Note: The document below is an English translation of the original Japanese version. The English version has been provided merely for reference NAIST foreign faculty, staff and students. Therefore, it should not be considered the official guidelines. If there is any discrepancy in interpretation, the Japanese version shall supersede the English version.

Guideline for Nara Institute of Science and Technology Open Access Policy

July 4, 2019

Approved by Information Initiative Management Meeting

(Purpose)

1 Nara Institute of Science and Technology (hereinafter referred to as "NAIST") establishes this policy to provide our Research Outputs free of charge to contribute to the development of cutting edge research and education, and also to contribute to society.

NAIST Open Access Policy (hereafter referred to as "Policy") is a statement of intention by the entire institutional organization in order to promote the dispatch of the Research Outputs spontaneously by faculty.

Promoting Open Access (hereinafter referred to as "OA"), which enables access to academic articles free of charge to anyone by Internet, has the following benefits.

(1) Promotion of the usage of the research output enables contributions to the promotion of the creation of the new knowledge spanning beyond standard research fields and effective research, and also the further understanding and diffusion of the Research Outputs along with ensuring research transparency.

(2) OA enables the search and use of research articles through search engines such as Google or IRDB freely so that the degree of attention of articles published in magazines and the possibility of being quoted are increased.

* OA can be classified roughly into Green OA and Gold OA.
  ➢ Green OA:
    A method where institutions register and provide open access to articles, publisher's version or unpublished author's manuscript with a review through the institutional repository. This enables open access to the article information to the paid academic journals without financial burden to the authors.
  ➢ Gold OA:
    A method where articles are registered to OA academic journals. An article processing charge must be paid by the author.

This Policy aims to implement Green OA by registering Research Outputs in "NAIST Repository naistar" (hereinafter referred to as "naistar"). In cases when the author wishes, selecting of open access to the institutional repository where a co-author belongs or to an OA journal may be chosen.

(Definitions)

2 The meanings of terms specific to this Policy are defined as follows:

(1) "Research Outputs" means academic articles which has been published by commercial publishers, academic societies or departments in NAIST as journal articles, written by faculty and staff of NAIST.

(2) "Open Access to Research Outputs" means providing our Research Outputs for public viewing via Internet free of charge.

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(1) Applicable persons:

Persons for which the Policy shall apply include full-time faculty (professors, associate professors, instructors, assistant professors, and assistants) who are stipulated in Article 13, No 2 of the Nara Institute of Science and Technology Basic Regulations.

(2) Research Outputs:

Research Outputs, based on the Policy, refers to academic articles published by publishers, academic associations, or NAIST departments, when the major parts of these are written by NAIST faculty and/or staff as an author or co-author, and the indicated affiliation on the outputs shall be NAIST.

*Research Outputs other than those of the categories above, but that are written by NAIST faculty and/or staff, may be registered to naistar, if the authors wish us to do so.

(3) The articles published and registered to naistar while the author is a member of NAIST will continue to be stored with open access even after the faculty and/or staff leaves NAIST.

(Open access to Research Outputs)

3 NAIST provides Open Access to Research Outputs via the Nara Institute of Science and Technology Academic Repository (hereinafter referred to as "naistar") or any other methods selected by authors of the Research Outputs. However, the copyrights of such Research Outputs will not be transferred to NAIST.

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(1) How to register to naistar:

Please register to naistar using the NAIST Research Achievements Management System.

After checking "accept" in the "Register to naistar" section, the necessary procedures will be mailed to you by the Information Service and Digital Library Section.

Please note that co-authors' permission is necessary before registering something to naistar.
- In cases with co-authors: permission from all co-authors
- In cases where the publisher maintains the copyright: permission from the publisher

(Permission from co-authors)

Permission from co-authors is to be confirmed by the authors. Complicated confirmation work may be avoided if you receive the co-authors' permission during the writing period. However, submission of written agreements from the co-authors is not required.

(Permission from the publisher)

The Information Service and Digital Library Sections will confirm publishers' copyright policies, metadata, etc., and then register the submitted articles to naistar.

Publisher's copyright policies and repository information are on the publisher's website in general; however, the information sometimes is not clear. In these cases, information concerning the Copyright Transfer Agreement between the author and publisher may be requested.

(2) The copyright of Research Outputs shall remain with the copyright holder, not being transferred to the Library when it is deposited to naistar.

(Exemption)

4 The following Research Outputs are exempted from this policy's application.

(1) Research Outputs which are unsuitable for public viewing due to unavoidable reasons such as copyright or similar intellectual property protection.

(2) Research Outputs published before the adoption of this policy

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(1) The following are examples of unavoidable reasons such as copyright or similar intellectual property protection. When it is difficult to release something using naistar due to unavoidable reasons, please check "no access" on the Research Achievements Management System and input the reasons for this.

