



Procedure: Open Access Research

Purpose

To provide the procedures to implement the University's Open Access policy for research outputs (excluding data).

The Open Access policy contains a commitment to the dissemination of research findings as essential both to differentiate the University's research excellence and support national and international research excellence. This procedure sets out information for researchers to understand how this commitment is fulfilled.

Scope

This procedure covers:

- research outputs (published and non-traditional);
- theses of ANU students; and
- education materials that are also research outputs.

Procedure

Research Outputs

1. Research outputs include:
 - a. peer reviewed works such as books, book chapters, journal articles and conference papers;
 - b. creative research outputs such as original creative works, live performance of creative works, recorded/rendered creative works and curated or produced public exhibitions and events; and
 - c. non-traditional scholarly outputs which are not peer reviewed, such as technical or working papers, scholarly book reviews or legal submissions.

Note for data see the [Open data procedure](#).

Open Research

2. ANU open access publications are made available through the Institutional Research Repository, Open Research. Open Research includes scholarly works (ANU Research)

and digitised research resources from the ANU Library and Archives (Archive and Library Collections).

3. Open Research is managed by ANU Library, and contains research outputs that are available:
 - a. as open access;
 - b. embargoed or;
 - c. only available under restricted access conditions.
4. Open Research includes:
 - a. openly accessible full text outputs, programs and other formats;
 - b. metadata of publications where the openly accessible copy is stored elsewhere; and
 - c. links to related material such as research data.

Who can deposit?

5. Any staff member (including those holding honorary status, such as Emeriti and Visitors) and Higher Degree by Research (HDR) programs Master of Philosophy, Professional Doctorate, or Doctor of Philosophy. Students of the University can submit material to [Open Research](#). Undergraduate and Postgraduate by Coursework students can deposit research outputs (such as journal articles, conference posters, theses).
6. University staff can deposit work they completed before they began at ANU, but must indicate their former affiliation in the 'further information' field.
7. An author who is not an ANU staff member or affiliate can request their work be deposited if:
 - a. the work appears in a published journal, or a conference hosted, by the University;
or
 - b. the work results from research undertaken using University facilities.

What must be deposited?

8. The following research outputs must be deposited, for all works with ANU staff authors (including those with Honorary status) or HDR programs Master of Philosophy, Professional Doctorate, or Doctor of Philosophy student authors:
 - a. journal and conference publications, technical reports and other original, substantial works – deposited within one year of publication;
 - b. open access monographs – deposited within one year of publication;
 - c. non-open access monographs – where they will be openly accessible within five years;

- d. all publications from research funded by organisations that require openly access research outputs;
 - e. HDR programs Master of Philosophy, Professional Doctorate, or Doctor of Philosophy student theses– immediately upon completion (noting automated input from the HDR Examination and thesis system); and
 - f. Honours theses when approved by the Head of School and copyright permissions are completed.
9. The author is responsible for ensuring that materials are deposited to [Open Research](#).

Restricted Access

10. Materials may be restricted where there is a documented requirement. Examples of issues that require restrictions to be implemented include where the work is to be commercialised, or which contain confidential material, or where the promulgation would infringe a legal commitment by the University and/or the author. In these cases the material is not made available to the public through [Open Research](#).
11. Metadata only records may be created for material which is embargoed or restricted.
12. Requests for restrictions or embargoes on access to research outputs are made by the appropriate delegate after an application by the author:
- a. theses – restrictions of greater than 12 months approved by the Office of the Dean, Higher Degree Research (ODHDR);
 - b. theses – restrictions of up to an initial 12 months automatically approved through [Research student milestones](#) system; and
 - c. all other outputs are approved by the University Librarian.

How to deposit materials

13. Submission forms are available at:
- a. ANU research - <https://openresearch.anu.edu.au/contribute/contribute-your-research>; and
 - b. Digital thesis - <http://www.anu.edu.au/students/program-administration/program-management/research-student-milestones>.

Note for Data see the [Open data procedure](#)

12. Authors can deposit material in a range of formats. Large files may take some time to upload or encounter difficulties. Contact [Open Research staff](#) for assistance.

Copyright

14. Published material is made available in accordance with the agreement signed between the author and the publisher.
15. ANU prefers to make materials available at the time of publication:
 - a. subject to copyright restrictions, post-peer review stage material (author's accepted manuscript (AAM)) is made available on open access as soon as possible; and
 - b. publisher conditions of embargos more than twelve months are referred to the University Librarian.
16. Open Research staff check the copyright for authors and record the copyright status in the Electronic Record Management System (ERMS) and in the metadata of the publication record. Copyright checking includes:
 - a. asking the author what the copyright status of the work is, and if there are any special conditions on the work;
 - b. consulting the SHERPA/RoMEO website (<http://www.sherpa.ac.uk/romeo/>); and
 - c. viewing the publisher's copyright website or author agreement if clarity is needed
17. Any material in Open Research that is identified as having been inadvertently made open access immediately has access restricted by the Repository Manager or other relevant Library staff ('take down' action).
18. Authors are encouraged to link to research outputs included in Open Research using the permanent identifier it provides, as the repository is managed for long term access.

Document information

Title	Open access research
Document Type	Procedure
Document Number	ANUP_008803
Version	12
Purpose	To facilitate broad access to appropriate ANU education materials, in the interests of disseminating knowledge.
Audience	Staff
Category	Academic
Topic	Teaching & Learning
Subtopic	
Effective Date	30 Jul 2020
Review Date	29 Jul 2025
Responsible Officer	University Librarian and Director, Scholarly Information Services
Approved By	Vice-Chancellor (eo.vc@anu.edu.au)
Contact Area	Library, Archives and University Records (director.sis@anu.edu.au)
Authority	Australian National University Act 1991
Printed On	22 Mar 2023

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