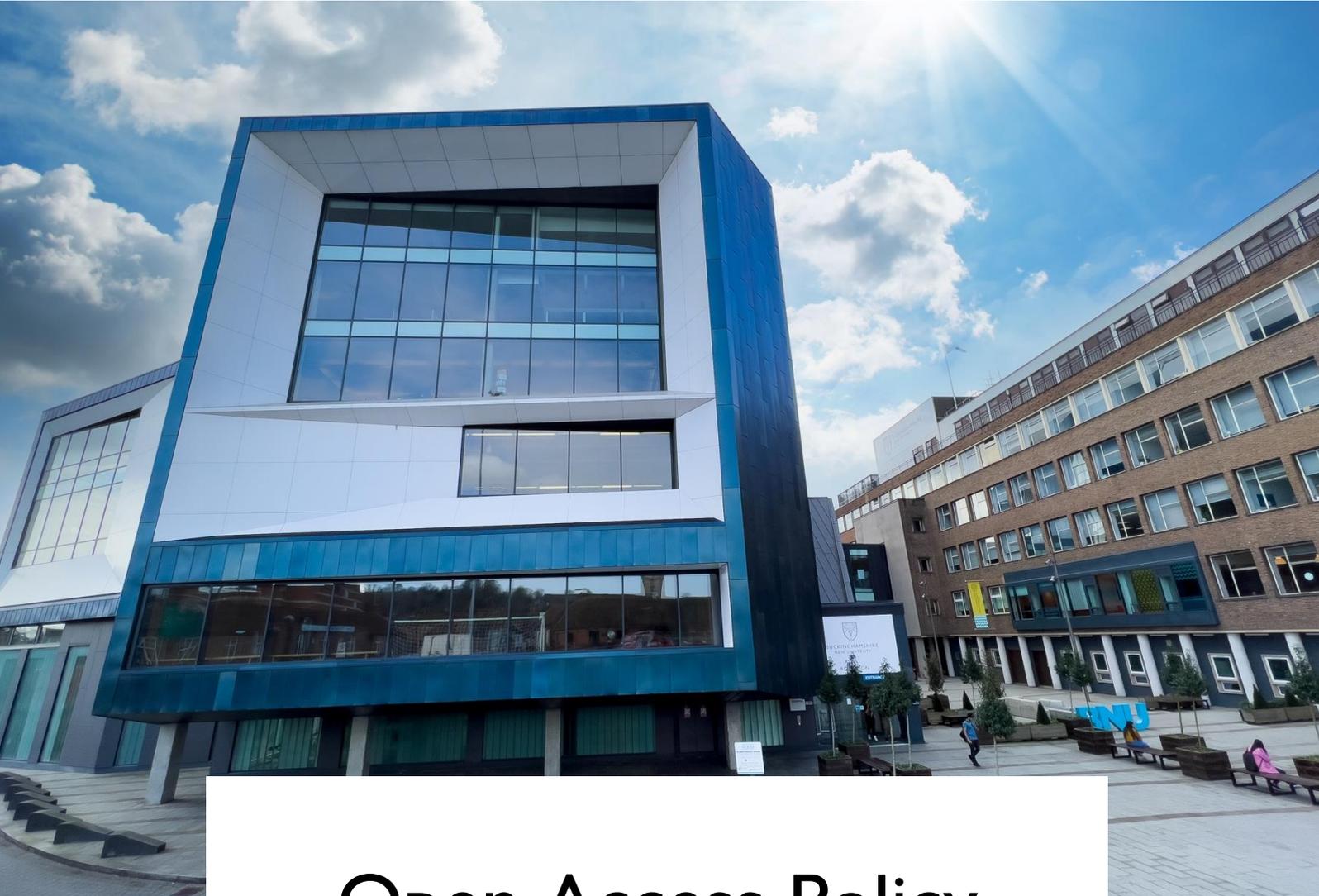




BUCKINGHAMSHIRE
NEW UNIVERSITY

EST. 1891



Open Access Policy

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This document has been designed to be accessible for readers. However, should you require the document in an alternative format please contact the University Secretariat.

