



Australian Government

Australian Research Council

Open Access Policy

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1. The Australian Research Council

The Australian Research Council (ARC) is a Commonwealth entity within the Australian Government. Its mission is to deliver policy and programs that advance Australian research and innovation globally and benefit the community.

The ARC funds research and researchers under the National Competitive Grants Program (NCGP). The NCGP consists of two elements—Discovery and Linkage. Within these elements are a range of schemes structured to provide a pathway of incentives for researchers to build the scope and scale of their work and collaborative partnerships. The majority of funding decisions under the NCGP are made on the basis of peer review.

The ARC also evaluates the quality of research being undertaken in higher education institutions through the Excellence in Research for Australia (ERA) program. This is aimed at identifying research excellence in Australian higher education institutions by comparing Australia's research effort against international benchmarks. ERA assesses quality using a combination of indicators and expert review by research evaluation committees.

2. Definitions

Administering Organisation – is the organisation responsible for administering the ARC Funded Research Project, Fellowship or Award.

ARC Funded Research – is research funded, either wholly or partially, under the *Australian Research Council Act (2001)*.

DOI – A DOI stands for Digital Object Identifier, which is a unique persistent identifier for a published digital object, such as an article or a report, which is issued by the DOI Foundation.

Final Report – as used in the applicable ARC Funding Agreement.

Institutional Repository – an online publically accessible repository hosted at an academic institution, in which publicly funded Research Outputs and the Metadata for those Outputs can be stored.

Metadata – refers to specific data/information relating to a Research Output, including author(s), publisher(s) or equivalent, funding information, Digital Object Identifier (DOI), licence associated with an item, and other relevant details that provide for location, verification and potential reuse of the Research Output.

Open Access or **Openly Accessible** – refers to the availability of Research Outputs via the internet, such that any user can find, freely access, read, download, copy, distribute, print, search, link, crawl, mine and otherwise use and reuse the Research Outputs both manually and using automated tools. Any use or reuse is subject to full and proper attribution, and usually will have an appropriate licence, such as endorsed by Australian Governments Open Access and Licensing Framework (AusGOAL), and should not infringe any copyrights to third-party material included in the Research Output.

ORCID – Open Researcher and Contributor ID. ORCID is a persistent digital identifier for an individual researcher available via the ORCID website (<http://orcid.org/>).

Project / Fellowship / Award – as used in the applicable ARC Funding Agreement.

Project Leader / Fellow / Awardee / Director – as used in the applicable ARC Funding Agreement.

Published / Publication – refers to the form of public presentation of a Research Output specific to the relevant discipline.

Publication Date – refers to the official date of publication of the Research Output (not acceptance of the Research Output for publication or pre-publication i.e. preprint) or, for non-traditional Research Outputs, the date of public presentation of the Research Output.

Research – the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

Research Output – includes all products (excluding preprints) of an ARC-funded research Project that meet the definition of Research.

For the purposes of this policy, Research Outputs do not include research data and research data outputs. Research data arising from ARC Funded Research are addressed separately under the ARC's data management requirements. Further information is available at <http://www.arc.gov.au/research-data-management>.

3. Purpose

Both researchers and the broader community stand to benefit from the knowledge produced through publicly funded research. The ARC is committed to maximising this benefit by ensuring that the findings of ARC Funded Research are disseminated as widely as possible, in the most effective manner and at the earliest opportunity, taking into account any restrictions relating to privacy, confidentiality, intellectual property or cultural sensitivities.

The purpose of the ARC Open Access Policy is, therefore, to ensure that Research Outputs arising from ARC Funded Research are made Openly Accessible and the Metadata for those Outputs are made available to the public.

4. Scope

The ARC Open Access Policy applies to all Research Outputs arising from ARC Funded Research and their Metadata.

5. Commencement

The ARC Open Access Policy commenced on 1 January 2013.

The policy has been incorporated into all ARC Funding Rules and Funding Agreement released since 1 January 2013. The policy applies to all ARC Funded Research supported under these Funding Rules and Funding Agreements.

The policy does not apply to ARC Funded Research supported under Funding Rules and Funding Agreement released before 1 January 2013.

6. Policy Requirements

6.1 Summary

Any Research Output arising from ARC Funded Research must be made Openly Accessible within a twelve (12) month period from the Publication Date.

In cases where this requirement cannot be met for any reason, including legal or contractual obligations, Final Reports must provide reasons why Research Outputs derived from ARC Funded Research have not been made Openly Accessible within a twelve-month period.

In all cases, Research Output Metadata must be made available in an Institutional Repository immediately upon Publication. Metadata must include the ARC Project ID, list the ARC as a funding source and contain a DOI or link to the Research Output.

