

# POLICY AND PROCEDURES

Submission of Research Outputs of VU Staff and Students to the VU Institutional Repository (VUIR)

This policy is important to:

- Postgraduate Higher Degree Students
- Academic Staff Members
- Supervisors of Postgraduate Higher Degree Students
- University Library
- Office Of Post-Graduate Research

POLICY NUMBER: POI110722000

DATE APPROVED: 1 July 2011

POLICY CATEGORY: Information and Communication  
Technology

POLICY OWNER: University Librarian

## 1. CONTEXT

This policy is intended to provide guidance on the mandatory submission of staff and postgraduate research students' research outputs and theses to the VU Institutional Repository (VUIR), subject to the exclusions noted.

A major change has taken place in the scholarly communication process with the move from print to digital information. VUIR enables the Library to assist VU to provide access to its scholarly output through an open archive approach and assist researchers self archive their work. This approach enables access to web-accessible material through interoperability standards and harvesting.

[VUIR](#) aims to showcase, disseminate and manage the publicly available research and scholarly outputs from VU staff and students undertaking a higher degree by research and other doctorate degrees. VUIR contributes to the growing international trend towards Open Access to scholarly outputs and makes VU research literature freely available on the internet. The inclusion of material in VUIR does not restrict the author's right to include the material in any other open archive. In situations where there is demonstrable benefit for the full text to be accessible from another open archive (e.g. subject repository), links will be established from the metadata in VUIR.

## 1.1 Submission and Access to Full Text

The accessibility of full text versions is determined by copyright agreements or other contractual arrangements. Authors when signing a publishing agreement are encouraged to specify that their information can be made available on open access repositories. In cases where full text material cannot be added to VUIR due to copyright or other restrictions, metadata related to the specific item will be added in the form of a citation, abstract and where possible links to available online full text. VUIR is searchable as a database, via the Library web site, Google Scholar, OAIster and the TROVE Discovery Service. Full text items are available for download and download statistics are available. Library staff and the Copyright Officer will assist with publisher permission checking and clarify any copyright restrictions so that the appropriate version of research is able to be submitted to VUIR. Library staff will also undertake the submission process of the appropriate version of research outputs as well as create quality metadata tags describing the material's content. Researchers are also able to self submit their work to VUIR.

Submission to the VUIR also enables researchers to meet recommendations of funding bodies, including ARC and NHMRC, to deposit research publications in an institutional or subject-based repository.

The Library and the Office for Research will implement processes for the collection and reporting of VU research to be streamlined to ensure one lodgement can be used for multiple administrative and funding purposes such as Research Active Index and Promotions. Due to copyright restrictions this may require the lodgement of both post-print and published versions of research.

### Benefits

The following benefits result from the implementation of this policy:

- Increase in impact of VU research output
- Contribute to the national digital theses program
- Raising of profile and prestige of the University
- Management of assets in a secure and stable environment with ease of access
- Ensuring the results of research supported by public funds are made accessible
- Contributes to the creation of a community of scholarly interests so that potential collaborators are linked.

## 2. DEFINITIONS

### Author

The creator of an original work.

### OAIster

A service which allows metadata to be retrieved from scattered archives and repositories. This data is aggregated so that it can be searched with a single query.

### Open Archives Initiative (OAI)

The OAI develops and promotes a low-barrier interoperability framework and internationally agreed standards to enhance access to E-print archives.

<http://www.openarchives.org>

### Post-Print and Pre-print

This policy characterizes pre-prints as being the version of the paper before peer review and post-prints as being the version of the paper after peer-review, with revisions having been made. This means that in terms of content, post-prints are the article as published. However, in terms of appearance this might not

be the same as the published article, as publishers often reserve for themselves their own arrangement of type-setting and formatting. Typically, this means that the author cannot use the publisher-generated .pdf file, but must make their own .pdf version for submission to a repository.

#### **Refereed**

Papers or articles that have been the subject of external or peer review prior to inclusion in a scholarly journal or proceedings. Where this process has not taken place, the submission must be approved by the relevant Head of School or equivalent for inclusion in the Repository.

For research theses, the examination process is considered equivalent to the external or peer referee process.

#### **RFCD**

Research Fields, Courses and Discipline used to define research when applying for contestable research funding.

