

**Policy Title: Institutional Repository Policy**

**Part A Policy**

**1. Policy Statement**

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CQU staff and post-graduate students produce research and scholarly output as a contribution to their discipline and / or as part of scholarly discourse. A significant proportion of this is intended for publication for the general purpose of recognition and impact. Material which represents the total publicly available research and scholarly output of the University is to be located in the University's digital or e-print repository, called aCQUIRE. In this way it contributes to a growing international corpus of refereed and other research literature available online, a process occurring in universities worldwide.

**2. Scope**

It is a University wide policy and depositors will be members of the CQU community. Contributions may include researchers external to the University, if they are co-authoring with CQU authors or are affiliated with the University. Papers from conferences hosted by the University or journals supported by the University will be captured.

**3. Definitions used in this Policy**

aCQUIRE: CQU's institutional digital repository

ADT: Australasian Digital Theses

DEST: Department of Education, Science and Training

DLS: Division of Library Services

ISBN: International Standard Book Number

ISSN: International Standard Serial Number

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

SEO: Socio-economic objectives

All terminology used within this policy is consistent with definitions in the [Central Queensland University Glossary](#).

**4. Legislation**

Copyright Act 1968

**5. Policy Approval History**

Approved by:

Division of Library Services Planning and Development Committee, 10/08/06

Copyright Advisory Committee, 03/08/06

## 6. Policy Content

The following materials should be included:

- refereed research articles and contributions at the post-print stage of publication.
- theses as prepared for the ADT program (<http://adt.caul.edu.au/>)
- CQU projects and theses resulting from non-research awards, including professional doctorates, final year engineering projects, honours theses and research reports forming a substantial part of an undergraduate degree, where submission is agreed by the Dean of the Faculty
- non-refereed research literature such as conference contributions, chapters in proceedings and book chapters
- University related research material such as books, working papers, discussion papers, government submissions, reports and inaugural lectures
- ancillary research material such as data sets, statistics and surveys

Access to these contributions will be subject to any necessary agreement with the publisher. Guidance on copyright arrangements has been provided by the University's Copyright Officer and is available from:  
<http://www.cqu.edu.au/copyright/CAC/2006August/CopyrightGuidelinesforaCQUIRe.doc>  
and

<http://www.cqu.edu.au/copyright/CAC/2006August/ProposalforaCQUIRe.doc>

The material will be organised in aCQUIRe in the following collections:

- Working papers
- Research data
- Images and sound - photographs, computer generated images, video, sound recordings
- Journal articles – refereed, approved non-refereed
- Conferences – papers, proceedings of CQU conferences
- Learning Objects
- Theses – ADT, approved CQU projects and theses
- Books – chapters, entire books
- Submissions and reports

Additional collections may be added subject to demand.

### **Restricting Access**

The University may choose to restrict access to works, whether in part or in full, if copyright permission is in doubt or unavailable. In most cases, a full document can be made available for access by staff and students of CQU under Part VB of the Copyright Act 1968. In such cases, an abstract will be made available for external internet searches, to achieve maximum research visibility.

### **Exclusions**

aCQUIRe will not collect:

- Administrative reports, such as the University annual report, meeting minutes, committee papers and/ or similar material which is collected in the official administrative archives.

- Output intended for commercialisation or individual royalty payment or revenue for the author or CQU.

aCQUIRe will suppress access to material in the following circumstances:

- if the journal in which a paper is formally published requires it
- if the paper proves scurrilous, plagiarizes, is libellous or breaches copyright
- if the author requests removal and the Director, DLS approves its removal



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**Part B Procedures**

**1. Overview**

Uploading of material to aCQUIRE is currently the role of the Library. In September 2006 a self submission form will be available and responsibility for lodging individual items will pass to the author/s. The management of the database is the responsibility of the Library. The Director or Library Services will establish an advisory group including representatives from the Office of Research, CQU research community and the Library. The Director will report annually to the Research Committee on the status of aCQUIRE.

**2. Procedures**

At each stage of the (name of policy) process, the following procedures should be adopted.

