#))

The University, via the Bodleian Libraries will, for RCUK funded authors:

¹ In addition to 'Act on Acceptance' deposit in ORA for REF compliance

1. **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.²
2. **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.
3. **Administer and allocate the RCUK block grant as described in this policy**, and monitor use of the funds.
4. **Whilst funds remain available, pay APCs as described above in this policy.**
5. **Pay page and other non-APC charges** as described in the appended University of Oxford non-APC publication charges policy
6. **Appraise Divisional representatives** of the status of the funds
7. **Liaise with RCUK about matters pertaining to its OA policy**, and report periodically about compliance rates, including non-compliance resulting from scarcity of funds.
8. **Ensure RCUK funded researchers** across the Collegiate University are provided with the information and training they require, including clear and timely instructions to authors and administrators, and an open access team to advise authors on different OA options for their publication.

Information and advice is available on the Open Access Oxford website at <http://openaccess.ox.ac.uk/>

Last updated 9th July 2018

² See the University of Oxford OA Publications Policy <http://openaccess.ox.ac.uk/wp-content/uploads/sites/2/2018/03/University-of-Oxford-OA-Publications-Policy-01-03-2018.pdf>

Table 1: Use of RCUK OA block grant for non-APC publication fees

To ensure as many APCs as possible can be covered by the block grant, the following policy applies to RCUK-funded authors.

- 1 Authors should check whether there are sufficient funds to cover their APC and other charges **at acceptance of their article before committing to payment** by contacting the APC team apc@bodleian.ox.ac.uk.
- 2 Where charges are not covered by the block grant or research fund, authors will need to find an alternative source of funds or, if relevant, ask the journal about other solutions such as opting to have charts and graphics published in colour in the online version only and B&W in the print version.
- 3 Non-APC publication charges currently equate to about 4% of payments made to publishers from the block grant.

	Charge	Rationale / Criteria
1. Charge where non-payment can prevent publication, and/or that have some bearing on OA, and that WILL be paid from the block grant	a) Page charges (for all RCUK compliant journals whether green or gold route to OA)	Paid if non-payment would prevent publication
	b) PNAS publishing fees (but not PNAS APC) ³	Paid because non-payment would prevent publication
	c) Publication charge or publishing fees other than those listed above	Paid if non-payment would prevent publication
	d) Colour charges for articles where an APC is to be paid by the RCUK block grant	Paid if non-payment would significantly affect intelligibility of PDF
2. Charges where non-payment does not prevent publication, and/or have no bearing on OA, and WILL NOT be paid from block grant	a) Colour charges (unless exception above)	Relevant only to print format, not online format (irrespective of format eg PDF or HTML). If relevant, ask the journal about solutions such as opting to have charts and graphics published in colour in the online version only and B&W in the print version
	b) Personal membership fees	Irrelevant to OA and non-payment will not prevent publication
	c) Reprints	Irrelevant to OA and non-payment will not prevent publication
	d) Cover images	Irrelevant to OA and non-payment will not prevent publication
	e) Submission charges	Irrelevant to OA plus the article might not be accepted and we have therefore paid for nothing
	f) Supplemental data publication fees (eg <i>Blood</i>)	Irrelevant to OA and non-payment will not prevent publication
	g) Third party copyright charges	“Costs related to image copyright can be included in the application if it is directly linked to the project and the costs are justified.” [RCUK policy]
	h) APCs where the licence or other element is non-compliant	Non-compliant publication

Updated 25th January 2018

³ This model for handling PNAS and other publishing fees where the APC is non-compliant is common practice in other UK universities