

Tokyo University of Agriculture and Technology Open Access Policy Implementation Guidelines

Established at the September 19, 2024
University Information Committee Meeting

These Guidelines explain the matters required to implement the Tokyo University of Agriculture and Technology Open Access Policy (Established at the March 18, 2024 Board of Directors Meeting. Referred to herein as "Policy").

(Purpose)

1 Tokyo University of Agriculture and Technology (referred to as "TUAT" below) sets forth the following policy concerning Open Access with the goal of contributing to the further development of academic research, giving back the results of such to society, and contributing to the sustainable development of regional and international society by allowing wide public access both within Japan and internationally for research results produced at TUAT based on the basic philosophy stated in the Tokyo University of Agriculture and Technology Charter.

(1) This Policy is a declaration of intent for the entire university organization in order to encourage the self-motivated public release of research results by faculty members of TUAT.

(2) Open Access Overview

Open Access refers to the practice of allowing anyone to use research results in academic journal articles, etc. free of charge with no restrictions, and to even make them reusable under conditions set by the copyright holder. The advancement of sharing and reuse of research results is expected to contribute to the generation of interdisciplinary research and innovation, ensure the transparency of research results, and have the effect of giving the research results back to society.

Additionally, Open Access is thought to provide the following kinds of benefits to the author.

- Authors can more widely supply opportunities to access their research results.
- The potential of an increase in citations of the work will rise.
- It can lead to an increase in name recognition of the researcher.
- When an author makes their own research results publicly available, this means the results can be checked at any time.

(3) Types of Open Access

The following are the two major types of Open Access methods.

① Green Open Access

This is a method of publicly releasing the version of record or the accepted manuscript on an institutional repository, etc. In this method, the author does not have to pay expenses to register or publicly release the paper, but a certain level of conditions may be imposed by the rules of the publisher, academic society, etc.

② Gold Open Access

Gold Open Access refers to publishing in an Open Access journal. Authors can also choose to make their papers Open Access when publishing in standard subscription journals by selecting an Open Access option for individual papers. In either case, while the papers become freely accessible to anyone upon publication, authors typically need to pay an Article Processing Charge (APC).

(4) Trends in Open Access for academic papers, etc.

In light of the trend towards the domestic and global promotion of open science, the national government's policy was determined as indicated below concerning the prompt promotion of Open Access for research results through public funding, centered around the 6th Science, Technology, and Innovation Basic Plan (established through Cabinet decision on March 26,

2021).

As a result of the Integrated Innovation Strategy 2023 (established in a June 9, 2023 Cabinet decision), the Basic Philosophy towards Actualizing Open Access to Academic Articles, etc. through Public Funding (October 30, 2023 Council for Science, Technology and Innovation, attended by knowledgeable legislators) was compiled as guidelines to be incorporated into the national government's policy. Subsequently, the national government's policy was publicly announced in the Basic Policy towards Actualizing Prompt Open Access to Academic Articles, etc. (established in a February 16, 2024 Integrated Innovation Strategy Promotion Council Meeting).

Starting with new applications for the 2025 academic year, prompt Open Access publication will be required for academic papers under competitive research funding systems with academic papers as essential outcomes. For academic papers and evidence data produced under competitive research funding that require prompt Open Access, TUAT and its faculty members will be responsible for ensuring their prompt inclusion in institutional repositories or similar information infrastructure.

[Refer to] p. 6-7 ※Reference material : Information concerning the Prompt Open Access of Academic Papers, etc.

(Publicly releasing Research Results)

2 TUAT makes available to the public, through one of the following methods, the research results (referred to as "Research Results" below) of academic papers and related materials included in academic journals and related publications published by organizations such as publishers, academic societies, or universities, and written by faculty members affiliated with TUAT. The copyrights of the Research Results do not transfer to TUAT.

- (1) Registering in the Tokyo University of Agriculture and Technology Repository (referred to as "TUAT Repository" below).
- (2) Including in an Open Access journal.
- (3) Including the academic paper on the publisher website with the Open Access option selected.
- (4) Registering in the external repository of a preprint server, etc. maintained by an external institution.

This Policy promotes Green Open Access through the registration of Research Results in the TUAT Repository. However, faculty members may choose alternative methods of Open Access publishing, such as Open Access journals or other external repositories, if they prefer.

