

# Procedure: Open access research

## Purpose

Provide the procedures to implement the ANU Open Access Policy for research outputs.

The University's 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
- Theses of ANU students
- Education materials that are also research outputs.

## Procedure

### Research outputs

2. 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- c. scholarly outputs which are not peer reviewed, such as technical or working papers, scholarly book reviews or legal submissions.

### OpenResearch@ANU

3. ANU open access publications are made available through the Institutional Research Repository, [OpenResearch@ANU](#). [OpenResearch@ANU](#) includes scholarly

works (ANU Research) and digitised research resources from the ANU Library and Archives (Archival and Rare Collections).

4. [OpenResearch@ANU](mailto:OpenResearch@ANU) is managed by the ANU Library, and contains research outputs that are available on open access and outputs that are embargoed or are only available under restricted access conditions.

### **Who can deposit?**

5. Any staff member (including those holding Honorary status, such as Emeriti and Visitors) and Higher Degree by Research students of the University can submit material to [OpenResearch@ANU](mailto:OpenResearch@ANU). Undergraduate and Postgraduate by Coursework students can deposit research outputs (such as journal articles, 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 journal published, 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 Higher Degree by Research student authors:

- a. Journal and conference publications, technical reports and other original, substantial works – deposited within 1 year of publication
- b. Open access monographs – deposited within 1 year of publication
- c. Non-open access monographs – deposited within 5 years of publication
- d. Higher Degree by Research student theses – deposited within 1 year of the granting of the award
- e. Undergraduate Honours theses receiving a mark of First Class – deposited within 1 year of the granting of the award.

9. The author is responsible for ensuring that materials are deposited to [OpenResearch@ANU](mailto:OpenResearch@ANU).

### **Restricted Access**

10. Materials to be commercialised, or which contain confidential material, or

where the promulgation would infringe a legal commitment by the University and/or the author, will not be made available to the public through [OpenResearch@ANU](mailto:OpenResearch@ANU).

11. Requests for restrictions or embargoes on access to research outputs must be made in writing by the author to the University Librarian, with the support of the author's Head of School.

## How to deposit materials

12. Submission forms are available at:

- a. ANU Research – <http://openresearch.anu.edu.au/contribute/contribute-your-research>
- b. Digital Thesis – <http://openresearch.anu.edu.au/contribute-your-digital-theses/contribute-your-digital-thesis>

13. Authors can deposit material in a range of formats. The Library prefers authors to include a PDF with OCRd text or standard format (such as Microsoft Office). The Library will convert the file(s) to PDF if necessary. Large files may take some time to upload or encounter difficulties. Contact [library staff](#) for assistance.

## Copyright

14. Published material will be 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) will be made available on open access as soon as possible.
- b. Publisher conditions of embargos of more than twelve months will be referred to the University Librarian.

16. The Library will check the copyright for authors and record the copyright status on the ANU Repository Copyright Database and on the item. 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/>)
- c. Viewing the publisher's copyright agreement if clarity is needed

17. Any material in OpenResearch@ANU that is identified as having been made

open access that should not have been made open access will immediately have 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 OpenResearch@ANU as there is a permanent identifier and the repository is managed for long term access.

This procedure replaces: Guideline: Depositing Scholarly Work to the ANU Research repository.

## Document information

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Subtopic	
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