



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 [UKRI 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 [guidance on good practice including third-party materials in your publication](#).

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 [UKRI open access policy](#). 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?

1 What is your name?

[More information](#)

This should be the name of the person submitting this notification to UKRI. This notification may be submitted by the author or by their research organisation.

(Required)

What is your email address?

2 What is your email address?

[More information](#)

This should be the contact email address for the person submitting this notification to UKRI. We will use this address should we need to contact you about the information that you have submitted.

If this form is being completed by a member of a relevant team within an organisation, then we would encourage you to use a generic or team email address that is checked regularly.

(Required)

What is your organisation?

3 What is your organisation?

[More information](#)

This should be name of the 'home' organisation of the person who is submitting this notification to UKRI. This does not need to be the same as the organisation that held the award that the publication is acknowledging.

If you are an author who is notifying UKRI of an exemption that you have applied to your publication and you are not currently associated with a research organisation, then you may either write n/a or include here the name of the organisation where you held the funding that the output is acknowledging.

(Required)

Type of notification

4 What are you notifying UKRI about?

More information

Please indicate what you are notifying UKRI about.

Further details about which publications are in scope of our policy and how monographs, book chapters and edited collections are defined are provided in the [UKRI open access policy](#), under Annex 1.

You do not need to inform UKRI about the publication of a trade book that is published open access.

If you are notifying UKRI about a book chapter that has been published in a trade book, select 'The use of an exemption.'

(Required)

Please select only one item

- The use of an exemption
- The publication of a trade book

Notification of exemption

Type of publication

5 Type of publication

More information

Please indicate the type of publication for which you are registering an exemption.

Further details about which publications are in scope of our policy and how monographs, book chapters and edited collections are defined are provided in the [UKRI open access policy](#), under Annex 1.

(Required)

Please select only one item

- A monograph or edited collection
- A book chapter

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

6 UKRI funding reference (e.g. AH/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.

For UKRI-funded students, you may use either the grant or studentship reference.

Where a publication is acknowledging multiple UKRI grant references, you should only enter one reference here.

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.

UKRI funding reference *(Required)*

Author name(s)

7 Author name(s)

More information

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

(Required)

Title of publication

8 Title of publication

[More information](#)

This should be the title of the monograph, edited collection, book chapter or trade book to which you are applying the exemption.

(Required)

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

9 Only complete for book chapters - title of the edited collection where the chapter is published

[More information](#)

This is the title of the edited collection the book chapter is published in.

Please **ONLY** complete this question if you are notifying UKRI of a book chapter.

You do not need to complete this section if you are notifying UKRI of an exemption applied to a monograph or whole edited collection.

Name of publisher

10 Name of publisher

[More information](#)

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

(Required)

Date of publication

11 Date of publication

[More information](#)

This should be the date that the output was published.

Day Month Year
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Publication ISBN

12 Publication ISBN

[More information](#)

This should be the ISBN (International Standard Book Number) of the publication to which you are applying an exemption.

Publication DOI

13 Publication DOI

[More information](#)

This should be the DOI (Digital Object Identifier) for the publication to which you are applying the exemption.

Reason for exemption

14 Reason for exemption

More information

There are four reasons 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 that is in-scope of the UKRI open access policy.

The four reasons are:

- where the only appropriate publisher for the publication, after liaison and consideration is unable to offer an open access option that complies with UKRI's policy

In this case, authors and their organisation should consider the detailed guidance at [Annex 3A of UKRI's policy document](#), seek open access options from the publisher before relying on an exemption and only apply the exemption as a last resort.

- where reuse permissions for third-party materials cannot be obtained and there is no suitable alternative option available to enable open access publication

If applying this exemption, 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 last resort.

- where the only UKRI funding being acknowledged is a UKRI Training Grant

If applying this exemption, you should note that this is a blanket exemption in the policy. Open access is encouraged.

A training grant is a grant which provides funding for PhD students, often awarded in the form of a Doctoral Training Partnership (DTP) or a Centre for Doctoral Training (CDT). Not all students 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 openresearch@ukri.org for assistance.

- where a contract was signed with a publisher before 1 January 2024 that prevents compliance with the policy

If applying this exemption, you should note that this is a blanket exemption in the policy. Open access is encouraged.

(Required)

Please select only one item

- The only appropriate publisher, after liaison and consideration, is unable to offer an open access option that complies with UKRI's policy
- Reuse permissions for third party materials cannot be obtained and there is no suitable alternative option available to enable open access publication
- 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)

15 UKRI funding reference (e.g. AH/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.

For UKRI-funded students, you may use either the grant or studentship reference.

Where a publication is acknowledging multiple UKRI grant references, you should only enter one reference here.

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.

UKRI funding reference *(Required)*

Author name(s)

16 Author name(s)

[More information](#)

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

Author name(s) *(Required)*

Title of publication

17 Title of publication

[More information](#)

This should be the title of the trade book you are notifying UKRI about.

(Required)

Name of publisher

18 Name of publisher

[More information](#)

This should be the name of the publisher with whom the trade book is published.

(Required)

Date of publication

19 Date of publication

[More information](#)

This should be the date that the trade book was published.

(Required)

Day Month Year

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Publication ISBN

20 Publication ISBN

[More information](#)

This should be the ISBN (International Standard Book Number) for the trade book that you are notifying UKRI about.

Publication DOI

21 Publication DOI

[More information](#)

This should be the DOI (Digital Object Identifier) for the trade book that you are notifying UKRI about.

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.