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ANNEX A – Deliverable (reporting) Guidance for year 9

We require two end of year deliverables to be submitted by the Research Organisation (RO) for the award year. ROs must comply as this is part of the award terms and conditions that will have been accepted when accepting the Open Access Block Grant (OABG). These end of year deliverables are:

1. Final Expenditure Statement (FES) – **DUE BY 30 JUNE 2022.**
2. Full Compliance Report (end of year) – **DUE BY 31 AUG 2022.**

➢ Final Expenditure Statement (FES)

A total spend figure for **1 April 2021 – 31 March 2022** should be entered into Je-S by your Submitter Pool. You will have three months from the end of the award to submit this figure. Please communicate internally with your Submitter Pool contact to ensure this deadline is met, otherwise a sanction of 20% will be applied. Payment for Q4 will be held automatically and is contingent to the submission of the FES via Je-S.

➢ Full Compliance Report

The reporting template and guidance can be found on the UKRI website: https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/open-access-block-grants/

You can download the Full Compliance Report for 'Open Access – Block Awards' **1 April 2021 – 31 March 2022**, by visiting 'Our role in open access | Jisc' and downloading the "Standard UKRI and Wellcome OA reporting template", which is located underneath 'Monitoring Open Access'. Please complete and return this by email to openaccess@funding.ukri.org, no later than **31 Aug 2022**.

ANNEX B

2021-22 (Year 9) Timetable

Due date	Action	How
By 31/03/2021	Offer document generated via Je-S	• Offer document will be issued to the RO Submitter Pool via Je-S. • UKRI will email the OA contact to advise when the award will be available to view. This is because the award is generated to the RO's Submitter Pool only. The OA contact will need to liaise with their Submitter Pool to obtain a copy of the award letter. UKRI will not issue a separate copy of the award document or confirmation of the value of the offer. NOTE: The Principal Investigator (PI) on the Grant is required for the purpose of generating an award. The PI will receive system notifications such as notification that the offer for the Grant has been generated, but the Offer Document itself will go to the Submitter Pool. Grants will have a grant reference in the following format: EP/XXXXXX/1.
15/04/2021 **Depending on date of award issued you have approximately 15 days. You should always check the due date in Je-S.**	Submitter Pool to accept offer via Je-S	The Submitter Pool are responsible for reviewing the terms and conditions (T&Cs) and accepting the offer in Je-S by the 1st April 2021. By accepting the offer you are agreeing to the T&Cs of the Grant which include two deliverable reports: 1) Final Expenditure Statement 2) Full Compliance Report The RO is also agreeing to manage their budget in accordance with the Policy guidance. https://www.ukri.org/funding/information-for-award-holders/open-access/open-access-policy/
01/06/2021 **This is a guidance date and most RO's will complete this soon after accepting the offer. You will have until the due date in Je-S and this should be the date you adhere to.**	Submitter Pool to complete Start Certificate in Je-S	The Submitter Pool are responsible for completing and submitting the Start Confirmation in Je-S. NOTE: The Submitter Pool cannot do this until the offer has been accepted,which is expected to be by the 1st April 2021. They will need to enter a start date **1st April 2021** as requested in the T&Cs. **Only once the Offer is accepted and Start Confirmation submitted can payments begin**. We require the Start Confirmation to be completed by the 1st June 2021 in readiness for the first quarter (Q1) payments to be issued. So this is in the interest of the RO to meet this date, otherwise payments will start the begin the next available payrun.

June	Awards published	Once all RO's have accepted the awards through Je-S, UKRI will then publish a document listing all of the OABG awards on the UKRI website.
03/06/2021 – 15/06/2021	Quarter 1 payment	Automatic Payment via Grants pay run.
03/09/2021 – 15/09/2021	Quarter 2 payment	Automatic Payment via Grants pay run.
03/12/2021 – 15/12/2021	Quarter 3 payment	Automatic Payment via Grants pay run.
Available 01/04/2022 Complete by 30/06/2022	Final Expenditure Statement (**FES)**	The OA contact is responsible for sending all spend figures to date to their RO Submitter Pool. These must be entered into Je-S when completing the Final Expenditure Statement (FES). The final payment will be held until the FES is submitted and Full Compliance report is received. Your RO has the standard three months to complete these documents and submit them to UKRI.