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Purpose

1. The fundamental principle of open access is to make research material freely available online, at no costs and without restriction.
2. The government, in line with a commitment to transparency and open data, is dedicated to ensuring that published research findings are freely accessible. Increasing numbers of funding bodies require outputs arising from publicly funded research to be as widely accessible as possible, so that potentially anyone can read them.
3. The purpose of this policy is to outline Buckinghamshire New University's (BNU) approach to open access publishing, ensuring eligibility for submission to the next Research Excellence Framework exercise (REF).

Scope

4. This policy applies to all employees and research students of the University.

Benefits of open access

5. This policy will:
 - Provide greater visibility of research conducted at BNU to wider audiences: researchers; practitioners; and the public. This can lead to greater impact;
 - Provide greater control over what authors can do with research outputs as non-Open Access publishing tends to require the author to sign over all rights to the publisher.
 - Stimulate new research opportunities and collaborations;
 - Enable compliance with funders' requirements;
 - Ensure long term preservation of outputs; and enable the University to submit to future REF assessments.

Open access and the REF

7. REF is the UK's system for assessing the excellence of research in UK higher education providers (HEIs). The REF outcomes are used to inform the allocation of public funding for universities' research.
8. Open access was introduced to the [Research Excellence Framework \(REF\) 2021](#).
9. REF 2021 open access policy requires all peer-reviewed journal articles and conference outputs published in proceedings with an ISSN to be made openly

available within 3 months of the date of 'acceptance' for publication? (as in acceptance letter or email).

10. The current REF publication period commenced on 1 January 2021; outputs with a first online (epub) publication date from this date onwards are required to be open access in order to be eligible for submission to REF 2029. BNU will continue to operate on REF 2021 requirements until REF 2029 criteria are published.

Responsibilities

11. It is the responsibility of the individual researcher to ensure that they comply with funder Open Access requirements.
12. It is the responsibility of the individual researcher to ensure that they comply with REF Open Access requirements.
13. REF 2021 open access policy is as follows:
 - All journal articles and conference proceedings with an ISSN should be deposited in the [BNU Knowledge Archive](#) within 3 months of acceptance.
 - Where a journal specifies an embargo period, compliance with REF policy can be achieved by making a 'closed' deposit on acceptance. These are locked and made freely available after an embargo period of no more than 12 months for REF panels A and B, or 24 months in the case of REF panels C and D
 - Outputs that do not comply with REF policy will receive an 'unclassified' score in the next REF.
14. Researchers are also asked to obtain an ORCID- a unique researcher identifier. This will be required by HESA and will feed into REF 2029 data.

Routes to open access publishing

15. There are two main routes to open access, Green and Gold
 - Green - authors publish in any output but self-archive the accepted and final peer reviewed text (i.e. no further revisions required to the manuscript and before copyediting and typesetting) in the institutional repository – [BNU Knowledge Archive](#). The publisher's revenue comes from subscriptions, but everyone has free access to the full text, either immediately on acceptance for publication or after an embargo period.

Document Type

- Gold –authors publish in an open access publication which may incur an article processing charge.

Open access at BNU

16. BNU has adopted the Green route to open access as a sustainable approach. Where possible, researchers are asked to publish using this route.
17. BNU has limited provision for supporting Article Processing Charges. Applications will be considered on a case-by-case basis for publications with an impact factor ≥ 5 and subject to annual funds available. See Appendix 1 for guidance.
18. Unless eligible under the Library subscription, or costs have been included as part of the budget for an externally funded project, the Gold publishing route is not possible.
19. Academic staff must submit their research outputs to the institutional repository – the BNU Knowledge Archive- by emailing them to BKAsubmit@bnu.ac.uk

