Open Access Policy

Version	Approved by	Approval date	Effective date	Next review
1.0	President and Vice-Chancellor	1 June 2017	1 June 2017	June 2020

Policy Statement

Purpose	UNSW is a research and teaching-intensive university committed to achieving global impact. Open dissemination of our scholarly research, online, world-wide and free of charge, is fundamental to our drive to be a global leader in discovery, innovation, impact, education and thought leadership. Open Access publication enables us 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 drive 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 initiatives to improve access to publicly funded scholarly information.
Scope	This policy applies to all staff (including conjoint and adjunct staff) and students undertaking research at UNSW, either full-time or part-time, and applies to scholarly research outputs. The policy also applies to scholarly or research outputs co-authored by research students and staff. The policy applies only to scholarly outputs that *meet the definition of research.* This guideline does not apply to: • outputs completed before the adoption effective date of the *Open Access Policy* • outputs for which the author has entered into an incompatible licencing or assignment agreement • material produced that does not meet the definition of research • thesis examination procedures, the treatment of which is covered by separate policy • confidential material, commercially sensitive material or material subject to intellectual property (IP) protection or commercialisation.

Policy Provisions

1. Open Access principles

UNSW requires all staff and students who are engaged in research to make research outputs openly available and deposit the appropriate version of their research outputs into the institutional repository within twelve months of publication for the purpose of providing open access to their research.

UNSW staff and students are also encouraged to make their research outputs available through subject specific repositories or via peer reviewed open access journal publications, conference proceedings, book or book chapter and other outlets where appropriate.

This Open Access Policy ensures researchers are compliant with the conditions of ARC and NHMRC open access policies. Research outputs funded by other national or international funding bodies must comply with their respective open access mandates where such mandates are in effect.

Bibliographic descriptions of all research outputs must be provided to the UNSW Library upon publication via the Research Output System to be made publicly available and discoverable.

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1.1. Research Outputs

The following fulltext research outputs **must** be made openly available where publisher permission can be obtained and deposited in the UNSW institutional repository:

- Refereed journal articles
- Refereed conference papers
- Digital theses submitted via the Graduate Research School (refer to the *UNSW Thesis Examination Procedures).*

This policy encourages researchers to make the following research outputs openly available via the UNSW institutional repository where publisher permission can be obtained:

- Books and book chapters
- Non-traditional Research Outputs (such as creative works and reports) or their representation
- Un-refereed research outputs including conference contributions, chapters in proceedings (accepted version)
- Research data descriptions and small datasets (refer to the UNSW *Procedure for Handling Research Material & Data*)
- Research outputs as software and computer code.

2. Deposits into the UNSW Institutional Repository

Research and scholarly outputs will be collected and stored in the UNSW institutional repository and will not be altered except as permitted or required under law to:

- reproduce, electronically communicate and distribute the open access copy, including any open access copies of the publisher version of the specified work online, for free and for non-commercial use
- make more than one copy of the work for the purposes of security, back-up and preservation
- ensure copyright compliance is achieved.

3. Ownership of Copyright and Intellectual Property

The ownership of copyright and intellectual property in scholarly research outputs is as provided in the *UNSW Guidelines for Copyright Ownership* and the *UNSW Intellectual Property Policy*, as amended from time to time.

UNSW encourages researchers to retain copyright in their works where possible, or negotiate the terms of author agreements with publishers in order to ensure they retain the right to use and self-archive the work with an access 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 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**.'

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.

4. Article Processing Charges

This policy provides UNSW authors with the choice of how open access is implemented. Publication via open access outlets is acceptable, provided an appropriate version of the research output is also deposited into the institutional repository for the purposes of preservation and open access. Where a

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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. Roles and Responsibilities

The University is responsible for:

- Providing and maintaining open access infrastructure, including the UNSW institutional repository, to facilitate the open communication of research outputs and associated metadata.
- Providing advisory services to researchers through the Library and the Office of the Deputy Vice-Chancellor Research.

UNSW Authors are responsible for:

- Depositing the appropriate version of their research outputs into the institutional repository within twelve months of the publication date, for the purpose of making these outputs freely available within twelve months of publication, or as soon as possible in accordance with the relevant publisher copyright, open access and embargo policy.
- Ensuring research outputs are made freely available online within twelve months of publication, where permitted under copyright (with the exception of HDR theses which may be embargoed for up to twenty four months from the time of final submission).
- Ensuring a UNSW affiliation is explicitly stated in all published research outputs.

If the research output resulted from an ARC or NHMRC grant, the Chief Investigator of that grant is responsible for ensuring the funding agency is acknowledged in the bibliographic information displayed in the institutional repository.

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 Policy supports the University's compliance with the following legislation: Copyright Act 1968
Supporting Documents	Open Access and UNSWorks Guidelines
Related Documents	Research Code of Conduct Intellectual Property Policy Research - Procedure for Handling Research Material & Data UNSWorks Digital Preservation Policy UNSWorks Digital Preservation Procedure Copyright Ownership Guidelines ARC Open Access Policy NHMRC Open Access Policy Research – Procedure for Authorship and for Resolving Disputes Between Authors Thesis Examination Procedures
Superseded Documents	Nil
File Number	2017/13084

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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 *Authorship and for Resolving Disputes Between Authors - Procedure*
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. Typically includes fields such as title, authors, journal name, volume, issue, and page numbers, and may also include data by or 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.
Publisher's Version	The final version of a publication as it appears on a publisher's website or an electronic journal database.
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
Researchers	All UNSW staff, conjoint appointments and visiting appointments undertaking research at UNSW, including staff classified as "professional and technical" and casual staff, undertaking research.
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 examples: a book, a journal, working paper series, conference proceedings, multimedia.
Self-Archiving	Making a copy of a manuscript available through an institutional repository or other repository.
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 Policy

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