

Open Access Policy

INTRODUCTION

The University is committed to free and open access to the research and scholarly output of the university community, in accordance with the [National Health and Medical Research Council Australian Code for the Responsible Conduct of Research](#) and the open access policies of the [National Health and Medical Research Council](#) and the [Australian Research Council](#).

The University's open access approach:

- Facilitates the worldwide communication of its research and scholarly publications and research data, passing on the benefits of research findings to other researchers, professional practitioners and the wider community; and
- Enhances its research profile, maximising the impact of the University's research and scholarship.

The University supports and promotes an open access approach through the dissemination of scholarly research outputs lodged in the open access Institutional repository, other open access archives (Green Open Access) and through support for publication in open access journals (Gold Open Access).

STATEMENT OF AUTHORITY

The authority behind this policy is the [Charles Darwin University Act 2003](#) part 3, section 15.

COMPLIANCE

This is a compliance requirement under the [Copyright Act 1968](#).

INTENT

This document outlines the requirements for research and scholarly outputs of the University community and should be read in conjunction with the [Responsible Conduct of Research Policy](#) and [Research Data Management Procedures](#).

RELEVANT DEFINITIONS

In the context of this document

Accepted Version means the version of an academic paper after peer-review. It incorporates the changes made as a result of the peer review process and is the version accepted for publication. It is also called a 'post-print', or the 'author's final version';

Article Processing Charge means the author fees charged by Gold Open Access journals to cover the cost of publishing instead of reader subscription fees. Payment of this fee allows immediate access to the full text published version of the research article;

Australian Research Council means the statutory agency under the Australian Government responsible for policy, programs and funding for Australian research and innovation;

Excellence in Research for Australia means the national research evaluation framework through which the Australian Research Council assess research quality within Australia's higher education institutions using a combination of indicators such as citation profiles and peer review of research outputs;

Gold Open Access means the model that has an 'Article Processing Charge' is paid by the author, the author's institution or research funder so that the resulting paper can be made freely and openly available without the requirement for the reader to pay for access, and without the restriction of an embargo period. Gold Open Access journals make every paper freely accessible and the published papers can also generally be deposited in institutional repositories;

Green Open Access means the model that allows authors to self-archive a version of their article for free public use. This is the model used by the University repository and other institutional and/or subject repositories where accepted authors' manuscripts or other pre-publication versions (Submitted or Accepted) are uploaded at no cost to the author or reader;

Grey literature means informally published written material such as reports, patents, and technical reports from government agencies or scientific research groups, working papers from research groups or committees, and white papers;

Institutional repository means an archive for collecting, preserving, and disseminating digital copies of the intellectual output of the University;

National Health and Medical Research Council means the nation's leading expert body responsible for research funding directed towards the maintenance and promotion of public and individual health;

Open Access means that the outputs of scholarship and research are made available online and worldwide, in perpetuity, free of charge and free of most other access restrictions;

Peer-Review / Refereed means the assessment of research by experts knowledgeable of the same or a related field;

Published Version means the final version of an academic paper as published, that includes the publisher's formatting and typesetting;

Research data and primary research materials means data and other research materials collected, assembled or created in the course of research;

Researcher means any staff member, person awarded honorary or academic status by the University, student, or person otherwise associated with the University, who conducts research in the course of employment, study or a research affiliation with the University;

Scholarly Output / Work means original intellectual work that is validated by peers where at least one (1) of the authors or creators of the research output or another eligible type of material is a University staff member or postgraduate student at the time of the deposit or at the time the work was produced;

Senior Executive means a staff member of the University holding the position of Vice-Chancellor, Provost, Deputy Vice-Chancellor, Pro Vice-Chancellor or Chief Financial Officer or equivalent;

Senior Manager means a staff member of the University holding the position of Director, College Dean or Head of School or equivalent;

Staff member means anyone employed by the University and includes all continuing, fixed-term, casual, adjunct or honorary staff or those holding University offices or who are a member of a University committee;

Student means the same as ‘Student of the University’ in the [Charles Darwin University \(Student of the University\) By-laws](#); and

Submitted Version means the version of an academic paper (usually a journal article) prior to peer-review, or refereeing. Also called a ‘pre-print’.

POLICY

Library Services provides advice on all aspects of open access publishing including:

- Copyright issues;
- Metadata verification of material in the institutional repository; and
- Support to facilitate open access dissemination of scholarly outputs.

