


**UNIVERSITY of
TASMANIA** **Open Access Procedure**

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|--|-----------------------------------|
| Related Policy | <i>Open Access Policy</i> |
| Responsible Officer | Deputy Vice-Chancellor (Research) |
| Approved by | Deputy Vice-Chancellor (Research) |
| Approved and commenced | September 2018 |
| Review by | September 2021 |
| Responsible Organisational Unit | Office of Research Services |

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1 Objective

This *Procedure* provides instructions to facilitate the implementation of the *Open Access Policy*.

2 Scope

These procedures apply to all University of Tasmania (University) researchers with research outputs.

3 Procedure

3.1 General

The *Open Access Policy* is a “Green OA” policy, requiring deposit of research outputs in the Institutional Open Access (OA) Repository, via the University’s Web Access Research Portal (WARP). It does not necessitate publishing in Open Access journals.

3.2 Mandatory Deposit

All University-authored or co-authored outputs consistent with the Excellence in Research for Australia (ERA) Eligible Research Output Types and all University of Tasmania-authored or co-authored outputs required to be made openly accessible by a funding source policy must be deposited. The requirement for deposit of research outputs is non-negotiable.

3.2.1 Research Output Types

All University of Tasmania-authored or co-authored outputs consistent with the Excellence in Research for Australia (ERA) Eligible Research Output Types must be deposited:

- Books – Authored Research
- Book – Chapters in Research Books
- Journal Articles – Refereed, Scholarly Journal; and
- Conference Publications – Full Paper Refereed
- Original Creative Works
- Live Performance of Creative Works
- Recorded/Rendered Creative Works
- Curated or Produced Substantial Public Exhibitions and Events; and
- Research Reports for an External Body.

All University of Tasmania-authored or co-authored outputs required to be made openly accessible by a funding source policy.

3.2.2 Open Access availability through another repository

Where an Open Access (OA) version of the publication is available elsewhere, metadata and the publication must be deposited and a metadata-only record will be created with a link to the existing OA published version. This is consistent with the Australian Research Council [ARC Open Access Policy](#).

3.3 Deposit process

3.3.1 Responsibility

Deposit of research outputs to WARP is the responsibility of the author. Where there are multiple authors, the lead author or first named author at the University of Tasmania is responsible for deposit. This responsibility may be delegated.

3.3.2 Timing of Deposit

| Type of Research Output | Timing | Version | Conditions |
|--------------------------------|--|---|--|
| All outputs | As soon as possible after accepted for publication/presentation etc | Metadata | |
| Journal articles | As soon as possible after acceptance; no later than formal publication | Final author version | Include all charts, graphics and illustrations which the author has permission to deposit |
| Conference papers | As soon as possible after acceptance; no later than formal publication | Final author version | Include all charts, graphics and illustrations which the author has permission to deposit |
| Books and book chapters | As soon as possible and within 12 months of publication | Final proof | Also require separate file deposit of Title and Verso pages |
| Creative works | As soon as possible and within 12 months of public presentation or performance etc | Digital representation of the original work | Minimum metadata for a composition or performance, a recording; for an exhibition, a photographic record |

3.3.3 Final Author Version

Researchers should retain or obtain an electronic copy of the final author version or final proof for deposit.

3.3.4 Published Version

Authors may deposit the published versions of research outputs in addition to the final author versions.

Where publisher policy permits, the published version will replace the final author version in the Institutional OA Repository. Generally, only one version will be exposed and accessible, even though more than one version may be stored.

3.3.5 Minimum metadata requirements

Minimum standard metadata required through the deposit process for all research outputs includes the following information: ORCID; author(s)/creator(s); title; type of research output; publisher; date of publication/public presentation; volume; issue; page numbers; ISBN/ISSN; grant identifier and name of funder, if applicable.

The Institutional OA Repository may prompt for variant or additional metadata, depending on the discipline or the category of the research output eg for non-traditional research outputs.

3.3.6 Acceptable file types

Research outputs may be deposited in a range of file formats, subject to satisfying file format requirements of ERA. Current details of acceptable file types are provided in the [Open Access subject guide](#).

3.4 Copyright ownership

The deposit of research outputs for the Institutional OA Repository does not transfer copyright to the University of Tasmania. Inclusion, use and access of full-text material in the Institutional OA Repository is subject to copyright law and agreement with the copyright owner.

The University encourages copyright owners to apply a Creative Commons Licence to their research output to specify conditions of use and re-use. Refer to the [Research and Copyright](#) website for details about when this may be appropriate and how to proceed.

3.5 Embargoes

Authors of research outputs retain the right to specify in writing an embargo period to delay the open distribution of those outputs. Where Open Access to the research output in the Institutional OA Repository is restricted, publications must still be deposited, as per clause 3.2, and only metadata describing the output will be made publicly available.

3.5.1 Publisher Embargoes

Most publishers allow authors to deposit their final author version of an accepted publication in an online OA repository.

Before signing the publisher agreement, authors may negotiate to remove or reduce an embargo period. The [Open Access subject guide](#) provides a template to submit an author addendum to a publisher, if desired.

