

This is the PDF version of the exemptions notification form, where authors or their organisations can inform UKRI where an exemption has been applied to a longform publication. The form can also be used to inform UKRI when a trade book has not been published open access.

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Overview

The UKRI Open Access policy applies to monographs, book chapters or edited collections published on or after 1st January 2024.

This is the online form where authors or their organisations can notify UKRI when:

- an exemption has been applied to a longform publication that is in scope of our open access policy for longform publications
- a trade book acknowledging UKRI funding is not published open access

Exemptions

There is no requirement to seek UKRI's approval on the use of exemptions. However, we ask authors or their research organisations to notify us when an exemption is applied using this simple online form.

This form may be completed by authors or their organisations, but only a single submission should be made for each publication. We would encourage authors to ensure that their organisation is informed where they complete this form for their publication.

If you have any queries, then please contact us at openresearch@ukri.org.

Applying an exemption

UKRI recognises there may be rare instances where meeting our open access requirements for long-form outputs may not be possible. There are four reasons where the policy recognises an exemption may be applied. After due consideration, this may mean you need to apply an exemption to a publication that is in-scope of the UKRI open access policy.

The four reasons are:

- a contract was signed with a publisher before 1 January 2024, that prevents compliance with the policy
- where the only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy
- where the only UKRI funding being acknowledged is a UKRI Training Grant (open access is encouraged but not required)
- where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option to enable open access publication

There are many benefits from publishing open access, and open access is a requirement for monographs, edited collections and book chapters that acknowledge our funding. **Therefore, you should seek to publish open access wherever**

possible, prior to using an exemption. For example, you should consider both routes to open access, either the Version of Record or the Authors Accepted Manuscript, and refer to the guidance on applying exemptions for further information on open access options.

Guidance on when and how to use an exemption is provided in Annex 3 of the <u>UKRI</u> open access policy.

In considering whether you need to apply an exemption where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option to enable open access publication, you should refer to our <u>guidance on good practice</u> including third-party materials in your <u>publication</u>.

You should make the decision to apply an exemption for your publication following discussion, as appropriate, with your library, research office, or equivalent that is responsible for your research organisation's implementation of the UKRI open access policy.

Trade books

Trade books are defined in Annex 1 of the <u>UKRI open access policy</u>. If a trade book is the only output arising from UKRI research funding then the open access requirements apply. A trade book is otherwise out of scope of the policy. This means that open access requirements do not apply to your trade book if you publish another research output open access that:

- is a peer-reviewed research article, monograph, book chapter, or edited collection in-scope of the open access policy, and
- acknowledges the same UKRI funding as the trade book.

You should only use this form when the trade book is not published open access.

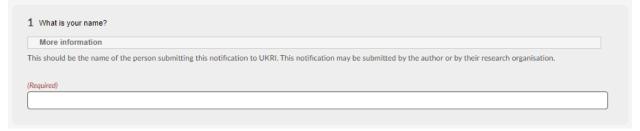
How will UKRI use this information?

UKRI will use the information supplied to understand the number and type of exemptions being applied, as well as trade books resulting from UKRI funding that are not published open access.

Notify UKRI of an exemption applied to a publication that is in-scope of the UKRI Open Access Policy for longform publications and trade books not published open access >

Introduction

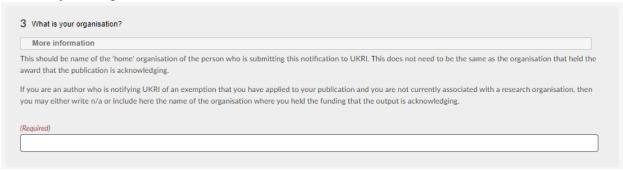
What is your name?



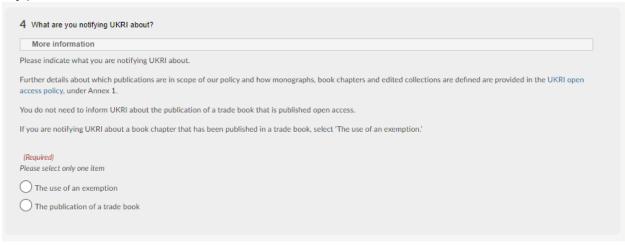
What is your email address?



What is your organisation?



Type of notification

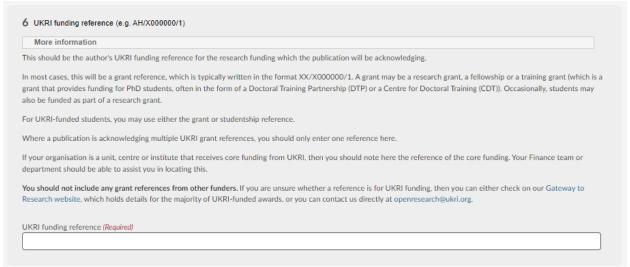


Notification of exemption

Type of publication

More informat	tion
Please indicate the	type of publication for which you are registering an exemption.
Further details abo access policy, unde	out which publications are in scope of our policy and how monographs, book chapters and edited collections are defined are provided in the UKRI ope er Annex 1.
(Required) Please select only o	ne item
A monograph	or edited collection
A book chapte	er e

