



THE UNIVERSITY
of ADELAIDE

Adelaide Research & Scholarship: Repository Submission Guidelines

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history.**

1. Purpose

The purpose of these guidelines is to assist researchers to make their research outputs open access in [Adelaide Research & Scholarship](#) (AR&S). These guidelines support the [University of Adelaide Open Access Policy](#) and should be read in conjunction with it.

Adelaide Research & Scholarship is the University of Adelaide's research repository. The purpose of AR&S is to:

- Enable worldwide discovery and open access of research outputs authored by University of Adelaide staff and higher degree research students
- Support researchers to comply with the open access requirements of national and international funding bodies
- Support researchers to fulfil their obligations in relation to the [Australian Code for the Responsible Conduct of Research](#) and the [University of Adelaide Open Access Policy](#)

[Aurora](#) is the University of Adelaide's research outputs system and is the main source of metadata in AR&S. The majority of research outputs are deposited to AR&S via Aurora.

2. Scope

These guidelines apply to research outputs produced by staff, students and titleholders of the University who are involved in the conduct of research associated with the University anywhere in the world.

2.1. Inclusions

Material included in AR&S may include both traditional and non-traditional research outputs (NTROs). In accordance with the [Open Access Policy](#), the following research outputs must be deposited in AR&S:

- Peer-reviewed journal articles
- Peer-reviewed conference papers
- Books and book chapters
- Higher degree research theses submitted via the Adelaide Graduate Research School
- NTROs, or metadata records describing NTROs, of the following types:
 - original creative works
 - live performances of creative works
 - recorded/rendered creative works
 - curated or produced substantial public exhibitions and events
 - publicly available research reports for an external body
 - portfolio of NTROs

Other Research Outputs that may be deposited to AR&S include:

- Other conference contributions
- Other reports and working papers
- Articles/commentary e.g. published in *The Conversation* and similar outlets
- Software or computer code

2.2. Exclusions

The following types of material must not be deposited to AR&S:

- a) Material intended for commercialisation
- b) Material containing confidential, proprietary, personal or sensitive information
- c) Material that should not be made publicly available for reasons of cultural or commercial sensitivity
- d) Material that would infringe a legal obligation of the University of Adelaide and/or the author(s) or creators(s), or the legal rights of a third party
- e) Material that contains offensive, defamatory or unlawful content
- f) Preprints or submitted versions of research outputs (see section 5.1)
- g) Bachelor (Honours), Graduate Diploma and Masters by Coursework theses
- h) Research data
- i) Administrative documents and records
- j) Learning and teaching materials
- k) Other material that is not research

Material that is subject to any restrictions and/or embargoes arising under any agreement, including those related to publication, commercialisation, confidentiality, copyright, cultural sensitivity, or any other legal obligations should not be deposited to AR&S unless legally permitted to do so.

In line with the [Research Data and Primary Materials Policy](#), researchers are encouraged to deposit their research data in Figshare, the University of Adelaide's official data and digital object repository. Research outputs not included in the scope of AR&S may also be deposited in Figshare including figures, software/code, images, videos, posters and presentations.

3. Copyright

3.1. Ownership of copyright

[The Intellectual Property \(IP\) Policy](#) provides that researchers and students retain the copyright in their scholarly or creative works except in certain circumstances. Further, the Policy states that the University is entitled to a free, irrevocable, ongoing, non-exclusive right to use the relevant work for the University's teaching, research and promotional purposes.

Where copyright is assigned or licensed to a publisher, an appropriate sublicense or terms should be in place for the University to use and make the work available to the public, subject to any overarching legal or contractual obligations.

For theses, the Final Thesis Lodgement Form grants the University the right to archive and to reproduce and communicate to the public theses or dissertations, in line with the IP Policy.

3.2. Third party copyright material

To support copyright compliance, Researchers should conduct [copyright clearances](#) on all third party materials present in the work before submission to AR&S and keep records of these clearances.

3.3. Open Access licences

A Creative Commons Attribution International 4.0 ([CC BY](#)) licence is recommended for all research outputs deposited in AR&S. Note that research funders and publishers may only permit certain types of open access licences.

