UKRI open access policy: frequently asked questions

## Changelog

### 28 November 2023

* new FAQ defining diamond models for book publishing
* new FAQs about the open access fund for long-form publications (outdated FAQs removed)
* updated monitoring processes FAQ with long-form publications position
* various other updates to improve clarity

## 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](/publications/ukri-open-access-policy/)
* [publishing your research findings](/manage-your-award/publishing-your-research-findings/#contents-list)

Information about the implementation of the policy can be found at [shaping our open access policy](/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/implementing-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 email openresearch@ukri.org.

For queries related to open access funding, please email openaccess@funding.ukri.org.

## Scope of the policy

### What research publications are in scope of the policy?

Publications in scope of the policy are defined in the [UKRI open access policy](/publications/ukri-open-access-policy/).

### 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.

### Does the policy apply to UKRI-funded studentships?

The policy applies to in-scope research articles arising from [UKRI training grants](/manage-your-award/meeting-ukri-terms-and-conditions-for-funding/) as these need to acknowledge our funding.

Monographs, book chapters and edited collections arising from training grants are exempt, as detailed in the [UKRI open access policy](/publications/ukri-open-access-policy/).

Training grants include grants for studentships and funding specifically for the training and development of researchers.

### Does the policy apply to grants awarded before the policy start date, and to closed grants?

The policy applies to research articles arising from pre-existing and closed awards if they are submitted for publication on or after 1 April 2022.

The policy applies to monographs, book chapters and edited collections arising from pre-existing and closed awards if they are published on or after 1 January 2024 and within seven years of the formal end of the award.

### 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 the lead author is not funded by UKRI and wants to publish in a venue that does not enable compliance with UKRI’s policy. The UKRI-funded author should seek compliance by asking the publisher to include 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.

### 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.

### 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.

### 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 email 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 and 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.

### Are publications in foreign languages in scope of the policy?

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

### 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](/councils/research-england/), [Scottish Funding Council](https://www.sfc.ac.uk/), [Higher Education Funding Council for Wales](https://www.hefcw.ac.uk/) and [Department for the Economy, Northern Ireland](https://www.economy-ni.gov.uk/articles/higher-education-research-excellence-framework-ref) 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 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.

### 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 that need to acknowledge a UKRI Horizon Europe guarantee grant must comply with the [Horizon Europe open science policy](https://research-and-innovation.ec.europa.eu/strategy/strategy-2020-2024/our-digital-future/open-science_en#future-of-open-science-under-horizon-europe).

Applicants were asked to include publication costs as part of their grant application. You must use this funding for open access costs and not UKRI’s open access block grant or open access fund for long-form publications.

## Research articles: routes to compliance

### What are the compliant open access routes for research articles?

Compliant open access routes are defined in the [UKRI open access policy](/publications/ukri-open-access-policy/). Additional guidance for authors is available at [making your research article open access](/manage-your-award/publishing-your-research-findings/making-your-research-article-open-access/#contents-list).

### Are there restrictions on which journals authors can publish in to 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 that offer a compliant route.

However, UKRI open access funds can only be used for open access costs in hybrid journals when these journals are included in transitional open access arrangements approved by Jisc as meeting the research sector’s requirements. Transitional arrangements can include a transitional agreement that the author’s institution is signed up to, or a journal with transformative journal status. See [further information about Jisc’s requirements for transitional arrangements](https://beta.jisc.ac.uk/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.

### 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 next question below for options).

If a publisher does not offer an option compliant with UKRI’s policy, rejects a submission because of this, or changes terms of publication on acceptance, the author should speak to their research organisation about possible options.

These could include asking the publisher to accommodate publication to comply with UKRI’s policy, identifying an alternative journal, or using the self-archiving 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 [implementing our open access policy](/what-we-do/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/implementing-our-open-access-policy/) for further information.

### How do authors find out if a journal or 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. 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:

1. 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.
2. Use the [Journal Checker Tool](https://journalcheckertool.org/) to check whether a journal offers a compliant publishing option. The checker tool 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](https://agreements.sherpa.ac.uk/) to see if your research organisation participates in an eligible transitional agreement with a journal
	* refer to the [Jisc-approved transformative journal list](https://v2.sherpa.ac.uk/romeo/tjlists.html) 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

### 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)](https://beta.jisc.ac.uk/opendoar).

### 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, see [our role in open access](https://www.jisc.ac.uk/open-research/our-role-in-open-access).

