

Nanzan University Open Access Policy Implementation Guideline

Approved by the Library Committee on 26 February 2021

Approved by the Faculty Senate on 1 March 2021

Implemented on 9 March 2021

This Guideline determines the matters relevant to the implementation of Nanzan University Open Access Policy (approved by the Library Committee on 16 September, 2020, the Faculty Senate on 22 September, 2020 and implemented on 25 September, 2020).

(Aim)

1 Nanzan University (hereafter referred to as “the University”, in keeping with the “Nanzan University Grand Design”, encourages all researchers affiliated to the University and engaged in research under its banner to disclose their research results broadly.

The following has been decided with regard to the University’s Open Access Policy in order to guarantee unlimited viewing of research results by people both within and outside the University. This will not only contribute to the further development of scholarly research, but will also promote the public disclosure of information and accountability within society and the effective and proactive transfer of benefit to society.

1 The “Nanzan University Open Access Policy” is designed as a statement to those both on the inside and outside of the University of our desire to fulfil our responsibility as a research institution by encouraging our academic staff to voluntarily make their research results public.

2 “Open access” represents research results being available on the Internet free of charge, so anyone can access them without hindrance. Open access allows us to make research results broadly available to the public, to promote their use, and as a result, to promote understanding of the results and their further dissemination, which in turn, among other things, helps to guarantee their transparency and quality. Tangible benefits are also accrued from the researcher’s perspective, such as the visibility of the research being enhanced and the likelihood of it being quoted increasing.

Broadly speaking, there are two types of open access.

(1) Green Open Access (self-archive) is a method where the researcher makes the publisher’s version or author’s final manuscript freely accessible on an institutional repository or his or her own website.

(2) Gold Open Access is a method where academic journals themselves carry out open access publishing. At present, the most common approach is for the author to pay an APC (article processing charge) publication fee to make the article available with open access.

3 The Nanzan University Open Access Policy aims to achieve Green Open Access by registering research results on the Nanzan University Institutional Repository (hereafter

referred to as the “University Repository”). If the author so desires, it is also possible to opt to release the results on the author’s own website or through an open access journal.

(Making Research Results Public)

2 The University will, to the greatest extent possible, make public the research results of people affiliated to the University (including people who were previously affiliated). When this is done, the copyright will not be transferred to the University.

1 The definition of people affiliated with the University is as follows:

(1) Of the full-time academic staff referred to in Article 4 of the “Nanzan University Employee Regulations” - professors (including graduate school professors), associate professors, assistant professors and instructors. The affiliated academic institution mentioned in the research results in question should be “Nanzan University”.

(2) Even after someone affiliated to the University retires or changes affiliation to another institution, if their research was published when they were still affiliated to us, research results registered with our Repository etc. will continue to be kept and made available to the public.

2 Research results to be made available to the public are those published in scientific journals issued by publishers or academic associations etc., and those featured in Nanzan University internal publications. The results of joint research carried out with researchers not affiliated to the University also fall under this Policy. As a general rule, the results of research carried out using public research funding including competitive research funding such as Grants-in-Aid for scientific research, and those supported internally by the Pache Research Subsidy etc. should be made public.

3 With regard to Nanzan University internal publications, by requiring in the Rules for Abstract Submission and Paper Presentation that “approval be given for reproduction of the manuscript and its public transmission” we promote the public dissemination of the article published.

4 Copyright on research results will not be transferred to the University even after they have been registered. The owner of the copyright before registration continues to hold the copyright.

(Methods of Allowing Research Results Public)

3 Research results will be made public through the Nanzan University Institutional Repository or any other methods selected by the author of the research results in question.

1 Because there are other methods of providing open access to research results beyond the University Repository, the author of the research results in question will select the method to be used to make the results public.

2 “Any other methods selected by the author of the research results in question” refer to the following:

(1) Making results public by publishing them in an open access academic journal (Gold Open Access).

- (2) Making them public through the repository operated by an external organization.
- (3) Making them public on the author's own website or that of university departments.
- 3 If the method of open access is to use the University Repository, the following will occur:
- (1) Once the research results are released, the author him or herself should apply as swiftly as possible to register them with the Library through the website. If the copyright is held by several people including the author, or in the situation in which it is held by someone other than the author, the author should obtain approval from the copyright holder(s) to allow for reproduction of the research results and the rights for their public dissemination. Please refer to chart 4 below for the details.
- (2) The Library will check regarding versions that are approved for public release in the repository or have an embargo on them. If as a result of these checks it is confirmed that the version for which approval is gained for public release in the repository is either the author's manuscript or the author's final manuscript, the author will be asked to provide the appropriate edition. In that case, as a general rule the file format shall be PDF.
- (3) In the case that approval for the publisher's version to be released through the repository, the Library will obtain the publisher's version and release it through the University Repository. Also, if an embargo has been set, it will be released through the University Repository once the embargo is over.
- (4) With regard to the University internal publications, the authority etc. that has issued it will apply to register it with the Library from the website. However, if approval for reproduction or public transmission of the manuscript to be published is clearly stated in the Rules for Abstract Submission and Paper Presentation, it is possible for the publication to apply to carry out the registration application collectively for the publication. In this case, the application in question will be judged to continue until there is a request for a change or a cancellation etc.
- (5) With regard to works other than the research results that become the focus of this Policy, including those generated before the policy was implemented, open access will be promoted by people voluntarily offering research results that could be registered because they fall under Article 4 of the "Nanzan University Institutional Repository Operating Regulations".
- 4 The checking of whether approval has been acquired from the copyright holder for the use and exercising of copyright regarding rights to reproduce or publicly transmit research results, and the handling of the public release through the University Repository shall occur as follows:

Copyright holder	Confirmation of approval	Handling of the public release
Publisher or academic association etc. (If the copyright has been transferred to the publisher or academic association etc.)	The author (person making the application) does this with regard to the copyright holder. However, if circumstances make gaining approval difficult, this task can be delegated to the Library. (※Note 1)	Once the conditions for approval have been confirmed with the publisher or academic association etc. the appropriate version of the research results will be made public through the University Repository.

Author (if there are no coauthors) (With regard to publication etc. in a scientific journal etc. if the copyright is not transferred to the publisher or academic association)	Approval is deemed to be granted by making application to be registered in the repository	Not required
Author (if there are coauthors) (With regard to publication etc. in a scientific journal etc. if the copyright is not transferred to the publisher or academic association)	The author (person applying) does this with regard to the coauthors.	Because agreement is required from all coauthors, the author (person making the application) will confirm. There is no need to submit a written document regarding the agreement of the coauthors.

(※ Note 1) If there is a Copyright Transfer Form, please submit it when the application to register.

【For your information】 Confirming the acceptance criteria for the publisher’s version

■ Confirming the version approved for registration in the repository

Depending on what stage it is at, there are several different versions of an academic paper that we can refer to - from the submission of the initial draft, through the review process, to the version after the publisher’s typesetting.

1. The author’s manuscript (the manuscript that has been submitted to the publisher, but has not yet been reviewed).
2. The author’s final manuscript (the manuscript that has been accepted by the publisher after having been reviewed).
3. The publisher’s version (the manuscript put into the published journal, after the author’s proof-reading and the publisher’s typesetting).

(Exceptions)

4 The University will not release the research results in question if it is not deemed to be appropriate to make them public because of copyright or other unavoidable reasons.

- 1 If because of copyright or other unavoidable reasons it is not appropriate to release the research results in question, they will not be made public.
- 2 If an application from an instructor or a decision by the University requires a judgment to be made as to whether certain research results are made public or not, the Director of the Library shall make that decision.
- 3 The following represent examples of situations in which it may be deemed inappropriate to make the research results public.
 - (1) If approval has not been acquired from the publisher or academic association etc. that holds the copyright, or approval has not been gained from joint authors.
 - (2) If because personal information or content that impacts on privacy is included, it is deemed to be inappropriate to place the research results on the Internet.
 - (3) If you would like to hold back from releasing a version that will be different to the publisher’s version (cases in which changes to written expression through editing have

occurred after acceptance, including the situation in which the task of amending and submitting the author’s final manuscript would be cumbersome.)

(4) In cases in which there have been unethical behavior in the research activities such as forgery, falsification, unauthorized use, or plagiarism.

(Non-retroactivity)
 5 This Policy will not apply to research results published before this Policy’s implementation, or that are subject to a contract concluded before this Policy’s implementation that conflicts with this Policy. However, this will not be the case if there is a request for public release, or if there are special circumstances.

1 This Policy applies to publications presented or published after the date of implementation (25 September 2020). This Policy will not be applied retroactively.

2 If there is a desire for open access for research results published before the implementation of the policy registration to the University Repository will be accepted.

3 The process for registration of research results according to their type is as follows:

Type	Duty to disclose	Method of Registration and Submission	Explanation
Research results generated after 25 September 2020	We encourage the broad public disclosure of research results. As a general rule, results of research carried out using public research funding, including competitive research funding such as Grants-in-Aid for Scientific Research, and those supported internally by the Pache Research Subsidy etc. should be made public.	Apply to register	Applies to research results presented or published after 25 September 2020, the date of implementation of the “Nanzan University Open Access Policy”
Dissertations and theses completed after 1 April 2013	Disclosure is now required in keeping with “Degree Regulations” of the Ministry of Education, Culture, Sports, Science and Technology.	Apply to register. The full text should be submitted within one year of the date of conferment of the degree.	Applies to dissertations and theses submitted for degrees conferred to authors after 1 April 2013, the date on which the current “Degree Regulations” of the Ministry of Education, Culture, Sports, Science and Technology were implemented.
Other types of research results	On a voluntary basis	Apply to register	Applies to results of educational or research activities generated at Nanzan University. For further details see the “Nanzan University Institutional Repository Operating Regulations”

(Others)

6 In addition to the matters determined by this Policy, any other matters related to open access that require consideration will be determined separately.

1 Matters that require consideration but are not covered by the implementation of this Policy will be determined separately as required. The content of these guidelines may be changed due to adjustments initiated by relevant departments within the University or the publisher.

2 In addition to this Guideline regarding implementation of this Policy, further information is available from the following sources:

- (1) The University Library website (and the University portal site: PORTA)
- (2) Materials made available through the Faculty Council.

In case of conflict between the English translation of the Open Access Policy Implementation Guideline and the Japanese original, the latter shall prevail.