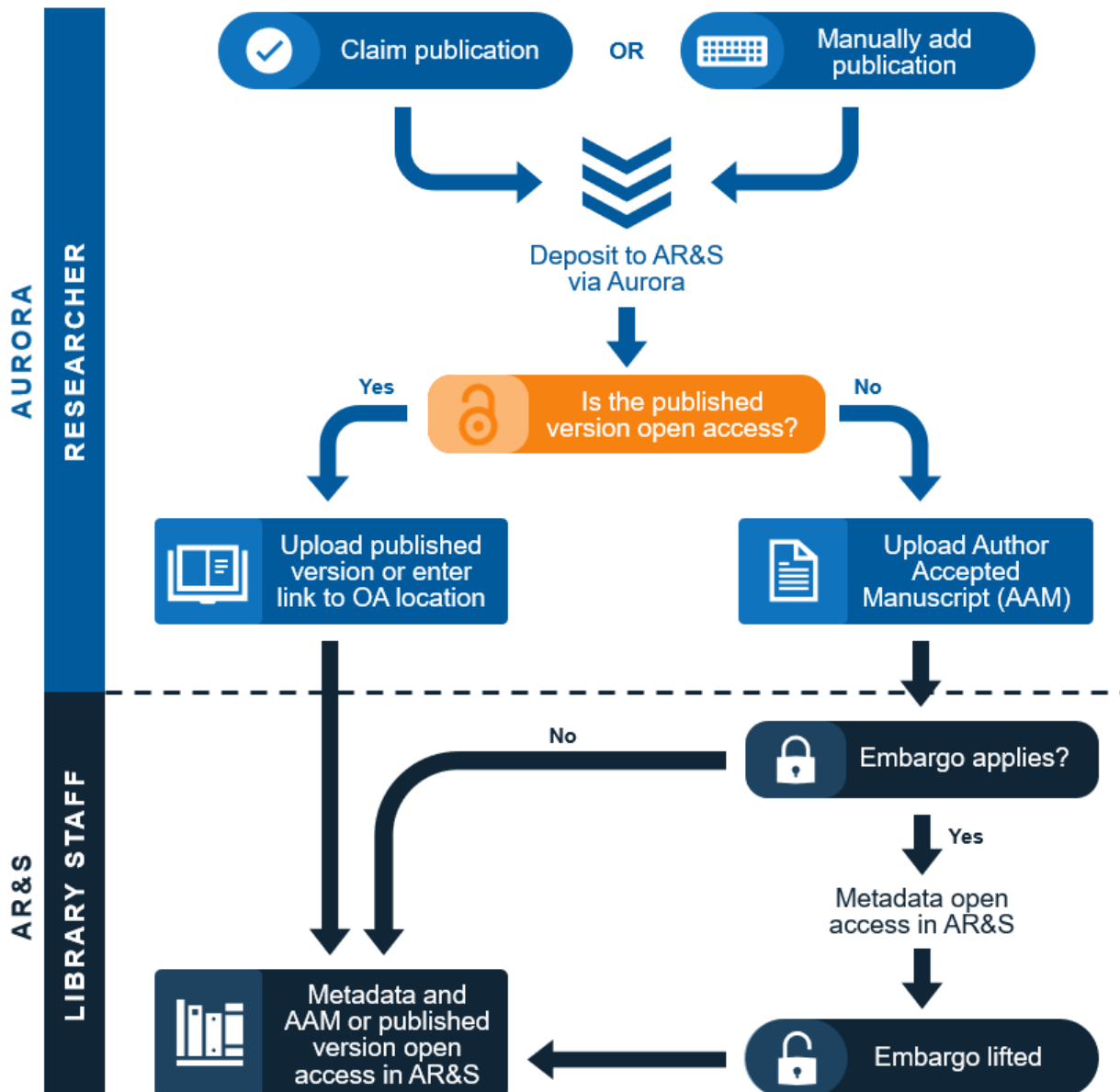
3.4. Takedown procedures

In accordance with the Procedure for Actioning Copyright Infringement Allegations and Take-Down Notices, the Library will remove any material from AR&S that is subject to a Take-Down Notice as directed by the Copyright & Licensing Coordinator.