6.2 Requirements for Research Outputs

6.2.1 Research Outputs must be made Openly Accessible

Any Research Output Published in respect of ARC Funded Research must be made Openly Accessible within a twelve-month period from the Publication Date and must include acknowledgement of ARC funding and the ARC Project ID.

6.2.2 Location of Research Outputs

Consistent with the purpose of this policy, it is acceptable for Research Outputs to be made Openly Accessible either in an Institutional Repository or somewhere other than an Institutional Repository, for example, through a publisher's website, if the published version of the article is Open Access with an associated licence, such as those endorsed by AusGOAL. Research Outputs may also be deposited in an Openly Accessible public digital archive (for example, PubMed Central[®] (PMC) or Zenodo).

Decisions on where to make Research Outputs Openly Accessible must be consistent with any copyright or licencing arrangements in place.

6.3 Requirements for Metadata

6.3.1 Availability in an Institutional Repository

Metadata for all Research Outputs arising from ARC Funded Research must be made available to the public in an Institutional Repository immediately upon Publication of the Research Output.

This requirement applies in all cases, regardless of whether the Research Output itself can or will be made Openly Accessible.

6.3.2 Information included in Metadata

Metadata must include the ARC Project ID, list the ARC as a funding source and contain a permanent DOI for the Research Output. If a DOI is not available, then a permanent Uniform Resource Locator (URL) link must be provided instead to the Research Output.

Metadata should also contain other relevant information as applicable and appropriate to the Research Output including, but not limited to: author(s)/creator(s); title; type of Research Output; publisher; date of publication/public presentation; volume; issue; page numbers; ISBN/ISSN/other standard number; licence associated with an item; and the ORCID identifier for the author responsible for providing the Research Output (to be made Openly Accessible).

6.4 Copyright and licensing

6.4.1 Application of licences to Research Outputs

The ARC strongly encourages the application of appropriate licences to Research Outputs arising from ARC Funded Research in order to specify access and usage rights that are consistent with this policy.

The ARC's preference is for the Creative Commons Attribution licence (CC BY) to apply to Research Outputs arising from ARC Funded Research. However, it is acceptable to apply any of the suite of licences endorsed by Australian Governments Open Access and Licensing Framework (AusGOAL). Further information on the AusGOAL suite of licences is available at <http://www.ausgoal.gov.au/the-ausgoal-licence-suite>.

6.4.2 Copyright and licensing agreements

In many cases, copyright and licensing agreements are in place between authors, institutions and publishers. In such cases, researchers, individuals and institutions should explore mechanisms to allow compliance with this policy.

If the copyright or licensing agreement does not allow the Research Output to be made Openly Accessible within twelve months of the Publication Date, it must be made Openly Accessible as soon as possible after that date.

If the copyright or licensing agreement never allows the Research Output to be made Openly Accessible, this must be explained in the Final Report (as required in section 6.5 of this policy).

6.5 Reporting requirements

All Research Outputs arising from ARC Funded Research must be listed in the Final Report for each Project. A permanent DOI or URL link to each listed Research Output must also be provided in the Final Report.

If a Research Output cannot, or will not, be made Openly Accessible, for any reason, an explanation must be provided in the Final Report.

6.6 Roles and responsibilities

6.6.1 Administering Organisation

The Administering Organisation on any given Project, Fellowship or Award will be responsible for working with the Project Leader, Fellow, Awardee or Director to ensure compliance with the policy.

6.6.2 Project Leader, Fellow, Awardee or Director

The Project Leader, Fellow, Awardee or Director will be responsible for ensuring that the appropriate copy, recording, rendering or documentation of the Research Output is either:

- provided to an Institutional Repository to be made Openly Accessible in the Institutional Repository within twelve months of the Publication Date, or
- made Openly Accessible somewhere other than an Institutional Repository within twelve months of the Publication Date.

The Project Leader, Fellow, Awardee or Director will be responsible for ensuring that the Research Output Metadata, as and when they become available, are provided to an Institutional Repository. This may also be managed via the institutional research administration office.

If no Institutional Repository is immediately available to the Project Leader, Fellow, Awardee, or Director, this must be recorded in the Final Report.

6.6.3 Institutional Repository manager

The Institutional Repository manager will be responsible for ensuring that Research Output Metadata are immediately available to the public upon Publication, regardless of whether the Published Research Output has been made Openly Accessible, is under embargo, or is never to be made Openly Accessible.

If the Research Output has been provided to the Institutional Repository to be made Openly Accessible, the Institutional Repository manager will be responsible for ensuring that the Research Output is made Openly Accessible in the Institutional Repository at a date that complies with any copyright or licensing arrangements in place.

