UKRI Open access fund for monographs, book chapters and edited collections

This is the PDF version of the application form for the Stage 1, where organisations can register monographs, book chapters and edited collections for UKRI open access funding

CHANGE LOG			
DATE	PAGE	QUESTION	UPDATE
26.04.24	Publication details	Publication type	Addition of 'trade books' as an option
26.04.24	Publication details	Resubmissions	Addition of an optional question to ask whether a publication is being resubmitted
26.04.24	Publication details	Organisation reference	Addition of an optional question to allow organisations to include an internal reference
26.04.24	Publication details		General updates to include author(s)/editor(s), where appropriate
26.04.24	Publication details	Estimated costs	Update to field to only allow figures to be added
26.04.24	Publication details	Additional information	Addition of an optional 'additional information' question

UKRI Open access fund for monographs, book chapters and edited collections

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Overview

This is the Stage 1 form for UKRI's open access fund for long-form publications. UK-based research organisations can use this form to register eligible monographs, book chapters and edited collections, where there is an intention to claim open access funding.

This fund has a two-stage application process. At Stage 1, UKRI will consider your application and provide confirmation if the publication(s) registered will be eligible for funding, subject to meeting eligibility requirements on publication.

Funds are not allocated for publications at Stage 1. Funding is only guaranteed following successful submission of a Stage 2 application for reimbursement. Stage 2 applications will open in January 2024 - please refer to open access funding for details.

What publications are eligible?

The publication **must** be a monograph, book chapter or edited collection within scope of UKRI's open access policy.

Funding is only available where the final Version of Record will be made immediately open access on publication, with a Creative Commons licence. Please refer to the UKRI open access policy for more information about all of the policy compliant publication routes.

Funding will only be provided where publication occurs within 7 years of the formal end date of the associated UKRI research funding, unless extenuating circumstances apply. Please see our website for further information.

Open access costs for research articles are not supported by this fund. UKRI supports research article costs via block grants to research organisations.

For further information about the publications that are in scope of the policy refer to Annex 1 of the UKRI open access policy or speak to your research organisation for guidance.

Who can apply?

Applications are only accepted from staff responsible for open access funding in UK-based research organisations.

Authors should not complete this form. You should speak to the team responsible for open access funding at your research organisation, who will register eligible publications on your behalf. This will typically be your library or research office, but institutional arrangements may vary.

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Authors not currently based at a UK research organisation should contact openresearch@ukri.org for information on how to apply.

The research organisation making this submission does not need to be the organisation where the research funding being acknowledged was originally held. Instead, the submission should be made by the research organisation that is author's current employer and/or the research organisation supporting the author(s) to publish their output.

When will I receive a response from UKRI?

UKRI will aim to provide confirmation within 10 working days, subject to application volumes.

Questions?

If you have any questions about completing this form or the eligibility of an output for support through UKRI's ring-fenced fund, then please email openresearch@ukri.org.

Common questions about Stage 1

Why are there two stages to the application process?

Our two-stage registration and application process is designed to support research organisations who wanted an indication of a publication's eligibility for support through the ring-fenced fund prior to entering into a contract with a publisher. Stage 1 is designed to provide that indication to organisations at an early stage in the publication lifecycle. Stage 2 allows organisations to apply to UKRI for funding once the output has been published.

Do submissions need to be made at both stages to receive funding?

Yes, you must complete a Stage 1 registration form and a Stage 2 application for funds for each publication. You should ensure that you receive confirmation of eligibility from UKRI before you submit a Stage 2 application for funds.

Our two-stage registration and application process is designed to support research organisations who wanted an indication of a publication's eligibility for support through the ring-fenced fund prior to entering into a contract with a publisher.

Is there a minimum or maximum time limit to submit the Stage 2 application following Stage 1 confirmation from UKRI?

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No. However, publication must occur within seven years of the formal end of the UKRI funding which the output is acknowledging. Please see our website for further information.

How many publications can we register at once?

You can include up to ten publications in each submission and make as many submissions as needed.
Each submission can include a combination of monographs, book chapters and edited collections.

