



UKRI Open Access Policy – Frequently Asked Questions

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Purpose of this FAQ

This FAQ provides supplementary information about the UKRI Open Access Policy. Please also refer to the core requirements and guidance on UKRI's website at:

- [UKRI Open Access Policy](#)
- [Publishing your research findings](#)

Information about the implementation of the policy can be found at [shaping our open access policy](#).

This FAQ will be updated regularly with new questions and current information. Updates are noted at the end of this document.

If you cannot find an answer to your question from these resources or your research organisation, please contact the team.

- For queries related to the policy, please contact openresearch@ukri.org.
- For queries related to open access funding, please contact openaccess@funding.ukri.org.

A. Scope of the policy

A1. What research publications are in-scope of the policy?

Publications in-scope of the policy are defined in the [UKRI Open Access Policy](#).

A2. Does the policy apply to UKRI staff?

Yes. The policy applies to in-scope outputs that are published by UKRI staff, including those based at UKRI's institutes, units, and facilities.

A3. Does the policy apply to UKRI-funded studentships?

The policy applies to in-scope research articles arising from [UKRI Training Grants](#) as these need to acknowledge our funding. Monographs, book chapters and edited collections arising from training grants may be exempt, as detailed in the [UKRI Open Access Policy](#). Training grants include grants for studentships and funding specifically for the training and development of researchers.

A4. Does the policy apply to publications from grants awarded before the policy start date, and closed grants?

The policy applies to a publication arising from pre-existing and closed awards if it is an in-scope research article submitted for publication on or after 1 April 2022, or an in-scope monograph, book chapter or edited collection published on or after 1 January 2024.

A5. If a publication is co-authored with collaborators who are not funded by UKRI, does it need to comply with the policy?

Publications that must acknowledge UKRI funding are required to comply with the policy. UKRI funded researchers should be clear on funder requirements they are subject to when agreeing collaborations.

UKRI recognises there may be circumstances where a UKRI-funded author might be invited to contribute to a joint paper that is being led by authors not funded by UKRI, where the preferred publication venue does not normally enable compliance with UKRI's policy. In these circumstances, the UKRI-funded author should seek compliance by asking the publisher to accommodate compliance with the policy, by including the UKRI policy licensing statement in their submission and depositing the author accepted manuscript in a repository (Route 2), or by identifying an alternative publication venue.

A6. Does the policy apply to researchers not funded by UKRI but who use UKRI-funded infrastructure and equipment?

While UKRI encourages findings from all research it supports to be made open access, the policy is not mandated where UKRI funding has indirectly contributed to a research publication, for example, equipment or facilities funded by UKRI. However, researchers should follow the open access policy of the equipment or facility, where this exists.

Research performing organisations in receipt of the UKRI open access block grant can use their discretion regarding use of block grant funding for publication types that ordinarily are in scope of the policy, where indirect UKRI funding has formed a significant part of the research.

A7. Are data articles or articles that are focused on describing a protocol, method, or software in scope of the UKRI Open Access Policy?

No. The scope of the policy applies to: "Peer-reviewed research articles, including reviews and conference papers, that are accepted for final publication in either a journal, conference proceeding with an International Standards Serial Number (ISSN), or publishing platform." The "peer-reviewed research articles" that the policy applies to discuss the findings of a research project.

In due course, we will consider if UKRI's open access requirements should be extended to these types of articles. While currently they are not in-scope, open access is encouraged, where possible.

A8. Do researchers based in non-UK research organisations need to comply with the policy? Are outputs arising from Overseas Development Assistance funding in-scope and eligible for block grant funds?

In-scope publications that need to acknowledge UKRI funding are expected to comply with the policy. This includes publications arising from UKRI funding to international research organisations, such as Overseas Development Assistance (ODA) funding.

However, UKRI recognises that there are different open access contexts internationally, and it may be that an author based at a non-UK research organisation does not have

access to a repository or immediate open access options. Therefore, UKRI may permit a policy exception for an author based at a non-UK research organisation. To request an exception the grant holder should contact openaccess@funding.ukri.org.

UKRI funds international partnerships directly, for example through the Global Challenges Research Fund (GCRF). In most cases, these research grants are held by a UK-based research organisation and outputs will have a UK-based author. Therefore, normally compliance would be expected, and the UKRI open access block grant can be used to support eligible costs. The UK-based research organisation also has discretion to use its open access funds to support its international collaborators to practice open access in line with UKRI's policy.