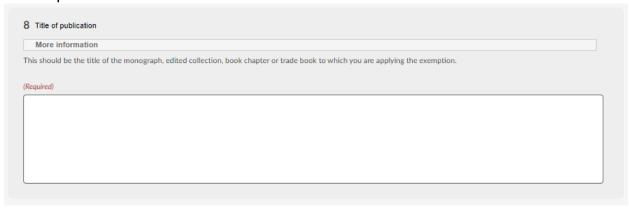
UKRI funding reference (e.g., AH/X000000/1)



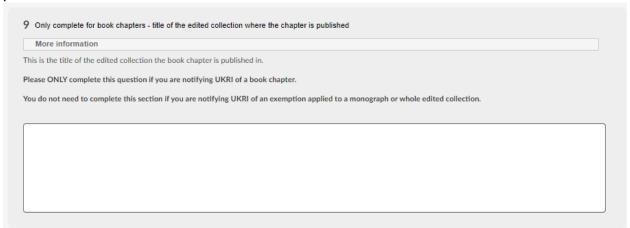
Author name(s)

More information					
lease list the names of the olon (;).	lead author(s) and any author	s that are associated with	the relevant UKRI research	that led to the output. Separate	e each author name with a ser
Required)					

Title of publication



Only complete for book chapters – title of the edited collected where the chapter is published



Name of publisher



Date of publication

More information			
his should be the date that the	output was published.		
ay Month Year			

Publication ISBN

More information					
more information					
s should be the ISBN (International	Standard Book Number) of the nu	blication to which you	rare applying an exe	mntion	
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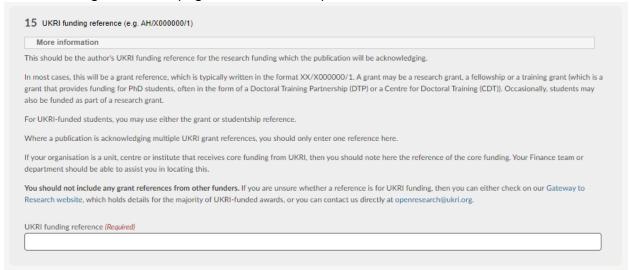
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Reason for exemption

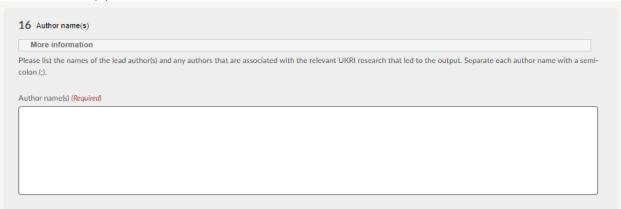
More information	on
	ns where the policy recognises an exemption may be applied. After due consideration, this may mean that you need to apply an exemption to a publication by UKRI open access policy.
The four reasons are	
where the only	y appropriate publisher for the publication, after liaison and consideration is unable to offer an open access option that complies with UKRI's policy
	and their organisation should consider the detailed guidance at Annex 3A of UKRI's policy document, seek open access options from the publisher before tion and only apply the exemption as a last resort.
where reuse p	ermissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication
If applying this exem last resort.	aption, authors and their organisation should consider the detailed guidance at Annex 3(B) of UKRI's policy document, and only apply the exemption as a
where the only	y UKRI funding being acknowledged is a UKRI Training Grant
If applying this exem	aption, you should note that this is a blanket exemption in the policy. Open access is encouraged.
	grant which provides funding for PhD students, often awarded in the form of a Doctoral Training Partnership (DTP) or a Centre for Doctoral Training ints are funded through a training grant. For example, a student may be funded as part of a research grant. If you are unsure, please contact org for assistance.
where a contra	act was signed with a publisher before 1 Januaury 2024 that prevents compliance with the policy
If applying this exem	aption, you should note that this is a blanket exemption in the policy. Open access is encouraged.
(Required) Please select only one	t item
The only approp	priate publisher, after liaison and consideration, is unable to offer an open access option that complies with
Reuse permission	ons for third party materials cannot be obtained and there is no suitable alternative option available to enable blication
The only UKRI	funding being acknowledged is a UKRI Training Grant
A contract was	signed before 1 January 2024 that prevents compliance with the policy

Notification of a trade book

UKRI funding reference (e.g., AH/X000000/1)



Author name(s)



Title of publication

More information			
his should be the title of the the trade	e book you are notifying UKRI about.		
Required)			

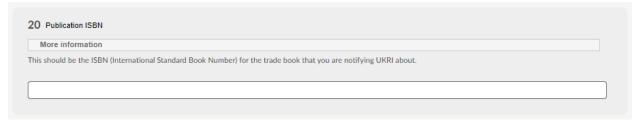
Name of publisher

More information				
his should be the name of the	publisher with whom the trade boo	k is published.		

Date of publication



Publication ISBN



Publication DOI



Response submitted

Notification of exemption applied to a longform publication and trade books not published open access

Closes 31 Dec 2030

Your response has been submitted

Your response ID is XXXX-XXXX-XXXX-X. Please have this ID available if you need to contact us about your response.

A receipt for your response has been emailed to you from the address ukri@mail1.citizenspace.com with the subject "Response received - Response ID: XXXX-XXXX-XXXX-X". If it doesn't appear in your inbox within a couple of minutes, please check your "spam" or "junk" folder.

Thank you for your response.