

e-publications@UNE DEPOSIT, COLLECTION and ACCESS POLICY

Document Type:	Policy
Administering Entity:	University Librarian
Records Management System Number:	
Date Endorsed by Board:	(AB Standing Committee)
Date Approved by Council:	
Indicative Time for Review:	Two years from approval date
Responsibility for Review:	Academic Board Research Committee
Related policies or other documents:	Knowledge Assets and Intellectual Property Policy; UNE Code of Conduct; UNE Code of Conduct for Research; Academic Staff Promotion Guidelines; UNE Privacy Statement; Quality in Research Higher Degrees: A Handbook for Higher Degree Research Students and Supervisors; Doctorate Course Rules: Rules for the Degree of Doctor of Philosophy (PhD).

Rationale and Scope

1.0 RATIONALE AND SCOPE

- 1.1 The purpose of e-publications@UNE (the Repository) is to acquire, store and make accessible all the research output, and selected research resources, of the University of New England (the University).
- 1.2 Funding agencies and government departments are requiring open access to research outputs and/or the deposit of research outputs and data in institutional repositories, especially where the research is publicly funded.
- 1.3 Open access, facilitated world-wide by institutional repositories and the Open Archives Initiative (OAI), provides:
 - access to resources that would otherwise be inaccessible
 - reduced costs to the research community in accessing and retrieving information
 - increased visibility for researchers and their institutions
 - the opportunity to expand academic networks, attract postgraduates and improve citation rates.
- 1.4 The Policy defines the deposit principles and content of e-publications@UNE, and provides a framework against which deposit, collection and access decisions may be made.
- 1.5 The Policy applies to all employees undertaking or involved in research (whether on fractional, full-time or casual appointments); postgraduate research students, and controlled entities and their employees.

Policy

2.0 DEPOSIT

- 2.1 Material which represents the total publicly available research and scholarly output of the University is to be located in e-publications@UNE, subject to the conditions noted below.
- 2.2 Full bibliographic details must be provided of research outputs and research-based creative works, even when the full text or research object may not be included in the Repository for legal or other reasons.

3.0 INCLUSIONS and EXCLUSIONS

3.1 e-publications@UNE will **include** research and scholarly material that satisfies at least one of the following criteria:

- material required, by a government or funding agency, for deposit and/or reporting in an institutional repository
- material that can be demonstrated to have undergone a recognised refereeing process
- other material produced by academic staff and approved by the relevant Head of School, Dean and Deputy Vice-Chancellor (Research)
- material forming the whole or part of work examined and accepted for the award of a University of New England Higher Degree by Research
- University Heritage Centre primary source material.

3.2 Material to be commercialised, or which contains confidential or culturally sensitive material, or where the promulgation would infringe a legal commitment by the University and/or the creator, will **not be included** in the Repository.

3.3 Categories of included and excluded materials are detailed further on the e-publications@UNE website.

4.0 COPYRIGHT

4.1 Under the Knowledge Assets and Intellectual Property Policy, the University owns all Knowledge Assets created by staff in the course of their employment.

4.2 Where needed, the University will ask copyright owners to grant the University, the non-exclusive right to preserve, reproduce, publish and communicate the research material or any part of the research material online using any technology, whether existing before or after the date of their permission, for non-commercial and research purposes for the remaining term of the copyright subsisting in the research material.

4.3 For material to be deposited and made accessible in full, one of the following conditions must apply:

- the University owns the copyright
- the creator owns the copyright and authorises inclusion of the material
- the publisher or copyright owner allows the material to be held in an institutional repository
- the material is inherently open access.

4.4 Deposit of material into e-publications@UNE does not automatically transfer copyright to the University. While the University has copyright over many knowledge assets, public access to deposited material is subject to the legal arrangements pertaining to the material, which may be dependent on agreement with the publisher or copyright owner.

5.0 AUTHORISED CONTRIBUTORS

5.1 Authorised contributors include creators of research and scholarly material as defined by the Knowledge Assets and Intellectual Property Policy. These include the University's:

- academic staff
- honorary, adjunct and emeritus teaching and research staff
- postgraduate students
- administrative, professional and technical staff
- employees of controlled entities

whether employed or studying on a full-time, fractional or casual basis and whether (whether paid or not).

