

Aston University Open Access Policy and Code of Practice Appendix 1

Publishing Guidance for Open Access

This guidance leads you through the publication process to ensure that you consider from the outset how your paper will be Open Access (OA) compliant. It supports Aston's Open Access Research Policy and Code of Practice leading you through the decisions and actions that you need to take. The corresponding author will do much of this but co-authors also have responsibilities.

Library Services can offer advice and support at all stages (openaccess@aston.ac.uk) and further details are provided in the Open Access LibGuide available from Aston's web pages. See <http://libguides.aston.ac.uk/openaccess> .

Guidance for Corresponding Authors

1. Consider the likely quality of your paper

Green OA is the default for Aston publications with funding for Gold OA reserved for 4* or maybe 3* papers. (See budget options below).

2. Which journal(s) will you submit the paper to?

You should aim for the highest quality journal that is a good fit for the article.

3. Is the journal Green and/or Gold OA compliant and how to choose?

Gold compliance requires a Creative Commons Attribution licence (CC-BY) licence option although some funders may accept a slightly less permissive licence eg CC-BY-NC-ND.

Green compliance requires the authors' final accepted manuscript (postprint) to be made available in a repository. Funders impose a maximum embargo period:

- 12 months for STEM
- 24 months for humanities or social sciences

Note that some funders have their [own OA Policy](#) which takes precedence eg EU (6 months for STEM, 12 months for HSS), MRC, Wellcome and COAF (6 months for medicine).

Making your choice in the light of these definitions:

- Gold and Green options both available – you can proceed with this journal leaving the final decision until the acceptance stage. If you have a high quality paper you can apply for Gold funding at that point; see below
- Green only available – You can proceed with this journal
- Gold only available – Before proceeding you need to be confident of the source of funding to pay the article publication charge, see budget options below
- No Green or Gold option. There may be scope for treating this paper as an exception under the HEFCE or funder policy, otherwise you should opt for an alternative journal. Please contact openaccess@aston.ac.uk (for advice on policy interpretation) and your Associate Dean for Research to discuss if you would like this to be considered as an exception.

4. Budget options for Gold OA funding

- Your research grant or by applying retrospectively to your funder. If funds are provided by the funder you must use these and the decision lies with the Principal Investigator who will be guided by their School's Gold Funding Decision Process. Payment needs to be arranged through Library Services to secure the best price.
- RCUK Budget for papers with an RCUK funder. This is held by Library Services and is intended to fund RCUK funded papers judged to be 3* or 4* by the School. To apply see under (6) below.
- The Institutional OA budget should cover papers gauged by the School as 4*. To apply see under (6) below.
- School or personal budgets may be available for papers judged by the School to be 3* or less. Where School budgets are in place apply in the same way as for the Institutional budget see under (6) below.

5. Things you must include in your paper

- The funder and grant reference number
- Details of how readers are able to gain access to the underlying research data. Separate guidance is provided on archiving research data. Research Councils require data to be deposited and archived and a DOI for that data included in the paper. To organise this contact researchdata@aston.ac.uk. This is good practice for all data.
- Acknowledgement of Aston University in the format:

School XXXX,
Aston University,
Aston Triangle,
Birmingham, B4 7ET

If there are space constraints use "Aston University"

6. Actions when your paper is accepted

To pursue the Gold option :

- Confirm funding source. If you expect this to be the RCUK, Institutional or School budget complete the [OA application form](#) or send a copy of your accepted manuscript and a short rationale for requiring Gold OA in this journal to openaccess@aston.ac.uk. Library Services will work with your School to confirm (or not) funding according to the criteria set by the School to determine 4* (or 3* for RCUK or School budgets).
- Select a CC BY licence. Some funders will accept less permissive licences eg CC-BY-NC-ND.
- Arrange payment through Library Services openaccess@aston.ac.uk

For Green :

- Ensure that the agreement you sign permits you to deposit the authors' final accepted manuscript (postprint) version in a repository.
- Make sure you have a copy of the final accepted manuscript (postprint) as you will need to deposit this to be compliant.
- If you have co-authors in other institutions send them a copy of the final accepted manuscript as they are likely to need it for their repositories. Aston co-authors will rely on you to deposit the copy in Aston's repository.

