

## University of Tsukuba Open Access Policy Guidelines

2/23, 2018

Granted by Library Steering Committee

### (Objective)

1. University of Tsukuba is committed to offering open access to the scholarly research of the board members and faculty (hereafter "faculty") for free for the purpose of contributing to the further progression of research, disclosing information, and assuring social accountability.

Open Access (OA) means making journal articles etc. available for free to anyone via the internet. Methods for realizing OA include Gold OA publishing by publishers, and Green OA self-archiving by the authors for free access on an institutional repository etc.

University of Tsukuba Open Access Policy aims to collect and store the university's scholarly research on University of Tsukuba Repository (hereafter "Tsukuba Repository") by Green OA, and make them widely available for the society. As for articles made public via Gold OA, they will also be registered in Tsukuba Repository the standpoint of centralized collection and permanent storage of the university's scholarly research.

### 1. The Range of "Faculty"

"Board members" refers to the "board members" (President, up to eight Executive Directors, and two Auditors) defined in article 3 of University of Tsukuba Basic Rules on Organization and Administration.

"Faculty" refers to the "faculty" member\*1 defined in the table on University of Tsukuba Regulations on Adoption, Promotion, Retirement, etc. for Academic and Administrative Staff at Headquarters, etc., who are subject to registration on TRIOS: Tsukuba Researchers Information Online System.

The University members not included in the "faculty" are not subject to this policy. However, this does not prevent them from voluntarily registering their scholarly research in the repository. As for "Doctoral Dissertations" of the doctoral students, they will be made public on Tsukuba Repository, based on University of Tsukuba Regulations on Academic Degrees.

\*1 Vice President (excluding those who are Executive Directors), Dean, Professor, Associate Professor, Lecturer, Assistant Professor, Research Associate, Eminent Professor, and Junior Assistant Professor.

As for the articles made public and registered in Tsukuba Repository by the university's faculty member, they will continue to be available and stored even after the author has transferred to other institutions.

(Access Rights)

2. University of Tsukuba provides open public access to scholarly research by the faculty of University of Tsukuba via University of Tsukuba Research Institutional Repository (hereafter "Tsukuba Repository"). The ownership of the copyright does not transfer to University of Tsukuba.

#### 1. About the "Faculty's Scholarly Research"

Based on this Policy, registering in Tsukuba Repository is obligatory for "journal articles" and "departmental bulletin papers." However, regarding other scholarly research, registration is recommended if they fall under the registration range defined in "Guidelines for University of Tsukuba Research Institutional Repository."

#### 2. About "Copyright"

The copyright of the scholarly research registered in Tsukuba Repository is not transferred to University of Tsukuba.

As is defined in "Registration procedures for University of Tsukuba Research Institutional Repository," the author grants the rights of reproduction and Rights of public transmission to Director and University Librarian. Therefore, even after registering, it is possible for the author to make other reproductions or conduct other public communications, or grant those rights to third persons.

(Data Submission and Deposit in Tsukuba Repository)

3. Tsukuba Repository will make publisher versions of scholarly research public when the publisher agrees. If a publisher prohibits open access to the publisher version but allows open access to the final version, the faculty member should submit his/her final version to Tsukuba Repository with the consent of the co-author(s). Deposit, release, condition of use, and all the other issues related to Tsukuba Repository will be implemented in accordance with "Guidelines for University of Tsukuba Research Institutional Repository".

Green OA is basically done by self-archiving by the author. However, at University of Tsukuba, based on this Policy, for the scholarly research that permits registering of the

publisher version by the publisher etc., the university can go ahead and register the scholarly research in the repository without waiting for the request from the author.

For the registration on Tsukuba Repository, University of Tsukuba Library will check the consent conditions of the publisher, and confirm the version that is permitted to register in the repository.