An author is writing a book series. Can we make a single submission for the whole series?

No, individual volumes will need to be registered as separate publications. However, all volumes can be registered in one application as separate publications.

Do I have to complete the form in one go?

No, you can use the 'save and return' feature to save a partially completed form and return to it at a later date. You should ensure that you have cookies enabled on your browser and that you do not clear your cache.

What happens when I submit the form?

Please disregard the text on the 'almost done' page, which mentions entering an email address to receive a pdf copy of your submission. This unfortunately cannot be changed.

Once you submit the form, you will be emailed a submission confirmation from **ukri@mail1.citizenspace.com,** a copy of your unique reference number and a link where you can download a pdf copy of your submission. Please make a note of this reference; you will need this if contacting UKRI about your application and when submitting a Stage 2 application.

You do not have to download the pdf version of your submission, **but we strongly recommend that you do this so that you have a full record of the information included your submission.**

UKRI will then consider your application and will confirm by email to the address you provided in the application form whether the publication(s) can be funded, subject to meeting eligibility requirements on publication.

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If additional information is required, UKRI will email you using the address you provided in the application form.

Introduction

Please confirm that you are responsible for open access at your research organisation and are making this submission on behalf of an author(s) from your organisation.

(Required)
Please select only one item

◯ Yes

◯ No

N.B. If 'no' is selected, then respondents will be directed to the 'important information' page.

Important information

This form should only be completed by a member of a relevant team in a research organisation. It should not be completed by authors.

If you are an author, then please contact the team responsible for open access funding at your research organisation who can submit an application on your behalf.

If you are not based at/no longer employed by a UK-based research organisation who can submit your publication details on your behalf, then please do not submit any information through this form and instead, contact UKRI directly at openresearch@ukri.org.

Thank you.

Submission details

Name of person making this submission to UKRI

Name of person making this submission to UKRI

More information

This should be the name of the person in the research organisation who is managing the application to the fund, not the author of the publication.

Name *(Required)*

Job title of person making this submission to UKRI

Job title of person making this submission to UKRI

More information

Please note here your role or job title.

Role *(Required)*

Contact email address for this submission (we recommend that you use a generic or team email address)

Contact email address for this submission (we recommend that you use a generic or team email address)

More information

This should be the contact email address that you wish UKRI to use for any communications about this submission.

We recommend that you use a team or generic email address and that this is regularly monitored, as UKRI will contact you about this application. Please also use an institutional email (e.g., name@researchorganisation.ac.uk), rather than a personal email address.

Contact email address *(Required)*

Name of your organisation

Name of your organisation

More information

The research organisation making this submission does not need to be the organisation where the research funding being acknowledged was originally held.

Organisation *(Required)*

Organisational Research Organisation Registry (ROR) id (if known)

Organisational Research Organisation Registry (ROR) id (if known)

More information

Please add your organisation's Research Organisation Registry (ROR) id, which you can find by searching on the ROR website.

If the organisation does not have an ROR id, you can leave this field blank.

ROR

Publication Details

Please provide details about the first publication you would like to register.

If you are registering more than one publication, you will have the opportunity to add details for additional publications (up to ten in total) later.

What is the type of publication you are registering?

What is the type of publication you are registering?

More information

Further details about which publications are in scope of our policy and how monographs, book chapters, edited collections and in-scope trade books are defined are provided in the UKRI open access policy, under Annex 1.

(Required)
Please select only one item

◯ A monograph

◯ An edited collection

◯ A book chapter

◯ A trade book

Are you resubmitting details for a publication that was previously deemed ineligible for support from the longform publications fund?

Are you resubmitting details for a publication that was previously deemed ineligible for support from the longform publications fund?

More information

You should select 'yes' if you have previously submitted the details for this publication and it was deemed ineligible by UKRI. Publication details should only be resubmitted where you have liaised with UKRI's Open Research team (openresearch@ukri.org) and received permission to resubmit.

If you have not previously submitted details for this publication, then please select 'no'.

(Required)
Please select only one item

◯ Yes

◯ No

Organisation reference

Organisation reference

More information

The field has been provided for organisations to include their own reference for the submission, if required.