Reasons such as under patent acquisition do not apply as already published articles shall be made open.
- When permission from co-authors outside of NAIST is not granted or it cannot be confirmed

➢ When the Copyright of the Research Outputs shall remain with the publisher so that any version including the final draft post-referring version is not permitted to be registered to naistar

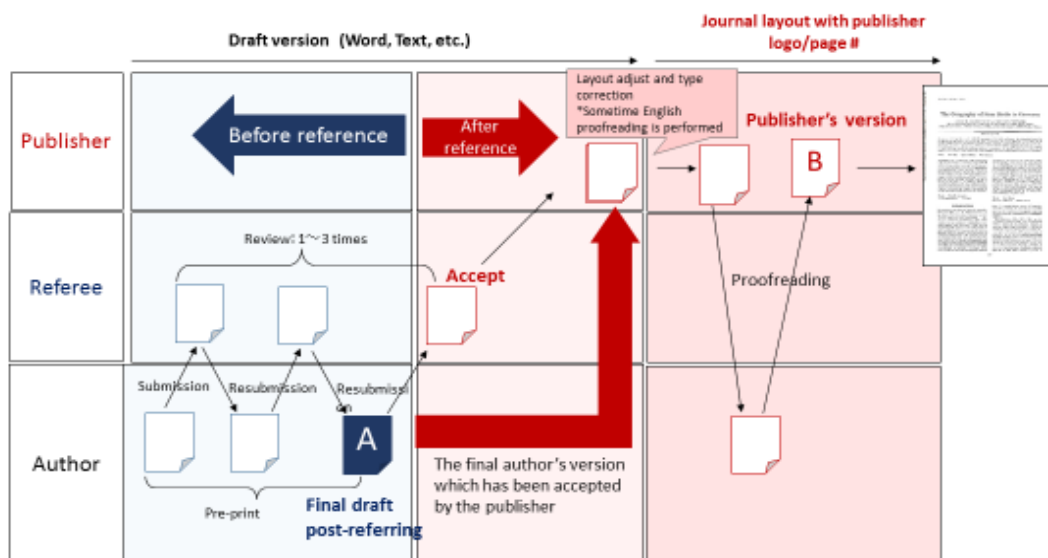➢ When registering to a repository is restricted by the research funding contract.

(2) Open Access Policy shall be applicable to Research Outputs published after July 16th, 2019, the implementation date of the Open Access Policy. We recommend actively registering Research Outputs published before this Policy which are available without any copyright barrier to naistar.

(Submission of Research Outputs)

5 Faculty or staff shall, without compensation, submit their Research Outputs which are permitted to be deposited into naistar (e.g. author's final version of each article).

The "author's final version which is permitted for institutional repository" is a version which does not violate publisher/academic society copyright conditions. The followings are practical conditions from publishers/academic societies concerning registering.

(1) Specified version

Many publishers allow the author's final version (A in the following chart) to be registered in an institutional repository. Please submit the digital file of this version to naistar registration. Author's final version may be uploaded to the Research Achievements Management System. In cases where academic articles were already published on Open Access journals, the bibliography shall be registered to naistar and linked to the publisher' website, though registering the article PDF to naistar is not mandatory.

Reference: Versions of an article from registering to publishing (revised from Hokkaido University Library original)

The author's final version shall basically be published in its original form. Modifications such as spelling changes may be accepted, but content modifications cannot be accepted as the author's final version. There is a way to add a list of corrections instead making modifications.

(2) Embargo setting

The embargo setting is when a publisher sets the release date after a fixed period from the publishing date of an article which is to be registered to an institutional repository. Journal publishers establish embargo periods of 6 months, 12 months, 24 months, and vary with the publisher. The repository bibliography can be registered and released during the embargo period, and the PDF file of the article will be accessible after the embargo.

(3) Description of text

Conditions where text specified by publisher/academic association is to be indicated in the PDF articles and bibliography. The following contents are examples.

・journal information
・URL of journal containing the published version
・DOI

There are cases where the area for the text in the digital file of the Research Outputs is stipulated (i.e. to the front page). Please understand that the PDF article with a cover page shall be uploaded.

Please let us know if there are other specific copyright conditions.

Publisher/academic association policies regarding institutional repositories are on each website or the following websites.

・Oversea publisher/association: SHERPA/RoMEO (https://v2.sherpa.ac.uk/romeo/)
・Domestic academic association: SCPJ (https://jpcoar.repo.nii.ac.jp/page/133)
・Major journal OA policies: http://library.naist.jp/library/naistar/OA_policy.pdf

【For reference】Examples of the conditions when publishers allowed the author to register (availability of versions for repository registration) ＊There are cases where the conditions are different for journals from the same publisher.

(as of May, 2022)

Version / Publisher	Pre-print	Post-print	Publisher's version
Elsevier	Publicly available	Publicly available with conditions ・Embargo period: 6 months - 3 years ・Indication of the CC BY-NC-ND	×
Nature	Publicly available	Publicly available with conditions ・Embargo period: 6 months	×
Springer	Publicly available	Publicly available with conditions ・Embargo period: 1 year	×
Wiley	Publicly available	Publicly available with conditions ・Embargo period on STM titled: 1 year ・Embargo period on HSS titled: 2 years	×
American Chemical Society (ACS)	Publicly available with conditions ・Need written permission from the editor ・No violation of ACS ethic guideline	Publicly available with conditions ・In cases where the institution requires OA (applicable to NAIST) ・Embargo period: 1 year	×

(Institutional Repository)
6 All other issues related to the naistar operation shall be implemented in accordance with NAIST Repository Operational Guidelines.

NAIST Repository Operational Guidelines are listed on the following site.
https://library.naist.jp/library/naistar/Repository_Guidelines_en.pdf

【For inquiries】
Information Service and Digital Library Section
Information and Digital Library Services Division
lib-is@ad.naist.jp