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1 PURPOSE

- 1.1 This policy outlines requirements for CQUniversity [researchers](#) to make publications arising from their research openly available.

2 SCOPE

- 2.1 This policy applies to:
- CQUniversity employees and research higher degree (RHD) candidates
 - research or scholarly manuscripts written while the author is an employee or RHD candidate of CQUniversity, and
 - [research outputs](#) intended for publication, or for the purpose of conferring a higher degree.
- 2.2 This policy does not apply to:
- social media communications
 - research outputs intended for commercial purposes
 - research outputs which contain culturally sensitive or confidential material, or
 - outputs completed before the adoption of this policy.

3 POLICY STATEMENT

- 3.1 The University is committed to the free and [open access](#) of [research outputs](#) to facilitate the dissemination and reuse of University research by other [researchers](#) and community nationally and internationally. Wide dissemination of research maximises the impact of the University's research outputs. This policy is based on

the [Australian Research Council's Open Access Policy](#) and the [National Health and Medical Research Council's Open Access Policy](#).

- 3.2 The University's open access [Institutional Repository](#) (ACQUIRE) supports the publication process for the following University's legislative, research grant and annual reporting requirements:
- [Excellence in Research for Australia](#) which is an Australian Government initiative assessing research quality within Australia's higher education institutions using a combination of indicators, including publications and expert review by committees comprising experienced, internationally-recognised experts.
 - [National Health and Medical Research Council](#) is Australia's leading expert body promoting the development and maintenance of public and individual health standards and fostering medical research and training and public health research and training throughout Australia. The [National Health and Medical Research Council Open Access Policy](#) mandates the open access sharing of publications and encourages innovative open access to research data.
 - [Australian Research Council](#) is a Commonwealth entity within the Australian Government and was established as an independent body under the [Australian Research Council Act 2001](#) (Cwlth). "Any Research Output arising from [Australian Research Council](#) Funded Research must be made Openly Accessible within a 12 month period from the publication date" "either in an Institutional Repository or somewhere other than an Institutional Repository, for example through a publisher's website". This policy does not include research data and research data outputs.
 - [Engagement and Impact Assessment](#) "will assess the engagement of researchers with end-users, and show how universities are translating their research into economic, social, environmental and other impacts."
 - The [Australian Code for the Responsible Conduct of Research](#) requires that institutions "Support the responsible dissemination of research findings" and "Provide access to facilities for the safe and secure storage and management of research data, records and primary materials and, where possible and appropriate, allow access and reference" (Responsibilities of Institutions R7 & R8).
 - Internal publication reporting processes.

Repository submission

- 3.3 The University mandates an [open access](#) approach through the dissemination of scholarly [research outputs](#) lodged in [ACQUIRE](#) ([Green Open Access](#)), via the University's [Research Outputs System](#) (Research Elements), as outlined in the [Intellectual Property and Moral Rights Policy](#).
- 3.4 The version of refereed articles and conference papers provided to [ACQUIRE](#) must include the author's accepted post peer review manuscript (AAM) version, as well as the published version.
- 3.5 Research output [metadata](#) must be lodged in [ACQUIRE](#) within three months from the date of publication.
- 3.6 Research outputs must be made freely available as soon as possible or within 12 months after publication. An embargo period of 12 months after publication may be applied to the full-text if required by the publisher. University authors are bound to comply with the contractual obligations of their funding contracts where those contracts are more restrictive than this policy.
- 3.7 Exemptions, embargos and extensions to the 12 month open access publication timeframe must be approved by the Dean School of Graduate Research for theses submitted by RHD candidates. Where copyright, intellectual property or publisher agreements do not permit research outputs to be made available on open access, the University will create a metadata only record. The metadata will link to the published version where possible.

Open access publishing

- 3.8 The University encourages and supports an [open access](#) approach through the dissemination of [research outputs](#) through publication in open access journals.
- 3.9 University [researchers](#) will publish in reputable open access publications that meet criteria for good research practices and discipline norms. Researchers must ensure that publications are indexed in [Scopus](#), [Web of](#)

[Science](#) or [Excellence in Research for Australia](#) Journal List unless they have approval from the Deputy Dean Research for their relevant School. Guidance on assessing open access publishers can be obtained from the [Scholarly Publishing Guide](#) and [Appendix 1](#) of this policy.

- 3.10 Many publishers allow authors to make author-accepted manuscripts (AAM) available via an Institutional Repository immediately or within 12 months after publication. If publishers do not allow for this public self-archiving, University authors should request that the official University self-archiving addendum be included in the publishing contract:

'The Author has the right to publicly archive their revised, peer-reviewed personal version of their paper on their institutional website and their personal website, provided in all cases a link to the journal article on the Publisher website is included.'

