

AURA Working Party

AURA Policy document

Background:

The Aston University academic community produces research and scholarly output as a contribution to its disciplines and the community, and as a part of scholarly discourse. A significant proportion of this is intended for publication for the purpose of making a wider impact and gaining recognition for the individual researchers and Aston. The aim of the Aston University Repository is to create a permanent record of the research output of the University and maximise the visibility, usage and impact of this research through global access.

- Aston University will contribute to a growing international corpus of refereed and other research literature available online, a process occurring in universities worldwide.
- The impact and usage of researchers' own findings will increase by being made available through the repository.
- Research made freely available in an institutional repository becomes more accessible to a wider audience, overcoming the potential barriers of the subscription access model whilst also increasing the citation impact¹.
- A research repository will support the calculation of metrics, such as those that will be required for the Research Excellence Framework.
- By depositing outputs, researchers will fulfill research funding mandates which, in the area of access, are of increasing importance to funding bodies. In June 2006, the UK Research Councils (RCUK) produced a position statement on access to research outputs. One of the principles² in the document states: "*Ideas and knowledge derived from publicly funded research must be made available and accessible for public use, interrogation and scrutiny, as widely, rapidly and effectively as practicable.*" Each of the eight individual Research Councils, and the Wellcome Trust, have produced specific but differing guidance to research communities regarding access to outputs in each field of research. Therefore, by adopting a policy regarding access to research outputs, Aston University is supporting its staff in fulfilling their conditions of grant whilst providing staff with only one set of procedures to be followed.
- Data from the repository will be used as evidence for an academic staff member's performance at their Performance Development Review (PDR) and for promotion applications.

Content:

In order to develop the repository into a useful tool and to meet the growing expectations and mandates of the major UK research funders, Aston University expects all research-active members of its community to deposit their research outputs into the University repository.

Aston University will accept any digital material that relates to research output in any supported format including multimedia. Examples of material include: journal articles, conference papers, theses, patents (once published), technical reports and books (exceptionally, metadata only).

Papers may include: unpublished pre-prints (not peer-reviewed), final peer-reviewed drafts (post prints) and published versions. Papers must be individually tagged with their version type, peer-review and publication status. In general the author's submitted final draft should be deposited rather than the publisher's version, since it is the text, data and diagrams that are important, not the layout.

Although the depositor should take due care to ensure the validity and authenticity of the content of a submission, the final responsibility for ensuring the authenticity of a submission must rest with the author. Authors may only submit their own work for archiving, unless they delegate to a third party.

The repository will accept any research material, no matter how old, as long as it is in electronic format and, if published already, with permission from the publisher. The preferred format for all material is PDF, although other formats are also acceptable when file conversion to PDF is not possible.

¹ <http://opcit.eprints.org/oacitation-biblio.html>

² <http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/documents/2006statement.pdf>

Submission

Items may only be deposited by employees or students of Aston University. Authors or their delegates may only submit their own work for archiving, including theses, which should be deposited by the student.

Eligible depositors must deposit sufficient basic bibliographic metadata so that the publication can be identified. More sophisticated metadata may be added by the Repository Officer, but should not delay the availability of the item.

Eligible depositors must deposit full texts of all their publications, although they may delay making them publicly visible to comply with publishers' embargos. This should be done using the ePrints facility that allows the deposit of an item with a delayed release.

The University Repository Officer vets items for the eligibility of authors/depositors, the relevance to the scope of the repository and the quality of the metadata. The validity and authenticity of the content of submissions is the sole responsibility of the depositor.

All academic staff are responsible for ensuring that their research outputs are deposited in the repository. Data from the repository will be used as evidence for an academic staff member's performance at their Performance Development Review (PDR) and for promotion applications. Wherever possible, academic staff should ensure that their submissions are uploaded in a timely manner in order to maximise the visibility, usage and impact of this research.

Items can be deposited at any time, but will not be made publicly visible until any publishers' or funders' embargo period has expired. Any copyright violations are entirely the responsibility of the authors/depositors. If the repository receives proof of copyright violation, the relevant item will be removed immediately.

