



POLICY

Policy Title: Institutional Repository

Policy Owner: University Librarian

Keywords: 1) Digital Repository 2) Research Output 3) Open Access

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[Intent](#)

[Organisational Scope](#)

[Definitions](#)

[Policy Content](#)

[Accountabilities and Responsibilities](#)

[Related Documents](#)

[Contact Information](#)

[Approval History](#)

1. INTENT

In support of the University's *Open Access to Research* policy, the intent of this policy is to provide for a publicly accessible, permanent and searchable digital repository of research output and other materials produced by staff, postgraduate students and affiliated authors of Edith Cowan University.

2. ORGANISATIONAL SCOPE

All staff, postgraduate students and affiliated authors of Edith Cowan University.

3. DEFINITIONS

TERM	DEFINITION
"Conference paper" means	a paper which is presented at a conference or meeting of practitioners in a given profession.
"Copyright" means	a collection of legal rights that attach to an original work when it is created. Copyright allows the copyright owner to control certain acts to do with their work (e.g. copying) and to prevent others from using the protected material without permission.
"Embargo period" means	a period of time imposed by an author, funder, research participant or publisher, which prohibits open access of the published work, but after which an author may self-archive.
"Errata" means	a list of errors and their corrections inserted, usually on a separate page or slip of paper, in a book or other publication. This is also referred to as corrigenda.
"Institutional repository" (or just "repository") means	an online archive where authors can deposit their work, thus making the work freely available in digital form. At ECU the repository is referred to as "Research Online".
"Metadata" means	the information that describes the material deposited in a repository. It includes the name of the article, the name of the author, the date of publication, and other relevant details.
"Open access" means	knowledge and associated materials are made available online and world-wide, free of charge and free of most access restrictions.
"Post-review" means	the final version of an academic paper before publication, incorporating the revisions made as a result of the peer review process or as accepted for publication if no changes were made. This is also known as post-print.
"Pre-review" means	the version of an academic paper which is submitted by an author for peer review. This is also known as pre-print.
"Refereed" means	an article in which the author's work and ideas have been subject to the scrutiny of others who are peers or experts in the field This is also known as peer review or expert review.
"Tombstone citation" means	a bibliographic reference to a "dead" deposition, i.e. where the full text is no longer available in the repository.
"Self-archive" means	the process of depositing one's own material in an online repository.
"URL" means	Uniform Resource Locator i.e. the address of a specific website or file on the internet.

4. POLICY CONTENT

4.1 Depositors

The following are approved depositors within the institutional repository:

- i. Staff
- ii. Postgraduate Students
- iii. Authors affiliated with the University

4.2 Approved Materials

The following materials can be deposited in the institutional repository:

- a) refereed research articles and conference papers at the *post-review* stage (author's *accepted* manuscript);
- b) refereed research articles and conference papers at the *pre-review* stage (author's *submitted* manuscript) with corrigenda added following peer review if necessary;
- c) books and book chapters;
- d) unrefereed research literature, conference contributions, chapters in proceedings (the accepted draft);
- e) data sets;
- f) theses submitted by Higher Degree by Research candidates;
- g) published patents;
- h) creative works with a research component; and
- i) other collections or resources developed or published by ECU staff, postgraduate students and authors affiliated with the University.

4.3 Deposit Requirements

- 4.3.1 Staff should deposit the complete version of their works, subject to copyright and commercial in-confidence considerations. This deposit process will be automated via the University's research management system. Other accepted content is deposited directly to the repository on a voluntary basis. Where a publisher or agreement will not allow self archiving of the full text depositors should as a minimum post the bibliographic details and abstract to the repository for those research outputs.
- 4.3.2 Postgraduate students and affiliated authors may add approved content to the repository on a voluntary basis. Research Theses are automatically added to the repository unless students opt out of participating. Deposits of theses are handled as part of the submission and graduation process for research students.
- 4.3.3 The repository accepts both pre-review and post-review materials. With pre-review materials being clearly indicated as such in the metadata.

