

OPEN ACCESS TO UNIVERSITY RESEARCH POLICY 2015

The Vice Chancellor, as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 4 December 2014

Date amended: 15 February 2017 (administrative amendments only)

5 November 2018 (administrative amendments only)

13 February 2021 (administrative amendments only)

Signature:

Name: Dr Michael Spence

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1 Name of policy

This is the Open Access to University Research Policy 2014.

2 Commencement

This policy commences on 5 January 2015.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

4 Statement of intent

This policy:

- (a) articulates the University's commitment to the widest possible communication of its research including scholarly works and data;
- (b) supports the University's core values of engaged inquiry and mutual accountability by encouraging transparency, accountability, openness and the sharing of scholarly works and other research outputs with the research community and the public;
- (c) supports the principles for publication and dissemination of research findings described by the [Research Code of Conduct \(2013\)](#) and the [Australian Code for the Responsible Conduct of Research \(2007\)](#); and
- (d) enables reporting on University compliance with the funding rules and dissemination of research findings policies of the Australian Research Council (ARC), National Medical and Health Research Council (NHMRC) and other public and private research funding bodies.

5 Application

This policy applies to the University, staff, students and affiliates.

6 Definitions

accepted manuscript	means the version of a manuscript accepted for publication, following peer review and any subsequent amendments. Also referred to as "post-print".
affiliate	has the meaning given in the Code of Conduct – Staff and Affiliates , which at the date of this policy is: clinical title holders; adjunct, conjoint and honorary appointees; consultants and contractors to the University; holders of offices in University entities; members of Boards of University Foundations, members of University Committees; and any other persons appointed or engaged by the University to perform duties or functions on its behalf. Note: see also the Affiliates Policy .
author	means a named contributor to a scholarly work, including but not limited to scholarly publication in a journal, conference proceedings or monograph.
chief investigator	means the lead researcher on a research project.
ERA	means <i>Excellence in Research for Australia</i> . ERA is a federal government initiative, developed by the Australian Research Council (ARC) in cooperation with the National Health and Medical Research Council (NHMRC) to evaluate research quality within Australia's higher education institutions.

external access repository	means an institutional repository that is accessible to the public through the internet. The University's external access repository is managed by the University Library.
HERDC	means <i>Higher Education Research Data Collection</i> . HERDC is a collection of research publication and income data submitted annually by the University to the Commonwealth Government.
institutional repository	means an online digital archive for collecting, preserving and disseminating the research output of an institution.
intellectual property	<p>has the meaning given to it in the Intellectual Property Policy 2016.</p> <p>includes rights (including, without limitation, rights of registration or application for registration) relating to:</p> <ul style="list-style-type: none"> • literary works (including computer programs), artistic, musical and scientific works; • multimedia subject matter; • performances of performing artists, phonograms and broadcasts; • inventions in all fields of human endeavour; • scientific discoveries; • industrial designs; • trade marks, service marks and commercial names and designations; • plant varieties; • circuit layouts. <p>It does not include any moral right.</p>
metadata	means structured or schematised information about the attributes of an item or collection that enables that item or collection to be identified, retrieved and managed over time.
open access	in the context of this policy means permanent and free online access to the public.
post-print	means accepted manuscript.
publisher's version	means the published version of a peer reviewed journal article including final pagination, formatting and publisher's branding.
research	means investigation undertaken to gain or advance knowledge, understanding and insight. It does not include routine testing and routine analysis of materials, components or processes or the development of teaching materials and similar work.
researcher	means any staff member, student or affiliate engaged in research.
research student	means a person who is currently admitted to candidature in a higher degree by research award course at the University, as specified in the University of Sydney (Higher Degree by Research) Rule 2011(as amended) . It does not include a person admitted to candidature in a coursework award course.
scholarly work	means a work intended for academic publication (e.g. article, book, manuscript or manual regardless of format).

- student** means a person currently admitted to candidature in an award course at the University.
- supervisor** has the meaning given to it in the [University of Sydney \(Higher Degree by Research\) Rule 2011\(as amended\)](#). As at the date of this policy, that is:
- in relation to a higher degree by research student, a person appointed to discharge the responsibilities set out in clause 14 of this policy. For the purpose of this policy, the generic term supervisor(s) will be used to include research supervisors, co-ordinating supervisors, and auxiliary supervisors.

7 Commitment to open access to University research

- (1) The University is committed to enabling open access to its scholarly output, including research publications and research data collections.
- (2) The University supports the initiatives of major funding agencies to make publicly funded scholarly works available to other researchers and to the public, in the most effective manner and at the earliest opportunity.

8 Roles and responsibilities

- (1) The University will:
 - (a) provide and maintain open publishing platforms and institutional repositories to facilitate the open communication of scholarly publications, data and associated metadata; and
 - (b) provide advisory services and administrative support to researchers through the Library, Information and Communications Technology unit and the Office of the Deputy Vice Chancellor (Research).
- (2) All University researchers:
 - (a) are responsible for the submission of the publishers' version of all published scholarly works to the Office of the Deputy Vice- Chancellor (Research) in an appropriate format (such as PDF); and
 - (b) are responsible for the submission of manuscript versions of journal articles and other scholarly works directly to the University's external access repository, which is managed by the University Library.