This field is not mandatory and may be left blank if not required.

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

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

> **More information**

This should be the author's UKRI funding reference for the research funding which the publication will be acknowledging.

In most cases, this will be a grant reference, which is typically written in the format XX/X000000/1. A grant may be a research grant, a fellowship or a training grant (which is a grant that provides funding for PhD students, often in the form of a Doctoral Training Partnership (DTP) or a Centre for Doctoral Training (CDT)). Occasionally, students may also be funded as part of a research grant.

Where a publication is acknowledging multiple UKRI grant references, you should only enter one reference here. We recommend that you should enter the grant reference for the grant with the latest or most recent end date.

Please note that while you can submit a Stage 1 application at any time, funding will only be provided if publication occurs within seven years of the formal end date of the UKRI funding that is being acknowledged.

If your organisation is a unit, centre or institute that receives core funding from UKRI, then you should note here the reference of the core funding. Your Finance team or department should be able to assist you in locating this.

You should not include any grant references from other funders. If you are unsure whether a reference is for UKRI funding, then you can either check on our Gateway to Research website, which holds details for the majority of UKRI-funded awards, or you can contact us directly at openresearch@ukri.org.

(Required)

End date of UKRI funding (DD/MM/YYYY)

End date of UKRI funding (DD/MM/YYYY)

> **More information**

You should enter the end date of the UKRI research funding that is being referenced in the previous question.

If you are referencing a UKRI grant that has not yet ended, then you should enter the current planned end date of the award.

For PhD students, you should enter the date of the PhD award. Where the PhD has not yet been awarded, you should enter the expected submission date.

(Required)

Day   Month   Year

Author/editor name(s)

Author/editor name(s)

> **More information**

Please list the names of the lead author(s)/editor(s) and any authors/editors that are associated with the relevant UKRI research that led to the output. Separate each author name with a semi-colon (;).

(Required)

Author(s)/editor(s) ORCiD (if known)

Author(s)/editor(s) ORCiD (if known)

More information

Please list the ORCiD of the lead author(s)/editor(s) and any authors/editors that are associated with the relevant UKRI research that lead to the output. Separate each ORCiD with a semi-colon (;).

Title of publication

Title of publication

More information

This should be the title of the monograph, edited collection or book chapter that you are registering with UKRI. The title provided at this stage can be a draft.

(Required)

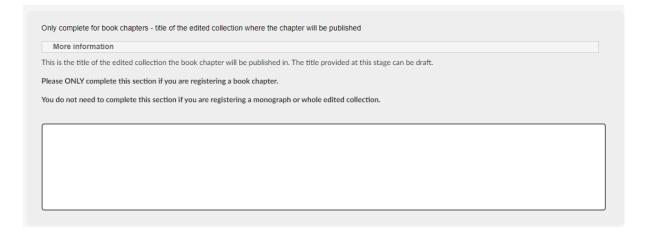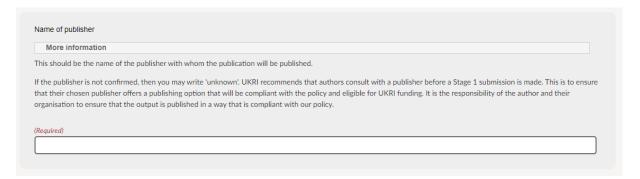## Only complete for book chapters – name(s) of the editor(s) of the collection where the chapter will be published

Only complete for book chapters - name(s) of the editor(s) of the collection where the chapter will be published

More information

Please provide the name(s) of the editor(s) of the book the chapter will be included in.

Please ONLY complete this section if you are registering a book chapter.

You do not need to complete this section if you are registering a monograph or whole edited collection.