4.4 Submission

- 4.4.1 Items may only be deposited by staff, postgraduate students and authors affiliated with the University.

- 4.4.2 Authors may only submit their own work.
- 4.4.3 Material intended for commercialisation **should not** be deposited.
- 4.4.4 Material containing confidential or sensitive information **should not** be deposited.
- 4.4.5 Material that would infringe a legal obligation of the author or the institution, or that would infringe a legal right of a third party **should not** be deposited.
- 4.4.6 Material that is restricted due to cultural sensitivity **should not** be deposited.
- 4.4.7 Material in languages other than English may be deposited.
- 4.4.8 Items can be deposited at any time, but will not be made publicly visible until any publishers' or funders' embargo period has expired.
- 4.4.9 Any copyright violations of the intellectual property within the content of materials deposited remain the responsibility of the authors/depositors.
- 4.4.10 The Library in consultation with depositors will ensure that materials lodged within the repository are not in breach of any publishing agreements that prevent self archiving within an institutional repository. This may include the Library sourcing pre and post print versions of articles from staff and students to meet publisher requirements.
- 4.4.11 If the repository receives proof of copyright violation, the relevant item will be removed.
- 4.4.12 Authors wishing to post materials on their own websites should place a link from their homepage to the repository. Where an existing established practice requires submission in a subject repository, the repository will link to such materials.

4.5 Data

- 4.5.1 Anyone may access full items within the repository free of charge.
- 4.5.2 Copies of full items generally can be reproduced, displayed or performed, and given to third parties in any format or medium for personal research or study, educational, or not-for-profit purposes without prior permission or charge, provided:
- the authors, title and full bibliographic details are given;
 - a hyperlink and/or URL are given for the original metadata page; and
 - the content is not changed in any way.
- 4.5.3 Full items must not be sold commercially in any format or medium without formal permission of the copyright holders.

4.6 Preservation

- 4.6.1 Items will be retained indefinitely.

- 4.6.2 The repository will try to ensure continued readability and accessibility. Items will be migrated to new file formats where necessary. Where possible, software emulations will be provided to access un-migrated formats.
- 4.6.3 The repository regularly backs up its files according to best practice.
- 4.6.4 The original data is retained for all items, in addition to any upgraded formats.
- 4.6.5 Items may not normally be removed from the repository.
- 4.6.6 Acceptable reasons for withdrawal include:
- Proven copyright violation or plagiarism.
 - Legal requirements and proven violations.
 - National security.
 - Falsified research.
 - At the instruction of the Deputy Vice-Chancellor (Research).
- 4.6.7 Withdrawn items are not deleted *per se*, but are removed from public view.
- 4.6.8 Withdrawn items' identifiers/URLs are retained indefinitely.
- 4.6.9 URLs will continue to point to tombstone citations, to avoid broken links and to retain item histories.
- 4.6.10 Changes to deposited items are **not** permitted.
- 4.6.11 *Errata* and *corrigenda* lists may be included with the original record if required.
- 4.6.12 If necessary, an updated version may be deposited.
- 4.6.13 In the event of the repository being closed down, the database will be transferred to another appropriate archive.

4.7 Metadata

- 4.7.1 Metadata fields selected for the digital repository must match unqualified Dublin Core metadata fields, as well as including publication and refereed status.
- 4.7.2 Anyone may access the metadata free of charge.
- 4.7.3 The metadata may be re-used in any medium without prior permission for not-for-profit purposes and re-sold commercially provided the OAI identifier or a link to the original metadata record are given.

5. ACCOUNTABILITIES AND RESPONSIBILITIES

In relation to this policy, the following positions are responsible for the following:

Policy Owner

The Policy Owner, being the University Librarian, has overall responsibility for the content of this policy and its operation in ECU.

Staff, postgraduate students and affiliated authors of Edith Cowan University

Staff, postgraduate students and affiliated authors of Edith Cowan University are required to comply with the content of this policy and to seek guidance in the event of uncertainty as to its application.