2.1 Researcher accesses aCQUIRE via the Library home page and uses a form to submit his / her research output. The researcher will be asked to:

- Add keywords
- Add RFCD code/s
- Add SEO codes
- Add ISSN(s)/ISBN(s)
- Attach an electronic copy of the published output if available
- In the case of a journal article, if available, attach a copy of the final draft of the article (not in the publisher's format).
- Sign an aCQUIRE deposit form which will include a declaration stating that the data is correct.

2.2 Liaison Librarian is automatically notified of the submission. He / she:

- Checks eligibility for inclusion in aCQUIRE (according to aCQUIRE policy)
- Checks copyright compliance
- Adds links to published version where possible
- Provides wording for the link
- Notifies the researcher if there is a problem
- Notifies the Office of Research that it has been submitted to aCQUIRE to assess if the document is eligible for DEST collection.

2.3 A staff member from the Office of Research will undertake the following tasks in relation to documents required for the DEST collection (that is, books, book chapters, journals and conference papers):

- Adds information about whether the research output is DEST approved (yes/no)

If No,

- Forwards to Library, Technical Services, and advises the researcher of the reasons for non-inclusion

If Yes,

- Verifies that the research output has been published as cited
- Obtains copies of the published output from the researcher or via document delivery where necessary for verification plus additional documents as required by DEST.
- Adds DEST category, eg E1
- Adds/amends RFCD and SEO codes, where not adequately described by researcher
- Adds CQU Research Clusters

2.4 The submission is passed to a librarian in Technical Services. He /she:

- Checks completeness of data submitted and enhances MARC / metadata record as required
  - Adds Library of Congress subject headings
  - Ensures that multiple authors from different institutions are easily distinguishable
  - Adds necessary personal and corporate authorities etc.
- Adds record to aCQUIRE and verifies access
- Notifies the researcher, the Office of Research and the Liaison Librarian that it has been added to aCQUIRE

**DEFINITIONS FOR ADDITION TO CENTRAL QUEENSLAND UNIVERSITY GLOSSARY**

<b>DOCUMENT TITLE: NAME OF DOCUMENT</b>				
<b>Term</b>	<b>Definition</b>	<b>Source</b>	<b>See also</b>	<b>Category</b>
<i>Name of term</i>	<i>Definition of term.</i>	<i>The name of the Author who wrote the definition or where the definition was sourced, for example, DEST website (give URL address and date accessed) or journal article (give full reference details).</i>	<i>Other terms that are related to this term or that should be understood in conjunction with this term.</i>	<i>Organisational or leave blank. Organisational refers to terms that are only of interest to Central Queensland University staff, for example, AOU (Academic Organisational Unit). Leave blank if term is of interest to students.</i>
<i>Please note: The Content Management System will automatically add the above information to the Central Queensland University Glossary.</i>				



## CONTENT MANAGEMENT SYSTEM – DATA REQUIREMENTS

The below table is required to be completed by the Policy Author/Editor for uploading documents to the Policy Administration System

<b>Document Category/ies</b>	<i>Select from Categories List in <a href="#">Policy on Policies (Attachment C)</a></i>
<b>Document Number</b>	<i>Auto-numbering through the Content Management System</i>
<b>Document Type</b>	<i>Policy</i>
<b>Document Title</b>	<i>Title of document</i>
<b>Document Hierarchy Level</b>	<i>Select hierarchy level from Approval Hierarchy table in <a href="#">Policy on Policies (Attachment A)</a></i>
<b>Approval Authority</b>	<i>Title of Officer or committee approving new document or changes to existing document</i>
<b>Document Administrator (Owner)</b>	<i>Title of University Officer or President / Chair of Committee responsible for the document, monitoring the outcomes of the document, review of the document and authorising Authors, Reviewers and Publisher</i>
<b>Document Author/s /Editor/s</b>	<i><b>Staff name and CQU domain username</b> Appointed by Document Administrator(Owner) to create new or amend existing documentation. The Policy Administrator shall also consider, when allocating staff to the roles of Policy Author/Editor, the implications for staff workload and availability during the initiation/development/review of a policy, ie staff absences and peak work periods.</i>
<b>Document Reviewer/s</b>	<i><b>Staff name and CQU domain username</b> Appointed by Document Administrator (Owner) to review and recommend or reject document. The Policy Administrator shall also consider, when allocating staff to the roles of Policy Reviewers, the implications for staff workload and availability during the initiation/development/review of a policy, ie staff absences and peak work periods.</i>
<b>Document Publisher</b>	<i>Office of the Registrar and Chief Compliance Officer (University scope) / Dean (Faculty scope) / Director (Divisional scope), appointed by Document Administrator (Owner) to approve publication of the documentation through the Content Management System</i>
<b>Approval Date</b>	<i>The date the document was approved by the authorising committee/officer – input by Document Publisher</i>