Only complete for book chapters – title of the edited collection where the chapter will be published
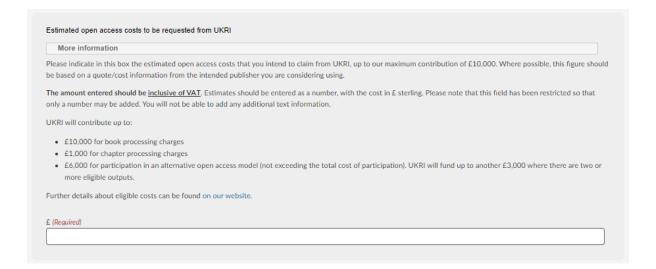
Only complete for book chapters - title of the edited collection where the chapter will be published

| More information |

This is the title of the edited collection the book chapter will be published in. The title provided at this stage can be draft.

Please ONLY complete this section if you are registering a book chapter.

You do not need to complete this section if you are registering a monograph or whole edited collection.

Name of publisher

Name of publisher

| More information |

This should be the name of the publisher with whom the publication will be published.

If the publisher is not confirmed, then you may write 'unknown'. UKRI recommends that authors consult with a publisher before a Stage 1 submission is made. This is to ensure that their chosen publisher offers a publishing option that will be compliant with the policy and eligible for UKRI funding. It is the responsibility of the author and their organisation to ensure that the output is published in a way that is compliant with our policy.

(Required)

Publishers Research Organisation Registry (ROR) id (if known)

Publisher's Research Organisation Registry (ROR) id (if known)

| More information |

Add the publisher's Research Organisation Registry (ROR) id, if known. This may be found by searching on the ROR website.

Estimated open access costs to be requested from UKRI

Estimated open access costs to be requested from UKRI

More information

Please indicate in this box the estimated open access costs that you intend to claim from UKRI, up to our maximum contribution of £10,000. Where possible, this figure should be based on a quote/cost information from the intended publisher you are considering using.

The amount entered should be inclusive of VAT. Estimates should be entered as a number, with the cost in £ sterling. Please note that this field has been restricted so that only a number may be added. You will not be able to add any additional text information.

UKRI will contribute up to:

- £10,000 for book processing charges
- £1,000 for chapter processing charges
- £6,000 for participation in an alternative open access model (not exceeding the total cost of participation). UKRI will fund up to another £3,000 where there are two or more eligible outputs.

Further details about eligible costs can be found on our website.

£ *(Required)*

Anticipated date of publication

Anticipated date of publication (DD/MM/YYYY)

More information

This is the estimated date the publication will be available open access. We appreciate this is an estimate and subject to change. The exact day in most cases will be unknown, you can enter 01 for the day if this is not yet known.

Any date you provide is not considered a due date or deadline for the publication, or a date by which you must submit a Stage 2 application. The estimate will aid planning and administration of the fund.

However, please note that if a monograph, book chapter or edited collection is due to be published more than seven years after the formal end of a UKRI-funded project, then it will no longer be eligible for financial support and therefore UKRI do not expect the output to be published open access.

When submitting a Stage 1 registration, you should ensure that publication will take place within this seven-year period. UKRI will count seven years from the formal end date of a project (i.e., the grant end date or PhD award date) and not from the date of a Stage 1 registration submission.

(Required)

Day   Month   Year

Are you the grant holding organisation for the UKRI grant that the publication acknowledges?

Are you the grant-holding organisation for the UKRI grant that this publication acknowledges?

More information

Please select 'yes' if your organisation is (or was) the grant-holding organisation that held the award which this publication is acknowledging. Please select 'no' if the grant that this publication acknowledges is (or was) not held by your organisation.

This information is sought for funding assurance purposes, so that we can track an author's relationship to the UKRI funding if they have moved organisation since being awarded the grant which the publication acknowledges.

Your answer will NOT affect the eligibility of the publication to be supported by the ring-fenced fund.

(Required)
Please select only one item

◯ Yes

◯ No

If you are not the grant-holding organisation for the UKRI grant that this publication acknowledges, please specify the grant-holding organisation

If you are not the grant-holding organisation for the UKRI grant that this publication acknowledges, please specify the grant-holding organisation.

More information

Enter the name of the organisation to which UKRI awarded the grant that the author is acknowledging. If you are the grant-holding organisation for the grant acknowledged in the publication (and you have answered 'yes' to the previous question'), you should leave this cell blank.