Where publishers require a 12 month embargo, University authors should use the [Scholarly Publishing and Academic Resources Coalition \(SPARC\) official addendum to publication agreement](#).

- 3.11 If payment for [article processing charges](#) is being made using University funds the following conditions must also be met:
- the publishing outlet is considered to be [Gold Open Access](#) or is of sufficiently high quality as determined by the School
 - the output meets the [Excellence in Research for Australia](#) definition of research
 - the first or corresponding author has a University affiliation
 - funding will not be used to subsidise the publication costs of co-authors from other institutions, and
 - funding will only be used for meeting costs paid to the publisher, not for creating the work.
- 3.12 Use of external grant funding to cover publishing costs, including article processing charges must be in accordance with the conditions of the grant agreement.

Copyright

- 3.13 Intellectual property and moral rights for copyright material created by employees and RHD candidates are outlined in the [Intellectual Property and Moral Rights Policy](#).
- 3.14 Authors will retain copyright in their work where possible. Where the publisher insists on the transfer of copyright, authors should assert their right to deposit their work in [ACQUIRE](#) under a suitable addendum. RHD candidates signing agreements with publishers will ensure that any agreement does not inhibit their ability to publish future works.
- 3.15 Depositing material in [ACQUIRE](#) does not transfer copyright to the repository. Copyright remains with the author or publisher, as per the agreement or licence made at the time of publication, and in line with the [Intellectual Property and Moral Rights Policy](#). [Author accepted manuscript](#) versions will be made available in [ACQUIRE](#) under a creative commons attribution-non-commercial licence (CC-BY-NC-ND).

Attribution of research output affiliation

- 3.16 The University must be attributed as the institution of affiliation by employees and students. This should be the case wherever the research was conducted at the University, even if an author has subsequently left the institution.

4 RESPONSIBILITIES

Compliance, monitoring and review

Researchers

- 4.1 Arrange permissions for any third party copyright materials included in their [research output](#).

- 4.2 Deposit the appropriate version of refereed research articles and published conference papers to [ACQUIRE](#), via [Research Elements](#), upon acceptance for publication.
- 4.3 Retain the right to disseminate a full text version of peer reviewed articles no later than 12 months from the date of first publication.
- 4.4 Seek external co-author consent where applicable.
- 4.5 Obtain an open [researcher](#) or contributor identifier (e.g. [ORCID](#), Scopus ID) and input this identifier into [Research Elements](#) to ensure all research publications are linked to the correct author.

Students

- 4.6 Arrange permission for third party copyright materials included in their thesis.
- 4.7 Retain the right to publish future works based on their thesis.
- 4.8 Submit a digital copy of their final thesis to [ACQUIRE](#).

CQUniversity Library

- 4.9 Provide the University's Institutional Repository ([ACQUIRE](#)).
- 4.10 Review copyright clearances to facilitate [open access](#) to [research outputs](#) wherever possible.

Research Division

- 4.11 Responsible for [Research Elements](#) and verifying the eligibility of research publications to fulfil the University's annual and ad hoc research reporting requirements under legislation and other government initiatives. These include [Higher Education Research Data Collection](#) and [Excellence in Research for Australia](#) submissions.

Management

- 4.12 Deputy Deans Research and the Research Institute and Centre Directors will ensure [researchers](#) are aware of their obligations to submit [research outputs](#) to [Research Elements](#) for deposit into [ACQUIRE](#).
- 4.13 The Vice-President (Research) and Chief Digital Officer are responsible for implementing, monitoring, reviewing and ensuring compliance with this policy.

Reporting

- 4.14 The Director Office of Research will provide an annual report to the Research Committee regarding internal funding for [article processing charges](#).

Records management

- 4.15 [Researchers](#) must manage records in accordance with the [Records Management Policy and Procedure](#). This includes retaining these records in a recognised University recordkeeping information system.
- 4.16 University records must be retained for the minimum periods specified in the relevant [Retention and Disposal Schedule](#). Before disposing of any records, approval must be sought from the Records and Privacy Team (email records@cqu.edu.au).

5 DEFINITIONS

- 5.1 Terms not defined in this document may be in the University [glossary](#).

Terms and definitions

Article processing charge: the fee charged by Gold Open Access journals to cover the cost of publishing instead of reader subscription fees. Payment of this fee allows for immediate access to the full text published version of the article.

[Australian Research Council](#): a Commonwealth entity who advises the Australian Government on research matters, administers the National Competitive Grants Program, and has responsibility for [Excellence in Research for Australia](#).

Author accepted manuscript: the final draft version of the publication that has been peer reviewed and accepted for publication (including any edits suggested in the peer review process) but is NOT the proof of the final published version that has undergone copyediting, typesetting and branding.