Where possible, material representing the total publicly available research and scholarly output of the University is to be deposited in the University’s open access institutional repository, including:

- Research publications and associated data which are outputs of an Australian Research Council, National Health and Medical Research Council or other public funding agency grant;
- Full-text refereed research articles that have been peer-reviewed but not yet published (The ‘Accepted Version’);
- Full-text articles/papers in Word format that have been submitted to a publisher (The ‘Submitted Version’);
- University scholarly works such as un-refereed research literature, journal articles, conference contributions, chapters in proceedings (the accepted draft), technical or project reports, and grey literature not submitted for publication and that can be made available via open access;
- Higher degree by research dissertations such as Doctor of Philosophy, Doctor of Philosophy by publication, Masters by Research, Masters by Coursework containing a significant research component and Honours theses, (except for where an embargo is in place);
- Research data which can be described and made openly available under licence, or via negotiated or controlled access (see the [Research Data Management Procedures](#)). Where deposit of the full-text material, or dataset, is not possible due to publisher embargo, or is not permissible due to copyright or licensing restrictions, or where the publication is available in a peer-reviewed open access publication or another open access archive, the metadata describing the publication or dataset will be included in the institutional repository. Research data and primary research materials created by University researchers are subject to the Northern Territory Information Act and the University’s [Records Management Policy](#); and
- Material deposited on the advice of the relevant Senior Manager or Senior Executive such as grey literature or engineering projects.

Material intended for commercialisation or containing confidential information should not be submitted for deposit.

University scholarly outputs/works, research data and primary research materials, research data management records and other research related documents deposited into the institutional repository for preservation and access will be subject to any legal, contractual, privacy or cultural restrictions in

accordance with the University's [Intellectual Property Policy](#), [Responsible Conduct of Research Policy](#), [Research Data Management Procedures](#), [Library Services Records Disposal Schedules](#) and the [Copyright Act](#).

Copyright

Depositing material in the institutional repository does not transfer copyright to the repository. The repository exists to preserve and make available that material but does not assume ownership rights.

Copyright remains with the author or publisher, as per the agreement or licence made at the time of publication.

Authors are encouraged to retain copyright in their work where possible, and where the publisher insists on a transfer of copyright, they should assert their right to deposit their work in the University's open access institutional repository using a suitable agreement addendum.

Funding

Use of external grant funding or other University funding that may be provided to cover the publishing costs, including Article Processing Charges, is acceptable for a publication:

- In a journal that is deemed to be Gold Open Access;
- That meets the Excellence in Research for Australia definition of research; and
- Where the author has a University affiliation; and
 - Publication is in outlets of sufficiently high quality as determined by the College/School;
 - Research will be made available in an open access format from the initial date of publication;
 - Funding will not be used to subsidise the publication costs of co-authors from other institutions; and
 - Funding will only be used for meeting costs paid to the publisher, not for creating the work.

ESSENTIAL SUPPORTING INFORMATION

Internal

[Charles Darwin University \(Student of the University\) By-laws;](#)

[Intellectual Property Policy](#)

[Institutional Repository Procedures](#)

[Records Management Policy](#)

[Research Data Management Procedures](#)

[Responsible Conduct of Research Policy](#)

External

[Australian Research Council Open Access Policy](#)

[Australian Code for the Responsible Conduct of Research](#)

[Copyright Act 1968](#) (Commonwealth)

[Information Act 2002](#) (NT)

[National Health and Medical Research Council Australian Code for the Responsible Conduct of Research](#)

[National Health and Medical Research Council Open Access Policy](#)

Document History and Version Control

Last amendment:	May 2019	Next Review:	May 2022
Sponsor:	Pro Vice-Chancellor, Student Engagement and Success		
Contact Officer:	Director, Library Services		

Version	Date Approved	Approved by	Brief Description
1.00	6 Aug 2014	Academic Board	Creation of original document and upload to CDU website.
1.01	15 Dec 2017	Governance	<ul style="list-style-type: none">• Conversion to new governance template due to new University branding• Updated definitions senior executive, senior manager and staff member• Updated hyperlinks• Amended Data Management Policies and Procedures to Research Data Management Policy and Research Data Management Procedures
2.00	15 May 2019	Vice-Chancellor	<p>Comprehensive review of Policy content, change to broader Open Access Policy to be aligned with current industry practices</p> <ul style="list-style-type: none">• Name changed from Institutional Repository Policy to Open Access Policy• Updated Hyperlinks• Review of definitions• Added APC funding Criteria• Updated Sponsor from Academic Board to PVC Student Engagement and Success