# University of Stirling Open Access Policy

To apply to the OA Fund:

* Login to the University Portal at <https://portal.stir.ac.uk>
* In the bottom right-hand panel headed ‘I Want to’ select ‘Apply for APC funding’
* Contact openaccess@stir.ac.uk for support

# Introduction

* 1. The University of Stirling is committed to the pursuit of world-class research, learning and scholarship. We recognise the benefits of free and open access to publicly funded research to the economy, to society and to the pursuit of academic excellence. We support the principle that the outcomes of research should be made freely and publicly available and are therefore committed to disseminating new knowledge and outputs from research generated at the University of Stirling.
	2. Open Access in this policy means unrestricted, on-line access to peer-reviewed and published scholarly research papers. Specifically, a user must be able to do the following, free of any access charge:
* Read published papers in an electronic format.
* Search for and re-use the content of published papers both manually and using automated tools (such as those for text and data mining) provided that any such re-use is subject to full and proper attribution and does not infringe any copyrights to third-party material included in the paper.
	1. Since the University’s first Open Access Publishing Policy was produced in 2006 the landscape of open access publishing has continued to evolve; with funders implementing policies that require outputs resulting from their funding to be made open access. The University’s policy on open access publishing is therefore regularly reviewed.

# University of Stirling Principles of Open Access

* 1. This policy is based upon the following founding principles:
* Open access publishing is beneficial – the University recognises the benefits of free and open access to publically funded research, including increasing the impact of research undertaken, and is committed to open access publishing.
* Support for ambitious publishing – researchers should have the freedom to publish ambitiously in the best journals.
* Compliance with funder terms and conditions – the requirements of individual funders must be always complied with, including those relating to open access publishing.
* Equality – the policy on open access will apply equally to all researchers and across all disciplines although differing practices in different disciplines are recognised.
* Affordability – open access publishing must be financially sustainable alongside the other publication models, which must be supported such as through subscriptions.
* Commercial confidentiality – the commercial interests of the University should not be jeopardised by the open access policy.

# University of Stirling Policy on Open Access

* 1. The University’s policy on open access is as follows:
* The University of Stirling is committed to making the outputs of research publicly accessible via the green and the gold route in a manner which is compliant with funder, publisher, ethical, commercial and legal requirements as appropriate.
* Researchers must always comply with their funder requirements regarding open access.
* Potential article processing charges should be considered at the grant application stage and included in bid costs wherever appropriate.
* The full text of all Stirling-authored refereed journal articles from 2007 onwards should be added to the Research Management System (Worktribe) for deposit in STORRE. Items in STORRE will be made open access via the green route (and in line with embargo periods).
* The University Open Access (OA) Fund will support the costs of gold open access for research papers and books and book chapters, meeting the eligibility criteria for the fund, which are set by the University’s Research Committee and reviewed annually.
* The University is responsible for providing appropriate support and training regarding open access publishing.
	1. All researchers including staff members and doctoral students are expected to comply with this policy from 1 April 2013.

# Open Access (OA) Funding

* 1. The University remains committed to an inclusive approach to open access through its continued support of an Open Access Fund (in excess of the UKRI OA Block Grant). This supplementary funding is used to support open access publication costs, like APCs, associated with fully open access journals for publications arising from research that is not externally funded (or for which the funding body does not provide open access publishing funds). These funds may also be available to support open access publication of a monograph or book chapter and to support various models of publishing agreements. On an annual basis, the University may also be in receipt of an open access block grant from funders (other than UKRI) which are managed through the Open Access Fund.

Guidance on the University’s Open Access Fund and how funds are allocated is available under separate cover. This guidance is updated as necessary in response to changes in external grant funding, funder policies, or institutional funding capacity.

* 1. The University is also in receipt of a UK Research and Innovation (UKRI) open access block grant to fund open access publishing for peer-reviewed research articles arising from research funded by UKRI, subject to availability of funds. UKRI also maintains a distinct fund to support compliance with its policy regarding longform publications (monographs, book chapters and edited collections).

Guidance on accessing UKRI’s Open Access Funding (through the University’s UKRI OA Block Grant or central funding held by UKRI for OA longform publications) is available under separate cover. This guidance is updated as necessary in response to changes in external grant funding or funder policies. This guidance is relevant for researchers whose outputs are subject to UKRI’s Open Access Policy.