UKRI also contributes to bilateral and multilateral international partnerships through the Newton Fund and Fund for International Collaboration, for example. Under these funds, UK researchers are supported by a UKRI research grant, with overseas researchers supported by their local funding organisation. In these circumstances the open access policy of each funding organisation applies. There are a number of delivery partners who manage Newton Fund grants on behalf of the UK Government. The UKRI policy only applies to those grants awarded under UKRI Terms & Conditions.

Where UKRI research grant funding is directly awarded to a non-UK based research organisation, it is permissible for open access costs to be part of the research grant.

A9. Are publications in foreign languages in scope of the policy?

Yes, if they are an in-scope type of publication that needs to acknowledge funding from UKRI or its councils.

A10. How does UKRI's policy relate to future research assessment exercises?

As part of their Future Research Assessment Programme (FRAP), the four UK higher education funding bodies ([Research England](#), [Scottish Funding Council](#), [Higher Education Funding Council for Wales](#) and [Department for the Economy, NI](#)) will develop the open access policy for any future national research assessment exercise. Decisions about a future research assessment open access policy will be made by the four UK higher education funding bodies based on consultation with the sector and evaluation of open access in REF 2021.

At the launch of the UKRI Open Access Review, the UK higher education funding bodies agreed that any open access policy within a future research assessment exercise would seek commonality with the UKRI open access policy position. It is the intention that the UK higher education funding bodies will consider a UKRI open access compliant publication to meet any future national research assessment open access policy without additional action from the author and/or institution. Both UKRI and the UK higher education funding bodies note that the scope of an open access policy for the future national research assessment exercise is much broader than the UKRI Open Access Policy. This will be considered when developing the future national research assessment position.

A11. Do in-scope outputs arising from the UKRI Horizon Europe Guarantee grants have to comply with the UKRI Open Access Policy?

No. In-scope outputs which acknowledge UKRI Horizon Europe Guarantee funding must comply with the [Horizon Europe Open Science Policy](#). As applicants were able to include consideration of open access costs as part of the original application, grant-holders should utilise their grant funding to support open access costs. As the UKRI Open Access Policy does not apply to outputs arising from the Horizon Europe Guarantee awards, authors may not utilise the UKRI Open Access block grant where the Horizon Europe Guarantee award is the only source of UKRI funding acknowledged.

B. Research articles - routes to compliance**B1. What are the compliant open access routes for research articles?**

Compliant open access routes are defined in the [UKRI Open Access Policy](#). Additional guidance for authors is available at [making your research publications open access](#).

B2. Are there restrictions on which journals authors can publish in so they comply with the policy?

Authors can publish in the journal or platform they consider most appropriate for their research, provided UKRI's open access requirements are met. This can include fully open access journals or publishing platforms, 'hybrid' journals (subscription journals that offer an open access option), or subscription only titles which offer a compliant route.

However, UKRI open access funds can only be used for open access publication costs in hybrid journals when these journals are included in transitional open access arrangements that are approved by Jisc as meeting the research sector's requirements – either a transitional agreement the author's institution is signed up to and/or a journal having transformative journal status. Further information about Jisc's requirements for transitional arrangements can be found on their website at [our role in open access](#).

If an author intends to publish in a hybrid journal that does not meet these requirements, they will need to consult their research organisation about alternative sources of funding to meet the open access publication costs or look to comply via Route 2:

See **FAQ B4** for options to check if a journal offers a compliant route and/or is eligible to receive UKRI open access funds.

B3. What should an author do if a journal does not offer a route compliant with the UKRI Open Access Policy or rejects a submission because of this?

Publishers may not always offer routes to publication that are compliant with the UKRI Open Access Policy. Whether publishing via Route 1 or 2, authors must check the publisher will provide a compliant publishing option prior to submission (see **FAQ B4** for options). If this is not the case, or a publisher rejects a paper because of the need to comply with the policy, or changes terms of publication, the author should seek advice

from their research organisation on how best to achieve the aims of the policy. Options could include asking the publisher to accommodate compliance with the author's funding requirements, identifying an alternate journal, or making the article open access via an alternative route, for example.

UKRI has funded Jisc to work with publishers and research organisations to help increase the adoption of open access agreements that comply with the policy and to increase open access options that are eligible for UKRI open access funding. See [shaping our open access policy](#) for further information.

