1. Introduction

1.1. 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 publically 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 publically available and are therefore committed to disseminating new knowledge and outputs from research generated at the University of Stirling.

1.2. 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.

1.3. 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.

Green and Gold routes to open access publishing

There are two main routes to open access publishing known as “green” and “gold”.

Green open access is where an author publishes in a journal but also deposits the article for free in an open access repository such as STORRE. Often the journal will stipulate restrictions on the use of the open access version, such as an embargo period or the format of the article. All papers deposited in STORRE take account of publisher embargo periods.

Gold open access (also known as author-pays-publishing) is where the researcher (or their institution) pays an Article Processing Charge (APC) to the publisher for their paper to be made immediately publically accessible by the publisher on the journal’s website without a charge for access.

There are three main types of journals and ways in which articles can be made open access:

Subscription journals are the traditional model whereby journal articles can only be accessed for a fee charged to the reader (via a one off charge or subscription). Journals usually allow for a final manuscript to be placed in a repository, mostly after an embargo period has elapsed. This is the green route.

Open access journals never charge the reader to access an article and instead charge the author an APC to publish in the journal. This is the gold route. PLoSOne and BioMed Central are examples of open access journals.
Hybrid journals are journals that use a subscription model but also offer authors the option of paying an APC so that their article is made available immediately and without a fee to readers. These journals continue to charge subscription costs to universities and allow publication via the green or gold routes.

2. University of Stirling Principles of Open Access

2.1. 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 complied with at all times, 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.
  - The University is in receipt of a block grant from RCUK for our research publications funded by these funders. In 2017 due to the huge demand from Stirling authors for funds from the RCUK block grant and lack of support from publishers for green open access routes the University’s Research Committee approved the amendment of the 2013 Open Access Policy to a green focus. This amendment is in line with the RCUK’s green policy of 12 month embargo for EPSRC, BBSRC and NERC, and 24 month embargo for ESRC and AHRC.
- Commercial confidentiality – the commercial interests of the University should not be jeopardised by the open access policy.

3. University of Stirling Policy on Open Access

3.1. The University’s policy on open access is as follows:

- The University of Stirling is committed to making the outputs of research publically 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 into 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 (RMS) for deposit in STORRE. Items in STORRE will be made open access via the green route within 90 days (and in line with embargo periods).
- The University Article Processing Charge (APC) Fund will support the costs of gold open access for research papers meeting the eligibility criteria for the fund, which are set by the Research Committee and reviewed annually.

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1 RCUK defines research papers as articles published in peer-reviewed academic journals or conference proceedings
• The University is responsible for providing appropriate support and training regarding open access publishing.

3.2. All researchers including staff members and doctoral students are expected to comply with this policy from 1 April 2013.

4. Article Processing Charge (APC) Fund

4.1. The University has established an APC Fund to support open access publishing via the gold route. The University is required to have in place a publication fund to support the costs of a proportion of research papers stemming from Research Council supported articles. However, the University is committed to improving the accessibility of the outputs of research beyond these minimum expectations. Therefore, any researcher wishing to publish in an open access journal (such as PLoSOne or BioMed Central) or via the gold route in a hybrid journal to comply with funder requirements is able to apply to the APC Fund.

4.2. Although not necessarily related to Open Access, the fund can also be used to support page or figure charges which can be a routine part of publisher charges.

4.3. There is no limit to the APC amount that can be applied for.

4.4. Funding APCs is an additional cost to the University alongside journal subscription costs of £1.567 million per year (with average inflation of approximately 7% per annum). Therefore, eligibility criteria have been set for the research papers that can be supported. These criteria are consistent with the principles set out under section 2. The eligibility criteria for applying to the fund are set by the Research Committee and reviewed annually.

4.5. The criteria are as follows:

ONE of the following criteria should be met:

• The journal the applicant wishes to publish in only allows open access publication via the payment of APCs
  • OR

• The funder requires that research papers must be published via the gold route

AND each of the following criteria must be met:

• The applicant must be the sole or primary author of the publication or should be able to make a convincing case why the APC should be funded by Stirling rather than any project partner or co-author
• The applicant must be able to detail why the chosen journal is the best choice of publication outlet
• The applicant must be a current member of staff or registered doctoral student at the University of Stirling
• The applicant must already have deposited in STORRE via RMS all of their previous Stirling-authored refereed journal articles from 2007 onwards (i.e. from 2007 onwards, all their refereed journal articles that were authored whilst working at Stirling).
• The applicant must acknowledge in their published article their Research Funder and, if applicable, include a statement on how underlying research materials (such as data, samples

2 Including staff employed on temporary research contracts, Honorary staff and Emeritus staff
or models) can be accessed. Acknowledgement of their Research Funder should follow the formal guidance provided by the Research Information Network. Note that this is a requirement imposed by all RCUK Funders.

- The funder would not allow APC costs to be included within the projects costs or the funding was received prior to the Open Access and APC Fund Policy (1 April 2013).

4.6. The University of Stirling’s APC fund is an annual fund, which is replenished at the start of each financial year. The fund will operate on a first come first serve basis. It will be administered by Information Services in association with Research and Innovation Services. A report on fund commitments will be made annually to the May meeting of the Research Committee and should a potential shortfall become apparent, additional funds will be sought as appropriate; the Chair of the Committee will have delegated authority to address shortfalls when time critical action is required which cannot wait until the next formal Committee meeting.

5. STORRE

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

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<td>Article (Commentary)</td>
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<td>Book Review</td>
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<td>Blog Post/ Web Site Contribution</td>
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<td>Thesis (PhD &amp; Masters by Research)</td>
<td>Letter (published in a journal)</td>
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<td>External/Research Report</td>
<td>Policy Document</td>
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<td>Technical Report</td>
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5.2. Due to the complexities of rights and royalties, the full text of complete books or research monographs are not typically held in STORRE; the bibliographic details will be held in the Research Hub.