7. Depositing your paper in Repositories

- Aston's Repository

For Green you need to:

- Add the metadata (basic publication details) AND the full text (authors' final accepted manuscript or postprint) to Pure ideally within one month of acceptance to ensure that we meet the HEFCE timescales which specify within three months of the paper being accepted.
- If the paper relates to a research grant link it to the grant in Pure.

For Gold Library Services will add the metadata and published version of the full text and may ask you to link the paper to the research grant.

- Other repositories

Check whether your funder requires you to deposit in a specific subject repository in addition to Aston's. This applies to ESRC, BBSRC and MRC. Note it is common practice for publishers to do this on your behalf in the medical disciplines.

- Staying Legal

Library services will check embargo periods and licences to ensure that copies on Aston's repository are made available in line with our legal agreements. It is the responsibility of the academic to ensure that the deposit of any publication Open Access on either Aston's Research Repository, any additional repository or website, is in compliance with the publisher's embargo periods and terms for deposit as set out in the agreement between the publisher and the academic. Advice on embargo periods should be sought from the publisher in the first instance. If the terms of the agreement are unclear, please consult the publisher or Library Services as appropriate. Non-compliance with the terms of the agreement between the publisher and academic may lead to publishers taking legal action against the University and / or bring the University into disrepute and consequently academics could be subject disciplinary action.

Guidance for Co-Authors

As a co-author much of the detail will be the responsibility of your corresponding author but you still have a responsibility to ensure that the paper is OA compliant and included in Aston's repository.

1. Is your corresponding author aware of this guidance?

Be aware of the guidance for corresponding authors. You are relying on them to take the steps outlined in that section so please discuss this with them. They are less likely to understand this if they are not in a UK university.

2. Things you must ensure are included in your paper

- The funder and grant reference number
- Details of how readers are able to gain access to the underlying research data. Separate guidance is provided on archiving research data. Research Councils require data to be deposited and archived and a DOI for that data included in the paper. To organise this contact researchdata@aston.ac.uk. This is good practice for all data.
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3. When the paper is accepted

If the Gold route is selected it is the responsibility of the corresponding author’s institution to fund the article process charges. Exceptionally Aston may contribute to these costs if the lead institution does not have appropriate funds and a Green option is not available.

Make sure the corresponding author gives you a copy of the final accepted version of the paper.

4. Depositing your paper in Repositories

- Aston’s Repository
If the corresponding author is not a fellow Aston academic you need, for both Green and Gold papers, to:
 - Add the metadata (basic publication details) AND the full text (authors’ final accepted manuscript or postprint) to Pure ideally within one month of acceptance to ensure that we meet the HEFCE timescales which specify within three months of the paper being accepted.
 - If the paper relates to a research grant link it to the grant in Pure.
- Other repositories
Check whether your funder requires you to deposit in a specific subject repository in addition to Aston’s. This applies to ESRC, BBSRC, MRC. Note it is common practice for publishers to do this on your behalf in the medical disciplines. If so check that your corresponding author understands this and has ensured the paper is deposited.
- Staying Legal

Library services will check embargo periods and licences to ensure that copies on Aston's repository are made available in line with our legal agreements. It is the responsibility of the academic to ensure that the deposit of any publication Open Access on either Aston's Research Repository, any additional repository or website, is in compliance with the publisher's embargo periods and terms for deposit as set out in the agreement between the publisher and the academic. Advice on embargo periods should be sought from the publisher in the first instance. If the terms of the agreement are unclear, please consult the publisher or Library Services as appropriate. Non-compliance with the terms of the agreement between the publisher and academic may lead to publishers taking legal action against the University and / or bring the University into disrepute and consequently academics could be subject disciplinary action.