<b>Effective Date</b>	<i>Implementation of document date (optional)</i>
<b>Review Date</b>	<i>Date for next formal review of the document. If no review date is specified, the review date shall be three years after date of approval or the latest date of amendment.</i>
<b>Expiry Date</b>	<i>(optional)</i>
<b>Access</b>	<i>Indicate if access is to be given to public and/or staff and/or students</i>
<b>Related Documents</b>	<p><i>Include details of related documentation both internal and external which should be read in conjunction with this document.</i></p> <p><i>For example</i></p> <ul style="list-style-type: none"> <li>• <i>Policies</i></li> <li>• <i>Procedures</i></li> <li>• <i>CQU Statutes</i></li> <li>• <i>Legislation</i></li> <li>• <i>Forms</i></li> </ul> <p><i>by number and title.</i></p>



The below checklist must be completed by the Policy Author/Editor and submitted as part of the approval process. The checklist is in table format and will allow answers to be added where required.

<b>Policy Checklist</b>				
<b>Policy Title:</b>				
			<b>Yes</b>	<b>No</b>
1.	(a)	Is the policy template being used to create this policy?		
or	(b)	Is the committee terms of reference template being used to create this committee terms of reference?  If no, why not?		
2.		Is this policy consistent with the CQU Policy on Policies?  If no, why not?		
3.	(a)	What policies or legislation is relevant to this policy?		
	(b)	Have details of the policies or legislation been included in the Content Management System – Data Requirement section of the Policy Template?  If no, why not?		
	(c)	Is the policy consistent with policies or legislation?  If no, why not?		
4.		Is this policy consistent with higher order and equivalent level policies and is it aligned with university plans eg strategic plan, research plans, teaching and learning plans?  If no, why not?		
5.		Will the implementation of this policy affect the university's risk management strategies?  If yes, what level of risk has been ascertained?		
6.		Does this policy require an existing policy or policies to be repealed or amended?  If yes, have the relevant Policy Administrators been notified and given details of the repeal and/or amendments as necessary?  If no, why not?		
7.	(a)	What sections of the university will be affected by the implementation of this policy? Please list.		
	(b)	Indicate how these sections have been consulted and attach outcomes of consultation.		
8.		Is consultation required with other committees and stakeholders of the university?  If no, why not?		

		If yes, provide names of committees and/or stakeholders and outcomes of these consultations.		
9.		Can this policy be implemented from current resources in sections affected (ie staffing, financial, technological, physical infrastructure).  If no, what resources are required and how will they be funded?		
10.		What training needs are required to implement the policy and how will training be resourced?		
Any other comments?				
<p>I confirm that this Policy complies with the CQU Policy on Policies and matters subsequent to that Policy as identified above.</p> <p>I recommend this Policy for approval of (<i>insert title of appropriate person/committee</i>)</p> <p>Name: _____</p> <p>Date: _____</p> <p>Signature: _____</p>				



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**COVERING NOTE FOR DETAILS ON THE NEW OR REVISED POLICY**

The Author/Editor is required to provide comprehensive and specific details on all aspects of the new or revised policy for the reviewing Committee or University Officer.

**Why was this new policy initiated?**

**Why did the policy require revision?**

**Was there major revision to the policy?**

**What sections of the policy required revision?**

**Further details on the revised policy.**