6. RELATED DOCUMENTS

6.1 The policy is supported by the following Guidelines:

- ECU Institutional Repository Guidelines.

6.2 Other documents which are relevant to the operation of this policy are as follows:

- *Open Access to Research* policy.

7. CONTACT INFORMATION

For queries relating to this document please contact:

Policy Owner	University Librarian
All Enquiries Contact:	Manager, Library Research and Discovery
Telephone:	08 6304 3723
Email address:	c.wiebrands@ecu.edu.au

8. APPROVAL HISTORY

Policy Approved by:	Vice-Chancellor
Date Policy First Approved:	28 September 2009
Date last modified:	13 August 2013 (AB43/13)
Revision History:	13 August 2013 – Reviewed and Updated
Next Revision Due:	August 2016
TRIM File Reference	SUB/49625

Institutional Repository Guidelines

1. What is Research Online @ ECU

Research Online @ ECU is the official repository that highlights and promotes access to scholarship and research outputs created by staff and post graduate students at Edith Cowan University. Research Online uses the Digital Commons software platform and can be found at <http://ro.ecu.edu.au>.

2. What is an Institutional Repository?

Institutional Repositories bring together a university's published research output in electronic form. The aim of a repository is to preserve and provide open access to that research. Access to research is enhanced via improved discovery as searches conducted in common internet tools such as Google will locate material held in repositories.

3. Who can deposit information into Research Online?

All ECU staff, postgraduate students and authors affiliated with the university can make approved materials available within the repository.

4. What are the benefits of depositing papers into a repository?

4.1. Access to your research is improved

Adding materials to a repository ensures that research is freely available. Often research is locked away within expensive journals that require a subscription to access. Ensuring copies of your work are located in open access repositories makes this available free to anyone on the internet.

4.2. Enhanced research impact

Wider access often leads to higher citation. Repositories are indexed by search tools such as Google and can dramatically increase the rates at which your research is found and then subsequently cited. Download statistics can also be provided to authors as another indication of the impact of your work.

4.3. Safe Archiving

Repositories are a safe archival record of your research output. Strict backup and archival protocols are followed to ensure a lasting record of research output at ECU.

4.4. Facilitate Research Sharing

Requests for copies of your papers can be referred to the repository saving you time and effort.

5. What can be placed in Research Online?

Approved materials include the following:

- a) refereed research articles and conference papers at the *post-peer review* stage (author's *accepted* manuscript);
- b) refereed research articles and conference papers at the *pre-peer review* stage (author's *submitted* manuscript) with corrigenda added following peer review if necessary;
- c) books and book chapters;
- d) unrefereed research literature, conference contributions, chapters in proceedings (the accepted draft);
- e) working papers;
- f) data sets;
- g) theses submitted by Higher Degree by Research candidates;
- h) published patents;
- i) creative works with a research component; and
- j) other collections or resources developed or published by ECU staff, postgraduate students and authors affiliated with the University.

Both current and retrospective materials can be added to the repository with the only restriction being that materials must have been created while you were affiliated with ECU.

6. What should not be placed into the repository?

The following materials should not be made available via the institutional repository:

- a) class notes;
- b) material intended for commercialisation;
- c) papers containing confidential or culturally sensitive information;
- d) research outputs that do not involve ECU staff, postgraduates or affiliated authors;
- e) material which, if disseminated, would infringe a legal commitment by the University and/or author.

