OPEN ACCESS POLICY

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First Approved by:	Finance & Resources Committee		
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Responsible Division & Unit:	University Library Research and Innovation Division		
Supporting documents, procedures & forms:	UOW Publication Management Guide		
Relevant Legislation & External Documents:	ARC Open Access Policy NHMRC Open Access Policy UOW Code of Practice - Research UOW Authorship Policy Australian Code for the Responsible Conduct of Research		
Audience:	Public		

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1   Purpose of Policy

1. The University of Wollongong is committed to the dissemination and promotion of its research findings as widely as possible. A significant mechanism to do this is through the deposit of research publication metadata and outputs into the University's institutional research repository, in accordance with the objectives and principles of Open Access, and in particular those underpinning Green Open Access.

2. This policy supports the Australian Research Council (ARC) Open Access Policy, the National Health and Medical Research Council's (NHMRC) Open Access Policy and the expectations described by the Australian Code for Responsible Conduct of Research. The University of Wollongong Authorship Policy and the University of Wollongong Code of Practice - Research should be read in conjunction with these documents.

2   Definitions

Word/Term	Definition (with examples if required)
Green Open Access	The author can self-archive, via the institutional repository, final manuscripts at the completion of the publication submission process.
Gold Open Access	A specific fee is paid to the publisher in order to make the material available for open access at the point of publication.
Institutional Repository	The internally maintained platform for collecting, preserving, and disseminating - in digital form - the intellectual output of the University of Wollongong The UOW institutional repository is Research Online - http://ro.uow.edu.au/
Metadata	Information about the context, content, quality, provenance, and/or accessibility that describes a research output, for example title, author, disciple codes, year of publication.
Open Access	The immediate, online, free availability of research outputs without restrictions on use commonly imposed by publisher copyright agreements.
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.
Research data	The data, records, files or other evidence, irrespective of their content or form (e.g. in print, digital, physical or other forms), that comprise research observations, findings or outcomes, including primary materials and analysed data, generated in research projects.
Research Outputs	Includes all products (excluding pre peer reviewed products) of a research project that meet the definition of Research. For the purposes of this policy, research outputs do not include research data.

3 Application & Scope

1. This policy applies to published research findings of:-

    a. Academic and professional services staff of UOW; and

    b. Individuals who hold an honorary academic title conferred by the University.

4 Policy Principles

1. Research Outputs should be forwarded to the University Library for deposit into the institutional repository at the time of publication, if an open access version is not already available.

2. The following publications should be forwarded:

    2.1. Refereed, post-peer reviewed research articles (known as the 'final manuscript', or 'post-print');

    2.2. Other refereed material, such as conference papers, book chapters and books (where permitted);

    2.3. Un-refereed research outputs;

3. Information stored in the institutional repository and associated research systems may be used to inform University research funding schemes and initiatives, and official research reporting programs.

4. The University maintains a position to not pay for the publishing of online research where possible. The University supports a Green approach to Open Access.

5. Gold Open Access may be supported and funded at the faculty level where strategically or otherwise appropriate. Faculty approval and funding for publication in Gold Open Access journals will reside with the relevant Associate Dean (Research).

5 Copyright Compliance

1. The deposit of material into the institutional repository does not transfer ownership of copyright to the University of Wollongong.

2. Copyright obligations for all material which is made publicly available in the institutional repository shall be cleared by the University Library.

3. Where the access to full-text material in the institutional repository is not permitted by the publisher or copyright holder, only metadata describing the material will be included in the repository and made publically available.

4. UOW authors with concerns regarding copyright matters may seek advice from the University Copyright Officer.

6 Reporting

1. Reports on repository coverage are prepared and distributed periodically by the Information Management Unit (IMU) and the Research Services Office, based on the information stored in UOW research systems.

2. Administrators and managers of UOW research groups may request data from the Research Services Office regarding the volume of metadata records and full text digital objects stored in the institutional repository by their group.

7   Roles and Responsibilities

1. All UOW staff are responsible for ensuring research outputs are forwarded to the University Library's Scholarly Content team for inclusion in the institutional repository.

2. The University Library is responsible for

    a. Maintaining and managing the institutional repository,

    b. Collecting research outputs for inclusion in the institutional repository,

    c. Including metadata in the institutional repository for all UOW research outputs, and

    d. Ensuring the suitability of material available through the institutional repository, including ensuring that deposited research outputs do not infringe the rights of copyright holders.

3. The Research Services Office and Information Management Unit are responsible for:

    a. Providing support for data integration between UOW research information systems and the institutional repository, and

    b. Providing reports and data based upon the material stored in the institutional repository.

8   Version Control and Change History

Version Control	Date Effective	Approved By	Amendment
1	4 March 2014	Finance & Resources Committee under Delegation 45.01	First Version.
2	8 September 2017	Vice-Chancellor	Minor Amendments: replaced 'Planning and Marketing Division' to reflect current UOW structure; clarified areas of responsibility and definitions, and aligned language to revised ARC and NHMRC policies.