(1) The scope of "faculty members affiliated with TUAT"

The individuals covered under this Policy are full time faculty members affiliated with TUAT (including members with fixed-term employment). Faculty members other than those specified above and graduate students are not covered by this Policy. However, the research results of TUAT members outside the scope of this Policy can be registered in the TUAT Repository pursuant to the Tokyo University of Agriculture and Technology Repository Operation Guidelines (referred to as "TUAT Repository Operation Guidelines" below).

Also, even when a faculty member affiliated with TUAT ceases to be affiliated with TUAT due to grounds such as retirement, the research results presented and registered in the TUAT Repository when the faculty member was affiliated with TUAT will, as a general rule, continue to be saved and made publicly available.

(2) The scope of "Research Results"

The Research Results that are to be registered in the TUAT Repository via this Policy are academic journal articles and bulletin academic papers included in academic journals issued by publishers, academic societies, etc. Peer review is not a requirement. Research results that are not of the types specified above (such as research result reports and meeting minutes) can also be registered in the TUAT Repository pursuant to the TUAT Repository Operation Guidelines, as long as they are research results produced during a time at which the author was or currently is affiliated with TUAT. Those wishing to register their research results in the TUAT Repository must

apply following the designated procedures.

(3) Copyright

Registering in the Repository does not transfer the copyrights of research results to TUAT. The copyrights remain with the original copyright holder.

(Exceptions)

3 If the faculty member or TUAT deems that it is not appropriate to publicly release Research Results in the Repository due to unavoidable grounds, such as copyright issues, TUAT will not publicly release those Research Results.

(1) Examples of public release being deemed not appropriate for Research Results

The following kinds of cases are some specific instances.

- ① If the copyright is transferred to a publisher, academic society, etc., and public release is not allowed for all editions of the paper, including the accepted manuscript. If there is a period of time set for when public release cannot be allowed (an embargo), TUAT will publicly release the results after that period expires.
- ② If consent of co-authors cannot be obtained.
- ③ If the Research Results contain content related to personal information or privacy, and public release on the internet is inappropriate.
- ④ If there were any instances of misconduct in the research, such as forgery, falsification, unattributed quotation, and plagiarism.

(2) Judgments concerning closed access

The Director of the Library will determine whether research results should be given closed access status when such a decision is required.

(Non-retroactivity)

4 This Policy does not extend to covering Research Results published before the enactment of this Policy or Research Results that are the subject of a contract formed before the enactment of this Policy, and which contradicts this Policy.

This Policy applies to Research Results published on or after the date that it came into effect (March 18, 2024). Research results published before this Policy came into effect are not covered by this Policy.

(Registration in the TUAT Repository)

5 When selecting public release in the TUAT Repository, the faculty member must provide free of charge to TUAT, as promptly as possible, the appropriate edition that is permitted to be in the Repository, such as the accepted manuscript. Matters concerning the TUAT Repository, such as registration in the Repository and public release, are handled pursuant to the Tokyo University of Agriculture and Technology Repository Operation Guidelines.

(1) Acceptable versions for Repository registration

Acceptable versions vary by journal. Please check publisher or academic society requirements regarding the following matters through contribution rules, contracts, websites, etc.

- Check if public release in the Repository is permitted, and if so, which version can be used (version of record, accepted manuscript, etc.)
 - If the accepted manuscript can be made publicly available, submit it to the library. An accepted manuscript is the final draft that the author supplies to the publisher directly before it is accepted by the academic journal, etc. Usually, it has not been subject to any adjustments, such as the publisher's final editing and layout adjustments.
- Please submit research results in PDF format, unless it is evidence data.

(2) Check co-author consent

In the case of collaboration academic papers, always obtain consent from all co-authors before submitting research results to TUAT (the library does not check consent from co-authors). Inform us of the fact that you obtained consent from co-authors using the Tokyo University of Agriculture and Technology Repository Registration and Public Release Application Form. There is no need to submit any forms of consent among the co-authors to the library.

