



# Aston (Interim) Open Access Policy

October 2019

This document sets out the revised open access policy for Aston University staff during the interim period of 2019-2020.

October 2019

Reference Number	Version Letter	Executive Sponsor	Officer Responsible for Policy/ Procedures	Consultation Process	Date of Approval and Committee and/or Executive Officer	Effective Date
1		PVC (R and E)	Director Information Resources and Research Services, Library Services	Research Committee	Research Committee and Executive Team	December 2015
2		PVC (R and E)	Director Information Resources and Research Services, Library Services	Research Committee	Research Committee 30 October 2019	December 2019

## Aston University Open Access Policy

### 1. INTRODUCTION AND SCOPE OF THE POLICY

Aston University fully supports the practice of Open Research, with Open Access being a crucial part of this. There are two methods of Open Access (OA), the Green or Gold route. The Green route is our default way of ensuring compliance with OA requirements and makes the full text freely available on Aston's research repository ([Aston Publications Explorer](#)) at the end of a publisher embargo period (typically between 6 and 24 months). Gold Open Access requires payment of an Article Processing Charge (APC) and makes the final published PDF open access immediately from the publisher's website; Gold OA charges may be covered by a transformative agreement with a publisher or by a one off payment. Authors will be supported in making their publications OA by Library Services

#### 1.1. Purpose of the Interim Policy

[Plan S](#) is driving global change in open access, with an implementation date of 1 January 2021. UK Research and Innovation (UKRI) is also in the process of reviewing its open access policy, with the new policy expected to launch in Spring 2020 and a longer term Policy will need to take account of this. In light of the Plan S guidance and the intention of UKRI to adopt some of these points we need to implement an interim open access policy at Aston University to ensure that our authors are adhering to current open access policies and practices.

#### 1.2. What is covered by the Policy

The policy sets out which publications should be included in Aston's open access repositories and how open access is to be achieved. It is closely aligned with Research England's [REF 2021 Open Access Policy](#) and takes account of the direction provided by Plan S.

#### 1.3. Who is Covered by the Policy

The policy covers current Aston University staff members with research in their contract, until such point that their contract with Aston ends. Other Aston staff members who publish are also welcome to make their research outputs open access via [the Green route](#).

Authors with funding from external bodies such as UKRI, European Commission, Wellcome Trust, etc. must also adhere to their funder's open access policies.

### 2. WHAT SHOULD BE INCLUDED IN ASTON'S OPEN ACCESS PUBLICATIONS REPOSITORIES

#### 2.1. Research Publications

All journal articles and conference proceedings by Aston authors must be made Open Access. Where full text has been deposited, the publication is included in Aston Publications Explorer. All publications are included in [Aston Research Explorer](#).

Although, monographs, book chapter, working papers and other output types are not explicitly covered by this Policy, authors, where possible, should make them Open Access.

Any digital material that relates to research outputs in any supported format including multimedia should also be included.

Where Research data needs to be made open it should be added to Aston Data Explorer in accordance with the [Aston University Open Research Data Management Policy](#), and Library Services staff will create links between related datasets and publications where that link is apparent.

### 2.3. What outputs are not included in Aston's Open Access Policy

Publications where any of the following apply should not be made public, although they may need to be included in Pure for internal purposes. Authors should contact [Library Services](#) so to ensure that access is properly restricted:

- If the material is to be commercialised, i.e. it relates to a patent
- It contains confidential information
- Its inclusion would infringe a legal commitment by the University and/or the author

Aston Publications Explorer and Pure focus on research, therefore, university administrative reports and learning and teaching materials are excluded.

## 3. HOW ARE OUTPUTS TO BE MADE OPEN ACCESS

### 3.1. Open Access for Standard Research Outputs

- Papers in Pure Gold OA journals with a CC BY licence

Article processing charges (APCs) for these will be funded to a maximum value of £2100 (ex VAT) from the institutional budget for current Aston staff who are corresponding authors, subject to funding availability and meeting set criteria.. These criteria include:

- i. the article is an original research article or review,
- ii. the journal is listed in the [Directory of Open Access Journals](#) and
- iii. the licence applied to the article is a [CC BY](#).

- Papers in hybrid journals in transformative agreements

Where Aston has agreements in place with publishers for a single payment covering journal subscriptions and APCs, Library Services will fund that payment and Gold OA will be available to Aston corresponding authors publishing in these titles.

- Papers in hybrid titles without a transformative agreement

OA requirements for papers in these titles will be met by the Green route only.

### 3.2. Open Access for UKRI funded publications

Whilst UKRI continues to provide Aston with an APC fund, it will be open to Aston corresponding authors for all APCs offering a [CC BY licence \(Creative Commons 'Attribution'\)](#) including for hybrid titles.

- Papers in Pure Gold OA journals with a CC BY licence

Funding decisions will be made by Library Services after checking funding acknowledgements and research data statements.

- Papers in hybrid journals in transformative agreements

Where Aston has agreements in place with publishers for a single payment covering our journal subscriptions and APCs, Library Services will fund that payment and Gold OA will be available to Aston corresponding authors publishing in these titles.

- Papers in hybrid titles without a transformative agreement

Library Services will make the funding decisions. However, authors can also be compliant with the UKRI open access policy via the green route (see the policy document [here](#)).

## 4. ROLES AND RESPONSIBILITIES

In line with the REF Open Access Policy, authors are responsible for depositing the appropriate full text of their publications along with sufficient basic bibliographic metadata so that the publication can be identified within the timescales specified on Aston University [Open Access webpages](#). Library Services will add any additional metadata, copyright statements, and any embargo periods prior to records

validation. The validity and authenticity of the content of submissions is the sole responsibility of the author.

Funded authors must properly acknowledge their funding and be familiar with their funder's open access policy. Authors should follow the acknowledgement format from their funder, but if no guidance is available, authors must include the funder and grant reference number at a minimum. Authors should also include details on how readers are able to gain access to the underlying research data. Separate guidance available on [archiving research data](#) or via [researchdata@aston.ac.uk](mailto:researchdata@aston.ac.uk). In all cases, the Library provides operational support to authors to ensure compliant open access publication.

## 5. DEFINITIONS

*Open Research*: Open Research is the practice of researching in such a way that others can collaborate and contribute throughout the research process. Open Research is not limited to STEM subjects; it encompasses all fields and stages of research with the goal of making the results Findable, Accessible, Interoperable and Reusable (FAIR).

*Open Access*: Making research publications, principally journal articles, freely available online with all barriers to access removed. Open Access is achieved through gold Open Access journals and journal articles, and green self-archiving in institutional repositories such as Aston Research Explorer.

*Open Research Data*: Making your research data freely available to anyone, anywhere in the world and downloadable without restrictions.

*Author's accepted manuscript*: Final, peer-reviewed version of an article, before the publisher's layout and typesetting is applied; also known as the author's accepted manuscript or post-print version.

*Metadata*: Information held as a description of stored data. Typically, the metadata of a publication record is its bibliographic details.

## 6. RELATED REGULATIONS, STATUTES AND POLICIES

[UKRI Open Access Policy](#)

[REF 2021 Open Access Policy](#)

[Aston University Open Research Data Management Policy](#)

[Governance Policy for Aston Data Explorer](#)

[Aston University Open Access Publications Repositories Governance Policy](#)

[Aston University Cookies and Privacy Policy](#)

[Aston University Data Protection Policy](#)

[Aston University Intellectual Property Policy](#)