5.3. 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 (RMS).

5.4. 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.

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3 Many Research Funders make such acknowledgements part of their requirements, for example, see the RCUK Policy on Open Access: [http://www.rcuk.ac.uk/documents/documents/rcukopenaccesspolicy-pdf/](http://www.rcuk.ac.uk/documents/documents/rcukopenaccesspolicy-pdf/) section 3.3 “Acknowledgement of funding sources and underlying research material”

4 see: Acknowledgement of Funders Articles at: [http://www.rin.ac.uk/our-work/research-funding-policy-and-guidance/acknowledgement-funders-journal-articles](http://www.rin.ac.uk/our-work/research-funding-policy-and-guidance/acknowledgement-funders-journal-articles) and in particular see points 7, 8, 9 from: [http://www.rin.ac.uk/system/files/attachments/Acknowledgement-funders-guidance.pdf](http://www.rin.ac.uk/system/files/attachments/Acknowledgement-funders-guidance.pdf)

5 Instructions are available from: [http://www.stir.ac.uk/is/researchers/writing/publishingimpact/storre/](http://www.stir.ac.uk/is/researchers/writing/publishingimpact/storre/)
policy for post-2014 REF\(^6\). Where publisher conditions allow, or require it, the publisher’s own version will be accepted\(^7\).

5.5. The University’s Intellectual Property (IP) Policy\(^8\) 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.

6. **Compliance with Publisher and Research Funder Policies**

6.1. As outlined in its policy\(^9\), STORRE is compatible with current publishers’ copyright agreements.

6.2. 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 JULIET database helpful as it documents Funders’ open access requirements\(^10\).

6.3. The Research Councils UK policy on open access is applicable to peer reviewed articles, acknowledging Research Council funding, submitted for publication from 1\(^{st}\) April 2013. The policy has been introduced through a 5 year transition period due to end in 2018 by which time the RCUK expect that 100% of articles, applicable under their policy, will be compliant. Compliance with the RCUK policy can be achieved via the gold or the green route. While RCUK’s stated preference is for the gold route due to the high demand and repeated overspend of the block grant provided to Stirling by RCUK we are now taking advantage of the more lenient green policy while still supporting researchers opting for gold only journals.

6.4. *The University remains focussed on an inclusive response to open access requirements through its continued support of a supplementary APC fund in excess of the RCUK block grant. This supplementary funding is used to support APCs associated with any open access journal or where any funder requires that the gold route is used.*

6.5. It is an RCUK requirement that research papers related to RCUK research must permit unrestricted re-use of content with proper attribution as defined by the Creative Commons CC-BY license.\(^11\) It is also an RCUK 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

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\(^6\) [http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy](http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy)

\(^7\) Further guidance is available: [https://www.stir.ac.uk/about/faculties-and-services/information-services-and-library/researchers/writing-and-research/publishing-and-impact/storre/#publisher](https://www.stir.ac.uk/about/faculties-and-services/information-services-and-library/researchers/writing-and-research/publishing-and-impact/storre/#publisher)

\(^8\) [http://www.research.stir.ac.uk/documents/IPPolicy2010.pdf](http://www.research.stir.ac.uk/documents/IPPolicy2010.pdf)

\(^9\) [https://www.stir.ac.uk/media/schools/is/documents/policy/STORRE-Policy.pdf](https://www.stir.ac.uk/media/schools/is/documents/policy/STORRE-Policy.pdf)

\(^10\) [http://www.sherpa.ac.uk/juliet/index.html](http://www.sherpa.ac.uk/juliet/index.html)

\(^11\) ‘CC-BY’ refers to the Creative Commons ‘Attribution’ licence, which lets others modify, build upon and/or distribute the licensed work (including for commercial purposes) as long as the original author is credited. For further information see [http://creativecommons.org/licenses/by/3.0/](http://creativecommons.org/licenses/by/3.0/).
necessarily need to be made open access. 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.

6.6. Where permissible, the costs of APCs should be factored in to 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 APC Fund.

6.7. Information on funder requirements can be found on the University’s open access webpages.\textsuperscript{12}

7. Postgraduate Research Students
7.1. We recognise early career researchers can benefit from making their research publications open access and this policy applies equally to postgraduate research students.

7.2. Postgraduate research students who are funded by Research Councils UK must be compliant with their open access policy, that is, RCUK 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.

7.3. 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 RCUK). Only in very exceptional rare circumstances could a thesis be placed under an embargo longer than 24 months.

7.4. 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).

7.5. 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).

8. Performing a check before submitting to a journal or publisher\textsuperscript{13}

8.1. 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.

8.2. 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.

\textsuperscript{12} https://www.stir.ac.uk/about/faculties-and-services/information-services-and-library/researchers/writing-and-research/publishing-and-impact/open-access/

8.3. Check that the journal prominently displays its policy for author fees.

8.4. Be wary of e-mail invitations to submit to journals or to become editorial board members.

8.5. Read some of the journal's published articles and assess their quality. Contact past authors to ask about their experience.

8.6. Check that a journal's peer-review process is clearly described and try to confirm that a claimed impact factor is correct.

8.7. Find out whether the journal is a member of an industry association that vets its members, such as the Directory of Open Access Journals (https://doaj.org/) or the Open Access Scholarly Publishers Association (www.oaspa.org).

8.8. Use common sense, as you would when shopping online: if something looks fishy, proceed with caution.

9. Evaluation

9.1. 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.

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