7. How does material get placed within the Institutional Repository?

Material is added to the repository in two ways:

- 7.1. An automated process exists whereby bibliographic detail of research that has been added to the University's Research Activity System is drawn into the repository. No action is required from staff. Library staff then assess the viability of making this material available for open access by assessing the copyright issues involved. If items can legally be made available Library staff will contact authors to discuss if they wish to turn full text access on for their research objects. This may involve sourcing different versions of the research from staff to meet legal requirements. It is recommended that authors keep pre and post print versions of published materials as well as the final published version to facilitate the Libraries ability to legally give full text access to research outputs (see section 8.2).
- 7.2. A voluntary stream also enables staff, postgraduate students and affiliates to nominate materials for upload into the repository. This involves emailing the repository team in the Library with this request. Batch loads of large amounts of material can also be undertaken via coordination with repository staff. Library staff will also ensure all copyright obligations are met before actioning requests made in this way. Repository staff can be contacted at researchonline@ecu.edu.au.

8. What about Copyright?

- 8.1. Library staff will be responsible for managing copyright issues with materials placed into the repository. Many publishers allow some form of published work to be placed into an institutional repository (often referred to as self archiving). Library staff will assess material deposited for self archiving rights and will contact publishers directly to determine precise conditions. The Library will work closely with depositing staff during this process.
- 8.2. To enhance your ability to place material into a repository it is highly recommended that staff keep the pre-review and post-review versions of a submitted article as well as the final publisher version. This is because most publishers stipulate a certain version be used when making materials available in a repository.

Note:

Pre-review– the version of a paper that was initially submitted before it was peer reviewed. (Also known as pre-print.)

Post-review – the version of a paper that is ready for publication after the peer review process. It will either be accepted with no change or be the version accepted after changes are made. (Also known as post-review.)

- 8.3. It is also good practice to attempt to retain your right to deposit a copy of your work in a repository at the point at which you publish. A number of steps can be taken:
 - Check the publisher’s self archiving policy as this may influence your decision on how to manage your copyright.
 - If possible amend the publication agreement with the publisher so that you keep your right to self archive the post–review version. Consider retaining rights to your article by attaching the [SPARC Addendum](#) to your publisher's contract. For more information on licensing see the Australian Copyright Council's information sheet: [Assigning and Licensing Rights](#) (PDF).

9. Do I need to inform co-authors of an intention to add materials to the repository?

You should seek permissions from co-authors to add materials to the repository as they jointly own the copyright. At the very least you should seek the permission of the first listed author to make materials available online. It is likely that your co-authors will also be looking to add their research to their own repository.

10. Can material be deposited in the institutional repository of more than one university?

Yes, an item with multiple authors can be deposited by co-authors in the institutional repositories of their universities

11. Can I deposit my research material from ECU in the repository of another university after I leave ECU?

In depositing material in Research Online you grant ECU a non-exclusive licence. This means you are free to deposit it in other institutional or subject-based repositories. You will need to refer to the policy of the institutional repository at the new university to check whether research work from previous institutions is accepted.

12. What rights do I give to ECU when I deposit material in Research Online?

At the end of the deposit process, the author or creator agrees to grant Edith Cowan University necessary non-exclusive rights to make the material available permanently online, at no charge and with no access restrictions, and that ECU has the right to alter the format of deposited work, if deemed necessary for preservation and enduring accessibility.

13. Does Research Online satisfy National Health and Medical Research Council (NHMRC) and Australian Research Council (ARC) requirements for dissemination of grant outcomes and research findings?

13.1. Effective from 1 July 2012, the NHMRC's policy for the dissemination of research findings states that any publications arising from an NHMRC supported research project must be deposited into an open access institutional repository within a twelve month period from the date of publication. The policy is not applied retrospectively to pre-existing Funding Rules and Agreements.

13.2. Effective from 1 January 2013, the ARC's open access policy states that any publications arising from an ARC supported research project must be deposited into an open access institutional repository within a twelve month period from the date of publication. The policy is not applied retrospectively to pre-existing Funding Rules and Agreements.

13.3. Research Online is an institutional repository and therefore enables researchers to meet these policy requirements of funding bodies to deposit research outputs in an institutional or subject-based repository. The flowchart diagram at *Appendix 1* explains the process for meeting these obligations.

14. Help

If you need any assistance or advice with regard to the Institutional Repository or associated issues please contact the repository team at researchonline@ecu.edu.au.