3.5.2 Author Embargoes

When submitting research outputs for the Institutional OA Repository, authors retain the right to specify an embargo period to delay the provision of Open Access. An author embargo may be for the purposes of subsequent or further publishing, to accommodate a patent application, related to contractual obligations including commercial in-confidence, or to respect confidential or culturally sensitive content.

Requests for embargoes longer than 12 months will be considered for approval on a case-by-case basis by the Deputy Vice-Chancellor (Research), or delegate.

3.5.3 Higher Degree by Research Theses

Prior to the completion of candidature, it is recommended that authors of Higher Degree by Research (HDR) theses carefully discuss their publication strategy with supervisors to avoid rejection by publishers on the basis of pre-publication in a repository.

Embargoes on HDR theses, if required, are managed through the current deposit process to the Open Access Repository (ePrints) and governed by *Rule 4 (Rules of*

Graduate Research), and section 3.12 of the *Higher Degree by Research Thesis Preparation, Submission and Examination Policy*.

3.6 Funder requirements

The Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) Open Access mandates will be satisfied by compliance with the *Open Access Policy* and this *Procedure*.

3.7 Provision of Open Access

Each deposited research output will be reviewed for restrictions on Open Access provision as per clause 3.5.

Metadata will be made Open Access for all research outputs. The research output will be added to the OA metadata immediately or, where necessary, following the embargo period.

3.8 Copyright Assessment

Every research output will undergo individual assessment of copyright ownership. This will be based on established tools and sources eg Sherpa/RoMEO, publisher websites, journal websites.

First priority for assessment will continue to be any research outputs related to ARC/NHMRC funding.

All assessments will be completed by Library staff, aside from Designs and Patents which are referred to the University Copyright Officer.

4 Definitions and Acronyms

| Term/Acronym | Definition |
|---|--|
| Author | Includes but not limited to University of Tasmania researchers who are authors, co-authors, creators, composers, performers etc |
| Deposit | To upload or submit a publication or manuscript to an Open Access repository; <i>also known as</i> self-archive |
| Embargo | An agreed period of delay to Open Access for reasons such as commercial in-confidence, seeking patents, publishing post-thesis; often imposed by a publisher |
| Employee | Means an employee of the University |
| Final Author Version | The accepted and amended version of a paper, following peer-review, prior to publication; version most commonly included in institutional repositories; <i>also known as</i> post-print, accepted manuscript, final manuscript |
| Green Open Access | Authors publish in a journal of choice and deposit (“self-archive”) a version of their paper to an institutional or subject repository for free distribution. The <i>Open Access Policy</i> and <i>Procedure</i> support Green OA. |
| Institutional Open Access Repository | The University's online location for collecting and maintaining the scholarly output of the University for the primary purpose of dissemination and discovery; <i>also known as</i> OA Repository |

| | |
|----------------------------|--|
| Metadata | For the purposes of the OA Policy, metadata means information describing the research output and its author |
| Open Access | Free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles |
| Organisational Unit | College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise |
| Published Version | The final version for publication, including the publisher's typesetting and formatting; <i>also known as</i> the Publisher PDF |
| Research Output | <p>All University-authored or co-authored outputs consistent with the ERA Eligible Research Output Types:</p> <ul style="list-style-type: none"> • Books – Authored Research • Book – Chapters in Research Books • Journal Articles – Refereed, Scholarly Journal; and • Conference Publications – Full Paper Refereed • Original Creative Works • Live Performance of Creative Works • Recorded/Rendered Creative Works • Curated or Produced Substantial Public Exhibitions and Events • Research Reports for an External Body <p>All University of Tasmania-authored or co-authored outputs required to be made openly accessible by a funding source policy</p> |
| Researchers | Any employee, Visiting Fellow or Scholar, Adjunct, Clinical, Associate or discretionary Title Holder or student of the University undertaking research, where the definition of research is consistent with the Higher Education Research Data Collection specifications |
| WARP | Web Access Research Portal - https://rmdb.research.utas.edu.au/public/rmdb/q/warp_home |
| University | University of Tasmania including associated Institutes and Centres |

5 Supporting Documentation

- Australian Research Council [ARC Open Access Policy](#)
- [Authorship of Research Policy](#)
- [Budapest Open Access Initiative](#)
- [Collaborative Research Policy](#)
- [Copyright Policy](#)
- [Guidelines for Incorporating Publication into a Thesis](#)
- [Higher Degree by Research Thesis Preparation, Submission and Examination Policy](#)
- [IP Principles at UTAS](#)
- National Health and Medical Research Council [Australian Code for the Responsible Conduct of Research](#)
- [Open Access subject guide](#)

- [Ordinance 18 – Intellectual Property](#)
- [Responsible Conduct of Research Policy](#)

6 Versioning

| | |
|---------------------------|--|
| Former Version(s) | Version 1 – <i>Open Access Procedure</i> ; approved, Deputy Vice-Chancellor (Research), August 2017 |
| Current Version(s) | Version 2 – <i>Open Access Procedure</i> ; approved, Deputy Vice-Chancellor (Research), September 2018 |