



Version	Approved by	Approval date	Effective date	Next review
1.1	Deputy Vice-Chancellor Research	13 April 2018	13 April 2018	June 2020
Guideline Statement				
Purpose	<p>The purpose of this guideline is to assist in compliance with UNSW's <i>Open Access Policy</i> through the deposit of research outputs in to the Research Output System (ROS) and UNSWorks.</p> <p>Research Output System (ROS) is the system used to harvest and manage UNSW author research outputs for the purpose of research assessment and management.</p> <p>UNSWorks is the UNSW Open Access institutional repository which enables UNSW researchers and research students to make their research outputs openly and freely available and accessible.</p> <p>Open Access publication enables researchers at UNSW to share their research freely and without restriction with the wider research community. It also allows researchers to comply with the various requirements of national and international funding bodies.</p>			
Scope	<p>This guideline applies to scholarly research outputs produced by all staff (including conjoint and adjunct staff) and students undertaking research at UNSW, either full time or part time as defined in the <i>Open Access Policy</i>. This guideline also applies to scholarly research outputs co-authored by research students and staff.</p> <p>This guideline does not apply to:</p> <ul style="list-style-type: none"> • outputs completed before the effective date of the <i>Open Access Policy</i> • outputs for which the author has entered into an incompatible licencing or assignment agreement • material produced that does not meet the definition of research • confidential material, commercially sensitive material or material subject to intellectual property (IP) protection or commercialisation. 			
Are Local Documents on this subject permitted?	<input type="checkbox"/> Yes, however Local Documents must not breach mandatory requirements in University-wide Codes of Conduct, Policies, Standards and Procedures.		<input checked="" type="checkbox"/> No	
Guideline				

1. Open Access

Open Access publication enables UNSW to share our capability in research and education effectively and equitably with global partners and stakeholders. By facilitating exposure, sharing, comparison and critique of research, Open Access supports the generation of new knowledge applied to solve complex problems, deliver social benefits and drives economic prosperity, locally, nationally and globally. It also enables UNSW to meet requirements of national and international funding bodies including the ARC and NHMRC.

UNSW is committed to enabling Open Access to research outputs produced at UNSW and supports Australian Government Open Access mandates and initiatives to improve access to publicly funded scholarly information. UNSW supports a range of different strategies to achieve this.

2. Institutional Repository

UNSWorks is the institutional repository for UNSW. It aims to collect, preserve and make accessible research outputs of UNSW staff and higher degree research students.

UNSWorks has a number of purposes:

- Collect and expose UNSW research to the world
- Be a repository of digital copies and/or versions of UNSW research outputs
- Preserve copies of UNSW research outputs for posterity
- Make copies of UNSW research outputs accessible when they are not available elsewhere
- Be the preservation repository for UNSW higher degree research theses
- Allow researchers to comply with the Open Access mandates of national and international funding bodies.

UNSWorks does not include metadata about or copies of works which are not research. UNSWorks does not display research data descriptions or datasets, except where associated with a publication record. For information on managing research data, including making research datasets openly available, refer to the [UNSW Handling Research Material & Data Procedure](#).

ROS (UNSW's Research Outputs System) is the main source of metadata for records in UNSWorks. Digital copies of research outputs are also deposited in UNSWorks via ROS.

3. Research Outputs

Research outputs to be deposited in UNSWorks must be the peer reviewed version, where publisher permission can be obtained, in keeping with the [Australian Code for the Responsible Conduct of Research](#) (Section 4.12.1) and subject to publisher copyright and open access policy.

The following table outlines the UNSW [Open Access Policy](#) on depositing research output files in UNSWorks:

Refereed journal articles	Deposit mandated
Refereed conference papers	Deposit mandated
Digital theses submitted via the Graduate Research School (refer to the <i>UNSW Thesis Examination Procedures</i>)	Deposit mandated
Books and book chapters	Deposit encouraged
Non-traditional Research Outputs (such as creative works and reports) or their representation	Deposit encouraged
Un-refereed research outputs including conference contributions, chapters in proceedings (accepted version)	Deposit encouraged
Research data descriptions and small datasets associated with a work/publication in UNSWorks (refer to the UNSW Handling Material & Data Procedure)	Deposit encouraged
Research outputs as software and computer code	Deposit encouraged

The following metadata records will be automatically deposited in UNSWorks from ROS:

1. Metadata records that include a Grant ID. Metadata records for research outputs funded by the ARC or NHMRC must be linked to a grant in the Research Output System to be automatically deposited in UNSWorks in order to fulfil funding mandates.
2. Metadata records for which at least one research output file (e.g. journal article, conference paper) has been deposited into ROS.