Gold open access: the publishing model that has an 'article processing charge' is paid by the author, the author's institution or research funder so that the resulting paper can be made freely and openly available without the requirement for the reader to pay for access, and without the restriction of an embargo period. Gold Open Access journals make every paper freely accessible and the published papers can also generally be deposited in institutional repositories.

Green open access: the publishing model that allows authors to self-archive a version of their article for free public use. This is the model used by the University repositories where accepted author's manuscripts or other pre-publication versions are uploaded at no cost to the author or reader.

Metadata: the information that describes a research output deposited in the repository, e.g. author, title, keywords, date.

[National Health and Medical Research Council](#): an independent statutory agency operating under the [National Health and Medical Research Council Act 1992](#) (Cwlth).

Open access: digital content that is freely available via the Internet, permitting any user to read, download, copy, distribute, print, search or link to.

Open research and contributor ID (ORCID): a persistent digital identifier for an individual research issued by [ORCID](#).

Researchers: University employees who are engaged in the act of research and the production of research outputs.

Research output: a publication or report that meets the definition of research in the [Higher Education Research Data Collection](#) and [Excellence in Research for Australia](#) guidelines. For the purposes of this policy research outputs do not include research data.

6 RELATED LEGISLATION AND DOCUMENTS

[Australian Code for the Responsible Conduct of Research](#)

[Australian Research Council Open Access Policy](#)

[Copyright Act 1968](#) (Cwlth)

[Copyright Policy](#)

[Excellence for Research in Australia](#)

[Intellectual Property and Moral Rights Policy](#)

[National Health and Medical Research Council Open Access Policy](#)

[Research Elements](#)

[Scholarly Publishing and Academic Resources Coalition](#)

[Scholarly Publishing Guide](#)

7 FEEDBACK

7.1 Feedback about this document can be emailed to policy@cqu.edu.au.

8 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
Approval Authority	Academic Board
Delegated Approval Authority	Research Committee
Advisory Committee	N/A
Required Consultation	N/A
Administrator	Vice-President (Research)
Next Review Date	23/09/2023

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Notes	This document consolidated and replaced the Institutional Repository Policy and Procedure (approved 23/09/2020).

9 APPENDICES

Appendix 1: Guide to evaluating open access publications

Publishing in an [open access](#) publication requires careful consideration of both the publication and the author agreement. Not all open access publications and publishers are equivalent in their provision of open access and University researchers and RHD candidates should consider the following list when choosing an open access publisher.

Publisher and publication reputation	Authors will assess the respectability of the publisher within their chosen field. Investigation can be undertaken into the editorial board, and the quality of existing authors who have published in this particular publication. Authors will also assess any publisher that requires author payment for the publishing of a book as opposed to a journal article. These publishers tend to use the author fees as their revenue rather than marketing and selling the published work.
Review process	Authors will investigate the review process, including the qualifications and affiliations of the reviewers and how long the process takes, to determine if the review process is of an acceptable quality. A quick process is usually an indication of a poor quality review.
Reader rights	Authors will consider the nature of readers rights for the publication to ensure they meet the desired level of open access and any funding requirements. Assessment of this will include looking at any embargo period or if there are any pay per view or subscription portions within the same publication. The highest level of open access would provide for free readership rights to all portions of the publication without any embargo period.
Reuse rights	Publishers provide open access publications using a number of different licences. Authors will consider the reuse rights before signing any contract. Creative commons licences are commonly used for reuse rights and there are a number of these available. The most generous licence is the CC-BY licence which allows for generous reuse and remixing rights. The most restrictive licence type is "all rights reserved" which allows for no reuse beyond current limitations or exceptions to copyright.
Copyright	Full investigation of the legal implications of any "copyright transfer agreement" as part of the publishing agreement needs to be undertaken by University authors. Full open access journals will ideally allow authors to hold their own copyright with no restrictions, however some publishers require authors to sign over the full rights to the publisher which can inhibit the authors later rights to reuse this work beyond fair use principles. RHD candidates need to be particularly careful here as signing over copyright to a publisher can inhibit use of that material in a thesis unless the publisher specifically grants permission for reuse.
Author posting rights	Consideration needs to be given to where an author can post versions of their work, as part of reviewing the author agreement proposed. The University requires that authors be able to post their work to the institutional repository within 12 months of publication. The proposed agreement should be investigated to ensure this is possible. Ideally the agreement will allow authors to post their work to the repository without delay.

(Scholarly Publishing and Academic Resources Coalition, 2014, <https://sparcopen.org/our-work/howopenisit/>)

Further information on publishing in open access journals can be obtained from the [CQUniversity Library website](#).