



THE UNIVERSITY  
of ADELAIDE

# Open Access Policy

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## OVERVIEW

The University is committed to generating world-class research with tangible outputs of global significance and engaging with the community to make the transformative effect of education and research accessible to more people. It has also adopted the principles embodied in the 2018 [Australian Code for the Responsible Conduct of Research](#) (“the Code”) via its [Responsible Conduct of Research Policy](#). These principles include the responsibility to disseminate research responsibly and broadly.

The principles within this Open Access Policy (“the Policy”) are designed to support compliance with the Code, whilst increasing the reach and impact of research by ensuring the University’s Research Outputs are discoverable and openly available to the widest appropriate audience.

This Policy mandates the deposit of specified University Research Outputs to the University’s Institutional Repository, Adelaide Research & Scholarship (“AR&S”) via [Aurora](#).

## SCOPE AND APPLICATION

This Policy applies to all staff, students, and titleholders of the University who are involved in the conduct of research associated with the University anywhere in the world. It applies to specified Research Outputs created on or after the date on which this Policy was approved.

Meeting the requirements of this Policy also requires, where relevant, complying with the Open Access policies of any funding organisation providing support for the research project (e.g. the National Health and Medical Research Council, the Australian Research Council, etc.), which may stipulate additional Open Access funding conditions.

The application of Open Access principles to education materials are not covered by this Policy. Research data is covered by the [Research Data and Primary Materials Policy](#).

## POLICY PRINCIPLES

### 1. Open Access principles

- 1.1. Research Outputs primarily achieve Open Access status by either depositing the *final Author Accepted Manuscript* into a repository (“Green Open Access”), or fee-based Open Access availability of the *Published Version* of the article via the publisher’s platform (“Gold Open Access”).
- 1.2. Regardless of the Open Access status, all specified Research Outputs must be deposited in AR&S.
- 1.3. Information (metadata) describing Research Outputs deposited in AR&S will be Open Access by default.

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- 1.4. The full text of Research Outputs deposited in AR&S will be made Open Access wherever possible, subject to any restrictions and/or embargoes arising under any agreement, including those related to publication, commercialisation, confidentiality, copyright, cultural sensitivity, or any other legal obligations.
  - 1.5. A Creative Commons CC-BY 4.0 licence is recommended for all Research Outputs.

## 2. Research Outputs

- 2.1. The following Research Outputs must be deposited in AR&S:
  - Peer-reviewed journal articles
  - Peer-reviewed conference papers
  - Books and book chapters
  - Higher Degree Research theses via the Adelaide Graduate Research School
  - Non-Traditional Research Outputs (NTRO) e.g. creative works, research reports (see NTRO definition)
- 2.2. All other Research Outputs are recommended to be deposited, including:
  - Non-peer reviewed Research Outputs, e.g. conference contributions, software, or computer code.
- 2.3. Research data is governed by the [Research Data and Primary Materials Policy](#).

## 3. Deposit in Adelaide Research & Scholarship (“AR&S”)

- 3.1. The Author Accepted Manuscript is the accepted and amended final version of a paper, following peer-review and prior to publication, which should be deposited into AR&S to facilitate Open Access.
- 3.2. Deposit in AR&S is recommended as soon as possible. Research Outputs specified in 2.1 must be deposited within three months of the date of formal publication, or earlier if contractually required by specific funding agreements.
- 3.3. Open Access to Author Accepted Manuscript versions may be delayed due to embargoes included in the publication agreement. Researchers are encouraged to avoid embargoes greater than 12 months from date of publication. Where agreements do not allow Research Outputs to be made Open Access within 12 months, researchers should make reasonable attempts to negotiate this provision with the publisher.
- 3.4. The Published Version of a Research Output may also be deposited in AR&S if there is an agreement with the publisher to publish the Research Output as Open Access without embargo. A Published Version is the final version for publication, including the publisher’s typesetting and formatting.
- 3.5. Pre-prints are not accepted into AR&S.
- 3.6. For Non-Traditional Research Outputs (see NTRO definition), a descriptive metadata record is required for deposit into AR&S. It is also recommended that associated NTRO files are deposited, when appropriate, as outlined in the [Repository Submission Guidelines](#).

## PROCEDURES

### 1. Research Outputs

#### **Responsibility: Authors (staff, students, and titleholders of the University)**

- a) To deposit specified Research Outputs in AR&S.
- b) To provide details of and comply with any restrictions (e.g. commercialisation, confidentiality) which would prevent the output being made Open Access.
- c) Ensure copyright compliance of Research Outputs deposited in AR&S including images, tables, quotations and figures.
- d) Comply with the Open Access policies of any relevant funding bodies where their requirements are more restrictive than this Policy.
- e) Make reasonable attempts to avoid transferring or exclusively licensing copyright to another party, without at the same time retaining the right to self-archive and make available a version on Open Access. In instances where this is not allowed in the publication agreement, authors are encouraged to attach the following addendum to the contract:  
“The Author has the right to publicly archive their revised, peer-reviewed personal version of their

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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”

- f) Keep any research publication, agreement, addendum and permissions consistent with the University Information Management Policy.
- g) Titleholders are required to deposit Research Outputs only where the Research Output would be reasonably viewed as related to their University appointment, e.g. where the research is conducted on a University administered grant.

