Kyushu University Open Access Policy Implementation Guideline

Decided by the 221st Meeting of the Library Negotiation Board on December 2, 2016
Revised by the 266th Meeting of the Library Negotiation Board on July 10, 2018

(Objective)
1.　Kyushu University (hereinafter referred to as the "University") shall freely disclose its research results as an institution open to the public, aiming to establish an international foothold which contribute to mankind and society, based on its Research Charter. The University declares the following Open Access Policy (hereinafter referred to as this "Policy"), pursuant to the principles of the preceding sentence.

The Kyushu University Open Access Policy (hereinafter referred to as "the Policy") is a declaration made by the entire university organization to recommend its faculty members to voluntarily disclose their research outputs, not a requirement for them to disclose against their will.

"Open Access" means a situation that permits anyone without restriction to read academic information such as academic journal articles through the Internet.

> Reference: Kyushu University Research Charter
> Article 1 (The Purpose of This Charter)
> Kyushu University proclaims this Charter of Research in order to promote research activities that will contribute, as the foundation of the pursuit, creation and development of better knowledge, to mankind and society.
> Article 4. (The social and International Contribution of Research)
> (1)　While maintaining the spirit of the pursuit of truth that embodies the idea of a university, Kyushu University shall contribute to achieving human welfare, the development of culture and the peace of the world through its research activities.
> (2)　Research in Kyushu University shall not only make best efforts to fulfil multiple social needs in order to achieve universality and utility but also aim to contribute to both the local community and the region within which Kyushu University is located.
> (3)　As an institution open to the public, Kyushu University shall freely disclose its research results. It shall endeavour to establish an international foothold promoting exchange programs of researchers and linkage with other institutions and enterprises as well as actively dispatching information to the world.

> Reference: "Open Science" aims to disclose research outputs broadly to the general public in order to create new knowledge and innovations, and consists of "Open Access," referred to above, and "Open Data," which is a state in which anybody can access and reuse research data without any restriction.

(Definitions)
2.　In this Policy, the meaning of the terms set forth in each of the following items is as prescribed in that item:
(1) "Publicly Funded Research" means a research supported by competitive research funds, research funds subject to a public application process and grants provided by the national government, including, but not limited to, management expenses granted for national university cooperation.
(2) "Research Output" means academic information which is published by commercial publishers, academic societies or departments in the University as journal articles, conference papers or departmental bulletin papers.

The definition of "Publicly Funded Research" is based on "Promoting Open Science in Japan", which is a

report by the Expert Panel on Open Science, based on Global Perspectives, Cabinet Office, Government of Japan (March 30, 2015).

Reference: "Promoting Open Science in Japan: Opening up a new era for the advancement of science", a report by the Expert Panel on Open Science, based on Global Perspectives, Cabinet Office, Government of Japan. p. 15.

> (3) [1] Definition of "publicly funded research"
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> We define "publicly funded research" as research supported by competitive research funds or research funds subject to a public application process. This definition also includes research activities that employ 100% utilization of operational funding grants provided to independent administrative organizations, national universities, or other institutions by the national government.

(Open Access to research outputs)

3. The University provides open public access to the Research Outputs of any Publicly Funded Research (hereinafter referred to as the "Research Outputs") by a faculty member of the University (hereinafter referred to as the "Faculty Member") via Kyushu University Institutional Repository (hereinafter referred to as the "Repository"). The ownership of the copyright of such Research Outputs will not be transferred to the University.

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1. Scope of "Faculty Member"

"Faculty Member" refers to persons who have been issued a user ID of the Kyushu University Researcher's Activity Developments & Reports System (see the following table). Research Fellows can obtain a user ID upon request.

Faculty Members can even after they have transferred to another institution, continue to save and disclose Research Outputs they published and archived in the Repository while at the University.

In addition to Research Fellows who have not obtained a user ID, administrative staff, technical support staff, and others are recommended to voluntarily provide Research Outputs to the Repository.

"Related Matters with Management and Administration of Kyushu University Researcher's Activity Developments & Reports System" (Revised Nov. 8, 2017).

Attached Table 1

Official Title		
Faculty member	Fixed-term faculty member	
		Visiting faculty member
	Faculty member (Annual salary)	
	Special fixed-term faculty	Faculty member (University wide management)
		Faculty member (Special project)
		Faculty member (Donated fund laboratory)
		Faculty member (Donated fund research)
		Faculty member (Funded research department)
		Faculty member (Tenure track)
		Faculty member (Leading Initiative for Excellent Young Researchers)
Fixed-term contract employee	Post-doctoral fellow or Research fellow	

2. Copyright of Research Outputs
Conforms to the provisions of the "Kyushu University: Rules on the Handling of Intellectual Property."

(Exception)
4. Notwithstanding the provisions of the preceding paragraph, the University has the right to make the specific Research Outputs not open to the public due to unavoidable reason such as relating copyright or similar protection.