B4. How do authors find out if a journal/publishing platform offers a publication route that is compliant with UKRI's policy?

Whether publishing via Route 1 or 2, prior to submission, authors must check their preferred journal or publishing platform will provide a compliant publishing option. As noted at FAQ B2, if the author expects to pay for open access, they should also check the venue is eligible to receive UKRI open access funds. Authors can check in the following ways:

- Authors should speak to their research organisation about publishing options and available open access funding. (Note that use of UKRI open access funding is managed by research organisations).
- Use the [Journal Checker Tool \(JCT\)](#) to check whether a journal offers a compliant publishing option. The JCT is a comprehensive list of journal publishing options and it includes Jisc transitional arrangements. However, you may find these tools and list helpful too:
 - Use [Jisc's transitional agreement look-up tool](#) to see if your research organisation participates in an eligible transitional agreement with a journal.
 - Refer to the [Jisc approved transformative journal list](#) for a list of transformative journals that are eligible to receive UKRI open access funds.
- Check with the publisher that it offers a compliant route.

B5. How do authors find a suitable institutional or subject repository to use to follow the self-archiving route in the policy?

Authors should check with their research organisation for advice on what repository to use.

Suitable repositories can also be found via the [Directory of Open Access Repositories \(OpenDOAR\)](#).

B6. What support is available to help publishers and learned societies to offer a compliant publication route for UKRI-funded authors?

UKRI has funded Jisc to support publishers to offer open access routes that enable compliance with UKRI's policy. Further information is provided for publishers on Jisc's website at [our role in open access](#).

C. Research articles – licensing

C1. What are the licensing requirements for research articles? Is there additional guidance available?

Licensing requirements are defined in the [UKRI Open Access Policy](#). Additional guidance for authors is available at [making your research publications open access](#).

The process and guidance for applying for a no-derivatives (CC BY-ND) licence exception is available at [apply for a no-derivatives licence exception](#).

UKRI is also working with Jisc to develop a guide for researchers on licensing and copyright, which will be published in due course.

C2. Can a different statement to the wording provided by UKRI be used when submitting a manuscript to a publisher?

We provide wording (see [UKRI Open Access Policy](#)) to authors seeking to comply with our policy via Route 2 for inclusion in their articles to give the publisher notice of UKRI's licensing requirement.

Other funders, or your research organisation, may provide equivalent wording to that supplied in UKRI's policy which intends to achieve the same result of immediate open access via deposit of the author's accepted manuscript with the appropriate license. Provided the wording achieves compliance with the policy, authors may use wording provided by another funder (e.g., Wellcome) or their research organisation.

C3. Is a Creative Commons CC0 licence permitted?

UKRI recommends using a CC BY licence for research publications and this is the core requirement for research articles. However, authors are permitted to use a [CC0 licence](#).

C4. What should I do if my publisher requests the removal of UKRI's Route 2 licensing notification statement from the acknowledgement section of my research article?

For clarity, it is preferable that the licensing notification statement is retained in the version of record, but the publisher can ask for it to be removed.

We expect publishers not to remove the statement from the author's accepted manuscript to ensure there is clarity on how UKRI's licensing requirements for Route 2 of the policy have been applied.

If a publisher has accepted your submission with the statement included, they should allow you to make your authors accepted manuscript open access in a repository under a CC BY licence to comply via Route 2 of UKRI's policy. If the publisher subsequently refuses to permit this, authors should inform their institution and UKRI.

D. Research articles – other questions

D1. Does UKRI have requirements and/or guidance on how to write a data access statement?

The policy requires the inclusion of a data access statement. We do not specify particular requirements for the content or format of the statement. UKRI's requirement and guidance is detailed in the [UKRI Open Access Policy](#).

UKRI's [good research resource hub](#) links to some external guidance on writing data access statements, including examples and advice for different disciplines including arts, humanities and social sciences, biomedicine and engineering, for example. UKRI will publish additional examples and guidance on good practice in due course.

Research organisations and publishers may also provide advice to authors on writing data access statements.

D2. Will UKRI-funded researchers be able to publish in a journal, platform or repository that does not meet all the UKRI Open Access Policy technical requirements for research articles?

Based on our consultation, we recognise that the technical requirements set out in our policy are already widely adopted. However, we are taking a phased approach to the implementation of the technical requirements, as outlined at [shaping our open access policy](#). This is because in some cases, for example machine readable licences, further specific practice needs to be developed to aid implementation.

