

Open Access Policy

Abstract

The University of Technology, Sydney is committed to disseminating its research and scholarship as widely as possible. This policy provides guidance on the requirements and practices of the University to provide equitable, worldwide access to the research and scholarly output of staff and students.

Dates	Policy approved 23/10/2013 Policy takes effect 19/12/2013 Policy is due for review (up to five years) 10/2018
Approved by	Academic Board Meeting 13/4, 23 October 2013 Resolution number: AB/13-4/56
Implementation Officer	University Librarian
Relevant to	All staff and students
Related documents	Intellectual Property Policy Research-Generated Intellectual Property and Commercialisation Vice-Chancellor's Operational Directive Responsible Conduct of Research Policy Thesis Presentation and Submission Procedures for Higher Degree by Research Students Australian Research Council — Open Access Policy National Health and Medical Research Council — Dissemination of Research Findings Australian Code for the Responsible Conduct of Research National Principles of Intellectual Property Management for Publicly Funded Research, 2001 Guidelines for reporting research through the Higher Education Research Data Collection (HERDC) process
Legislation	Copyright Act 1968 (Cwlth) Copyright Amendment (Moral Rights) Act 2000 (Cwlth)
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1. Purpose

The University of Technology, Sydney is committed to ensuring wide dissemination of its research and scholarship and supporting the principles of an international open access community. This Policy aims to ensure that research and scholarly works undertaken at UTS are available online and worldwide, free of charge and from other restrictions wherever possible. It enables UTS researchers to meet the requirements of funding bodies (for example, the Australian Research Council and the National Health and Medical Research Council), to make research results publicly accessible.

In addition to the public benefits of an open access approach to research and scholarship, this Policy is intended to serve the interests of UTS students and staff by:

- widening the potential research readership
- increasing the impact of research and scholarly outputs
- simplifying the authors' retention of distribution rights
- aiding preservation.

2. Scope

This Policy applies to all staff and students undertaking research in UTS, either full-time or part-time, and applies to scholarly outputs and research outputs (in particular the accepted manuscript version of an article and the published version). The Policy also applies to scholarly or research outputs co-authored by research students and staff.

This Policy does not apply to any output completed before the adoption of this Policy and any output for which the author has entered into an incompatible licencing or assignment agreement.

The Policy does not apply to confidential material or commercially sensitive material such as material subject to intellectual property (IP) protection and commercialisation (refer section 4 of [Vice-Chancellor's Operational Directive — Research-Generated Intellectual Property and Commercialisation](#)).

3. Definitions

Accepted manuscript means the final peer reviewed and corrected version of an article or research paper or work. The text is the same as the published version but without the formatting.

Copyright means all rights conferred by the Copyright Act 1968 (Cwlth) as amended or substituted in relation to, without limitation, literary works, dramatic works, musical works, artistic works, films, sound recordings, broadcasts, published editions and certain types of performances.

Digital repository refers to the University's institutional digital storage system for its articles, books, theses and other research and scholarly works.

Open access means free and unrestricted (electronic) access to UTS conducted research, articles and other scholarly outputs.

Published version means the publisher's PDF of an article or research paper or work, which has been copy-edited and formatted for publication. It is sometimes called the version of record.

Scholarly outputs means copyright material which is the final outcome of research, scholarly or academic work undertaken by University staff members or students and which may include research, creative and other outputs. It does not include course and educational material.

University means University of Technology, Sydney (UTS).

4. Policy principles

The University aims to share its research and scholarship as widely as possible, enabling open, equitable, worldwide access to the research and scholarly output of UTS staff and students.

Outputs of research and scholarship conducted at UTS are collected as part of the University's research management processes and are stored and made accessible through the UTS digital repository.

The UTS [Intellectual Property Policy](#) contains provisions on the ownership of intellectual property which allows the University to make publicly available, staff and student research or scholarly outputs for the benefit of the community and the University.

5. Policy statements

5.1 Intellectual Property Policy and UTS research and scholarly outputs

The UTS [Intellectual Property Policy](#) articulates the rights of the University to a nonexclusive, royalty-free, perpetual, irrevocable worldwide licence to reproduce and distribute staff and student research or scholarly outputs for the purposes of the University.

Limitations for different categories of UTS-generated intellectual property are specified in the UTS Intellectual Property Policy meaning certain works created at UTS may be exempt from this Policy.

5.2 UTS digital repository and research and scholarly outputs

Research and scholarly outputs will be collected and stored in the UTS digital repository and will not be altered except as permitted or required under law to:

- a. reproduce, electronically communicate and distribute the open access copy, including any open access copies of the publisher version of the specified work online, for free and for non-commercial use
- b. make more than one copy of the work for the purposes of security, back-up and preservation
- c. ensure copyright compliance is achieved.

5.3 Open access and publisher restrictions

Both the accepted manuscripts and published versions must be deposited in the digital repository.

- a. Accepted manuscripts will be made open access, available to anyone on the Internet, except where this is restricted by publisher policy.
- b. The published version will be made open access, where there is agreement from the publisher.
- c. Where open access is restricted by a publisher embargo or other conditions, the output will be archived in the repository without open access for the period of the embargo or other restriction. An abstract or link to the external approved publication of the output may be added to the repository.
- d. Where possible, publication agreements should enable compliance with this Policy.

5.4 Open access and copyright

Depositing outputs in the repository does not transfer copyright to the repository. Copyright remains with the author or publisher as stated in the publishing agreement.

6. Roles and responsibilities

Accountable Officer: The Deputy Vice-Chancellor (Research) is responsible for interpreting the Policy, managing compliance and initiating review.

Implementation Officer: University Librarian

7. Version control and change history

Date	Version	Approved by and resolution no.	Amendment
19/12/2013	1	Academic Board (AB/13-4/56)	New Policy