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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 CQUniversity is committed to the free and open access of research outputs to facilitate the dissemination and reuse of CQUniversity research by other researchers and community nationally and internationally. Wide dissemination of research maximises the impact of the CQUniversity'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](#).

Repository submission

- 3.2 The University mandates an open access approach through the dissemination of scholarly research outputs lodged in CQUniversity's open access Institutional Repository, ACQUIRE (Green Open Access), via [Research Elements](#), as outlined in the [Institutional Repository Policy and Procedure](#) and the [Intellectual Property and Moral Rights Policy](#).
- 3.3 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.
- 3.4 Research output metadata must be lodged in ACQUIRE within three months from the date of publication.
- 3.5 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. CQUniversity authors are bound to comply with the contractual obligations of their funding contracts where those contracts are more restrictive than this policy.
- 3.6 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

- 3.7 CQUniversity encourages and supports an open access approach through the dissemination of research outputs through publication in open access journals.
- 3.8 CQUniversity 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 (ERA) 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.
- 3.9 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, CQUniversity authors should request that the official CQUniversity 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, CQUniversity authors should use the Scholarly Publishing and Academic Resources Coalition (SPARC) official [addendum to publication agreement](#).

- 3.10 If payment for article processing charges (APC) is being made using CQUniversity 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 ERA definition of research

- the first or corresponding author has a CQUniversity 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.
- 3.11 Use of external grant funding to cover publishing costs, including APC must be in accordance with the conditions of the grant agreement.

Copyright

- 3.12 Intellectual property and moral rights for copyright material created by CQUniversity employees and RHD candidates are outlined in the [Intellectual Property and Moral Rights Policy](#).
- 3.13 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.
- 3.14 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

- 3.15 Central Queensland University must be attributed as the institution of affiliation by all CQUniversity employees and students. This should be the case wherever the research was conducted at CQUniversity, 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 CQUniversity ACQUIRE.

CQUniversity Library

- 4.9 Provide the Institutional Repository Service (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 (HERDC) and ERA 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 Chief Information and Digital Officer and the Deputy Vice-Chancellor (Research) 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 APCs.

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 University Sector Retention and Disposal Schedule on the [Queensland State Archives website](#). Before disposing of any records, approval must be sought through the Records Management Office (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 (ARC): a Commonwealth entity who advises the Australian Government on research matters, administers the National Competitive Grants Program, and has responsibility for Excellence in Research Australia (ERA).

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 (NHMRC): an independent statutory agency operating under the National Health and Medical Research Council Act 1992.

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: Employees of CQUniversity 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 HERDC and ERA guidelines. For the purposes of this policy research outputs do not include research data.

6 RELATED LEGISLATION AND DOCUMENTS

[Australian Research Council Open Access Policy](#)

[Copyright Act 1968](#) (Cwlth)

[Copyright Policy](#)

[Excellence for Research in Australia](#)

[Institutional Repository Policy and Procedure](#)

[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

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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 CQUniversity 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. CQUniversity 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](#).