# BU Open Access Publication Funding (OAPF) Application and Approval Procedures and Policy

## 1. BACKGROUND

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 major research funder policies which have introduced open access requirements as a condition of their grants and also to support researchers to comply with HEFCE post-2014 REF Open Access policy.

In October 2016, the university was awarded a RCUK Open Access Block Grant to support compliance with RCUK Policy on Open Access until 31 March 2018. The grant is calculated annually taking into account the amount of labour on active RCUK research grants and current Article Processing Charge (APC) rates. Its primary purpose is to pay APCs and other costs resulting from the publication of Research Council-funded research.

Together the RCUK Open Access Block Grant and the OAPF is sponsored by the DVC , and are managed by the Research Support and Development (RDS) team.

## 2. SCOPE AND PURPOSE

These policy and procedures are for BU staff and students and those associated with the university such as visiting faculty and must be followed.

## 3. Context

Open access GREEN and GOLD routes

There are two main routes of making research findings open access – Green or Gold.

- The **Gold open access** route is where an APC is paid to the publisher for a research output and in turn the publisher makes the article available free of charge to readers immediately on publication (it is not subject to embargo).
- In contrast the **Green open access route** is free to the researcher, who deposits a full-text peer-reviewed version of their article (usually a post-print) in an open access institutional repository (such as BURO) or a subject-based repository (such as ArXiv). The repository then makes the article freely available, either immediately upon publication or after an embargo period as stipulated by the journal publisher.

To ensure maximum dissemination of research findings to the wider public, BU authors are encouraged to engage with both the Gold and Green open access routes.

Research funders' requirements

Many funders require the research they fund to be made freely available 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[1], 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.

RCUK Policy on Open Access

RCUK's policy applies to peer-reviewed research articles (including review articles not commissioned by publishers), which acknowledge Research Council funding, that are submitted for publication from 1st April 2013, and which are published in journals or conference proceedings. These outputs should:

(a) Be available on-line, free to all readers. This can be either immediately through the Gold route or Green with the accepted manuscript, to be deposited in a repository without restrictions on non-commercial re-use and with a maximum embargo period of 6 months (or 12 months in the case of humanities and the social sciences); with rights to unrestricted re-use of content with proper attribution; [2]

(b) Include details of the funding that supported the research in the form of a sentence as follows, with the funding agency written out in full, followed by the grant number in square brackets:

This work was supported by the Medical Research Council [grant number xxxx].

(c) Include if applicable a statement on how the underlying research materials – such as data, samples or models – can be accessed.

REF2021: Overview of open access policy and guidance

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[3].

Open access publishing has four significant benefits for BU specifically in regards to the REF 2021 Open Access policy :

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[1] Sherpa Juliet website: http://www.sherpa.ac.uk/juliet/

[2] *RCUK accepts that during the 2013-2017 'transition period' this may not be a feasible option in all cases, especially in non-STEM disciplines. In such a case RCUK would expect the paper to be published in a journal with the embargo of 12 months, or 24 months in the arts, humanities and social sciences*

[3]European Commission policy on open access publishing: http://ec.europa.eu/research/swafs/index.cfm?pg=policy&lib=science

i)      To ensure compliance with the REF 2021 Open Access Policy  which states this - To be eligible for submission in the  REF 2021, journal articles and conference proceedings (with ISSN) accepted for publication after 1 April 2016 and published on or before 31 December 2020 must be made open access.[4]

ii)      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.

iii)      Citations - Open access publications are more widely available and are therefore more likely to be cited.

iv)      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.

