Institutional Repository Procedure

Section 1 - Introduction

(1) The University is committed to maximising the public value of research outputs and supporting researchers to enhance their scholarly profiles through the submission of scholarly works and datasets to the University's intuitional repository.

(2) In accordance with the Institutional Repository Policy and these procedures the University is able to support the goals of its Strategic Plan, conform to best research practice as embodied in the Australian Code for the Responsible Conduct of Research, 2018 and the Organisation for Economic Co-operation and Development (OECD) Principles and Guidelines for Access to Research Data from Public Funding, comply with the open access requirements of the Australian Research Council and the National Health and Medical Research Council and the reporting requirements of Excellence in Research for Australia and the Higher Education Research Data Collection.

Section 2 - Compliance

(3) This is a compliance requirement under the Copyright Act 1968.

Section 3 - Intent

(4) This document outlines the procedures for the submission of scholarly works and datasets to the University's intuitional repository, CDU eSpace. This procedure applies to all University staff members, Higher Degree by Research students and affiliates where attribution is appropriate.

Section 4 - Relevant Definitions

(5) In the context of this document:

a. Accepted version means a manuscript that has been corrected after peer review and sent to a publisher for publication. This is also known as a post-print. Sometimes a publisher may ask for further editing to an accepted version. For the purposes of deposit with the institutional repository, only the initial accepted version is required;
b. Australian Research Council (ARC) means the statutory agency under the Australian Government responsible for policy, programs and funding for Australian research and innovation;
c. Bibliographic metadata record means the structured description of bibliographic data such as the title and authorship of a resource, for example, book, article, image or video in an institutional repository;
d. Excellence in Research for Australia (ERA) means the national evaluation program for the quality of Australian research by eligible institutions. It is administered by the Australian Research Council to evaluate the quality of the research undertaken in Australian universities against national and international benchmarks;
e. 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;

f. HDR means Higher Degree by Research and includes PhD Candidates, Masters by Research Candidates and Research Professional Doctorate Candidates;
g. Higher Education Research Data Collection (HERDC) means the research income and publication data submitted by universities each year to the Australian Government;
h. Institutional repository means the software system for centralizing, preserving and disseminating in electronic form, the knowledge generated by the University. The University's institutional repository is called CDU eSpace. The institutional repository is distinct from other services such as student course work, which operate on the same software;
i. Library Digital Collections means the section within the Office of Library Services responsible for the management of the University's institutional repository;
j. National Health and Medical Research Council (NHMRC) is the statutory body of the Australian Government responsible for research funding directed towards the maintenance and promotion of public and individual health;
k. Open access means the practice of providing unrestricted access via the internet to peer-reviewed scholarly works such as theses, journal articles, scholarly monographs and chapters;
l. Publisher or published version means the formally published version that includes publisher contributed copy-editing, proof corrections, layout, and typesetting. This is also known as the Version of Record. A publisher normally sends a copy of the publisher version to the author and this is known as the author version or author record;
m. Research data means all data which is created by researchers in the course of their work, and for which the institution has a curatorial responsibility for at least as long as the Australian Code for the Responsible Conduct of Research, 2018 and relevant archives/record keeping acts require, and third-party data which may have originated within the institution or come from elsewhere;
n. Scholarly 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 other 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;
o. 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;
p. Senior Manager means a staff member of the University holding the position of Director or Head of School or equivalent;
q. 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;
r. Submitted version means a manuscript that has been sent to a publisher for consideration prior to peer-review and/or placed on a pre-print server for academic discussion. This is also referred to as a pre-print; and
s. Version of Record is the reviewed and accepted manuscript with publisher contributed copy-editing, proof corrections, layout, and typesetting included. This is also known as the publisher or published version. A publisher normally sends a copy of the version of record to the author and this is known as the author version or author record.

Section 5 - Procedures

(6) University scholarly works and research data must be submitted into the University's institutional repository for preservation and open access in accordance with the University's Institutional Repository Policy.

(7) The University also encourages the deposit of other works such as grey literature, the submitted version of a work and works recommended by a relevant Senior Manager or Senior Executive, works produced by staff members prior to joining the University, and special collection materials or cultural or historical significance.

(8) Library and Learning Services', Library Digital Collections, in consultation with researchers, will ensure that scholarly works and research data deposited into CDU eSpace will l be made publicly accessible, as far as technical, copyright, privacy and contract restrictions allow. Publications that contain material to be commercialised, confidential or culturally sensitive information, or where the availability of the publication would infringe a legal requirement by the University, and/or the author/s are excluded from the procedure. Where scholarly works and research data is not able to be deposited or made open access, Library Services will archive bibliographic metadata records for these outputs.

(9) If clarification is required as to how this procedure may be implemented in particular circumstances, advice should be sought from the Library Digital Collections prior to submitting research outputs for publication.