5.2 Authorised contributors to e-publications@UNE are responsible for arranging the upload of their research material, confirming the related metadata, and agreeing to the e-publications@UNE Deposit Licence, set out in Appendix A of this Policy (Deposit Licence).

6.0 MANAGEMENT RIGHTS

- 6.1 The deposit and management of material in e-publications@UNE is governed by this Policy.
- 6.2 The University Librarian or delegate oversees the operation and technical standards of e-publications@UNE with specific reference to the Deposit Licence and OAI specifications.

7.0 RIGHT OF ACCESS

- 7.1 Right of access to material in the Repository will vary depending on legal rights and the nature of the research output (e.g. access to commercially, culturally sensitive, or confidential material).
- 7.2 The University will apply conditions and actions outlined in the standard “Disclaimer” on the University website.

8.0 POLICY INTERPRETATION

- 8.1 The Deputy Vice-Chancellor (Research), in consultation with the University Legal Office, the Copyright Officer and University Librarian or delegate, and where appropriate the relevant Pro Vice-Chancellor and Dean, will be responsible for determining any interpretations, exceptions or disputes with regard to this Policy.

Procedures

- 9.1 The University Librarian may issue procedural guidelines and/or management plans not inconsistent with this Policy.

References

- 10.0-12.1 **Appendix A.** e-publications@UNE Deposit Licence

Approval signature

Chancellor/Vice Chancellor

Appendix A

e-publications@UNE Deposit Licence

The e-publications@UNE Deposit Licence refers to and conforms with the University of New England e-publications@UNE Deposit, Collection and Access Policy.

10.0 The Depositor/Creator:

- 10.1 confirms they are an authorised contributor, creator, one of the creators, an agent of one of the creators or the copyright holder of the material;
- 10.2 confirms that the University has the right to include the material, or the contributor has the authority to give the University the right to include the material in e-publications@UNE;
- 10.3 confirms the material is original and does not to the best of their knowledge, infringe anyone's copyright;
- 10.4 in the case where the work:
 - is not governed by the Knowledge Assets and Intellectual Property Policy, or
 - was created before the creator joined the University, or
 - had been considered previously to be confidential, commercially sensitive or culturally sensitive:

grants the University, or grants the University the authority to seek from the copyright owner, the non-exclusive right to preserve, reproduce, publish and communicate the research material or any part of the research material online using any technology, whether existing before or after the date of their permission, for non-commercial and research purposes for the remaining term of the copyright subsisting in the research material;
- 10.5 confirms that where the material has been sponsored by another organisation (e.g. a funding body) that they have fulfilled any obligations required under the agreement with the sponsor about the use of the material;
- 10.6 retains the right to deal with end-users and others wishing to access, use and further distribute the work;
- 10.7 may, at any time, provide updated versions of the material, or request that public access to the material be removed;
- 10.8 will make their research outputs available, where this is the only access option available under publisher policy, on their own staff profile or personal web page, with a link to the relevant entry in e-publications@UNE.
- 10.9 is responsible for arranging the upload of their research material, agreeing to the Deposit Licence and confirming the metadata for their research material in e-publications@UNE.

11.0 The University Librarian or delegate:

- 11.1 retains the right to exclude any material submitted that does not conform with this Policy;
- 11.2 will refer metadata or material to the depositor if required for amendments, or for technical and indexing purposes, or to determine accessibility based on copyright agreements;
- 11.3 retains the right to do what is necessary to store, secure, manage and preserve deposited material so it is available in the future, including converting files into commonly used formats;
- 11.4 will not alter any of the material except as allowed under this Policy;
- 11.5 is not responsible for any mistakes, omissions or legal infringements within the deposited material;
- 11.6 is not responsible for any breach of intellectual property rights by end-users of the material in the Repository and has no obligation to take legal action on behalf of the creator and/or copyright owner should such a breach occur;
- 11.7 may remove any item from the Repository should there be a dispute about its ownership or intellectual property rights or for any other reason which may affect the integrity of e-publications@UNE;
- 11.8 has no obligation to take legal action on behalf of the creator and/or copyright owner if the intellectual property rights in the material are breached;
- 11.9 does not have the right to make representations on behalf of the creator to end-users.

12.0 The Deputy Vice-Chancellor Research,

- 12.1 in consultation with the relevant Pro Vice-Chancellor and Dean, will be responsible for determining any disputes or interpretations regarding the Deposit Licence.

13.0 End-users

- 13.1 are bound by this Policy.