4. Deposit to AR&S

Research outputs are deposited to AR&S via Aurora. Material listed in section 2.2 *Exclusions* or that cannot be made publicly available must not be deposited to AR&S.

An overview of the deposit process is shown below:



4.1. Traditional research outputs

Traditional research outputs deposited to AR&S, including journal articles, conference papers, books and book chapters, must be the peer-reviewed version i.e. the Author Accepted Manuscript (AAM) or the published version (see versions below).

To deposit their research output to AR&S, researchers need to:

- Claim or manually add publication metadata for the research output in Aurora (see [Aurora Support](#)).
- Where the research has been funded by an external body:
 - Ensure the Funding Acknowledgement field of the publication record in Aurora includes funder, grant ID and project details (as required by the funder)
 - Optionally, link the publication record to the associated grant funding record in Aurora
- Choose and apply an appropriate open access licence (reuse licence) to the output in accordance with the publishing agreement and as stipulated by relevant funder policies, noting that some funders require application of a CC BY or other licence.
- Upload an appropriate version of the output (see section 5 *Versions* below), or if the output was published open access, enter a persistent link to the open access (OA) location (e.g. DOI). If an embargo applies, the file will be restricted in AR&S and will be made accessible by the Library once the embargo period ends.

Research outputs that cannot be made publicly available, such as for privacy or confidentiality reasons, must not be deposited to AR&S. The details of the output (metadata record) can be deposited to AR&S, when appropriate, by choosing the Deposit Without Files option.

The output will be reviewed by the Library before being made publicly available in AR&S, subject to any embargo periods.

4.2. NTROs and other research outputs

Wherever possible, NTROs specified in section 2.1 *Inclusions*, or a representation of the output, should be deposited to AR&S. At a minimum the details of the output (metadata record) are required to be entered in Aurora and deposited to AR&S. While Aurora does not have the capacity to build portfolios, NTROs intended to make up a portfolio may still be deposited individually. Other research outputs may be deposited to AR&S as specified in section 2.1 *Inclusions*.

In most cases there will not be an existing metadata record for these types of outputs in Aurora, so this will need to be added manually.

The files uploaded to AR&S will depend on the individual output and may include event program, music score, digital recording, full report, full book or chapter, or book front matter.

To deposit their research output to AR&S, researchers need to:

- Claim or manually add the NTRO or other research output as a new publication in Aurora (see [Aurora Support](#)).
- Complete all mandatory metadata fields, including a Research Statement describing the research component of the output where applicable (if unable to provide a research statement at the time put TBC, or NA if not applicable).
- Where the research has been funded by an external body:

- Ensure the Funding Acknowledgement field of the publication record in Aurora includes funder, grant ID and project details (as specified by the funder)
- Optionally, link the publication record to the associated grant funding record in Aurora
- Select and apply an appropriate open access licence (reuse licence) to the output.
- Upload the output (or representation of the output) if it can be made publicly available in AR&S, or if the output was published open access, enter a persistent link to the open access (OA) location (e.g. DOI).

Research outputs that cannot be made publicly available, such as for privacy or confidentiality reasons, must not be deposited to AR&S. The details of the output (metadata record) can be deposited to AR&S, when appropriate, by choosing the Deposit Without Files option. For NTROs that cannot be made publicly available, researchers may also upload evidence that demonstrates the content of the output, choosing the file version “Supporting information” – these files will not be made publicly available.

The output will be reviewed by Research Services and the Library before being made publicly available in AR&S, subject to any embargo periods.

[Research Services](#) can provide further guidance on NTROs.

4.3. Higher degree by research theses

Higher degree by research theses are submitted to Adelaide Graduate Research School as part of the final thesis submission process. They are not deposited via Aurora. Refer to sections 7.2 and 7.5 below and the [Research Student Handbook](#).

5. Versions

The version of the research output deposited to AR&S should be closest to the published version which can be made publicly available.

