



Research Repository procedure

Section 1 - Preamble

(1) This Procedure is effective from 27 February 2017.

Section 2 - Purpose

(2) This Procedure outlines the process for maintaining a system for the accurate and up-to-date recording of published research and scholarly outputs of staff and research students.

Section 3 - Scope

(3) This Procedure applies to all scholarly and research outputs of staff and students of the University according to the [Publication and Dissemination of Research procedure](#).

Section 4 - Policy

(4) This Procedure is pursuant to the [Research Conduct policy](#).

Section 5 - Procedure

(5) The University will maintain an online research repository, Deakin Research Online (DRO), to preserve and disseminate the University's research to the public. DRO comprises two collections:

- a. a reportable collection, containing scholarly and research outputs that meet the criteria outlined in clauses 11-14
- b. a non-reportable collection of scholarly and research outputs.

(6) All scholarly and research outputs submitted into DRO must comply with the approved guidelines.

Roles and Responsibilities

(7) Authors will:

- a. submit or claim their work, for transfer into DRO, within 90 days of publication, or in accordance with conditions imposed by the body funding the research
- b. ensure metadata required for reporting and discovery is included.

(8) Faculties or Institutes and other organisational units will:

- a. provide metadata verification, affiliation information and quality assurance on submitted publications
- b. ensure evidence of publications are lodged within 90 days (or in accordance with the period of time specified by

fundings)

- c. add required classification codes
- d. monitor the quality of publications submitted.

(9) The University Library will:

- a. provide and administer DRO
- b. monitor the automatic assessment of records for the reportable and non-reportable collections and reassign if necessary in accordance with the approved guidelines
- c. collect, create and manage all metadata necessary for discovery and preservation
- d. collect, create and manage copies of the research and scholarly outputs for preservation purposes
- e. determine whether open access is allowed, and manage all relevant embargo periods.

(10) Deakin Research will:

- a. provide and administer the Research Reporting Management System
- b. determine the publication metadata required for University internal and external reporting
- c. be responsible for all data required for research reporting
- d. provide guidance and administer policy on research strategy and objectives and alignment with collection processes.

DRO reportable collection

(11) The Library will ensure that the following materials are included in the DRO reportable collection:

- a. Excellence in Research Australia (ERA) recognised publications that are authored or co-authored by Deakin staff or students
- b. refereed research articles and conference papers (post-print or published version)
- c. books and book chapters
- d. creative works with a research component, including:
 - i. portfolios of creative works
 - ii. recorded/rendered creative works
 - iii. substantial curated or produced public exhibitions and events
- e. Higher degree by research theses.

(12) The following research and scholarly outputs and associated metadata may be included in either the DRO reportable or non-reportable collections but will not be publicly available unless otherwise determined by the Deputy Vice-Chancellor Research or nominee:

- a. material intended for commercial purposes
- b. material containing confidential or proprietary information
- c. material restricted due to cultural sensitivity.

(13) The following research and scholarly outputs will be included in the DRO reportable collection only where approved by the Deputy Vice-Chancellor Research or nominee:

- a. non-refereed conference contributions or chapters in proceedings
- b. technical or commissioned reports and other non-refereed research outputs including working papers, seminar papers, presentations and discussion papers.

(14) Outputs may be removed from the DRO reportable collection if they no longer meet the criteria for inclusion, if they are 'dual use of concern' or if the author requests removal and the request is approved by the University.

DRO non-reportable collection

(15) Research and scholarly outputs that are not included in the DRO reportable collection but meet the approved guidelines will be retained by the Library and placed in the DRO Non-reportable collection or archived.

Access and format

(16) The Deputy Vice-Chancellor Research or nominee may restrict access to outputs in the repository, in part or in full, particularly if copyright permission is in doubt or unavailable.

(17) Wherever possible, the full text of the material in the repository will be made freely available, subject to copyright law and publishers' licence agreements unless explicitly specified otherwise by the Deputy Vice-Chancellor Research.

(18) Where deposit of the full work is not possible due to copyright or other restrictions, metadata-only records may be included in the repository.

(19) The format of outputs submitted into DRO will be in the following order of preference:

- a. published version
- b. post-print version
- c. pre-print version
- d. metadata, including abstract.

Copyright

(20) The deposit of research and scholarly outputs in the repository does not transfer copyright to Deakin University. The copyright holder retains the copyright for all content deposited in the DRO consistent with the [Copyright policy](#) and [Copyright procedure](#).

(21) Authors will ensure that all necessary copyright clearances have been obtained for any third party material included in their publications.

(22) Copyright holders grant to the repository a non-exclusive right to reproduce, adapt, publish, electronically communicate and distribute the material for the purpose of making the material available to end-users.

Section 6 - Definitions

(23) For the purpose of this Procedure:

- a. author: a person determined to be an author under the [Research Authorship procedure](#).
- b. claim: process of acknowledging authorship or responsibility for the creation of a research output.
- c. DRO reportable collection: a subset within DRO that includes published outputs that meet ERA criteria.
- d. DRO non-reportable collection: a subset within DRO that includes quality research outputs that are not reportable for ERA but meet the approved guidelines.
- e. dual use of concern: where research can have alternative applications with negative implications for public health and safety or national security.
- f. ERA - Excellence in Research Australia: The Australian Research Council is responsible for administering Excellence in Research for Australia (ERA), which aims to identify and promote excellence across the full

spectrum of research activity in Australia's higher education institutions.

- g. open access: free online access to research and scholarly publications on the public internet.
- h. post-print: the manuscript version of the work, accepted for publication, following peer review and revision. Also known as the "Author accepted version", or "Accepted manuscript".
- i. pre-print: draft version of the work submitted by an author for peer review.
- j. Publication: process of making research outputs available for consumption and citation in print or electronic form, including via subscription based print journals and electronic collections.
- k. published version: The definitive and final version of a publication, as made available by the publisher.
- l. refereed works: works that satisfy the external or peer review requirements of a scholarly journal or conference proceedings prior to publication.

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