(3) Other matters to check

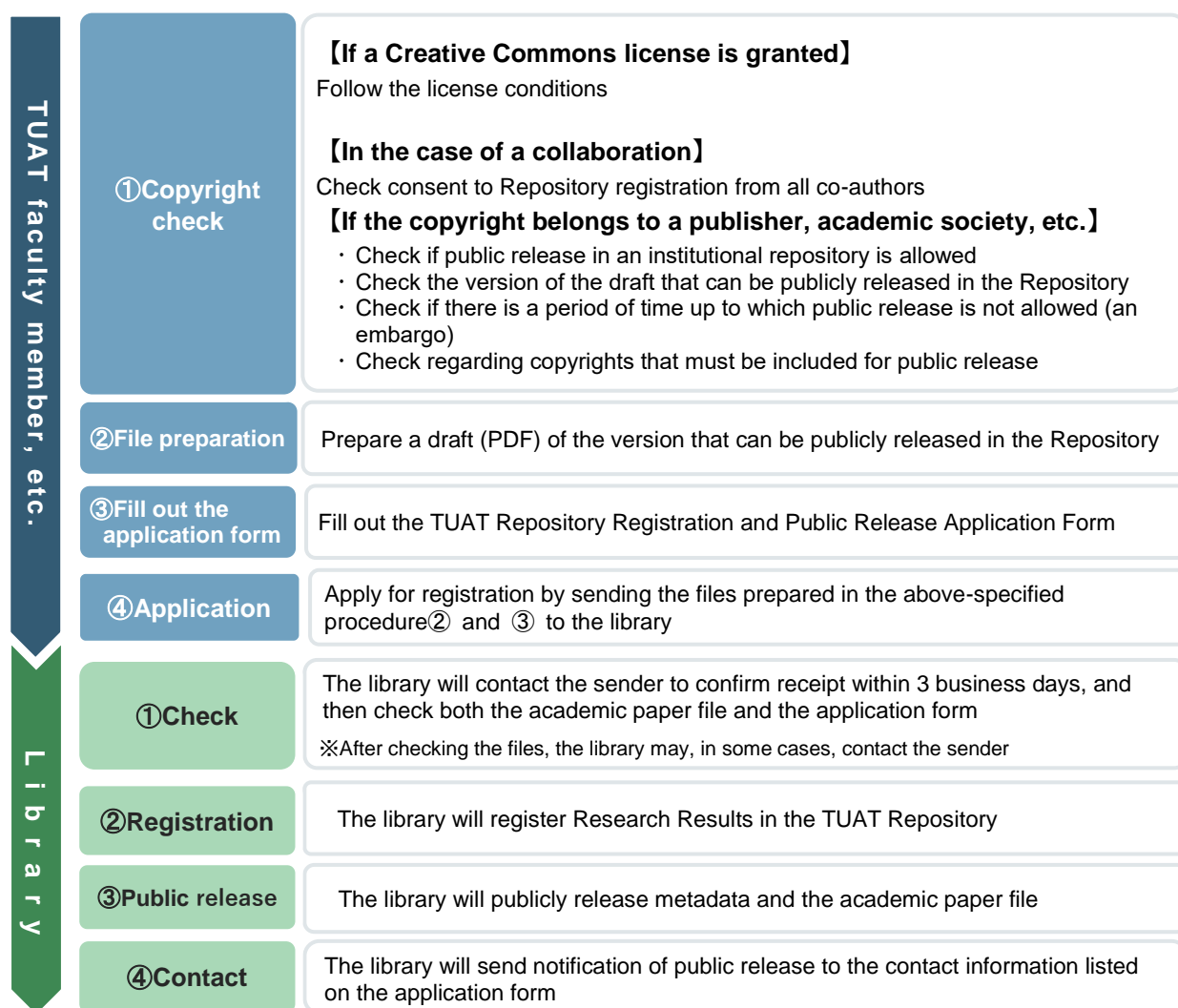
Check the conditions concerning the following matters, and if there are any required conditions such as copyright display, write them in the Other Special Notes field in the application form.

- ① A period of time up until which public release is not allowed (an embargo)
- ② Required conditions, including a link to the version of record or display of copyright

(4) Registration in the TUAT Repository

The library will take care of registration in the TUAT Repository for you. If there is a time period set up until which public release is not allowed (an embargo) by the publisher, academic society, etc., public release of research results files will be put on hold until the designated day.

<Flowchart showing the process from application to Repository registration for academic journal articles> ※As of July 2024



※The registration flow details are listed separately.

(Revising this Policy)

6 TUAT may revise the content of this Policy if necessary in accordance with domestic or international Open Access trends and policies.

In consideration of domestic and global policy trends concerning Open Access, reviewing concrete measures as needed is also set forth in the “Measures for the Implementation of “National Policy on Promoting Open Access to Publicly Funded Scholarly Publications and Scientific Data ” (decided by the Integrated Innovation Strategy Promotion Council on February 16, 2024)” (Agreements of the relevant ministries and agencies on February 21, 2024). And TUAT will also verify whether this Policy is functioning effectively, and conduct reviews as necessary.