## 4.    THE APPLICATION PROCESS

4.1     All applications for open access publication funding should be emailed to
OpenAccess@bournemouth.ac.uk

4.2     All applications should consist of the following information
- A completed checklist (appendix 1)
- A copy of the paper
- Declaration that no external publishing funds are available
- Email confirmation (normally from UoA leader) in support for the application and their indicative star ranking of the proposed open access publication based on the REF2021 criteria for assessing quality of outputs[5]

4.3     Requests for funding MUST be made before an article has been submitted for publication.

## 5.    WHAT THE FUNDING COVERS

5.1     The BU OAPF is intended to cover publication charges for bone fide open access journals (sometimes referred to as 100% or Pure open access journals). In addition the fund can cover the fees charged by traditional 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).The BU Open Access Publication Fund will cover the following fee type:
- Publication fees
- Submission fees
- Illustration fees

5.2     The BU Open Access Publication Fund will cover the following content type:
- Peer-reviewed journal articles
- Conference proceedings (with an ISSN) –in exceptional circumstances

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[4] Please visit https://www.ref.ac.uk/media/1228/open_access_summary__v1_0.pdf for full details of the policy
[5] Please seehttps://www.ref.ac.uk/publications/panel-criteria-and-working-methods-201902/  for the REF2021 criteria for assessing quality of outputs

5.3    The UKRI Open Access Block Grant will cover all APCs and other costs resulting from the publication of outputs (as defined above) from Research Council-funded research e.g. page or colour charges (when available).


## 6.    ELIGIBILITY[6]

6.1    The BU Open Access Publication Fund is available to all BU authors (to include academic staff, post-doctoral researchers and currently enrolled postgraduate students).

6.2    Researchers should include costs for open access publishing within funding applications where applicable. Authors with any external funding or grant support specifically to cover publishing fees are ineligible and authors must use all available funds from the grant before applying and authors with no external funding are given priority. BU authors of articles co-authored with colleagues at other institutions are eligible to apply to the fund to encourage collaboration with other institutions; however where the other institution has OA funds the expectation is that costs will be shared.

6.3    All applicants should have completed the open access checklist (Appendix 1) and provide evidence of support for the application (for example from relevant UoA leader).

6.4    From 1st August 2016, only one successful application per author in each academic year will be funded. However, this criterion will remain under review throughout the year and may be relaxed if funds allow.

6.5    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.

6.6    Applications for costs resulting from the publication of Research Council-funded research will be allocated from the UKRI OA Block Grant (when available). To be eligible to use these funds, publication must acknowledge Research Council Funding and include a statement on how the underlying research materials can be accessed.


## 7.    THE APPROVAL PROCESS

7.1    All decisions regarding funding will be made in consultation with the relevant UoA Leader(s), DDRPP or Outputs Champion(s).

7.2    The following criteria will be used to assess all funding applications

- Application to be received before article is submitted for publication
- Indicative star ranking of output (only 3* or 4* outputs will be considered for funding)
- External funding body open access requirements
- Output connection to REF impact case studies
- Justification
- Journal ranking information
- International authorship
- Quality of Journal - using tools such as the indexation by ISI Web of Science, SCOPUS or PubMed (based on the SPARC guide -- http://www.sparc.arl.org/resources/papers-guides/journal-indexing); Directory of Open Access Journals; Open Access Scholarly Publishers Association.

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[6] See Annex 1- Guidance notes on eligibility

- Journal type - Hybrid or bona fide Pure open access
- Availability and suitability of Green Open Access publishing route as an option
- Embargo periods, if relevant (NOTE: SAGE and Emerald both operate on zero embargo archiving policy)
- First publication date

## 8.  REQUIREMENT UPON RECEIPT OF FUNDING

Upon receipt of the BU Open Access Funding, it is the responsibility of the applicant/author to ensure that the final author accepted manuscript (a postprint) is uploaded to BU's institutional repository, Bournemouth University Research Online (BURO) via Bournemouth Research and Information Networking System (BRIAN) without delay. The applicant/author should replace this with the publisher version when available. Articles must adhere to the BU Publications Policy and Procedure.

If a publication is subsequently rejected for publication following a successful application for BU OA funding, the applicant is required to inform OpenAccess@bournemouth.ac.uk at the earliest opportunity and the award will automatically become void. A new application will need to be made before a new publication is ready for submission again for publication.

## 9.  TIMEFRAME

All Open Access Publication Funding applications received at OpenAccess@bournemouth.ac.uk will be considered within **FIVE** working days, after which the applicants will be contacted either to provide more information or with information regarding the outcome of their applications.