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1. Decision to make Research Outputs undisclosable
In a case where it is necessary to consider whether or not Research Outputs should be "undisclosable" in response to a request by a Faculty Member or a decision by the University, the Kyushu University Institutional Repository Experts Committee shall decide whether or not the said Research Outputs can be disclosable. The concerned Faculty Member will be notified of the decision.

2. Requesting that Research Outputs be made undisclosable
If it is necessary for Research Outputs to be undisclosable, Faculty Member may submit a request accompanied by a statement of the reason.

3. Examples of cases where disclosure is inappropriate
The following are examples of cases where disclosure to the public is inappropriate:
　　1) A case where copyright of the Research Outputs has been transferred to a publishing company, etc., and public disclosure of any version including the post-print is not permitted by the copyright owner.
　　[Supplementary] In a case where disclosure to the public is not permitted unless the article processing charge for publishing a paper under open access is paid, requesting non-disclosure is permitted.
　　2) A case where the Research Outputs include personal information or contents requiring privacy, so it is inappropriate to disclose said Research Outputs on the Internet.
　　3) A case where the research activities included malpractice such as forgery, falsification, unauthorized use, or plagiarism.

(Non-retroactive)
5. This Policy shall not apply to the Research Outputs published prior to its implementation or contractually conflicting with it.

Because diverse cases related to contractual actions are anticipated, it would be difficult to retroactively apply the Policy. There are many examples of cases of non-retroactivity under the open access policies of other universities.
　　The Policy will come into effect on January 1, 2017; it will not apply retroactively to the day it was approved.

(Submission of Research Outputs)
6. The Faculty Member will submit his/her Research Outputs which would be permitted to deposit into the Repository (e.g. author's final version of each article) at no charge as soon as possible. The Faculty Member also may submit his/her scholarly articles voluntarily even if these articles are not defined as the Research Outputs in this Policy.

1. Submission period
As the Policy is a declaration by the University, Faculty Members are recommended to submit their Research Outputs as soon as possible after they have released them to the public. In a case where an embargo period on disclosure to the public is set under a publisher's policy, it is possible to defer disclosure to the public until a day designated using a function of the Repository.

2. Submission method
Currently, submission can be done by any one of the following methods:

2-1. Self-archive
The Faculty Member archives Research Outputs by themselves from the library website.

2-2 Proxy archiving
The Faculty Member uses a service such as Proself (file sharing system) to send a file of Research Outputs to the library, and the library carries out the archiving for the Faculty Member.
Reference: Detailed instruction: https://www.lib.kyushu-u.ac.jp/en/services/qir/toroku
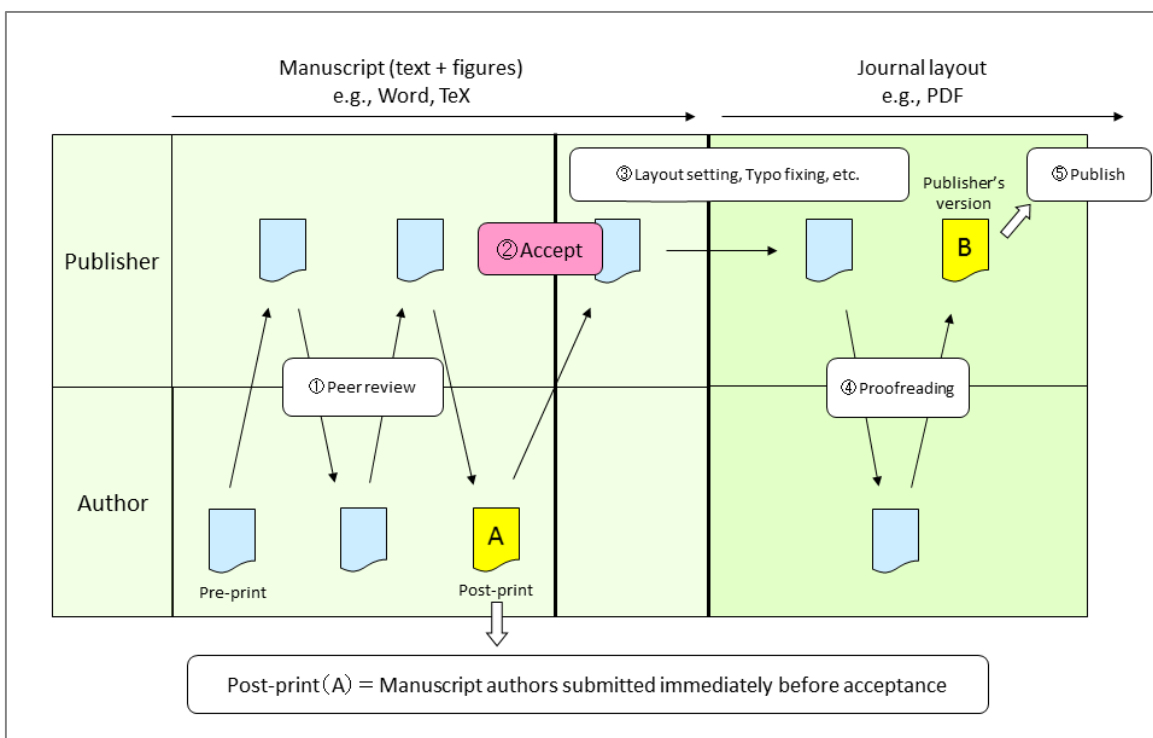
2-2 Bulk archiving
Publications such as departmental bulletins issued by each department or course of the University can be bulk archived by the library at the request of the issuing department, etc. This can omit the archiving work by each Faculty Member.
Reference: Bulk-archived publications: https://www.lib.kyushu-u.ac.jp/en/publications_kyushu