Note: Contact Sydney Scholarship for information regarding whether a journal manuscript or other scholarly work can be made available open access: <https://library.sydney.edu.au/research/sydney-scholarship/>

9 Ownership of intellectual property

- (1) The ownership of intellectual property in scholarly works is as provided in the [Intellectual Property Policy 2016](#) as amended from time to time.

- (2) Authors should, wherever possible, avoid granting any exclusive licence to the copyright in their scholarly works to any other person or organisation without at the same time retaining the right to use and publish the work no later than 12 months after the date of initial publication (and authorise others to do the same).

Note: The University provides support for authors through a standardised amendment to publication agreement and copyright advisory services. Contact Copyright Services for information: <https://library.sydney.edu.au/help/copyright/>

10 Open access to scholarly works

- (1) The University will retain the publisher's version of all collected scholarly works in a password protected, restricted access repository for recordkeeping, reporting and other purposes as required by the University from time to time, including but not limited to HERDC and ERA reporting.
- (2) The University will retain accepted manuscript versions of all journal articles and other scholarly works submitted directly to the University's external access repository.
- (3) Where publishers' archiving policies allow, the University will make collected scholarly works and associated metadata openly available through its external access repository, no later than 12 months after the date of publication.
- (4) Where access to the full text of collected scholarly works is not permitted by the publisher, publication metadata and a link to the published work will be made openly available.

11 Open access to research data collections

Chief investigators or research supervisors (with the consent of their research student(s) where required) should make completed research data sets openly available for re-use, unless this is prevented by the requirements of legislation or University policy, or ethical, contractual, or confidentiality obligations.

Note: See clause 12 of the [Research Data Management Policy 2014](#) and clause 9 of the [Research Code of Conduct 2013](#).

12 Open access to higher degree by research theses

- (1) Research students must lodge the final version of their awarded thesis with the University Librarian, in accordance with Part 6 of the [University of Sydney \(Higher Degree by Research\) Rule 2011 \(as amended\)](#).
- (2) The University Library will use the University's external access repository to retain and manage access to electronic copies of theses as the primary archival version.
- (3) Except where permitted under the provisions of Part 6 of the [University of Sydney \(Higher Degree by Research\) Rule 2011 \(as amended\)](#):
 - (a) the abstract and metadata of awarded theses will be made openly accessible;
 - (b) awarded theses will be accessible to University staff, students and affiliates; and

- (c) research students, in consultation with their supervisors, are encouraged to make their theses openly accessible.

Note: See the [University of Sydney \(Higher Degree by Research\) Rule 2011 \(as amended\)](#). Contact Copyright Services for information regarding copyright and higher degree by research theses: <https://library.sydney.edu.au/help/copyright/>

NOTES

Open Access to University Research Policy 2015

Date adopted: 4 December 2014
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Date amended: 15 February 2017 (administrative amendments)
Date amended: 5 November 2018 (administrative amendments)
13 February 2021 (administrative amendments)
Administrator: Director, University Libraries
Review date: 4 December 2019
Related documents:

Copyright Act 1968 (Cth)

Electronic Transactions Act 1999 (Cth)

Privacy Act 1988 (Cth)

Government Information (Public Access) Act 2009 (NSW)

University of Sydney Act 1989

University of Sydney By-Law 1999 (NSW) (as amended)

University of Sydney (Higher Degree by Research) Rule 2011 (as amended)

University of Sydney (Policies Development and Review) Rule 2012

Charter of Freedom of Speech and Academic Freedom

Intellectual Property Policy 2016

Research Agreements Policy 2011

Research Code of Conduct 2012

Research Data Management Policy 2013

Research Principles 2009

Supervision of Higher Degree by Research Students Policy 2013

Recordkeeping Policy 2017

Recordkeeping Manual

University of Sydney Enterprise Agreement 2018-2021

ARC Open Access Policy

IATSIIS Guidelines for Ethical Research in Indigenous Studies

*Australian Code for the Responsible Conduct of Research 2007
(NHMRC/ARC)*

*Excellence in Research Australia 2010 Submission Guidelines
(Australian Research Council)*

NHMRC revised policy on the dissemination of research findings

*Values and Ethics: Guidelines for Ethical Conduct in Aboriginal
and Torres Strait Islander Health Research (NHMRC)*

AMENDMENT HISTORY

Provision	Amendment	Commencing
Internal hyperlinks and references	Updating various hyperlinks and references to other documents updated.	15 February 2017
4(c)	Update hyperlink to Australian Code for the Responsible Conduct of Research 2007.	5 November 2018
Related documents	Update reference to the Recordkeeping Policy 207	5 November 2018
Related documents	Update reference to University of Sydney Enterprise Agreement 2018-2021	5 November 2018
Related documents	Update reference to Charter of Freedom of Speech and Academic Freedom	13 February 2021