As a minimum, repositories must be registered in the [Directory of Open Access Repositories \(DOAR\)](#).

E. Monographs, book chapters and edited collections – routes to compliance

E1. What are the compliant open access routes for long-form publications? Can I apply for an exception?

Compliance routes and exceptions are defined in the [UKRI Open Access Policy](#).

Additional guidance for authors is also provided at [making your research publications open access](#).

E2. How are policy exemptions for monographs, book chapters and edited collections applied?

Guidance on applying a permitted exemption for monographs, book chapters, and edited collections is available at [Annex 3 of the UKRI Open Access Policy](#).

E3. I am editing a collection in scope of the policy and a contributor does not wish to publish open access. What should I do?

In-scope publications that need to acknowledge UKRI funding are required to comply with the policy. UKRI award holders should be clear on the funder requirements they are subject to when agreeing collaborations. You should make it clear from the start that the final publication will be open access, so prospective contributors can take this into account in deciding whether to participate or not.

E4. I am a UKRI-funded author writing a book chapter for an edited collection that is not in scope of the UKRI Open Access Policy. What should I do?

If your book chapter needs to acknowledge UKRI funding, you will need to ensure a version of your chapter is made open access within 12 months of publication and with a Creative Commons licence. You should be clear about any funder requirements you are subject to when agreeing a collaboration.

If the entire edited collection is not being made open access under these terms, you should seek agreement with the editor(s) and publisher for the version of record of your chapter or your author's accepted manuscript to be made open access via the publisher or self-archiving in a repository. If the publisher charges for making the version of record open access, you may be eligible for open access funding from UKRI.

See [publishing your research findings](#) for further guidance about our open access policy.

F. Monographs, book chapters and edited collections – licensing

F1. What are the licensing requirements for long-form publications? Is additional guidance available?

Licensing requirements and are defined in the [UKRI Open Access Policy](#). Additional guidance for authors is also provided at [making your research publications open access](#).

UKRI is also working with Jisc to develop a guide for researchers on licensing and copyright, which will be published in due course.

Relevant FAQs will be added to this section in due course.

G. Monographs, book chapters and edited collections – other questions

G1. What does UKRI advise authors who are negotiating contracts before 1 January 2024 for in-scope long-form publications?

UKRI is aware that researchers may be negotiating contracts for longform outputs that will be published on or after 1 January 2024. Our policy includes an exception for when a contract has been signed between the author and the publisher before this date that prevents adherence to the policy. However, we strongly encourage authors and publishers

to make publications open access within a year of the publication date. This exception also applies to authors contributing book chapters for edited books.

H. Open access funding

H1. Where can I find information on UKRI open access funding, including eligible costs and reporting requirements?

Funding information, including eligible costs, and reporting requirements for the UKRI open access block grant for research articles, is available at [open access funding and reporting](#).

H2. The description of eligible costs for the open access block grant for research articles states that when publishing via a hybrid journal that journal must meet the Jisc requirements for transformative journals or transitional agreements to be eligible for UKRI open access funding. Why is this?

This restriction on the use of the UKRI open access funding is to help support the transition to, and affordability of, open access. The requirements aim to return best value from public funds by delivering cost and efficiency savings as well as effect a transition from subscription (paywalled access) to open access. The Jisc requirements have been developed in consultation with the research sector and are governed the sector's strategic groups. Further information is provided on Jisc's website at [our role in open access](#).

H3. How will UKRI's open access funding for monographs, book chapters and edited collections be allocated, and what can it be used for?

The latest information about UKRI's dedicated open access fund for monographs, book chapters and edited collections can be found at [implementing our open access policy](#).

H4. Prior to finalising the details of the new funding mechanism for open access monographs, book chapters and edited collections, can open access costs continue to be included in research grants?

The latest guidance can be found at [open access funding and reporting](#).

H5. Can open access costs for research articles acknowledging Research England or Innovate UK funding be claimed from the UKRI open access block grant?

Yes, if a research article is in-scope of the UKRI Open Access Policy. Further information on when the policy applies to Research England and Innovate UK funding is available at [Annex 1 of the UKRI Open Access Policy](#).

H6. Can UKRI open access funds be used to pay an article processing charge to a hybrid journal that is part of an approved transitional agreement that the author's institution is not signed up to?