## Research articles: licensing

### What are UKRI’s licensing requirements for research articles?

Licensing requirements are defined in the [UKRI open access policy](/publications/ukri-open-access-policy/). Additional guidance for authors is available at [making your research article open access](/manage-your-award/publishing-your-research-findings/making-your-research-article-open-access/#contents-list).

The process and guidance for applying for a no-derivatives (CC BY-ND) licence exception is available through our [no-derivatives licence exception](/publications/no-derivatives-licence-exception/) application form.

The following good practice guides provide further information about licensing and copyright:

* [Jisc’s guide on copyright and Creative Commons licences](https://beta.jisc.ac.uk/guides/copyright-and-creative-commons-licences-for-publishing-under-the-ukri-open-access-policy)
* [UKRI’s good practice guidance for managing third party copyright](/publications/guidance-on-managing-copyright-under-ukri-open-access-policy/)

### Can a route 2 licensing notification statement different to the wording provided by UKRI be used?

We [provide wording](/publications/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 (they may refer to this a ‘rights retention’ statement or policy), which intends to achieve the same result of immediate open access via deposit of the author’s accepted manuscript with the appropriate licence. Provided the wording achieves compliance with UKRI’s policy, authors may use wording provided by another funder (for example, Wellcome) or their research organisation.

### Is a Creative Commons CC0 licence permitted?

UKRI recommends using a CC BY licence for research articles, and this is the core requirement for research articles. However, authors are permitted to use a [CC0 licence](https://creativecommons.org/publicdomain/zero/1.0/).

### 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 author's 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.

## Research articles: other questions

### Does UKRI have requirements 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](/publications/ukri-open-access-policy/).

UKRI’s [good research resource hub](/about-us/policies-standards-and-data/good-research-resource-hub/open-research/) links to some external guidance on writing data access statements, including examples and advice for different disciplines. UKRI will publish additional examples and guidance on good practice in due course.

Some research organisations and publishers also provide advice to authors on writing data access statements.

### 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 in [implementing our open access policy](/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/implementing-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)](https://v2.sherpa.ac.uk/opendoar/).

## Monographs, book chapters and edited collections: routes to compliance

### What are the compliant open access routes for long-form publications? Can I apply for an exemption?

Compliance routes and permitted exemptions are defined in the [UKRI open access policy](/publications/ukri-open-access-policy/).

See [guidance for authors, including on using exemptions](/manage-your-award/publishing-your-research-findings/making-your-monograph-book-chapter-or-edited-collection-open-access/#contents-list).

### I am editing a collection in scope of UKRI’s 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.

### I am a UKRI-funded author writing a book chapter for an edited collection that is not in scope of UKRI’s 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.

### What are diamond open access models for long-form publications?

Diamond open access models are publishing models that facilitate open access to the version of record through community funding or subscribe to open models. They do not incur fees to publish and help spread the cost across multiple institutions. The collective funding supports open access publications at a lower rate than would be the case with individual book processing charges.

Diamond open access agreements can be accessed in various ways, Jisc also negotiate these models for UK organisations. The diamond open access models for monographs and edited collections negotiated by Jisc require a ‘green’ open access backstop that will enable UKRI-funded authors to comply with UKRI’s open access requirements by self-archiving the author’s accepted manuscript within 12 months in a repository to comply with UKRI’s open access requirements, should the agreement not be fully funded.

Find out [more information about use of UKRI funding for diamond models](/manage-your-award/publishing-your-research-findings/open-access-funding-and-reporting/).

### How will UKRI monitor the use of exemptions for long-form publications?

From January 2024, UKRI will ask authors, or their research organisations, to provide a simple notification to UKRI when an exemption has been applied. UKRI will explain how to do this in due course.

## Monographs, book chapters and edited collections: licensing

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

Licensing requirements are defined in the [UKRI open access policy](/publications/ukri-open-access-policy/). Additional guidance is provided at [making your monograph, book chapter or edited collection open access](/manage-your-award/publishing-your-research-findings/making-your-monograph-book-chapter-or-edited-collection-open-access/#contents-list).