## 10. PAYMENT PROCESS

All payments for successful applications will be administered by the Finance and Resources Officer at RDS. Please email OpenAccess@bournemouth.ac.uk to communicate all payment information and quote your name, the journal title and the publisher in the subject of your email.

## 11. APPEALS

Appeals should be made to the Chair of the Research Outputs Subcommittee via the Research Outputs Adviser in the Research Development and Support team.

Research Development & Support (RDS) team
2020

**Appendix 1 Open Access Funding Checklist**

| Applicant details | |
|---|---|
| Author's name | |
| Faculty | |
| Department | |
| Co-authors (if applicable) | |
| Co-authors' Faculty / Institution | |
| Likely REF unit of assessment | |
| **Details of the publication** | |
| Paper title | |
| Journal | |
| Publisher | |
| Total cost of OA publication | |
| Likely publication date | |

*Answer yes or no to each of the following questions based on the article for which you wish to receive funding for publication.* ==***These questions will provide guidance to the UoA Leader, but the ultimate decision will be made on the quality of the paper***==

| | Question | Yes | No |
|---|---|---|---|
| 1. | Is this a peer-reviewed article? | | |
| 2. | Has the article been submitted? | | |
| 3. | Does your article contain original analyses or theory? *(e.g. editorials, commentaries and letters to the editor will not be funded)* | | |
| 4 | Is this publication a result of externally-funded research? If 'Yes' please answer below: | | |
| | 4a. Does the funder require the output to be published open access? | | |
| | 4b. Please provide the funder reference number : | | |
| 5. | Will the article be submitted for publication in a bona fide Pure open access journal that publishes 100% open access articles (as opposed to a hybrid journal)? | | |
| 6a. | Is the journal in the top 50% ranked titles in your discipline according to Impact Factor (Journal Citation Reports), SJR (SCImago Journal Rank in Scopus) or ABS (Association of Business Schools) Academic Journal Guide? | | |
| 6b. | Please state Impact Factor, SJR or ABS *rating and source as relevant to your discipline. | | |
| 7. | Do you have co-authors within BU who could submit this article to a different UoA other than your own UoA? | | |
| 8. | Are any of your co-authors from an institution in another country? | | |
| 9. | If you have co-authors from another institution (UK or international) will that institution contribute to the costs? | | |
| 10. | Is this a co-created article with a student (UG, PGT or PGR)? | | |
| 11. | Has the primary author previously had funding from the open access fund? | | |

| | |
|---|---|
| If yes, please enter the amount of funding received in the current academic year[7] | £ |

**Additional comment in support of your application** – This may include a short justification (maximum 200 words) of why it is beneficial for your research to be published open access via the gold route

## Annex 1

## *Guidance Notes*

6.      Eligibility

6.1      As the Open Access fund is finite, in the interest of fairness, only one successful application per academic in each academic year will be funded. This criterion may be relaxed if funds allow. Where a paper lists a co-author who has previously been granted BU open access funding, this does not make the paper ineligible for funding as long as the applying author has not been previously granted such funding.

6.2 Applications which are eligible for the UKRI OA Grant are not restricted to one per author, per year (where relevant).

6.3      Applicants should consider potential alternative sources of funding before approaching the BU Open Access fund. Possible sources include:

-arrangements with your research funders, eg. OpenAIRE(EU), Wellcome Trust, British Heart Foundation, SMEs, industrial partners, etc.

-partnering institutions with UKRI Open Access block grant. BU does not receive any UKRI OA Block grant. Other institutions that receive this grant may have funds available to spend on jointly authored outputs arising from UKRI funded research.

-partnering institutions with centralised institutional open access funding. Other institutions may provide funding similar to BU's open access fund and it may be worth exploring this option with them.

There are no hard and fast rules as to who should fund the open access cost in the case of jointly authored outputs, but clearly it is in the interest of all institutions involved, that good outputs are made open access immediately.

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[7] See Annex 1 – Guidance notes to eligibility