Submission of Scholarly Works, Research Data and Other Works

(10) Scholarly works must be deposited into University's institutional repository CDU eSpace at the time of submission of the accepted version of a manuscript to a publisher via email to Library Digital Collections or through the self-submission portal in CDU eSpace. Submission of the accepted version of a research output is required even if this version will not become openly accessible.

(11) Subsequent revisions of an accepted version may also be forward to the Library Digital Collections by email or the self-submission portal. Where technical specifications allow research data with accompanying metadata must be deposited into the institutional repository via the self-submission portal.

(12) Other works may be deposited into the institutional repository through the self-submission portal or via email to Library Digital Collections.

(13) In cases of multiple authorship the chief author or contact author must forward a copy of the accepted version to the Library Digital Collections by email or the self-submission portal.

(14) Further information on submission can be found in the Library and Learning Services' Open Access Guide.

ARC and NHMRC Open Access Compliance

(15) The Library Digital Collections will assist Research and Innovation and the Menzies School of Heath Research administration with:

a. submissions to ERA and HERDC metadata records and digitised publications to the ARC and Australian Department of Education;
b. storage of metadata records and digitised publications in a retrievable and secure manner; and
c. ensuring metadata records and digitised publications meet the technical, confidentiality and other compliance requirements for storage, harvesting, archiving for reporting purposes.

(16) ARC/NHMRC funded researchers must submit the accepted version (after refereeing) of his or her publications to the University's institutional repository at the time he or she forwards it to the publisher, via email to Library Digital Collections.

(17) Senior managers and research supervisors must take all reasonable steps to ensure on a regular basis that all researchers funded by ARC or NHMRC are aware in advance of his or her obligations to ensure research results, including publications, have open access within the guidelines and limitations set out by ARC and NHMRC.

Submission of HDR Thesis

(18) Higher Degree by Research students should forward electronic copies of theses and the CDU Thesis Deposit Agreement to the Office of Research and Innovation in accordance with the HDR – Presentation of Thesis Procedures

and HDR - Examination Procedures. Once processed, the Office of Research and Innovation will forward the electronic copy of the thesis and the CDU Thesis Deposit Agreement to the Library Digital Collections.

Library Digital Collections Support

(19) Emailed submissions will be archived in University's institutional repository, by the Library Digital Collections, for future reference and will only be made available on open access after the publisher embargo or other copyright requirements have been met.

(20) Self-submission enables self-archiving and uploads of publications and works and provides author/s access to a form to record specific access details and publication agreements. The Library Digital Collections will check for embargo and copyright compliance before making the final record Open Access.

(21) The Library Digital Collections will provide information and advice to authors to support submission of scholarly works and research outputs, including:

a. appropriate open access of submissions with author permission and in accordance with relevant legal obligations and policy requirements;
b. which version of research output and which documentation to submit to digitisation@cdu.edu.au or the CDU eSpace self-submission portal;
c. how to submit research outputs and related documentation in the CDU eSpace self-submission portal;
d. how to submit relevant metadata for research datasets;
e. acquisition of publisher versions from publisher or other sites when appropriate;
f. indicating any pre-publication versions for potential readers;
g. information on how to retain the copyright of work and not assign exclusive rights to any third party; and
h. compliance with copyright and other legal requirements and open access principles as found in the Australian Code for the Responsible Conduct of Research, 2018, the ARC Open Access Policy and the NHMRC Open Access Policy statements.

Copyright

(22) The copyright of any material deposited in the University's institutional repository CDU eSpace is retained by the author or creator. The repository exists to preserve and make available that material, but it does not assume ownership rights.

(23) Depositing an item into CDU eSpace does not change any copyright agreements made at the time of publication, or the author's rights for unpublished material.

Embargo Periods

(24) Where an embargo period is imposed by copyright owners, authors and creators can still deposit research materials in CDU eSpace. The Library Digital Collections will ensure closed access pending the expiry of embargo periods and other legal obligations, then automatically make the materials visible and accessible in the institutional repository at the end of the embargo period.

Publisher Permissions

(25) Research data and primary research materials will only be made open access to the public with the permission of the owner of the research material. Authors and creators are responsible for confirming that deposited material in CDU eSpace does not breach any agreement made with a third party in relation to the research. Where possible, the Library Digital Collections will provide a link from the metadata to the article's location on the publisher's site.

(26) The Library Digital Collections will check that the publisher allows author self-archiving before uploading deposited material to the web.

(27) In cases where a publisher does not permit self-archiving, depositors will be required to gain permission to deposit his or her material on CDU eSpace.

(28) If there is any dispute over the appearance of a publication in CDU eSpace, the Library Digital Collections will remove the item until the dispute is resolved.

(29) If this permission is not provided, a full copy of the research material will not be accepted; however, a record of the publication metadata, including bibliographic information, may be submitted.

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Implementation Officer	Bernadette Royal Director Library Services
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