3. Versions that can be archived by the Repository
3-1 Post-print
Faculty Members submit post-prints of Research Outputs. Post-print means a manuscript that the author submits immediately before it is accepted by an academic journal, etc., and before the publisher has started to organize its layout. More than 70% of commercial publishers allow archiving of post-prints in repositories, but do not approve adding value equal to that of the publisher (copy-editing, formatting, technical improvements, and according to circumstances, page layout) to post-prints.

Manuscript (text + figures)
e.g., Word, TeX

Journal layout
e.g., PDF

Post-print（A）＝ Manuscript authors submitted immediately before acceptance

3-2 Other versions

In some academic disciplines, there are cases where the sentences of a post-print are revised so it is considered inappropriate to submit the post-print. In such cases, the Faculty Member submits a suitable version whose archiving in the Repository is permitted according to the circumstances of the discipline.

3-3 Confirming copyright

Based on the Research Outputs submitted by the Faculty Member, copyright is confirmed by the library. If the publisher's version can be disclosed to the public, the library obtains and discloses this version.

3-4 Copyright Transfer Form

The version whose archiving in the Repository is authorized is generally clearly indicated on a Copyright Transfer Form that is exchanged when the manuscript is submitted for publication. If the Faculty Member submits a photocopy of the Copyright Transfer Form along with the post-print of the Research Outputs, the copyright can be efficiently confirmed by the library.

Reference:
・Examples of authors' rights that publishers acknowledge (rights to archive various versions in repositories)
  * In some cases, rights acknowledged by a publisher differ between journal titles.

Version Publisher	Pre-print	Post-print	Publisher's version
Elsevier	Disclosable	Disclosable with restrictions ・ Embargo period: 1 to 4 years ・ Creative Commons credit indication (CC BY-NC-ND)	N/A
Wiley	Disclosable	Disclosable with restrictions ・ Embargo period of STM title: 1 to 4 years ・ Embargo period of HSS title: 2 years	N/A

Springer	Disclosable	Disclosable with restrictions ・ Embargo period: 1 year	N/A
American Chemical Society (ACS)	Disclosable with restrictions ・ Editor's written approval needed ・ Not a violation of ACS Ethical Guidelines	Disclosable with restrictions ・ If Open Access is required in the affiliated organization (applies to the University), disclosable after the embargo period (1 year)	N/A
Nature	Disclosable	Disclosable with restrictions ・ Embargo period: 6 months	N/A
Annual Reviews	Disclosable	N/A	N/A

・Copyright policy database: To confirm policies of publishers regarding archiving in repositories.
  ➢ SHERPA/RoMEO (for overseas publishers or academic societies): http://www.sherpa.ac.uk/romeo.php
  ➢ SCPJ (for academic societies in Japan): http://scpj.tulips.tsukuba.ac.jp

3-5. Agreement of co-authors
When submitting Research Outputs, co-authors must agree in advance (it is not necessary for the co-authors' agreement to be submitted in writing). Further, if a number of Faculty Members from the University are the authors, it may be submitted under the name of one representative author.

4. File format
Research Outputs are to be submitted in PDF file format. If a document has been submitted in other formats, the library will convert it.

5. Duplication of Open Access
Research Outputs that have become Open Access through the use of an external repository such as arXiv or ResearchGate, or publication as an Open Access paper (in a journal that grants Open Access to all published papers either immediately or after a stipulated period) are also recommended to be submitted to the University so that the University can take responsibility for storing the Research Outputs and ensuring their access for a long period of time.

(Institutional Repository)
7. All other issues related to the operation of the Repository shall be implemented in accordance with Kyushu University Institutional Repository Operational Guidelines.

In case of any doubts regarding the handling of Research Outputs, the Policy and this guideline shall take precedence. In order to prevent any contradictions between the Policy, this guideline, and the Kyushu University Institutional Repository Operational Guidelines, the Kyushu University Institutional Repository Special Committee.

(Monitoring)
8. The University monitors its open access consistently to see if it is working effectively based on this Policy.

"Objective" in this item refers to that stated in item 1 of this guideline: "freely disclose its research results as an

institution open to the public, aiming to establish an international foothold which contribute to mankind and society."

(Others)

9.   Beyond what is provided for in this Policy, necessary particulars involving open access issues shall be negotiated by the persons concerned.

This item assumes the possibility of necessity of coordination with departments concerned in the University, publishers, and so on, when implementing policy.

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

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