UNIVERSITY OF STIRLING OPEN ACCESS AND

ARTICLE PROCESSING CHARGE (APC) FUND POLICY

1. Introduction

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 Stirling. This is reflected by the fact that Stirling was one of the first universities to introduce an institutional repository.

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.

Since the University's first Open Access Publishing Policy was produced in 2006 the landscape of open access publishing has continued to evolve; there is greater recognition of the benefits of open access publishing, key research funders are requiring that research articles stemming from their funding are made open access immediately via the publisher (known as author-pays publishing or the "gold" route) to a greater degree, and in the publishing sector more open access and hybrid journals are being developed. This policy sets out the University's renewed commitment to open access publishing and how open access publishing will be supported at the University from 1st April 2013.

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. The University's policy and support for open access publishing will be reviewed after six months and then annually, or at the discretion of the Research Committee, to ensure it is providing the best level of support and complies with its stakeholders in this shifting landscape.

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 article. This is the gold route. PLoSOne and BioMed Central are examples of open access journals.
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> **Hybrid journals** are journals which use the subscription model but also offer author's the option of paying an APC so that their publication is made available immediate and without a fee to readers via the publisher. These journals continue to charge subscription costs to universities. These journals allow publication via the green and gold routes.

2. University policy

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 financial sustainable alongside 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.

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 wherever possible (and in line with embargo periods).
- The University Article Processing Charge (APC) Fund will support the costs of gold open access for research papers[1] meeting the eligibility criteria for the fund which are set by the Research Committee and reviewed annually.
- The University is responsible for providing appropriate support and training regarding open access publishing

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

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[1] RCUK defines research papers as articles published in peer-reviewed academic journals or conference proceedings

3. Article Processing Charge (APC) Fund

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.

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.

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

Funding APCs is an additional cost to the University alongside journal subscriptions costs of £1.113 million per year (with on average inflation of approximately 7% per annum). Therefore, eligibility criteria have been set for research papers which 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. 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[2] or registered doctoral student at the University of Stirling
- The applicant must already have deposited in STORRE 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 or models) can be accessed.[3] Acknowledgement of their Research Funder should follow the formal guidance provided by the Research Information Network (see: Acknowledgement of Funders Articles at: 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). 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).

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[2] Including staff employed on temporary research contracts, Honorary staff and Emeritus staff

[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/RCUK-prod/assets/documents/documents/RCUKOpenAccessPolicy.pdf, section 3.3 "Acknowledgement of funding sources and underlying research material"

The 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 and will be administered by Information Services in association with the Research and Enterprise Office. A report on fund commitments will be made to each 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.

4. STORRE

STORRE is used to hold, and make public, the full text version of the following publication types (where applicable, only the refereed (or reviewed) version will be held):
- Article in Journal
- Article (Commentary)
- Book Review
- Chapter (in Authored Book)
- Chapter (in Edited Book)
- Conference Paper
- Thesis (PhD and Masters by Research)
- Working Paper
- External/Research Report
- Technical Report
- Systematic Review

The full text of complete books or research monographs is not typically held in STORRE due to the complexities of rights and royalties. If authors hold the rights to the book then they are encouraged to make these publications open access in STORRE. The bibliographic details will be held in the Research Management System (RMS). The Research Repository Librarian will advise on the best method of submission.

Appropriate further categories can be added with the approval of the Research Committee.

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); instructions are available from: http://www.stir.ac.uk/is/researchers/writing/publishingimpact/storre/.

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 (http://www.hefce.ac.uk/whatwedo/rsrch/rinfrastruct/oa/policy. Where publisher conditions allow, or require it, the publisher's own version will be accepted (further guidance is available: http://www.stir.ac.uk/is/researchers/writing/publishingimpact/open-access/refoarequirements).

In addition, authors are encouraged to submit other, non-journal, items to STORRE. Where applicable, these should be the refereed/reviewed versions. See point 4.1 above for the full list of publication types STORRE holds.

Authors are permitted to submit items published prior to their working for the University of Stirling, where their previous employment conditions allow.

Items must be submitted in Adobe Acrobat Portable Document Format (pdf), or, where appropriate, an alternative format as agreed by the Research Repository Librarian.

The Research Repository Librarian will check items for the eligibility of authors/depositors, and relevance for deposit to STORRE, valid layout, format and the integrity of the file. Publisher policies will also be checked to ensure compliance with guidelines and regulations.

The validity and authenticity of the content of submissions are the sole responsibility of the depositor.

Items can be deposited at any time, but will not be made publicly visible until the item has been published, and until the publishers' or funders' embargo period, if any, has expired. During the embargo period the full-text file will remain hidden in STORRE, although the STORRE record will contain a "Request a copy" option. Any such requests are automatically emailed to the author, who can choose to say 'yes' or 'no'. If the author says 'yes', STORRE automatically sends a copy of the file to the requestor. Since requests are going directly to the author this practice is allowed under "Fair Dealing" (an exception to copyright).