This information is being sought for funding assurance purposes, so that we can track an author's relationship to the UKRI funding if they have moved organisation. Your answer will NOT affect the eligibility of the publication to be supported by the ring-fenced fund.

Additional information

Additional information

More information

This box has been provided for you to add any important additional information about the submission. It does not need to be completed and may be left blank if there is no requirement for additional information.

Additional information may include:

- Where this is a resubmission of a previously unsuccessful submission
- Where there may be a difference between the end date of funding as recorded on GtR and the actual end date of support for a project, for example where a project received additional support through the Covid Extension Allocation (CoA) funding
- Where the end date of the funding being acknowledged is greater than seven years in the past, and where you have received confirmation from UKRI that the publication can still be supported by the fund.

The field has been limited to 200 characters. Please do not add any personal details relating to the author(s) or use this field for questions about a submission. Questions relating to a submission should be sent to openresearch@ukri.org before submitting a Stage 1 application.

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Do you wish to add details for another publication?

Do you wish to add details for another publication?

Do you wish to add details for another publication?
 (Required)
 Please select only one item

◯ Yes

◯ No

N.B. If 'yes' is selected, you will be directed to a new version of the publication page. If 'no' is selected, you will be directed to submit your form to UKRI.

Almost done …

You are about to submit your response. By clicking 'Submit Response' you give us permission to analyse and include your response in our results. After you click Submit, you will no longer be able to go back and change any of your answers.

When you submit your response, you will be sent a receipt and a link to a PDF copy of your response.

« First   **Submit Response**

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.

Please make a note of your response ID as you will need this when making a Stage 2 application for any of the publications included in this submission.

Annex 1: List of questions in the Stage 1 registration form

To help you plan and prepare your Stage 1 application to register outputs for the UKRI open access long-form fund we include a list of the on-line form questions below. An Excel spreadsheet containing a table version of these questions can also be found on our website.

This is to help you prepare and collect information prior to using the on-line form.

For further details, including guidance on answering the questions, please refer to the main section of this guide.

Introduction:

Information required	Mandatory?	Other details
Please confirm that you are responsible for open access at your research organisation and are making this submission on behalf of an author(s) from your organisation.	Yes	

Submission information:

Information required	Mandatory?	Other details
Name of person making this submission to UKRI	Yes	
Job title of person making this submission to UKRI	Yes	
Contact email address for this submission	Yes	Can be a team or generic address. We recommend using an organisational address.
Name of your research organisation	Yes	
Organisational Research Organisation Registry (ROR) id (if known)	No	

Publication page:

Information required	Mandatory?	Other details
What type of publication are you registering with UKRI	Yes	One to be selected from monograph, book chapter, edited collection or trade book

UKRI Open access fund for monographs, book chapters and edited collections

Are you resubmitting details for a publication that was previously deemed ineligible for support from the longform publications fund?	Yes	Only select 'yes' if you have been in contact with UKRI about a previously unsuccessful submission, and you have been advised to resubmit
Organisation reference	No	A non-mandatory field for organisations to include their own reference, if required
UKRI funding reference	Yes	
End date of UKRI funding (DD/MM/YYYY)	Yes	Date must be on or beyond 01/01/2017
Author/editor name(s)	Yes	Limit of 100 characters
Author(s)/editor(s) ORCiD (if known)	No	
Title of publication	Yes	Limit of 200 characters
Only complete for book chapters – name(s) of the editor(s) of the collection where the chapter will be published	No	Limit of 200 characters
Only complete for book chapters – title of the edited collection where the chapter will be published	No	Limit of 200 characters
Name of publisher	Yes	
Publisher's Research Organisation Registry (ROR) id	No	
Estimated open access costs to be requested from UKRI	Yes	Only figures may be submitted in this field
Anticipated date of publication (DD/MM/YYYY)	Yes	Date must be on or beyond 01/01/2024
Are you the grant-holding organisation for the UKRI grant that this publication acknowledges	Yes	Yes/No options
If you are not the grant-holding organisation for the UKRI grant that this publication acknowledges, please specify the grant-holding organisation	No	
Additional information	No	A free-text field which organisations can use to supply additional information