#### **Responsibility: Library**

- a) Manage the University’s Institutional Repositories.
- b) Apply embargoes and access restrictions to AR&S deposited Research Outputs where necessary.
- c) Provide advisory services to researchers and support staff in support of Open Access publishing options.
- d) Provide information about retaining copyright and rights necessary to facilitate Open Access.

## **DEFINITIONS**

### **Article Processing Charge**

Fee paid to the publisher to make the Published Version of an article open access immediately via the publisher’s site without embargo. In some cases these fees are included in a Library Read and Publish Agreement.

### **Aurora**

University of Adelaide Researcher Outputs, Reporting and Analytics (Aurora) is the University’s web-based system for capturing and reporting research publications, outputs, professional activities and profile information.

### **Author Accepted Manuscript**

Version of the manuscript which has been accepted for publication and which typically incorporates corrections and changes following peer-review. Does not usually include the publisher’s typesetting or formatting. Also known as a “post-print” or “final version”.

### **Creative Commons**

Internationally recognised licensing scheme which permits the sharing, reuse, and repurpose of copyright material whilst also ensuring that creators retain specified rights.

### **Gold Open Access**

The immediate, permanent, unrestricted and free online access to the full text of Research Outputs via the publisher’s site. As part of this model, often an Article Processing Charge is charged by the journal publisher.

### **Green Open Access**

The self-archiving of a version of a Research Output (Author Accepted Manuscript) in an institutional or subject repository for free distribution with no fees or charges paid by the author or institution to the publisher.

### **Institutional Repository**

Online publicly accessible repository managed by the University where the Research Outputs of the University and the metadata for those outputs can be stored. The University of Adelaide’s repository for Research Outputs covered by this Policy is Adelaide Research & Scholarship (AR&S).

### **Non-Traditional Research Outputs**

For the purposes of this Policy this includes: original creative works, live performances of creative works, recorded/rendered creative works, curated or produced substantial public exhibitions and events, portfolio, or publicly available research reports for an external body.

### **Open Access**

The world-wide online availability of knowledge and materials, including Research Outputs and research data, free of charge and access restrictions.

### Peer-Reviewed Conference Paper

For the purposes of this Policy, peer-reviewed conference papers are papers that have been published in full (e.g. in a volume of proceedings, journal, book or website) and have undergone a peer review process.

### Pre-print

Author's original version of a Research Output before peer review or editing. In some disciplines this version is routinely archived by researchers to a discipline specific pre-print server. Preprints are not accepted in AR&S.

### Published Version

Published Version, also known as the version of record, is the final version for publication, including the publisher's typesetting and formatting.

### Read and Publish Agreement

Contracts negotiated between institutions (libraries, national and regional consortia) and publishers where institutions pay for both 'read' access to specified journals and for academics to 'publish' in those journals.

### Research Output

Dissemination of findings, whether in hardcopy, electronic or other form that communicates the products of research. Examples include: scholarly books, book chapters, reference works, journal articles, conference papers, working paper series, multimedia and other Non-Traditional Research Outputs.

For the purpose of this Policy, Research Outputs primarily refer to material which has been published or made publicly available. Policy Principle 2 lists Research Outputs type covered by this Policy.

<b>RMO File No.</b>	2023/2584
<b>Policy Custodian</b>	Deputy Vice-Chancellor and Vice-President (Academic)
<b>Responsible policy officer</b>	University Librarian
<b>Endorsed by</b>	Academic Board on 2 August 2023
<b>Approved by</b>	Vice-Chancellor and President on 7 August 2023
<b>Related Documents and Policies</b>	<a href="#">Repository Submission Guidelines</a> . <a href="#">Intellectual Property Policy</a> <a href="#">Research Data and Primary Materials Policy</a> <a href="#">Copyright Compliance Policy</a> <a href="#">Research Grants, Contracts and Consultancies Policy</a> <a href="#">Information Management Policy</a> <a href="#">Authorship Policy</a> <a href="#">NHMRC Open Access Policy</a> <a href="#">ARC Open Access Policy</a> <a href="#">Australian Code for the Responsible Conduct of Research</a> and <a href="#">Guidelines for Publication and Dissemination of Research</a> <a href="#">Responsible Conduct of Research Policy</a>
<b>Related Legislation</b>	<i>nil</i>
<b>Superseded Policies</b>	Open Access Policy (2019)
<b>Effective from</b>	7 August 2023
<b>Review Date</b>	6 August 2026
<b>Contact for queries about the policy</b>	Siân Woolcock, University Librarian, 8313 5700, sian.woolcock@adelaide.edu.au