6.7 Acceptable versions of written/printed Research Outputs

For the purposes of this policy, it is acceptable for either of the following versions of a manuscript, journal article in a peer reviewed journal or refereed conference paper to be made Openly Accessible:

- the author's version, which has been accepted for publication, and which is made available in the author's Institutional Repository under an appropriate licences such as those endorsed by AusGoal (usually CC-BY).
- the publisher's version, also referred to as the 'published version' or 'version of record' (for example, journal version with final pagination and formatting). The publisher's version is only acceptable if it is fully Openly Accessible via the

publisher's own web site, with an appropriate licence such as those endorsed by AusGoal (usually CC-BY).

Versions of a manuscript, journal article or conference paper that have not been refereed or peer reviewed for example preprints, are not acceptable for the purposes of this policy.

Decisions on which version of a Research Output to make Openly Accessible must be consistent with any copyright or licencing arrangements in place.

Contact details

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Frequently asked questions

1. Why does the ARC have an Open Access Policy?

The research community and the public both gain from knowledge derived from publicly funded research and wish to derive maximum benefit from publicly funded Research Outputs. The ARC's Open Access Policy aims to ensure that the findings of ARC funded research are made available to the research community and the public as soon as possible.

2. To which research does the policy apply?

The policy commenced on 1 January 2013. It applies to all ARC funded research supported under ARC Funding Rules and Funding Agreement released since that date.

The policy does not apply retrospectively to ARC funded research supported under Funding Rules and Funding Agreements released before 1 January 2013.

3. To which types of Research Outputs does the policy apply?

The policy applies to all products (excluding preprints) of an ARC-funded research Project that meet the definition of Research. This could include the following output types:

- scholarly books
- edited research books, including prestigious reference works
- scholarly book chapters
- refereed journal articles
- refereed conference papers only when the paper was published in full in the proceedings
- non-traditional research
- other Research Outputs.

It is important to note that the presentation and dissemination of “non-traditional research” or “other research” outputs can be significantly different from more common Research Outputs such as scholarly books and refereed journal articles. To ensure that non-traditional or other Research Outputs are addressed, the terms ‘published’ and ‘publication’ are used in the policy and these FAQs to refer to the form of public presentation of a Research Output specific to the relevant discipline in which it was created.

For the purposes of this policy, Research Outputs do not include research data and research data outputs. Research data arising from ARC Funded Research are addressed separately under the ARC's data management requirements. Further information is available at <http://www.arc.gov.au/research-data-management>.

4. Does the policy apply to research data and research data outputs?

No. The ARC currently addresses research data and research data management separately from the Open Access Policy.

The ARC strongly encourages researchers to deposit data arising from ARC funded research in publicly accessible repositories and also requires researchers to outline how they plan to

manage research data. Further information is available at <http://www.arc.gov.au/research-data-management>.

5. Which research outputs need to be made Openly Accessible and when?

Any research outputs (other than research data outputs) arising from ARC funded research must be made Openly Accessible within a twelve-month period from the date of publication (or, for non-traditional research outputs, the date of public presentation).

To meet this requirement, the Administering Organisation should work with the Project Leader, Fellow, Awardee or Director to ensure that the Research Output is made Openly Accessible within twelve months of the publication.

Any published Research Output must include acknowledgement of ARC funding and the ARC Project ID.

6. If a Research Output is made Openly Accessible in an Institutional Repository, when should it be submitted?

If the Research Output is to be made Openly Accessible in an Institutional Repository, it should be submitted to the Institutional Repository on acceptance or at the latest on publication.

The Institutional Repository manager is responsible for ensuring that the Research Output is made Openly Accessible in the Institutional Repository as soon as possible, and in compliance with any copyright transfer or licensing arrangements in place.

7. If a Research Output is made Openly Accessible somewhere other than an Institutional Repository, does it also need to be submitted to an Institutional Repository?

No. If a Research Output is made Openly Accessible somewhere other than an Institutional Repository, for example, on a publisher's website with an associated licence, such as those endorsed by AusGOAL, or in an Openly Accessible public digital archive (for example, PubMed Central[®] (PMC) or Zenodo), it does not also need to be submitted to an Institutional Repository.

However, in all cases, the Research Output metadata must be made available in an Institutional Repository, no matter where the output itself is made Openly Accessible. The metadata in the Institutional Repository must include a permanent DOI or URL link to the Research Output.

Making a Research Output Openly Accessible must be consistent with any copyright transfer or licensing arrangements in place.

It is important to be aware that institutions may require their researchers to also submit Research Outputs to the Institutional Repository.

8. My paper is on ResearchGate. Isn't that sufficient to comply with the Policy?

Services such as ResearchGate and Academia.edu – "scholarly communications networks" – are commercial social networking platforms. While they can provide access to research outputs, they are not currently able to provide the commitment to long-term preservation, data reuse, publisher copyright requirements and end-user privacy afforded by institutional

repositories or Openly Accessible public archives such as PMC and are thus not acceptable repositories for the purpose of this policy.