# STORRE

* 1. STORRE is used to hold, and make public, the full text version of both traditional and non- traditional research publications, for example:

|  |  |
| --- | --- |
| Article in Journal | Systematic Review |
| Article (Commentary) | Article in Magazine |
| Book Review | Article in Newspaper |
| Chapter (in Authored Book) | Blog Post/ Web Site Contribution |
| Chapter (in Edited Book) | Conference/Meeting Poster |
| Conference Paper | Conference/Meeting Presentation |
| Thesis (PhD & Masters by Research) | Letter (published in a journal) |
| Working Paper | Manual |
| External/Research Report | Policy Document |
| Technical Report | Translation |

* 1. Due to the complexities of rights and royalties, the full texts of complete books or research monographs are not typically held in STORRE (unless Open Access is permitted); the bibliographic details will be held in the Research Hub.
	2. Journal articles must be submitted immediately upon acceptance for publication in compliance with the University Court mandate, which requires all refereed journal articles from 2007 onwards to be submitted. Publications are submitted to STORRE via the University’s Research Management System (Worktribe).
	3. When possible, the author’s final accepted refereed draft should be submitted. Submission of this version complies with the policies of the majority of publishers and HEFCE’s open access policy for post-2014 REF. Where publisher conditions allow, or require it, the publisher’s own version will be accepted.
	4. The [University’s Intellectual Property (IP) Policy](https://www.stir.ac.uk/media/stirling/services/policy-and-planning/documents/rules-and-regulations-intellectual-property.pdf)[[1]](#footnote-1) states in clause 16 that: ‘Material deposited in the University Library, or in any digital research repository established by the University, or in University Faculties, becomes our property and will be available for loan and possible copying in whole or in part for private study or research unless, with our agreement, the author wishes to restrict access. For the avoidance of doubt, our ownership of such material will be of the physical or electronic copy of the material, not of the copyright or IP which it contains, unless that otherwise belongs to us.

# Compliance with Publisher and Research Funder Policies

* 1. As outlined in the [STORRE Policy](https://www.stir.ac.uk/media/stirling/services/internal/is/documents/storre-policy.pdf)[[2]](#footnote-2), STORRE is compatible with current publishers’ copyright agreements.
	2. It is the responsibility of the Principal Investigator to ensure they are meeting their Research Funder’s requirements for open access to research results and publications arising from their funding. For example, a number of Funders require publications to be deposited in a specific repository or published in a particular journal (e.g. Wellcome Trust). The University’s open access webpages provide guidance about funder policies. Researchers may find the [Sherpa Services](https://beta.sherpa.ac.uk/)[[3]](#footnote-3) database helpful as it documents Funders’ open access requirements.
	3. UKRI-funded authors should comply with the relevant section of the [UKRI open access policy](https://www.ukri.org/publications/ukri-open-access-policy/)[[4]](#footnote-4) if their research output is in scope, including that research papers related to UKRI research must permit unrestricted re-use of content with proper attribution as defined by the [Creative Commons CC BY licence](https://creativecommons.org/)[[5]](#footnote-5).
	4. It is also a UKRI requirement that all research papers (regardless of the publication route) include details of the funding that supported the research and a statement on how the underlying research materials (such as data, samples or models) can be accessed (e.g. through contact with the corresponding author). The underlying research materials do not necessarily need to be made openly available. It is the responsibility of the author to ensure that this is done and that the journal the paper is published in allows the unrestricted re-use of content.
	5. Where permissible, the costs of APCs should be factored into the costs of a research grant application so that the researcher is able to publish any paper arising from the research via the gold route. These funds should be maintained within the project funds and should not be allocated to the OA Fund.
	6. The University remains focused on an inclusive response to open access requirements through its continued support of a supplementary open access fund in excess of the UKRI block grant. This supplementary funding is used to support costs to meet funder requirements.
	7. Information on funder requirements can be found on the University’s open access webpages under [Funder Requirements](https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/funder-requirements/)[[6]](#footnote-6).

# Students

* 1. All registered students (including taught postgraduates and undergraduates) are eligible to apply to the OA Fund.
	2. Any student applications must relate to research being carried out at the University of Stirling and require support from the student’s supervisor/course coordinator.