These good practice guides provide further information about licensing and copyright:

* [UKRI’s good practice guidance for managing third party copyright](/publications/guidance-on-managing-copyright-under-ukri-open-access-policy/)
* [Jisc’s guide on copyright and Creative Commons licences](https://beta.jisc.ac.uk/guides/copyright-and-creative-commons-licences-for-publishing-under-the-ukri-open-access-policy)

### Should I include a ‘rights retention’ statement on my submitted or accepted manuscripts for long-form publications?

UKRI has not included a requirement relating to copyright and/or licensing requirements at this stage, given this is a new policy. We acknowledge that it is good practice for authors and research organisations to retain copyright to their work, and authors should check their research organisation’s institutional publication policies.

## Monographs, book chapters and edited collections: other questions

### 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 long-form 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.

## Open access funding: general information

### Where can I find information on UKRI open access funding?

Information about the UKRI open access block grant for research articles and the UKRI open access fund for long-form publications is available at [open access funding and reporting](/manage-your-award/publishing-your-research-findings/open-access-funding-and-reporting/).

### Can open access costs for research articles and long-form publications acknowledging Research England or Innovate UK funding be claimed from UKRI open access funding?

Yes, if the publication is in scope of UKRI’s open access policy. The policy does not apply to all Research England and Innovate UK funding, see [Annex 1 of the UKRI open access policy](/publications/ukri-open-access-policy/) for guidance.

## Open access funding: research articles

### How long is UKRI providing the open access block grant for?

We intend to continue the block grant for the foreseeable future. Via the last spending review, current financial commitments have been made up to and including 2024 to 2025. As with all UKRI funding, levels of support are subject to future UK government spending reviews. However, UKRI intends for the block grant to continue across the next period of the next spending review.

### The description of eligible costs for the block grant 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 by the sector’s strategic groups. Further information is provided on Jisc’s website, see [our role in open access](https://www.jisc.ac.uk/open-research/our-role-in-open-access).

### How long is UKRI permitting use of the open access block grant for transitional agreements and transformative journals?

Research organisations can currently use their block grant for hybrid journal open access costs only when the journal is part of a Jisc-approved transitional agreement or has Jisc-approved transformative journal status.

cOAlition S has confirmed the end of its financial support for transformative arrangements after 2024, noting that there may be variation in national approaches. UKRI is taking an approach that meets the needs of the UK open access environment.

Regarding transformative journals, UKRI will align with the cOAlition S timetable. After 31 December 2024, research organisations will not be able to use their open access block grant for transformative journal publication costs.

Regarding transitional agreements, research organisations will continue to be able to use their block grants for these, until at least the end of financial year 2024 to 2025. In terms of the future UKRI has not released a date where the use of the block grant for transitional agreements will end. Any changes in the future would be informed by the views of the sector, via the relevant Jisc governance structures, and due notice would be provided.

### Are there limits on the use of UKRI open access funds for Jisc-approved transitional 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 block grant expenditure towards any relevant activities that support the policy. However, research organisations need to ensure any costs charged to their block grant are auditable, proportionate, and spent in line with the grant’s [terms and conditions](/publications/ukri-open-access-block-grant-terms-and-conditions/).

### 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](https://v2.sherpa.ac.uk/romeo/tjlists.html). Further information on the sector’s requirements for transformative journals is available on Jisc’s website, see [our role in open access](https://www.jisc.ac.uk/open-research/our-role-in-open-access).

You should note that the eligibility of transformative journals for UKRI funding is changing. Transformative journals are managed via [cOAlition S](https://www.coalition-s.org/), who have reaffirmed their position that transformative journals are a temporary measure to support the transition to open access, with [financial support for them ceasing on 31 December 2024 as planned](https://www.coalition-s.org/coalition-s-confirms-the-end-of-its-financial-support-for-open-access-publishing-under-transformative-arrangements-after-2024/).

In preparation for this, cOAlition S will stop registration of new transformative journals 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.

### 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.

### 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 or other sources of funding. Jisc’s website provides further information on [managing open access publishing in transitional agreements](https://www.jisc.ac.uk/guides/working-with-transitional-agreements/managing-oa-publishing).

### 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](https://subscribetoopencommunity.org/) 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.

### What should I do if my organisation does not receive a block grant or has expended its block grant?

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.

### Can the UKRI open access funds be used for colour and page charges in research articles?

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 or research organisation considers such a charge to be appropriate, they will need to use alternative sources of funding.

### 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](/publications/ukri-open-access-block-grant-terms-and-conditions/). Research organisations have discretion as to whether they will support submission fees.

### 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.

### 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](https://www.jisc.ac.uk/news/springer-natures-revised-application-for-jisc-approved-transformative-journal-status-accepted-28-jul-2022) 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.