It is the intention that the following metadata records will eventually be deposited into UNSWorks from ROS, following investigation of technical options and system development work. Researchers may be able to request a batch of records to be manually deposited into UNSWorks. Such metadata records may include:

1. Any other metadata records of research outputs from the policy approval date. Please note that these metadata records are already openly available via the university's [Find a Researcher](#) service.

2. Retrospective metadata records generated prior to the policy approval date which have been prepared by the Library for migration in UNSWorks for the purpose of providing a comprehensive publications database. These may include the research outputs of newly appointed academic staff.

Where approval has been received from the Graduate Research School and the creator has signed the appropriate licence (digitally or in print), UNSW research theses will be included in UNSWorks after review by UNSWorks administrators.

3.1. Exclusions

The following copies of research publications or will not be included in UNSWorks:

- material intended for commercialisation
- material containing confidential or proprietary material
- material that should not be made publicly accessible for reasons of cultural or commercial sensitivity
- material that contains offensive, defamatory or unlawful content
- research publications or collections which, if disseminated by UNSWorks, would infringe a legal obligation of UNSW and/or the author(s) or creator(s), or the legal rights of a third party
- honours theses and undergraduate essays
- draft papers or draft versions of papers released for discussion
- pre-prints of journal articles where the pre-print has not been peer reviewed, except in cases where publisher permission is granted for pre-print only
- material intended for teaching and learning (e.g. course notes, reading material)
- material submitted as part of the course requirements for a Masters by Coursework
- administrative documents and records, including those associated with research projects
- where the UNSW Conduct and Integrity Unit has advised the Library that the journal article or conference paper has been retracted by the publisher, usually due to research integrity issues. The university will retract the corresponding paper from UNSWorks.

3.2. Depositing

Instructions for students depositing a digital copy of theses - [Depositing your thesis](#)

UNSW researchers and research students can use ROS to deposit research outputs: - [ROS](#)

4. Discovery

Exposure of UNSWorks content is via the Library's discovery interface. This interface includes download statistics and Altmetrics where available. Harvesting of UNSWorks metadata records by third party internet search agents is encouraged. The university expects most users to discover and connect to UNSWorks items via internet search agents.

5. Institutional Repository and Copyright

5.1. Ownership of Copyright

The ownership of copyright and intellectual property in scholarly research outputs is outlined in the [UNSW Guidelines for Copyright Ownership](#) and the [UNSW Intellectual Property Policy](#). UNSWorks is managed in accordance with these policies as well as Australian Copyright law. Unless otherwise stated, materials deposited in UNSWorks are protected by the [Copyright Act 1968](#) (Cwlth).

The act of making a scholarly research output available via a digital repository has no effect on the ownership of copyright. These rights remain with the copyright owner. As a copyright owner you have the right to reproduce the work, publish it, make it available online to the public, or transfer ownership by contract.

5.2. Inclusion of third party works

Information about copyright for theses, including use of third party material can be found in the [Copyright and your thesis guide](#).

For research publications that have been made available as full text in UNSWorks, authors need to ensure that publisher policies and copyright laws are observed. The Library can provide advice and assistance.

5.3. Managing your Copyright

In academic publishing, copyright is often transferred from the creator to the publisher by contract. The University encourages researchers to retain copyright in their works where possible, or negotiate the terms of author agreements with publishers. This ensures that creators retain the right to use and self-archive the work with an embargo no greater than twelve months after the date of initial publication, prior to agreeing to:

- the transfer of copyright to the publisher
- the grant of an exclusive copyright license in the research output to any other person or organisation

Many publishers allow authors to make content freely available immediately or within twelve months after publication. The University does not support publisher embargoes greater than twelve months after the publication date. If publishers do not specifically allow self-archiving, UNSW authors are encouraged to request that the official UNSW self-archiving addendum be included in the publishing contract:

The Author has the right to publicly archive their revised, peer-reviewed personal version of their paper on their institutional website and their personal website, provided in all cases a link to the journal article on the Publisher website is included.

If, however, an author has previously published their research outputs (research publication or thesis), then a determination would need to be made about who owns the copyright in the research publication/thesis. If the copyright has been transferred to a publisher, then it may be necessary to obtain clearance before depositing the work in the UNSWorks. Advice on publishers' policies on self-archiving can be obtained from the SHERPA RoMEO database. For further assistance please contact your [Outreach Librarian](#).

UNSW acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for their research publications. UNSW recognises that not all publishers will negotiate the terms of their author agreements, and researchers are not expected to base their decisions on where to publish their research on the outcomes of these negotiations. Where a publisher will not negotiate the terms of a publishing contract, UNSW discourages authors from paying Article Processing Charge (APC) fees to make outputs Open Access in an otherwise subscription-based (hybrid) outlet (sometimes called publisher double-dipping). In some cases, the author may most closely meet the requirements of the Open Access Policy by depositing their author manuscript into the institutional repository within twelve months of the publication date, for the work to be made openly available via the repository at the end of the publisher imposed extended embargo period.

