

# Open Access Procedure

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## Purpose

This *Procedure* describes the processes for University researchers to deposit research outputs in the University open access repository.

## Applicable governance instruments

Instrument	Section	Principles
<i>Research Policy</i>	2 Responsible Conduct of Research	2.1-2.2
<i>Intellectual Property Policy</i>		
<a href="#">Australian Code for the Responsible Conduct of Research</a>		
Australian Research Council <a href="#">ARC Open Access Policy</a>		
National Health and Medical Research Council <a href="#">Open Access Policy</a>		

## Procedure

### 1. General

- 1.1. The *Research Policy* requires research outputs to be shared openly for free dissemination. It does not necessitate publishing in Open Access (OA) journals.
- 1.2. Sharing of research outputs and research data, should reflect best practice and adhere to agreed requirements of the funder/s of the research, contemporary standards, principles and national and international guidance, such as [F.A.I.R.](#), [Indigenous data governance](#), and the [Australian Research Data Commons](#).
- 1.3. Research data should be deposited in accordance with the *Research Policy* and the *Research Data Management Procedure*.

### 2. Mandatory Deposit

- 2.1. All research outputs must be deposited in the University's OA repository.
- 2.2. Research outputs include the following:
  - a) University-authored or co-authored outputs consistent with the Australian Research Council (ARC) research output types:
    - i. Books – Authored Research
    - ii. Book – Chapters in Research Books
    - iii. Journal Articles – Refereed, Scholarly Journal
    - iv. Conference Publications – Full Paper Refereed
    - v. Original Creative Works
    - vi. Live Performance of Creative Works
    - vii. Recorded/Rendered Creative Works
    - viii. Curated or Produced Substantial Public Exhibitions and Events
    - ix. Research Reports for an External Body
    - x. Portfolios.

- b) all University-authored or co-authored outputs required to be made openly accessible by a funder.

2.3. The requirement to deposit research outputs is non-negotiable.

### 3. Open Access Availability Through Another Repository

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

### 4. Responsibility

- 4.1. Research outputs are deposited in the University's OA repository via the University's research management system.
- 4.2. The author is responsible for the deposit of research outputs into the University's research management system. Where there are multiple authors, the lead author or first named author at the University is responsible for deposit or this responsibility should be delegated to a University co-author.

### 5. Final Author Version

- 5.1. The final author version is the accepted and amended version of a paper, following peer-review, prior to publication. It is the version most commonly included in institutional repositories and is *also known as* post-print, accepted manuscript or final manuscript.
- 5.2. Researchers should retain or obtain an electronic copy of the final author version for deposit.

### 6. Published Version

- 6.1. Authors may deposit the published versions of research outputs in addition to the final author versions. A published version is the final version for publication, including the publisher's typesetting and formatting; *also known as* the Publisher PDF.
- 6.2. Where publisher policy permits, the published version will replace the final author version in the University's OA repository.
- 6.3. Generally, only one version will be visible and accessible, even though more than one version may be stored.

### 7. Minimum Metadata Requirements

- 7.1. The minimum standard metadata required for deposited research outputs includes:
  - a) ORCID
  - b) author(s)/creator(s)
  - c) title
  - d) type of research output
  - e) publisher
  - f) date of publication/public presentation

- g) volume; issue; page numbers; ISBN/ISSN;
- h) grant identifier and name of funder, if applicable.

- 7.2. Researchers may be prompted for alternate or additional metadata, depending on the discipline or the category of the research output e.g. for non-traditional research outputs.
- 7.3. Authors are not required to enter bibliographic information.

## 8. Acceptable File Types

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

## 9. Timing of Deposit

- 9.1. Generally, deposit should be made as soon as possible, or immediately if required by the funder of the research. Immediate deposit can be a funding body requirement (e.g. NHMRC Policy requires all peer-reviewed research outputs supported in whole or in part by NHMRC must be made immediately open access, that is, without any embargo period at the time of first online publication, regardless of whether that publication is an advanced or early online publication or the Version of Record).

Type of Research Output	Timing	Version	Conditions
<b>All outputs</b>	As soon as possible after accepted for publication/presentation etc	Metadata	
<b>Journal articles</b>	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
<b>Conference papers</b>	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
<b>Books and book chapters</b>	As soon as possible and within 12 months of publication	Final proof	Also require separate file deposit of Title and Verso pages
<b>Creative works</b>	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

## 10. Deposit Process

- 10.1. The deposit of research outputs in the University's research management system automatically results in their deposit in the University's OA repository. Instructions and resources can be found on the [Managing your research outputs](#) intranet site.

## 11. Copyright Assessment

- 11.1. Copyright ownership of research outputs will be assessed by University Library staff.
- 11.2. Assessment is undertaken using established tools and sources e.g., Sherpa/RoMEO, publisher websites, journal websites.
- 11.3. First priority for assessment is given to research outputs related to Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) funding.

## 12. Copyright Ownership

- 12.1. The deposit of research outputs in the University's OA repository does not transfer copyright to the University.
- 12.2. Inclusion, use and access of full-text material in the University's OA repository is subject to copyright law and agreement with the copyright owner.
- 12.3. The University encourages copyright owners to apply a Creative Commons Licence to their research output to specify conditions of use and re-use, according to guidelines available on the [Research and Copyright](#) intranet site. This can be a funding body requirement (e.g. NHMRC Policy requires all peer-reviewed research outputs supported in whole or in part by NHMRC must be published with a Creative Commons Attribution 'CC BY' licence).
- 12.4. Creative works outputs may require agreement from multiple copyright owners, as guided by advice in the [Open Access subject guide](#).

## 13. Restrictions

- 13.1. Where access to the research output is restricted, outputs must still be deposited, and only metadata describing the output will be made publicly available.

## 14. Publisher Embargoes

- 14.1. Most publishers allow authors to deposit their final author version of an accepted publication in an online OA repository. Any restrictions will be set out in a publisher agreement which may also include an embargo period. Authors should not sign a publisher agreement that conflicts with the open-access requirements of a funder of the research.
- 14.2. Before signing the publisher agreement, authors may negotiate to remove or reduce an embargo period.

## 15. Author Embargoes

- 15.1. When submitting research outputs for the University's OA repository, authors retain the right to specify an embargo period to delay the provision of OA. However, an author cannot embargo research outputs if this conflicts with the open-access requirements of a funder of the research.
- 15.2. 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.

- 15.3. 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.

## 16. Higher Degree by Research Theses

- 16.1. 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.
- 16.2. Embargoes on HDR theses, if required, are managed through the current deposit process to the University's OA repository.
- 16.3. A standard maximum embargo length for a thesis is two years. If a longer embargo is requested by or on behalf of an author in accordance with 15.2, the author is required to seek authorisation from the Pro Vice-Chancellor for Graduate Research.

## 17. Funder Requirements

- 17.1. The ARC and NHMRC OA mandates will be satisfied by compliance with the *Research Policy* and this *Procedure*.

### Related procedures

*Authorship Procedure*

*HDR Examinations Procedure*

*Research Data Management Procedure*

### Versions

<u>Version</u>	<b>Action</b>	<b>Approved by</b>	<b>Business Owner/s</b>	<b>Approval Date</b>
1	Approved	Deputy Vice-Chancellor Research	Executive Director Research Operations	31 March 2021
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2	Approved	Deputy Vice-Chancellor Research	Executive Director Research Operations	26 April 2023
3	Minor amendment approved (position title changes)	Director Governance and Compliance	Executive Director Research Operations	19 January 2024

### Definitions

[University Researcher](#)