Yes, but only if the journal also has Jisc-approved transformative journal status; this can be checked through the [Jisc approved transformative journal list](#). Further information on

the sector's requirements for transformative journals is available on Jisc's website at [our role in open access](#).

You should note that the eligibility of transformative journals for UKRI funding is changing. Transformative journals (TJs) are managed via [cOAlition S](#), who have reaffirmed their position that TJs are a temporary measure to support the transition to open access, [with financial support for TJs ceasing on 31 December 2024 as planned](#).

In preparation for this cOAlition S will stop registration of new TJs on 30 June 2023, however, titles on the Jisc approved transformative journal list will remain eligible for UKRI open access funding up to the 31 December 2024 deadline.

UKRI has adopted the same timeline as its cOAlition S partners based on the recommendation of the sector through Jisc's strategic groups. The rationale for this alignment is that it encourages publishers to commit to the transition to full open access and provides simplicity and consistency of messaging for researchers.

H7. Can UKRI open access funds be used to pay an article processing charge to a hybrid journal that is part of an approved transitional agreement with a publishing allocation cap and the cap has been reached?

All Jisc-negotiated transitional agreements that include caps are closely monitored by Jisc so that UKRI funded articles are prioritised if projections indicate that the cap will be exceeded in a given year. This is to minimise the need for extra payments for funded articles outside of the transitional agreement. However, should an article cap be reached, payments can be made from UKRI open access funds held by institutions that are signed up to the agreement. Organisations may exercise discretion on the use of the available funds where a cap has been reached. Authors should check with their research organisation on local arrangements.

H8. Can UKRI open access funds be used to pay an article processing charge to a hybrid journal that is part of a transitional agreement if the UKRI-funded author is not the corresponding author and so not eligible to use the transitional agreement?

Jisc and UKRI are currently considering this issue with publishers. Until it is resolved, it is recommended that, where possible to do so, the funded author eligible for UKRI open access funding should assume corresponding author status. Where this is not possible, the UKRI-funded research organisation can use its discretion as to whether to pay an article processing charge using its block grant and/or other sources of funding. Jisc's website provides further information on [managing open access publishing in transitional agreements](#).

H9. Can UKRI open access funds be used to contribute towards the cost of Subscribe to Open agreements to publish research articles open access?

As all Subscribe to Open agreements negotiated by Jisc include a compliant green backstop, and so provide a guaranteed compliant publishing option for UKRI-funded authors, using the block grant towards the cost is permitted. Any costs charged to the block grant must be auditable and proportionate, and in line with the block grant terms and conditions.

H10. My organisation does not receive a block grant or has expended its block grant. What should I do?

Authors are still expected to comply with the UKRI Open Access Policy. In the first instance, authors should speak to their research organisations as other sources of funding or open access options may be available. Authors can also comply by publishing in a venue that enables compliance via immediate open access in a repository (Route 2).

Research organisations have discretion about how to financially support open access publication. The open access block grant is provided as a contribution to research publication costs; it is also permissible to support open access through other public funding such as quality-related research funding.

H11. Can the UKRI open access funds be used for colour and page charges?

No. UKRI requires open access via online publication and therefore colour and page charges are not an eligible cost for the open access block grant. Research publication costs for research articles cannot be included in research grants. If an author/research organisation considers such a charge to be appropriate they will need to use alternative sources of funding.

H12. Can the UKRI open access funds be used for journal submission fees?

Yes, if the Version of Record is subsequently published open access in the journal, in compliance with the UKRI Open Access Policy and in accordance with [UKRI open access block grant eligible costs](#). Research organisations have discretion as to whether they will support submission fees.

H13. Can UKRI open access funds be used for publication platforms that charge for open access prior to peer-review?

Yes, if a publishing platform offers a route to compliance with the UKRI Open Access Policy and the peer-reviewed Version of Record is published on the platform following peer-review. Note that preprints are not in-scope of the policy.

H14. How long is UKRI committing the open access block grant for, including its use for publication costs in hybrid journals via transitional agreements and transformative journals?

UKRI intends to provide open access funding via the block grant, under the general terms and conditions first set out in April 2022, in FY2023/24 and 2024/2025. We will review the implementation of the policy requirements for research articles and the associated funding two years from the start date. Therefore, any change to the open access block grant would apply after FY2024/2025, informed by the outcome of the review and sector engagement.