5.4. Rights of use

Unless otherwise stated, materials deposited in UNSWorks are licenced under a Creative Commons Attribution-NonCommercial-NoDerivatives Licence ([CC BY-NC-ND](#)). This licence permits users to freely use, copy and distribute verbatim copies of the original work for non-commercial purposes, and requires them to appropriately credit the creator of the work. If users remix, transform or build upon the material, they may not distribute the modified material under the terms of this license.

5.5. Copyright infringement

When authors deposit research outputs, including theses, into UNSWorks, they warrant that they have the authority to do so. Authors also warrant that they have removed any third-party materials in their works for which they have not received an appropriate licence to use.

UNSW neither endorses nor accepts the claims of depositors regarding copyright, licences, or suitability of the content of Works for publication.

If a publisher or author believes that their copyright has been infringed by content in UNSWorks, then the [Copyright Takedown Request](#) form can be used to contact UNSW. The full text work in question will be immediately withdrawn from public view whilst the complaint is being investigated.

5.6. Additional Resources

Additional information about Copyright and UNSWorks can be found at:

- <https://www.library.unsw.edu.au/copyright/for-researchers-and-creators>

Information about negotiating author agreements can be found at:

- <http://sparcopen.org/our-work/author-rights/brochure-html/>
- <http://sparcopen.org/our-work/author-rights/introduction-to-copyright-resources/>

Accountabilities	
Responsible Officer	Deputy Vice Chancellor Research
Contact Officers	General Manager, Office of the Deputy Vice-Chancellor Research Manager, Research Reporting, UNSW Library
Supporting Information	
Legislative Compliance	This Guideline supports the University's compliance with the following legislation: Copyright Act 1968 (Cth)
Parent Document (Policy and Procedure)	Open Access Policy
Supporting Documents	Nil
Related Documents	Research Code of Conduct Intellectual Property Policy Handling Research Material & Data Procedure UNSWorks Digital Preservation Policy UNSWorks Digital Preservation Procedure Copyright Ownership Guidelines ARC Open Access policy NHMRC Open Access Policy Thesis Examination Procedures
Superseded Documents	Open Access and UNSWorks Guidelines, v1.0
File Number	2017/13085
Definitions and Acronyms	
Author	An individual or a group of researchers who has made significant intellectual contribution to a Research Output as stated in the UNSW Procedure for Authorship
Institutional Repository	A digital archive for collecting, preserving, and disseminating the outputs of an institution. At UNSW, this refers to UNSWorks.
Metadata	Structured information about the attributes of a research output or collection of research outputs that enables that output or collection to be identified, retrieved and managed over time. Metadata typically includes fields such as title, authors, journal name, volume, issue, and page numbers, and may also include data about any grants associated with the output.
Open Access	Making research outputs permanently and freely available via the Internet, permitting any user to read, download, copy, distribute, print, search, or link to the full text of these articles, crawl them for indexing, pass them as data to software, or use them for any lawful purpose, without financial, legal or technical barriers other than those inseparable from gaining access to the internet itself.

Peer Review	Peer Review is the 'impartial and independent assessment of the scholarly work, research, or ideas of others who have knowledge and/or expertise in the same or related field'*.			
	Peer review includes, but is not limited to, group meetings and assessment of theses, grant applications, conference abstracts, and research works submitted for publication or display including books and creative works.			
	*Australian Code for the Responsible Conduct of Research, Chapter 6			
Pre-Print	A manuscript draft that has not yet been subject to formal peer review, distributed to receive early feedback on research from peers			
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 Data	The data, records, files or other evidence that comprise research observations, findings or outcomes, including primary materials and analysed data.			
Research Output	Dissemination of findings, whether in hardcopy, electronic or other form that communicates the products of research, which includes, for example a book, a journal article, working paper series, conference proceedings, multimedia.			
Researchers	All UNSW staff and Higher Degree Research student, conjoint appointments and visiting appointments undertaking research at UNSW, including staff classified as "professional and technical" and casual staff, undertaking research.			
ROS	Research Outputs System hosted by UNSW Library to harvest and manage UNSW author research outputs for the purpose of research assessment and management.			
Revision History				
Version	Approved by	Approval date	Effective date	Sections modified
1.0	President and Vice-Chancellor	1 June 2017	1 June 2017	This is a new Guideline
1.1	Deputy Vice-Chancellor Research	13 April 2018	13 April 2018	Minor amendments to Sections 3.1 and 5.5.