

### Introduction

Following approval by the Senate Research and Enterprise Committee in February 2011, the University operates a dedicated central Open Access Publication Fund (OAPF) (officially launched in August 2011). The OAPF is part of the University's response to, and support of, developments in research communication and publication trends. The fund is also to support researchers in complying with some of the major research funding bodies who have introduced open access requirements as a condition of their grants. The fund is available for use by any Bournemouth University (BU) author ready to submit a completed article for publication who wishes to make their output freely and openly accessible, regardless of their source of funding or research area.

The OAPF is sponsored by the PVC (Research) and managed by the Research Development Unit (RDU).

### Background

#### Open access publishing or archiving?

There are two main ways of making research findings open access – publishing and archiving. Open access publishing is where articles are published in open access journals; researchers pay a fee to the publisher to publish their research and in turn the publisher makes the article available free of charge to readers immediately on publication. Open access archiving on the other hand is where researchers deposit a full-text version of their article in an open access institutional repository (such as BURO) or a subject-based repository (such as ArXive). The repository then makes the article freely available, either immediately upon publication or after an embargo period enforced by the journal. To ensure maximum dissemination of research findings to the wider public, researchers should be encouraged to engage with both open access publishing and open access archiving.

#### Research funders' requirements

Many funders require the research they fund to be made freely available, free of charge to any readers upon completion of the project. A full list of funders with open access requirements can be found on the Sherpa Juliet website<sup>1</sup>, and includes all seven Research Councils, the European Commission, the Wellcome Trust and the National Institute for Health Research (NIHR). These requirements have been put in place by funders to maximise the public dissemination of research findings. However, despite these open access mandates funders are reporting that researchers and therefore HEIs are not compliant; recent research undertaken by the Wellcome Trust indicates a compliance rate of less than 50%.

#### Research Excellence Framework (REF2014)

Open access publishing enables research findings to be disseminated to a wide public audience with much faster publication times than traditional journal publishing. The European Commission's policy on open access publishing notes that the broad dissemination of research findings can accelerate scientific progress and has significant benefits to both the scientific community and to society<sup>2</sup>.

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<sup>1</sup> Sherpa Juliet website: <http://www.sherpa.ac.uk/juliet/>

<sup>2</sup> European Commission policy on open access publishing: <http://ec.europa.eu/research/science-society/index.cfm?fuseaction=public.topic&id=1680>

Open access publishing has three potentially significant benefits for BU's submission to the Research Excellence Framework in autumn 2013:

- i) Publication times - Papers can be published significantly faster than traditional journal publishing methods and therefore BU would not be as constrained by traditional publishing deadlines; more articles could therefore be published prior to the REF publication deadline and be eligible for submission.
- ii) Citations - Open access publications are more widely available and are therefore more likely to be cited.
- iii) Research impact - Open access publication is a way of enhancing the visibility and increasing the impact of research findings. Research findings made freely available to society at large are likely to have wider societal impact.

Approaches to open access publishing – other institutions

A number of international research institutions (such as the Max Planck Society<sup>3</sup> and the University of California Berkley<sup>4</sup>) have already established institutional budgets and processes through which researchers can access funds to meet the costs of open access publication fees.

In the UK the University of Nottingham (which publishes ca. 4,000 articles per annum) has led the way by establishing an institutional open access publishing fund in 2006-07. The scheme has become increasingly popular, and the usage statistics are shown in the table below.

Year	Requests	Total cost
2006-07	27	£ 21,850
2007-08	83	£ 85,880
2008-09	103	£111,942
2009-10	140	£171,179
<b>Total over 4 years</b>	<b>353</b>	<b>£390,851</b>

Budgeting for open access publishing

A number of funding bodies (such as the Research Councils and the Wellcome Trust) allow researchers to include open access publication costs as directly incurred costs providing that the costs are included in the original costing and are incurred prior to the end of the grant. Under fEC methodology, the cost of open access publishing incurred after the end of the grant can be included by the institution in the indirect cost charge<sup>5</sup>. In practice a dedicated budget will need to be identified in year one with funds met from the institution's own funds. In year two the actual year one costs can be included in the calculation of the institution's indirect cost charge and reclaimed via awarded research grant funding (i.e. costs incorrect during 2011-12 will be included in the indirect cost charge from February 2013). A central budget with costs included in the indirect cost charge will provide an identifiable and sustainable resource from which publication costs can be met.

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<sup>3</sup> The Max Planck Society Central Open Access Fund:

<http://www.biomedcentral.com/download/info/MaxPlanckSociety.pdf>

<sup>4</sup> The Berkeley Research Impact Initiative: <http://www.lib.berkeley.edu/brii/description.html>

<sup>5</sup> RCUK, *Position Statement on Access to Research Outputs*, June 2006. Available from: <http://www.rcuk.ac.uk/research/Pages/outputs.aspx>

## **BU Open Access Publication Fund**

BU recognises the growth and popularity of open access publishing and its success in increasing the impact of research findings. The BU OAPF encourages and enables BU researchers to consider open access publication as a means of increasing the visibility of their publications.

The BU OAPF is intended to cover publication charges for open access journals. In addition the fund covers the fees sometimes charged by non-open access publishers who offer an option to authors to make their paper freely available for reading immediately upon publication (sometimes referred to as hybrid journals, open choice or paid access charges).

**Eligibility:** Any BU author (to include academic staff, post-doctoral researchers, and currently enrolled post-graduate student) ready to submit a completed article for publication.

**Approval:** Must be given by the relevant REF Unit of Assessment (UOA) Leader and the PVC (Research, Enterprise and Internationalisation).

**Publications:** Any open access publication, or hybrid journal offering a paid access option.

**Criteria:**

1. Articles must be made freely available at the time of initial publication with no embargo periods.
2. Requests for funding may be made before an article has been accepted or immediately upon acceptance.
3. Authors with more than one article may apply for funds on multiple occasions during the academic year but should submit separate applications for each article.
4. BU authors of articles co-authored with colleagues at other institutions are eligible to apply to the fund to encourage collaboration with other institutions.
5. Articles arising from self-funded research are eligible for funding, providing they are of significant quality and there is a clear benefit to making the research findings available in an open access publication.
6. Articles must adhere to the BU Citations and Repository Policy.

**Process:** Authors are required to apply for funding via the Research Development Unit. A process map is available in Annex 1.

**Appeals:** Appeals should be made to the PVC (Research, Enterprise and Internationalisation) via the Research Development Unit.

**Annex 1**  
**Process map for authors wishing to apply to the BU OAPF**