Failure to submit in a timely manner may result in a 20% sanction being applied, which may result in UKRI claiming back 20% of the award. This may increase to 100% if the FES and Final Report are not received in a timely manner. |
| **03/03/2022 – 15/03/2022 (Dependent on when FES is submitted)** | Quarter 4 payment | The Q4 payment is held until the FES and Full Compliance report have been received and reviewed. UKRI will then reconcile the Grant.

- If the RO is in **credit** at the end of year 9, we will recoup these costs.
- If the RO is in **debit** at the end of year 9 then the RO will be responsible for covering any overspend.

NOTE: When the Q4 payment is made will be dependent on when the FES is submitted. The grant will be reconciled and then the final payment will be picked up in the next quarter pay run. |
| **Available 01/04/2022 Complete by 31/08/2022** | Full Compliance reports for 2021-2022 | The template for the Full Compliance report is available on the JISC Website. (please see Annex A for the report link)

The OA contact is responsible for completing the Full Compliance report in consultation with their Finance team(s), and for returning it to by email to openaccess@funding.ac.uk |

ANNEX C – FES and Spend Guidance

By completing the FES in Je-S, you are reporting your spend from the UKRI award. The Q4 (the final payment) is held until the FES and Full Compliance reports have been received and reviewed.

FES IS	Higher than award value	Equal to the award value	Less than the award value
	An RO reports that they have spent more than the total value of the UKRI award	An RO is reporting that they have spent all the UKRI award	An RO is reporting that they have unspent funds from the UKRI award
Q4 – Held until FES received	All the Q4 payment is paid out in the next pay run, after the award is reconciled		The system looks to see if the unspent funds are more than or less than the final quarter amount to be paid. If less – the difference is paid in the Q4 Payment. If more –the final Q4 payment is cancelled and the system will also look to recoup anything which has been overpaid through the next available pay run to your RO.
RO	If a RO has spent an equal or higher amount to the award then it is down to the RO to decide if they wish to enter a FES of the equal value to the award or the actual spend which is higher We recommend ROs should report any overspend (so actual spend) in the Final Expenditure Statement (FES) for audit purposes. Please note, that no invoices can be issued to recover additional costs. **Important:** • Overspend on the OABG will not be met by UKRI • ROs will be responsible for covering any overspend • ROs are not permitted to carry forward overspend from year 8 awards and offset this against their year 9 (2021 – 2022) awards		RO's are not permitted to retain unspent funds from UKRI awards. These must be returned to UKRI. **Important:** Any underspend reported in the FES will be fully recovered. The underspend recovered will be the difference between the total amount offered in the award and the spend amount reported by the RO in the FES. Exceptions – Some ROs have accumulated credit that cannot be recouped due to maximum award restrictions. In these cases, ROs are expected to factor this into the reported spend.

General Spend Guidance
Please refer to the terms and conditions, which are included in your award letter.

Spent or committed funds:

If your Research Organisation has incurred a service but not paid a cash invoice, you can accrue the costs against your grant for the year in which the services are received. This is an acceptable practice in accruals accounting and UKRI are happy for your Research Organisation to follow this procedure.

You can account for expenditure on an accruals basis and should discuss the specifics with your Finance Teams. As each case may be different, we recommend you liaise with your Finance Teams to identify how this can be processed. It is the responsibility of each Research Organisation to manage their 'OABG in line with the [Policy guidance](#) |

ANNEX D

Grants Operations Process Responsibility

UKRI	RO OA Contact	RO Submitter Pool
• Preparing and issuing awards through Je-S • Emailing RO contacts at key stages of the process • Providing guidance on the process or Policy • Reconciling the award at the end of the year	• Ensuring that the RO is managing their budget in line with Policy guidance, using any relevant internal monitoring • Providing UKRI with up-to-date contact details • Working with the RO Submitter Pool team to ensure that the correct figures are reported in the FES by the required due date, and also obtaining the award amount • Completing and returning Full Compliance report by the due date	• Receiving the Offer document and working with OA contact to review the T & Cs • Submission of the FES through Je-S on behalf of the OA Contact, by the due date • Will provide the award amounts to the OA contact • The PI will receive one or two system generated emails but their role is mainly for the purpose of generating the award. • The RO can request that the PI be changed via a Grant Maintenance function in Je-S