# Postgraduate Research Students

* 1. We recognise early career researchers can benefit from making their research publications open access and this policy applies equally to postgraduate research students.
	2. Postgraduate research students who are funded by UKRI must be compliant with their open access policy, that is, UKRI require the thesis to be available open access within 12 months of the award. The University strongly supports the principle that research arising from work that has been publicly funded should be made available as soon as possible.
	3. At the discretion of the University, an exception may, on occasion, be possible and thesis authors can request a short extension up to a further year (that is, a total embargo of 24 months including the 12 months permitted by UKRI). Only in very exceptional rare circumstances could a thesis be placed under an embargo longer than 24 months.
	4. Exceptions may be allowed for commercial, collaborative or publication reasons. For example: where early disclosure of the information would be likely to mean commercial losses for an organisation involved in the thesis study; collaborations with non-profit bodies and/or research participants would be prejudiced or compromised by disclosure; disclosure would prevent publication in monograph form or particular journal titles (e.g. when payment of open access fees is not an option and/or publisher policies require a longer embargo).
	5. Any request for an exception beyond the allowed 12 months must be made in writing to the Research Repositories Librarian (Stirling University Library, University of Stirling, Stirling, FK9 4QA; repository.librarian@stir.ac.uk).

# Predatory Journals: Performing a Check Before Submitting to a Journal or Publisher

* 1. Check that the publisher provides full, verifiable contact information, including address, on the journal site. Be cautious of those that provide only web contact forms.
	2. Check that a journal's editorial board lists recognised experts with full affiliations. Contact some of them and ask about their experience with the journal or publisher.
	3. Check that the journal prominently displays its policy for author fees.
	4. Be wary of e-mail invitations to submit to journals or to become editorial board members.
	5. Read some of the journal's published articles and assess their quality. Contact past authors to ask about their experience.
	6. Check that a journal's peer-review process is clearly described and try to confirm that a claimed impact factor is correct.
	7. Find out whether the journal or publisher is a member of an industry association that vets its members, such as the [Directory of Open Access Journals](https://doaj.org)[[7]](#footnote-7), the [Directory of Open Access Books](https://www.doabooks.org/)[[8]](#footnote-8), or the [Open Access Scholarly Publishers Association](http://www.oaspa.org)[[9]](#footnote-9).
	8. Use common sense, as you would when shopping online: if something looks fishy, proceed with caution.

# Evaluation

* 1. Open access publishing is an evolving area of national policy with publishers and funders continuing to consider and revise their policies. Therefore, the University’s adoption of an open access policy will be phased. During this transitional period, it is important to monitor costs, the distribution of funds across disciplines and individuals, unexpected outcomes arising from the policy as well as changes to funders’ and government policies. Thereafter, the policy will be monitored and reviewed annually, or at the discretion of the Research Committee.

*Updated Nov 2023*

1. University of Stirling Intellectual Property (IP) Policy: <https://www.stir.ac.uk/media/stirling/services/policy-and-planning/documents/rules-and-regulations-intellectual-property.pdf> [↑](#footnote-ref-1)
2. University of Stirling STORRE Policy: [https://www.stir.ac.uk/media/stirling/services/internal/is/
documents/storre-policy.pdf](https://www.stir.ac.uk/media/stirling/services/internal/is/documents/storre-policy.pdf) [↑](#footnote-ref-2)
3. Jisc Sherpa Services (beta): <https://beta.sherpa.ac.uk/> [↑](#footnote-ref-3)
4. UKRI Open Access Policy: <https://www.ukri.org/publications/ukri-open-access-policy/> [↑](#footnote-ref-4)
5. Creative Commons: <https://creativecommons.org/> [↑](#footnote-ref-5)
6. University of Stirling Website (Funding Requirements): <https://www.stir.ac.uk/about/professional-services/information-services-and-library/current-students-and-staff/researchers/writing-and-research/publishing-and-impact/open-access/funder-requirements/> [↑](#footnote-ref-6)
7. Directory of Open Access Journals: <https://doaj.org/> [↑](#footnote-ref-7)
8. Directory of Open Access Books: <https://www.doabooks.org/> [↑](#footnote-ref-8)
9. Open Access Scholarly Publishers Association: <http://www.oaspa.org/> [↑](#footnote-ref-9)