As with all UKRI funding, the level of support available for the open access block grant beyond FY2024/25 will be subject to future government spending reviews.

cOAlition S recently confirmed the end of its financial support for transformative arrangements after 2024, noting that there may be variation in national approaches. UKRI

will continue to provide funding for open access publishing in transitional agreements (TAs) for the current period of funding as set out above, and any changes to this will apply after FY2024/25. With regards to transformative journals (TJs), UKRI will align with the cOAlition S timetable and open access costs associated with TJs may not be charged to the UKRI open access block grant after 31 December 2024.

Refer to **FAQ H6** for further information.

H15. Can UKRI open access funds be used to pay for Jisc transitional agreements for research articles? Is there a limit on how much of the block grant can be used towards such agreements?

UKRI open access funds can be used for the publish elements of Jisc-approved transitional agreements. The publish elements charged to UKRI open access funds must have an auditable record of expenditure. Research organisations must base these charges on either an organisation's UKRI output or previous UKRI spend with that publisher using the publisher's methodology to calculate the 'publish' element of the agreement.

There are no limits set on the amount of expenditure from the open access block grant for any relevant activities that support the policy, but in line with UKRI's usual approach, research organisations will need to ensure any costs charged to the block grant are auditable, proportionate, and spent in line with the grant's terms and conditions.

H16. Are the costs of immediate open access publishing in Nature, Nature Research and Palgrave journal titles eligible charges to UKRI open access funds?

As of August 2022, Nature, Nature Research and Palgrave journal titles [have been accepted as Jisc-approved transformative journals](#) and are eligible to receive UKRI open access funds towards the cost of immediate gold open access publication (UKRI Open Access Policy Route 1). Please note that you should always confirm the presence of any specific title on the Jisc approved transformative journal list prior to submission.

Research organisations have discretion about how UKRI open access funds are allocated.

Whilst a new transitional agreement is being negotiated with UK institutions and Jisc, [Springer Nature will also continue to allow UKRI-funded authors to comply with UKRI's policy](#), without charge, by depositing their author's accepted manuscript in a repository under a CC BY licence (UKRI Open Access Policy Route 2).

H17. Are costs associated with the SCOAP³ agreement eligible costs for UKRI open access funding?

[SCOAP³](#) is an agreement that facilitates open access publication for articles in the high energy physics discipline. Open access costs associated with participation in SCOAP³ are eligible costs for UKRI open access funding.

The SCOAP³ agreement provides a route to open access for high energy physics papers published in the journals that are part of the agreement. Non-high energy physics papers that are published in these journals are not covered by SCOAP³. However, these papers

may be covered by other open access publishing arrangements that are eligible for UKRI open access funds.

H18. Can UKRI funding be used for tools and infrastructures that can be used to manage open access for research articles and reduce administrative burden?

Yes. Costs that help meet the aims of the policy are eligible, although they must be in line with the block grant terms and conditions. Any costs that are charged back to the block grant must be auditable and proportionate.

I. Monitoring and compliance

I1. How will UKRI monitor the policy?

Monitoring and evaluation (M&E) will enable us to assess progress towards open access and compliance with the policy, as well as the effectiveness of the policy.

UKRI are developing a M&E framework for the policy with input from stakeholders in the research and publishing sectors. Further information about this work is provided at [implementing our open access policy](#).

There will be a review point within two years of the start date of the policy requirements for articles to take the opportunity to consider whether adjustments are necessary.

Monitoring compliance of research organisations with the policy will form part of the M&E framework. Research organisations no longer need to submit an annual compliance spreadsheet, as was required under the RCUK (Research Councils UK) open access policy. Details of our approach are being further developed, however work undertaken so far suggests that we will be able to use existing data sources and there will not be a reporting requirement on research organisations.

See **FAQ I2** for information on processes for non-compliance.

See **FAQ I3** for information on block grant monitoring and reporting.

I2. What are UKRI's processes for non-compliance with the policy?

Compliance to the policy will form part of our monitoring activity.

Our approach to monitoring compliance will be pragmatic and proportionate, recognising there will be a bedding in period for the new research articles policy.

Whilst authors and research organisations are expected to comply with the policy from the start date, UKRI will only act where there is clear evidence of a disregard by a research organisation regarding implementation of the policy. This may be for example where there is a pattern of repeated or extensive non-compliance, or evidence of research organisations not supporting researchers adequately. In such situations, UKRI may contact the research organisation to find a solution to help the organisation comply with the policy.