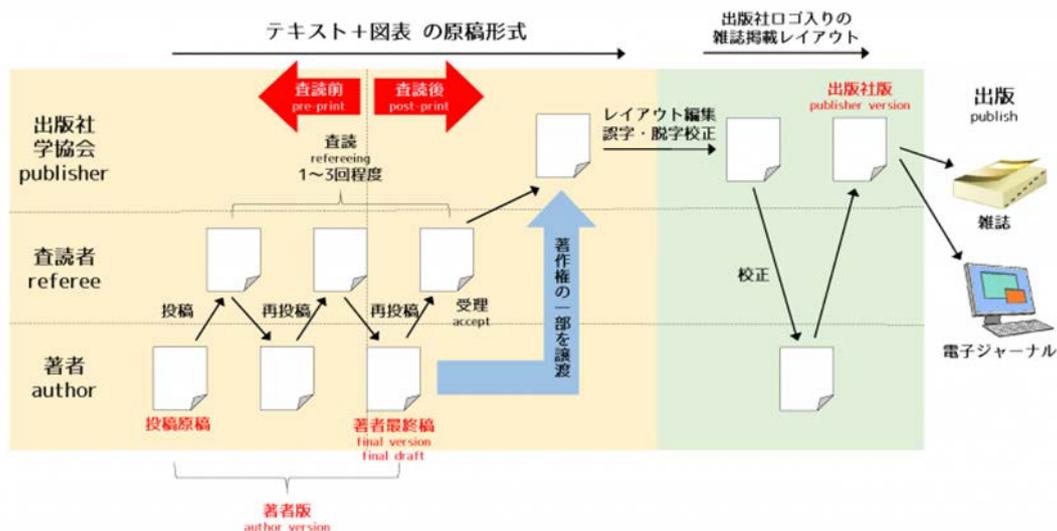
### 1. Registration of the Publisher Version

If the publisher consents to registering the publisher version in the repository, the university can register the article in Tsukuba Repository without prior confirmation by the author. Search of scholarly research that can be registered, registration process, and report to the author after registration will be done by University of Tsukuba Library. So in this circumstance, the author does not need to submit the electronic document of the article main text. If there is an embargo period, publication of the article will be withheld until the specified date.

### 2. Registration of the Author Version

If the publisher consents to registering the author version in the repository, the author must promptly submit the final version. If there are co-authors, the author must obtain co-authors' approval before submission.

Reference: The Peer review process and publisher version / author version



The image was modified based on the image created by Hokkaido University Library.

(Opting Out)

4. University of Tsukuba will not make any scholarly research public if its author requests against the open access and if the request is granted.

#### 1. Judgement of Non-Disclosure

When a judgement is required on whether the scholarly research should be made public or not, due to a request by a faculty, a decision by the university, etc., Director and University Librarian will make the decision.

#### 2. Request for Non-Disclosure

If the scholarly research cannot be made public due to inevitable situations, the faculty can make a request of non-disclosure with reasons attached.

#### 3. Examples of Non-Disclosure Due to Inevitable Reasons

- ① The copyright has been transferred to the publisher, and publication of all versions including the final version is not permitted.
- ② Agreement from the co-author(s) cannot be obtained.
- ③ The scholarly research contains personal or privacy information, and is not appropriate for online disclosure.
- ④ Misconducts in the research such as fabrication, falsification, plagiarism, etc.

(Non-retroactive)

5. This policy will not be applied to any articles published before the adoption of this policy or for which the faculty member entered into an incompatible licensing before the adoption of this policy.

This policy applies to scholarly research published after the approval date (November 19, 2015). However, registering in the repository is also recommended for past scholarly research where possible.

(Others)

6. Open access issues unstated in this policy will be discussed among the parties concerned.

Reference:

- Guidelines for University of Tsukuba Research Institutional Repository:

<http://www.tulips.tsukuba.ac.jp/lib/sites/default/files/attach/Tulips-R-Guidelines.pdf>

- Registration procedures for University of Tsukuba Research Institutional Repository: <http://www.tulips.tsukuba.ac.jp/lib/sites/default/files/attach/Tulips-R-Registration-procedures.pdf>
- University of Tsukuba Open Access Policy Q&A:  
[https://tsukuba.repo.nii.ac.jp/index.php?page\\_id=102](https://tsukuba.repo.nii.ac.jp/index.php?page_id=102)