8. Which version of a traditional Research Output (manuscript/refereed journal article/refereed conference paper) needs to be made Openly Accessible?

There are various versions of traditional Research Outputs—manuscripts, peer-reviewed journal articles and refereed conference papers—that can be made Openly Accessible. Under this policy, either of the following is acceptable:

- the publisher’s version, also referred to as the ‘published version’ or ‘version of record’ (for example, journal version with final pagination and formatting), or
- the author’s version of the output, also referred to as the ‘accepted manuscript’, ‘final accepted version’ or ‘postprint’ version (for example, a Word document), after it has been peer reviewed and revisions have been made.

Versions of a manuscript, journal article or conference paper that have not been refereed or peer reviewed, also sometimes referred to as the ‘submitted manuscript’ or ‘preprint’ versions, are not acceptable for the purposes of this policy as significant changes may be introduced to an article as a result of the peer review process.

It is important to note that publishers may have different policies regarding which version of a Research Output can be made Openly Accessible, and when it can be made Openly Accessible. This information should be included in any copyright or licensing agreement.

It is important to note that institutional repositories may also have different policies regarding which version of a Research Output can be submitted. For further information regarding which version of a traditional Research Output can be uploaded to an Institutional Repository, consult your librarian or the SHERPA/RoMEO database of international publisher policies at <http://www.sherpa.ac.uk/romeo/>.

9. Which licences should be applied to Research Outputs?

The application of appropriate licences to Research Outputs helps to specify the access and usage rights that the research community and the public have to those outputs. To support increased clarity regarding publicly funded research, the ARC strongly encourages appropriate licensing of all Research Outputs arising from ARC funded research.

The ARC’s preference is for the Creative Commons Attribution licence (CC BY)—the most open international licence—to apply to Research Outputs arising from ARC funded research. However, it is acceptable to apply any of the suite of licences endorsed by Australian Governments Open Access and Licensing Framework (AusGOAL).

Further information on the AusGOAL suite of licences is available at <http://www.ausgoal.gov.au/the-ausgoal-licence-suite>.

10. When do Research Output metadata need to be made available in an Institutional Repository?

Metadata—that is, data about the Research Output itself, such as author, publisher, funding information and other relevant details—for all Research Outputs arising from ARC supported research must be made available to the public in an Institutional Repository immediately upon publication, regardless of where the Research Output is published and whether the published Research Output itself can or will be made Openly Accessible or not.

Research Output metadata must be submitted to the Institutional Repository as soon as possible after the Research Output is accepted for publication.

11. What information needs to be included in metadata?

Research Output metadata must include the ARC Project ID, list the ARC as a funding source and contain a permanent DOI or URL link to the Research Output.

Metadata should also contain other relevant information as applicable and appropriate to the Research Output (noting that different types of outputs may require different metadata) including, but not limited to: author(s)/creator(s); title; type of Research Output; publisher; date of publication/public presentation; volume; issue; page numbers; ISBN/ISSN/other standard number; and ORCID.

The ARC requires the inclusion of specific details in metadata to enable published outputs from ARC funded research to be disseminated more broadly, to increase access by researchers and the wider community, and to support efficiencies in ARC processes.

12. What information needs to be included in the Final Report?

All Research Outputs arising from ARC funded research must be listed in the Final Report for each project. A DOI or link must be provided to each Research Output that is listed.

If a Research Output cannot or will not be made Openly Accessible, for any reason, an explanation must be provided in the Final Report. This includes, for example, where copyright and licensing arrangements restrict the Research Output from being made Openly Accessible.

13. What if copyright and licensing agreements restrict the Research Output from being made publicly available?

In all cases, Research Output metadata must be made available to the public in an Institutional Repository immediately upon publication, regardless of whether the Research Output has been made Openly Accessible, is under embargo, or is never to be made Openly Accessible.

Where relevant, institutions may wish to use a publicly available 'holding note' to explain that copyright/licensing restrictions prevent the inclusion of a particular Research Output on the repository until a specific date.

If the copyright/licensing agreement does not allow the Research Output to be made Openly Accessible within twelve months of the date of publication, it must be made Openly Accessible as soon as possible after that date.

If the copyright/licensing agreement never allows the Research Output to be made Openly Accessible, this must be explained in the Final Report.

14. What if my institution does not have an Institutional Repository?

If no Institutional Repository is immediately available, this will need to be recorded in the Final Report.

The ARC will then discuss the implementation of this policy with Administering Organisations that do not currently provide researchers with access to a repository.

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