#### **Trove**

National Library of Australia's discovery service which incorporates access to materials formally accessible via the Australasian Digital Theses Program (ADT) and the Arrow Discovery Service.

### 3. STATEMENT OF POLICY

Contribution of VU refereed research papers written by VU educational and research staff to the VU Institutional Repository is mandatory. Other material must satisfy the requirements of this policy to be accepted for submission to the repository and be made publicly accessible.

Authors of material which represents publicly available research and scholarly output of the University must ensure its submission to the University's Institutional repository, subject to the exclusions noted.

The following materials are to be **included**:

- Refereed scholarly and research articles and contributions by current VU staff and students at the post-print stage (subject to any necessary agreement with the publisher)
- Refereed scholarly and research literature by current VU staff and students at the pre-print stage (with corrigenda added subsequently if necessary at the discretion of the author)
- Classified Doctoral (PhD and Professional Doctorate), Masters by Research degree theses by VU students
- University related research material such as books, working papers, discussion papers, government submissions, reports and inaugural professorial lectures

The following materials may be **excluded**:

- Material which contains confidential information, or of which the promulgation would infringe a legal commitment by the University and/or the author should not be included in the repository. In this category is third party confidential information such as commercial-in-confidence reports as well as the University's confidential information such as information which may be the subject of a new patent application. [Note that once a patent application has been filed then publication of the content does not affect it.]
- Unedited/unreviewed personal opinion outputs
- Book reviews
- Non-educational/non-scholarly outputs
- Textbooks and teaching materials
- Material to which granting unrestricted access would compromise ethical considerations, including those relating to cultural sensitivities.
- Theses, other than Masters by Research or Doctorates, except by special request of Head of School

- Unrefereed draft papers or draft versions of papers released for discussion
- Administrative documents and records, including those associated with research projects
- Raw research data

Authors of documents will be consulted on the suitability of materials to be included or excluded, with input from Heads of Schools if required.

In cases where other parties have rights in the creation of the work, permission should be sought by the submitting author for permission to include the publication/output in VUIR in accordance with the VUIR licence.

## 4. PROCEDURES

### 4.1 Submission to VUIR

Guidelines for the process to be followed in lodging materials in the Institutional repository are available from the Library Information Resources Branch and are on the Library Web Page <http://eprints.vu.edu.au/guidelines.html>. Researchers can self archive or ask the Library to submit outputs to the Repository on their behalf.

The material is organised in collections by format, and access is also available by author, year and FOR (formerly RFCD) Classification. SEO (Socio- Economic Objective) codes may also be incorporated.

- The author grants to the repository the non-exclusive right to reproduce, publish, electronically communicate and distribute the material for the purpose of making the material available to end-users in the digital repository.
- VUIR will create stable URLs for deposited items and assist with issues around copyright and self-archiving.
- All submissions will be assessed for compliance with this policy before they are made available for open access. Depositors can expect a delay between submission and publication in VUIR.
- The Library ensures the metadata of submissions meets with established metadata standards in VUIR.
- Where issues arise with compliance the VUIR administrators will provide feedback to the depositor.
- The repository will provide examples of suggested clauses for authors to utilise when submitting research for publication to ensure that they retain the ability to publish in Institutional Repositories.

### 4.2 Submission of theses to VUIR

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Submission of theses to VUIR is coordinated by the Office for Postgraduate Research

- Qualifying students complete a VUIR Submission form as part of the Office for Postgraduate Research (OPR) thesis deposit process. Students must submit three copies of their thesis, one for the University Archive, one for the School, Centre or Institute and one for the Library which will normally be in electronic format. The Library copy should preferably be in Microsoft Word or Adobe PDF on compact disc (CD). A blank CD will be provided.
- Students lodging an electronic copy of a thesis with a completed VUIR submission form agree to allow the Library to publish the material in electronic format. This will enable the Library to deposit the thesis in the Australasian Digital Theses program on behalf of the student. Students should also complete the submission form if they deposit their thesis in hardbound form, so that the Library may scan the thesis and deposit it in the VUIR to allow availability via the National Library of Australia Trove Service.