All deposited items will contain any acknowledgements as specified by publisher policies; the Research Repository Librarian will ensure these are added as required.

Any copyright violations contained *within* items are entirely the responsibility of the authors/depositors.

If the University of Stirling receives an allegation of copyright violation, the relevant item will be suppressed until further investigation can be undertaken. Where copyright violations have occurred items will be immediately removed from STORRE.

Items will be retained indefinitely.

STORRE will try to ensure continued readability and accessibility, migrating items to new file formats where necessary. It may not be possible to guarantee the readability of some unusual file formats.

STORRE regularly backs up its files according to current best practices.

Items may not normally be removed from STORRE.
Acceptable reasons for withdrawal include:
- Journal publishers' rules
- Proven copyright violation
- Legal requirements
- A proven case of research misconduct relating to the item.

Withdrawn items are not deleted per se, but are removed from public view. Since any item that has existed at some time may have been cited, a "tombstone" marker will be supplied when the item is requested. This will include the original brief record details (for verification) plus a withdrawal explanation statement. The brief details will be visible but not searchable.

Items will be deleted from STORRE if there is a legal requirement to do so, or if it is deemed by the University to be in its best interests. Deletion of items will mean removal of the item itself, plus the complete record details. In this instance, there will be no "tombstone" marker.

Changes to deposited items are not permitted. If necessary, an updated version may be deposited. The earlier version may be withdrawn from public view.

The University Intellectual Property (IP) Policy[4] states in clause 16 that: 'Material deposited in the University Library, or in any digital research repository established by the University, or in University Schools, 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.

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[4] http://www.research.stir.ac.uk/documents/IPPolicy2010.pdf

5. Compliance with Publisher and Research Funder Policies

Our policy is compatible with current publishers' copyright agreements as follows:

- For all STORRE submitted items the Research Repository Librarian will check the Publisher's policy via the SHERPA/ROMEO database (http://www.sherpa.ac.uk/romeo.php) to ensure that any embargo periods or other requirements are met.
- Many publishers will allow the peer-reviewed final draft to be self-archived, often specifying that a specific acknowledgement be used along with the self-archived item. The Research Repository Librarian will ensure any such acknowledgements are included in the STORRE.
- Occasionally publishers allow their own final pdf version to be self-archived. In these instances, if necessary, the Research Repository Librarian will contact the depositor to ask for the appropriate item version.
- Occasionally publishers will not allow either the author's own final, post refereed version or the publisher's version to be self-archived. In these instances, STORRE has a permanent embargo feature that hides the full text file but provides a "Request from Author" button. If the author agrees to a request the Repository will automatically email a copy of the file. This is permitted under "Fair Dealing" (an exception to copyright).

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 (i.e. Wellcome Trust). Stirling open access webpages provides guidance about funder policies. Researchers may find the SHERPA JULIET database helpful as it documents Funders' Open Access requirements: http://www.sherpa.ac.uk/juliet/index.html).

Research Councils UK require that at least 45% of research papers stemming from RCUK funding are published open access in 2013/14 and this requirement will grow over a five year transition period. By 2018, at the end of the transition period, RCUK expect that 100% of research papers arising from Research Council funding will be compliant with their policy on Open Access. Whilst compliance with the policy can be achieved via the gold or the green route RCUK's stated preference is for the gold route. RCUK's stated aim is for 75% of Open Access papers from the research they fund to be delivered through the gold route. RCUK provided the University with a block grant of £21,813 (enough to fund 13 articles) in 2013/14 to assist with the cost of article processing charges for research papers related to its funding. This amount is expected to increase over the transition period. The University of Stirling, guided by RCUK, is adopting a transitional period in moving towards the RCUK policy requirements.

The University has taken an inclusive response to RCUK's policy by creating an APC Fund which is available to fund the APCs associated with any open access journal or where the funder requires that the gold route is used. To do so the University is supplementing the funding available from RCUK (which will be used for RCUK related papers only). For reporting purposes, records will be kept of instances of which route is used by RCUK related articles and the allocation of RCUK block grant funding.

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.[5] It is also an RCUK requirement that all research papers (regardless of the

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[5] '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/.

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 (i.e. through contact with the corresponding author). The underlying research materials do not 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 to the unrestricted re-use of content.

Where permissible, the costs of APCs should be factored in 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.

Information on funder requirements can be found on the open access webpages.[6]

6. Postgraduate Research Students

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

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.

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.

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).

Any request for an exception beyond the allowed 12 months must be made in writing to the Repository Librarian (Stirling University Library, University of Stirling, Stirling, FK9 4QA; repository.librarian@stir.ac.uk).

7. Evaluation

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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[6] http://www.stir.ac.uk/is/researchers/writing/publishingimpact/openaccesspublishing/