Metadata:

Anyone may access the metadata free of charge. The metadata may be re-used in any medium without prior permission and re-sold commercially provided the repository is mentioned. The standard bibliographic data (such as authors, title, journal, volume, page numbers etc.) will be compulsory. Depositors are strongly encouraged to provide a meaningful set of keywords, as this will make their publications much more accessible to users searching the repository.

Data:

Full-text and other full-data items can be accessed free of charge.

Copies of full items generally can be:

- reproduced, displayed or performed, and given to third parties in any format or medium
- used for personal research or study, educational, or not-for-profit purposes without prior permission or charge.

provided:

- the authors, title and full bibliographic details are given
- a hyperlink and/or URL are given for the original metadata page
- the content is not changed in any way.

Full items must not be sold commercially in any format or medium without formal permission of the copyright holders.

This repository is not the publisher; it is merely the online archive.

Exclusions:

Learning objects/teaching materials will not be archived unless they are considered to be a research output. Administrative reports (eg meeting minutes, University reports, committee papers and/or similar material) will be excluded. Outputs intended for commercialisation or individual royalty payment or revenue for the author will not be collected. Books and book chapters will not normally be archived in their entirety, although metadata relating to the book can be stored.

Copyright:

Our policy seeks to complement publishers' copyright agreements as follows.

In general, the copyright for the unrefereed preprint resides entirely with the author before it is submitted for peer-reviewed publication, hence it can be self-archived irrespective of the copyright policy of the journal to which it is eventually submitted.

The copyright for the peer-reviewed postprint will depend on the wording of the copyright agreement which the author signs with the publisher.

Individual researchers will not be expected to break publishers' copyright or licensing agreements or to negotiate with publishers. Furthermore, materials to be commercialised, or which contain confidential information, or of which the promulgation would infringe a legal commitment by the University and/or the author, should not be included in the repository.

Initial checks regarding copyright restrictions can be made by researchers by using the SHERPA/RoMEO database³. The Repository Officer will be responsible for resolving copyright issues connected with making the publication itself accessible and validating the data.

Preservation:

In order to build up a permanent record of research, items will be retained indefinitely.

The repository will try to ensure continued readability and accessibility. Items will be migrated to new file formats where necessary.

The repository regularly backs up its files according to current best practice. The original bit stream is retained for all items, in addition to any upgraded formats.

In the event of the Aston University Repository being closed down, the database will be transferred to another appropriate archive.

The deposits of staff who leave Aston University will remain in the repository. Staff who leave are welcome to archive that work in their new institution's repository. New members of staff are welcome to archive work from posts in other institutions. Items may be removed at the request of the author/copyright holder.

Take-Down:

In the event of a complaint from a reader, the institution will adopt a safety-first approach and will have as a first action the removal of the item from public view. The University Repository Officer is responsible for the removal of the record, which should be actioned within 24 working hours of receipt of the complaint. Once removed from public view, the University Repository Officer is responsible for investigating the complaint and deciding whether it should be upheld, or whether the item can be reinstated.

³ <http://www.sherpa.ac.uk/romeo/>

Acceptable reasons for withdrawal include:

- Journal publishers' rules
- Proven copyright violation or plagiarism
- Legal requirements and proven violations
- National security
- Falsified research
- Version Control
- Removal of obsolete items

Withdrawn items are not deleted *per se*, but are removed from public view. Withdrawn items' identifiers/URLs are retained transiently. URLs will continue to point to 'tombstone' citations, to avoid broken links and to retain item histories, with a link to a replacement version, where available.

If necessary, an updated version may be deposited.

The item's persistent URL will always link to the latest version.

There will be links between earlier and later versions, with the most recent version clearly identified.

Restricting Access:

The University may choose to restrict access to works, whether in part or in full, if copyright permission is in doubt or unavailable.

- v.2 AMC 9/05/08
- v.3 SMD 6/10/08
- v.3.1 ITN 18/10/08
- v.4. SMD 16/03/09
- v.4.1 ITN 18/03/09
- v.4.2 ITN 30/04/09
- v.4.3 EW 3/06/09
- v.4.4 EW 30/06/09