- Both the Candidate and Principal Supervisor, as part of the completed VUIR submission form, indicate that the Candidate has permission to use any third party content and that the thesis does not breach copyright provisions. If the student or supervisor does not wish to make the full text of the theses available electronically the Library copy of the thesis should still be submitted electronically but the full text content will be restricted and not accessible via the repository or the National Library of Australia Trove Service.

Restriction of access to full text of submitted theses may be possible in other specific cases. In order for access to full text to be restricted, contact must be initiated by the author with the Office for Postgraduate Research and a “**Restricted Access to a Thesis**” form completed and submitted. The Office for Postgraduate Research will be responsible for approving restrictions and will advise the Library as appropriate.

### 4.3 Compliance procedures

Uploading of material to the Institutional repository in electronic form through forms on the Library Web page is the responsibility of authors and researchers, as advised and supported by the University Library Information Resources Branch. Materials can be submitted to the Library at any time in the electronic format specified in the Library Web page <http://w2.vu.edu.au/library/eprints/guidelines.htm#Submission> and with the completed submission form which is on the Library Web page <http://w2.vu.edu.au/library/eprints/files/LDI26VUIRform.doc>

Where authors or researchers maintain home pages, links should be provided to the article or document which has been submitted to VUIR as the authoritative VU service.

Responsibility for complying with the University's copyright policies and procedures; any third party contracts; copyright legislation and publishers' rights rests with the staff member or student submitting the item. The Library with advice from Legal Services will assist in checking copyright where the author is unclear. Information and guidelines on the University's intellectual property policies and procedures is available from the Office for Innovation and Commercial Development., Information on the policies of certain publishers on depositing in e-repositories is available from the Library. The Library will also assist VU authors in assessing suitable publishers and preferred copyright conditions for their publications.

In the event of a dispute regarding VU's right to make material accessible via the repository, the Library reserves the right to deny access to or remove the material from VUIR until the matter is resolved to the University's satisfaction.

## 5. POLICY ADVISOR

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## 6. RELATED POLICIES AND LEGISLATION

Copyright Act 1968  
 Higher Education Academic Promotion, POA10082400 (13/04/2010)  
 Intellectual Property, POR101116000 (24/08/2010)  
 ResearchActive Index (RAI), POA10051212001 (07/5/201)

## POLICY HISTORY

Version approval date	Summary of changes
May 2008 revision	<p>Name Change to VUIR (VU Institutional Repository)</p> <p>Submission of VU refereed publications written by educational and research staff will become mandatory</p> <p>Update to definitions and policy for growth of search engines. Now also includes ARROW Discovery Service</p> <p>Better definition of inclusions and exclusions of material types to VUIR</p> <p>Exclusions include author determined sensitivities and expansion of commercial exclusions and patents</p> <p>Recommendation that Creative Commons be used by authors to easily mark their creative work with the freedoms they want it to carry</p> <p>Commitment to workflow improvement to ensure one lodgment serves many purposes so that duplication of effort is avoided</p> <p>Access provides for use of FOR and SEO codes to reflect change in DEST data collection requirements</p>
28 August 2008 revision	<p>Clarification of compliance being to the policy requirements and a clarification of the role of the library in terms of copyright checking</p> <p>Definition of author</p> <p>Inclusion of reference to other relevant university policies - RAI and Academic Promotions, Intellectual Property</p>
13 October 2008 Revision	<p>Made clearer that the Library will assist researchers with copyright issues including permission checking and submission to VUIR</p> <p>Excluded book reviews</p> <p>Added definitions of pre and post prints.</p> <p>Added clause regarding copyright dispute handling.</p>
27 October 2008	<p>Accommodate links between metadata on VUIR and full text on other open access repositories</p> <p>Made clear that student exempt from mandatory nature of policy</p> <p>Incorporated copyright, exclusions and dispute resolutions suggestions from Legal Services.</p>
10 December 2008	<p>Following feedback during ERB meeting, deletion of exclusion under 5.0 Policy: <i>Material totally in languages other than English.</i></p>
22 March 2010	<p>Inclusion of material under item s 2.0 and 6.0 relating to ADT</p>
7 July 2010 (POI081218000)	<p>Amendment to Intellectual Property information in item 11.4</p>
1 July 2011 (POI110722000)	<p>Minor amendments to Sections 1 – 4. Updated to incorporate procedures related to the submission of thesis</p>