- If the published version (Version of Record) was published open access, this version may be deposited, or a link to the published version provided.
- If the published version (Version of Record) was not published open access, the Author Accepted Manuscript (AAM) should be deposited.

5.1. Submitted version or preprint

Preprints are the author’s original version of a research output before peer-review or editing. Preprints are not accepted in AR&S. Making the preprint of a research output open access does not fulfil open access policy requirements of funders or the University. Preprints may be shared on a preprint server.

5.2. Author Accepted Manuscript (AAM)

The AAM is the accepted and amended final version of a paper, following peer-review and prior to publication. This version can be deposited to AR&S if allowed by the publisher. Some publishers impose an embargo period of 12-36 months and access to the deposited file will be restricted in AR&S during that time.

5.3. Proof

A proof is a copy of the final version of the paper provided to the author for review before publication and includes publisher's typesetting, formatting and copy editing. Proof copies are not accepted in AR&S. This version is considered to be a published version and cannot be deposited to AR&S in place of an AAM.

5.4. Published version (Version of Record)

The published version is the final version of a publication, including typesetting and formatting. The published version can usually only be deposited to AR&S if it has been published open access with a suitable re-use licence, such as a Creative Commons licence, or if there is an agreement with the publisher to make the output available in an institutional repository.

6. Discovery and Access

Research outputs are searchable and accessible via AR&S with selected outputs also searchable in Library Search. AR&S is also harvested by external search engines/aggregators.

7. Roles & Responsibilities

The following are the roles and responsibilities within the University in relation to submission of research outputs into AR&S.

7.1. University of Adelaide Researchers

- Make their research outputs open access to comply with the Australian Code for the Responsible Conduct of Research, funder open access requirements and the University of Adelaide Open Access Policy.
- Deposit an acceptable version of the research output in AR&S via Aurora, in accordance with the University Open Access Policy, noting that funder open access policies may be more restrictive.
- Provide details of and comply with any restrictions (e.g. commercialisation, confidentiality) which would prevent the output being made open access.
- Ensure copyright compliance of research outputs deposited in AR&S including images, tables and figures.

7.2. HDR Candidates

- Submit a copy of their final thesis and lodgement form to the Adelaide Graduate Research School (AGRS).
- Ensure permission has been obtained for, or an appropriate licence or exception applies to, any third-party copyright material included in the thesis. If unable to rely on an exception or permission to include third-party copyright material, this must be indicated on the thesis lodgement form and a list of this material must be provided when submitting the final thesis to AGRS. Library staff will remove this material from the online version if required.
- If required, ensure an application for an embargo has been submitted and approved by AGRS.

7.3. University Library

- Review and verify publication metadata of outputs deposited to AR&S.
- Make research outputs and associated metadata publicly accessible in AR&S, and apply embargoes and access restrictions to research outputs where necessary.
- Provide information about retaining copyright and rights necessary to facilitate open access.
- Support harvest of metadata in AR&S by external search engines/aggregators.

7.4. Research Services Performance Excellence & Impact Reporting

- Manage research outputs in Aurora to meet reporting requirements of the University and external research assessment activities.
- Work with the University Library to review and verify publication metadata in Aurora.

7.5. Adelaide Graduate Research School

- Provide digital copies of the final Higher Degree by Research theses to the University Library for inclusion in AR&S.
- Manage embargoes on theses and advise the Library when embargoes are applied or lifted.

8. Related documents

- [Open Access Policy](#)
- [Research Student Handbook](#)
- [Responsible Conduct of Research Policy](#)
- [Copyright Compliance Policy](#)
- [Procedure for Actioning Copyright Infringement Allegations and Take-Down Notices](#)
- [Information Management Policy](#)
- [Intellectual Property Policy](#)
- [Externally Funded Researcher Support Policy](#)
- [Research Data and Primary Materials Policy](#)
- [Australian Code for the Responsible Conduct of Research](#)
- [Guidelines for Publication and Dissemination of Research](#)
- [ARC Open Access Policy](#)
- [NHMRC Open Access Policy](#)

Contact

For further support contact the Library Liaison team liaisonlibs@adelaide.edu.au