Research student theses

20. The University requires final copies of all research student theses to be deposited in the BNU Knowledge Archive.

Support available for open access

21. The [Directory of Open Access Journals](#) is database which lists all journals providing open access and their APC costs. The search can be filtered to show journals with no APC charges.
22. Staff are also encouraged to utilise the Sherpa/Romeo website (www.sherpa.ac.uk/romeo) to find details of permissions given as part of each publisher's copyright transfer agreement
23. The email account BKAsubmit@bnu.ac.uk has been specifically set up to:
 - provide support for staff to comply with REF requirements: staff should forward their acceptance emails to this account as well as their pre-prints as appropriate;
 - provide support for issues relating to copyright requirements;
 - provide a means for staff to deposit outputs in the BNU Knowledge Archive when they are unsure of how to go about this themselves.

Document Type

24. Further details and support are available internally through BEN under Research and Enterprise.

Appendix 1: Article Processing Charges (APC)

1. Some publications require an open access fee, also known as Article Processing Charges (APC).
2. When applying for external funding, APC should be considered and budgeted for where appropriate.,
3. BNU has a limited provision of funds to support APC which meet the following criteria:
 - Peer reviewed, original research (we cannot pay for letters to the editor, commentary, editorials, book reviews, etc);
 - Appears in the [Directory of Open Access Journals](#) (database listing all publications which provide open access).
 - Will be published under a Creative Commons Attribution (CC-BY) Licence;
 - Has an impact factor ≥ 5 ;
 - Where publications have multiple authors, BNU would expect the APC cost to be shared proportionally across all institutions;
4. Before you submit to a publisher, you must complete an [Open Access Claims form](#).

Alternative open access routes

5. Check to see if the library has an Open Access deal with the Journal. These are listed on BEN [here](#).
6. Ask your publisher for a waiver. If the publication cannot support open access (see [Directory of Open Access Journals](#)) then could ask if they are willing to waive their fees for you.
7. Some publications offer a voucher in return for paper reviews. These vouchers can be exchanged for APC charges.
8. Choose a different output. Ask for your article to be retracted and look for an alternative publisher.

Appendix 2: Equality Impact Assessment

As a university, we are committed to enhancing equality, diversity and inclusion (EDI). We have a legal (Equality Act 2010) and ethical obligation to ensure our policies, systems and processes are fair, inclusive and ensure every member of the BNU community can thrive.

Whilst we all have protected characteristics, we know there are certain characteristics and communities that are marginalised and underrepresented in Higher Education and the workplace. These are: different ethnicities (including Gypsy, Roma, Traveller, Showmen and Boaters, migrants, refugees and asylum seekers) Disabled individuals; neurodiverse individuals; pregnancy (including maternity and paternity impact); the LGBT+ community; carers; people of different faiths; people impacted by menopause and individuals from a range of backgrounds including: socio-economic disadvantage, homeless, alcohol and/or substance misuse, people experiencing domestic and/or sexual violence, ex-armed forces, looked after children and care leavers. We also know individuals have multiple intersectional experiences and different points in their lives and careers.

1. With reference to the above characteristics, in what ways does this policy enhance equality and the access of opportunity at BNU?

This policy uses the most up to date template and will be publicly available via BNU's website. This ensures that it fully complies with BNU accessibility requirements and is available to all members of the BNU community.

The fundamental principle of the policy is to support research material freely available online, at no costs and without restriction to all.

2. In what ways does the policy adversely impact individuals from marginalised and underrepresented communities?

This policy does not distinguish or impact differently between people of different characteristics and communities in any way. It is a policy which is applicable to all members of the BNU community.

3. How does this proposal work towards achieving the BNU Equality Objectives as outlined in the [Equality Strategy 2023-2028](#)? Please signpost objectives and actions in the BNU Equality Strategy.

This policy aligns with 'Priority one: Involve and empower our community'; it provides the mechanism for staff and students to be able to freely publish their research and for this to be available to all.

Document Type

Signed:



Name:

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Date:

30/04/202



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