(Other)

7 Any other matters that are not set forth in this Policy, but which are necessary for Open Access, are determined through discussion among involved parties.

The matters required to implement this Policy are set forth in these Guidelines. Additionally, moving forward, we will coordinate the content of these Guidelines with related departments within the University and publishers as necessary.

※Reference material: : Information concerning the Prompt Open Access of Academic Papers, etc.

The national government has determined policy that obligates the prompt Open Access of academic papers, etc. Based on this, it will be necessary for TUAT as well to implement prompt Open Access moving forward. Accordingly, we will review the content, method, etc. as necessary concerning registration in the Repository of research results.

○ Excerpt from **“National Policy on Promoting Open Access to Publicly Funded Scholarly Publications and Scientific Data”**

(1) Immediate Open Access to Publicly Funded Scholarly Publications and Scientific Data

- Recipients (including corporations) of competitive research funds which are subject to immediate open access for new applications starting FY2025 among public funds shall be required to publish scholarly publications and scientific data funded by the applicable competitive research funds in information infrastructures such as institutional repositories immediately after publication in academic journals.
- The competitive research funding systems whose main outputs are scholarly publications are subject to immediate open access, and the subject systems are specified by the relevant ministries and agencies.
- The aforementioned immediate open access is applied to peer-reviewed scholarly publications and scientific data. The peer-reviewed scholarly publications are those which published in electronic journals, including author accepted manuscript. And the scientific data are research data that are required to be published from the viewpoint of ensuring transparency and reproducibility in the writing guidelines and publication regulations of electronic journals in which the scholarly publication is published.

(3) Publishing Scholarly Publications and Scientific Data in Information Infrastructures such as Institutional Repositories

- By publishing scholarly publications and scientific data in information infrastructures such as institutional repositories, the government aims to make them freely available to everyone.
- Information infrastructures such as institutional repositories mean those of which scholarly publications and scientific data can be searched on the research data infrastructure system (NII Research Data Cloud), which is designated as "a core platform for the management and utilization of research data in Japan" in the 6th Science, Technology and Innovation Basic Plan (decided by the Cabinet on March 26, 2021).

(Source)

- National Policy on Promoting Open Access to Publicly Funded Scholarly Publications and Scientific Data :
https://www8.cao.go.jp/cstp/oa_240216_en.pdf

○ Excerpt from **“Measures for the Implementation of “National Policy on Promoting Open Access to Publicly Funded Scholarly Publications and Scientific Data” (decided by the Integrated Innovation Strategy Promotion Council on February 16, 2024)”**

Competitive research funding systems for academic papers and evidence data subject to prompt Open Access are defined as specified below.

1. Competitive Research Funding Systems Subject to Immediate Open Access

- We will comprehensively determine the competitive research funding systems whose main outputs are scholarly publications subject to immediate open access from the viewpoints of,
 - those that focus primarily on the creation of new scientific knowledge and treat peer-reviewed scholarly publications as their main outputs, and
 - those other than "the systems as part of specific administrative measures to improve the technical level",

and shall be reviewed as necessary in light of policy and market trends related to open access in Japan and abroad.

- The following table shows the competitive research funding systems subject to immediate open access for scholarly publications and scientific data², if the current systems continue and a new application is made in FY2025. This table will be revised in accordance with the revision or abolition of each system of competitive research funds.

Table Competitive Research Funding Systems subject to Immediate Open Access

	Name of Ministry	Funding Agency	Name of System
1	Ministry of Education, Culture, Sports, Science and Technology	Japan Society for the Promotion of Science	Grants-in-Aid for Scientific Research
2	Ministry of Education, Culture, Sports, Science and Technology	Japan Science and Technology Agency	Strategic Basic Research Programs
3	Ministry of Education, Culture, Sports, Science and Technology	Japan Agency for Medical Research and Development	Strategic Basic Research Programs (Advanced Research & Development Programs for Medical Innovation)
4	Ministry of Education, Culture, Sports, Science and Technology	Japan Science and Technology Agency	Fusion Oriented Research for disruptive Science and Technology

(Source)

- Measures for the Implementation of “National Policy on Promoting Open Access to Publicly Funded Scholarly Publications and Scientific Data” (decided by the Integrated Innovation Strategy Promotion Council on February 16, 2024) :

https://www8.cao.go.jp/cstp/hosaku_en.pdf