While 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](https://www.springernature.com/gp/open-research/plan-s-compliance), without charge, by depositing their author’s accepted manuscript in a repository under a CC BY licence (UKRI open access policy route 2).

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

[SCOAP3](https://scoap3.org/what-is-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.

### 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.

## Open access funding: UKRI open access fund for long-form publications

### Where can I find information about the fund?

Information about UKRI’s open access fund for long-form publications (including monographs, book chapters and edited collections) and how to apply is available at [open access funding and reporting](/manage-your-award/publishing-your-research-findings/open-access-funding-and-reporting/).

### What should I do if the expected cost of my publication exceeds UKRI’s funding limit?

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. Research organisations have discretion about how to financially support open access publication, and it is also permissible to use other public funding such as quality-related research funding.

The maximum levels of funding UKRI will contribute are set out at [open access funding and reporting](/manage-your-award/publishing-your-research-findings/open-access-funding-and-reporting/). In arriving at these levels, UKRI seeks to:

* support researchers and organisations to publish open access
* support a diversity of funding models
* ensure funding is sustainable
* support value for money

### Can I use the fund if I included open access costs in my grant application?

Before 31 October 2023 it was permissible to include open access costs for monographs, book chapters and edited collections in research grant applications. If you included these costs in your grant application and will pay for publication during the lifetime of the grant, you must use that funding.

If you did not include these in your grant application or your grant has ended, you should contact your research organisation to apply to UKRI’s open access fund.

Anticipated costs for clearing rights for third-party materials that will need to be published as part of your research, should still be included in research grant applications.

See [open access funding and reporting](/manage-your-award/publishing-your-research-findings/open-access-funding-and-reporting/) for further details.

### Can I use the fund if my monograph, book chapter or edited collection needs to acknowledge UKRI training grant funding?

Yes. While long-form publications arising solely from training grants do not have to comply with UKRI’s open access policy, we encourage these to be published open access where possible. It is recommended to speak to your research organisation as early as possible, and your publication will need to meet the [eligibility criteria](/manage-your-award/publishing-your-research-findings/open-access-funding-and-reporting/#contents-list) for the fund.

UKRI expects research organisations to support researchers to make such outputs open access, as far as possible. See also ‘Does the policy apply to UKRI-funded studentships?’ under ‘Scope of the policy’ above.

### Who should apply to the fund if there are UKRI-funded co-authors from different research organisations?

This decision should be made between the authors, in consultation with their research organisations. UKRI recommends that one author and their research organisation assume responsibility. You cannot submit duplicate applications for the same publication.

### If an author changes organisations after submission of a stage 1 application, which research organisation should pay the publication cost and submit the stage 2 application to UKRI for reimbursement?

For practical reasons, we anticipate the author’s current research organisation would pay the publication costs and submit the stage 2 application. However, research organisations have discretion in terms of who is most appropriate to pay the publication cost and submit the stage 2 application. In the stage 2 application process we will ask if there have been any changes since stage 1, and this information should be outlined here.

### Will UKRI require evidence of publisher’s processes when requesting funds, for example evidence of peer review?

Evidence of peer review or other publisher processes is not a requirement for applying to the fund.

## Monitoring and compliance

### How will UKRI monitor the policy?

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

UKRI is developing a monitoring and evaluation framework for the policy with input from stakeholders in the research and publishing sectors. See [implementing our open access policy](/what-we-offer/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/implementing-our-open-access-policy/#contents-list) for further information about this work.

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 monitoring and evaluation framework. Research organisations no longer need to submit an annual compliance spreadsheet, as was required under the Research Councils UK (RCUK) 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.

### What are UKRI’s processes for non-compliance with the policy?

Compliance with 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.

While 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.

While the policy for monographs, book chapters and edited collections commences on 1 January 2024, we will not start to monitor compliance until September 2024 onwards. This is to provide a bedding-in period to allow research organisations and award holders to establish practice and mechanisms for UKRI’s new policy and funding approach.

### 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](/manage-your-award/publishing-your-research-findings/open-access-funding-and-reporting/#contents-list).

## Changelog

### 28 November 2023

* new FAQ defining diamond models for book publishing
* new FAQs about the open access fund for long-form publications (outdated FAQs removed)
* updated monitoring processes FAQ with long-form publications position
* various other updates to improve clarity