UKRI’s usual practice, as well as the approach we set out in our consultation is that any associated measures will be graduated and with the aim of supporting research organisations to address compliance issues.

I3. How will UKRI monitor compliance with the terms and conditions of the block grant for research articles?

The latest guidance can be found at [open access funding and reporting](#).

Version Control

Version Number	Revision Date	Author(s)	Summary of Changes
1.0	February 2022	UKRI Open Research Team	New document created
1.1	March 2022	UKRI Open Research Team	New: A6, A9, B6, D1-2, E3, F1, H7-I2. Updated: A7, B2-4, C1, H1, H3, H5. Retired: block grant staff costs and allocation timings (updated on website). Revised section headings and numbering, and minor edits for clarity and style.
1.2	March 2022	UKRI Open Research Team	New: H15 Updated: A7, B2, B4
1.3	April 2022	UKRI Open Research Team	New: H16 Updated: B2, B4, H15
1.4	July 2022	UKRI Open Research Team	New: H17. Using UKRI funding for SCOAP ³ Updated: A2. Clarifies the policy applies to UKRI staff. A6. Adds that facility policies should be followed. A7. Adds that software papers are out-of-scope, and that position will be reviewed in due course.

			<p>B2, B3. Direct to B4 to for advice on publishing options.</p> <p>B4. Updated options to check venues that are compliant and/or eligible for UKRI funds. Notes updates to Journal Checker Tool.</p> <p>D2. Directs to updated information about technical requirements on UKRI's website.</p> <p>E2 and H3. Direct to updated information on UKRI's website about monograph policy and funding implementation.</p> <p>H16. Link to Jisc update on Springer Nature's transformative journal application.</p> <p>I1. Directs to updated information on UKRI's website about monitoring and evaluations implementation.</p> <p>Various. Updated links to additional information and minor edits for clarity and consistency.</p>
1.5	August 2022	UKRI Open Research Team	H16 updated to note Springer Nature titles have Jisc-approved transformative journal status.
1.6	November 2022	UKRI Open Research Team	<p>New:</p> <p>A11: Policy scope and co-authored publications</p> <p>C4: Retention of the Route 2 licensing statement in accepted articles.</p> <p>G1: Advice for author negotiation contracts for longform outputs prior to 1 January 2024</p> <p>H18: Using UKRI funding for tools and infrastructures</p>

			<p>I3: Monitoring compliance on use of the UKRI Open Access Block Grant</p> <p>Updated:</p> <p>A5: Clarifies that co-authored publications are in-scope of the policy, also merged with previous A11 as question was duplicated.</p> <p>A8: Clarifies the options available for non-UK based research organisations to practice open access.</p> <p>H7: Clarifies that research organisations have discretion on the use of UKRI funds and adds that authors to check local arrangements</p> <p>I1: Updates on monitoring and evaluation</p> <p>I2: Clarifies approach for non-compliance</p>
1.7	February 2023	UKRI Open Research	<p>H14: note added on cOAlition S position.</p> <p>H16: updated guidance.</p> <p>PDF accessibility updates.</p>
1.8	May 2023	UKRI Open Research	<p>Minor updates for style and clarity:</p> <p>A3, A11, D2, E3, I1 and I2.</p> <p>Merged due to duplication:</p> <p>A5 and A11</p> <p>New</p> <p>A11: UKRI Horizon Europe Guarantee Grants and open access requirements and funds.</p> <p>E4: Book chapters in edited collections that are out-of-scope.</p> <p>Updated</p>

			<p>A8: Updated to cover ODA funding and GCRF grants.</p> <p>B2: Clarification on hybrid journals and Jisc requirements.</p> <p>B4: Update on Journal Checker Tool.</p> <p>E1: Updated to link to latest requirements online.</p> <p>E2: Updated to link to latest requirements online.</p> <p>H1: Updated to link to latest requirements online.</p> <p>H2: Updated to reflect the revised sector aims.</p> <p>H3: Updated to link to latest requirements online.</p> <p>H6: Updated to link to latest requirements online.</p> <p>H14: Clarification on timescales for block grant and use of block grant for transitional agreements.</p> <p>H16: Clarification on use of block grant for Nature, Nature Research, Palgrave and Springer Nature.</p> <p>I3: Updated to link to latest requirements online.</p>
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