
Open Access Guideline

1. Purpose

The purpose of this Guideline is to help authors comply with the [Open Access Policy](#).

2. Application of Guideline

This Guideline applies to all academic and research staff members, as well as doctoral students undertaking research at the University. In this Guideline, these persons will be collectively referred to as authors.

Guideline Content

3. Depositing in the Open Access Repository

3.1 The University has an Open Access Repository (the Repository), to:

- (a) share its capability in research, and increase reach, visibility and engagement, and
- (b) Allow researchers to comply with Open Access (OA) mandates of national and international funding bodies.

3.2 The University strongly encourages research to be deposited in the Repository when permitted by their publishers¹.

3.3 Where authors choose to make their research openly available through non-University OA repositories (e.g. subject-specific repositories, peer-reviewed OA journal publications etc.) The University strongly encourages a link to the item to be entered into the Repository.

3.4 Authors can deposit papers through Elements. Instructions can be found on the Library's [Open Access guides](#) and researchers can contact their Subject Librarian for support.

3.5 Theses are deposited through the Self-Deposit tool, following [these instructions](#). Theses deposited will be automatically uploaded to our preservation system, and also the Repository, unless embargoed. Embargoed theses will be available in the Repository once the embargo period is complete, unless an application to the Faculty of Graduate Research for an extension to the embargo has been accepted.

3.6 The following copies of research publications should not be submitted to and will not be included in the Repository:

- Material intended for commercialisation
- Confidential or proprietary material
- Material that should not be made publicly accessible for reasons of cultural or commercial sensitivity
- Material that contains offensive, defamatory or unlawful content
- Research publications or collections which, if disseminated by the Repository, would infringe a legal obligation of Victoria University of Wellington and/or the author(s) or creator(s), or the legal rights of a third party

Note: The Sherpa/RoMEO advice in Elements indicates which version publishers allow to be self-archived. If unsure, the Library can advise.

- Honours theses and undergraduate essays
- Draft papers or draft versions of papers released for discussion
- Submitted versions of journal articles, including self-archived and author-accepted manuscripts, unless they are the only versions permitted for self-archiving.
- Material intended for learning and teaching (e.g. course notes, reading material)
- Material submitted as part of the course requirements for a Masters by Coursework
- Administrative documents and records, including those associated with research projects

3.7 Where the University has advised the Library that the journal article or conference paper has been retracted by the publisher, for instance, due to research integrity issues, the Library will retract the corresponding paper from the Repository.

3.8 Where the University advises the Library that the qualification for which the thesis has been awarded has been rescinded, the thesis will be removed from the Repository.

4.0 Discovery and Metrics

4.1 Papers deposited in the Repository can be discovered via search tools and may be harvested. Researchers can access information about how many times their paper has been viewed and downloaded through the [Repository interface](#).

5.0 Institutional Repository and Copyright

5.1 Ownership of copyright

- The Repository is managed in accordance with international and New Zealand Copyright law. Unless otherwise stated, material deposited in the Repository is protected by the [New Zealand Copyright Act 1994](#).
- The act of making a scholarly research output available via a digital repository has no effect on the ownership of copyright. These rights remain with the copyright owner.
- The deposit process allows depositors to select a Creative Commons (CC) licence or retain full copyright. Some publishers require specific CC licences to be applied.
- Information on CC licenses is [available here](#).

5.2 Inclusion of third-party works

- Depositors are responsible for ensuring that publisher policies and copyright laws are observed. There is no review/mediation process that checks for copyright permission – once the item is deposited, it is publicly available, unless embargoed. Authors must confirm that they have removed any third-party materials in their works for which they have not received an appropriate licence to use.
- The thesis self-deposit process requires depositors confirm copyright status. Students and supervisors should ensure that the version of the thesis which will be deposited in the Repository has no content which has not been permitted to be used by the copyright holder. If permission is not obtained, a redacted version is required for the Repository, and the full copy will be stored in the preservation system (not publicly available). More information about copyright for thesis students is available on [this section](#) of the Library website.

5.3 The University neither endorses nor accepts the claims of depositors regarding copyright, licences, or suitability of the content of works for publication.

5.4 If a publisher or author believes that their copyright has been infringed by content in the Repository, then they should contact copyright@vuw.ac.nz. The work in question will be immediately withdrawn from public view while the complaint is being investigated.

6.0 Publication Choices and Article Processing Charges (APCs)

- 6.1 The University acknowledges that authors consider a wide range of factors when deciding on the best outlets for their research publications.
- 6.2 Authors are encouraged to utilise [read and publish agreements](#) for publishing their research outputs without incurring article processing charges (APCs). The University does not provide central funding for any fees or APCs that may be required by some publishers.
- 6.3 Where appropriate, authors are encouraged to build APCs into funding applications to make their research outputs OA. Authors are also encouraged to consider publishers with policies that allow some form of OA in institutional repositories (for instance, following an embargo period).
- 6.4 Authors are encouraged to negotiate with publishers regarding the cost of APCs and the ability to deposit. The [Scholarly Publishing and Academic Resources Coalition \(SPARC\)](#) resource can be used to request an amendment to a publishing agreement.
- 6.5 Not all publishers will negotiate the terms of their author agreements, and researchers are not expected to base their decisions on where to publish their research on the outcome of any negotiations.
- 6.6 Where a publisher will not negotiate the terms of a publishing contract, the University discourages authors from paying APC fees to make outputs OA in an otherwise subscription-based (hybrid) outlet. APC payment sometimes means that publishing charges have been paid twice: through subscription, and through article-level payments.
- 6.7 Publications via other OA outlets are acceptable, though the University strongly encourages the deposit of the appropriate version of the research output in the Repository for the purposes of preservation, OA, and ensuring that as much of the University's research as possible is available through the Repository. Researchers are able to deposit material with a link to an OA version, rather than a full-text file. However, full-text files are preferred even if the item is already openly available elsewhere. Full-text files assist people browsing the Repository and links may break to hosted material.

7. Definitions

In this Guideline, unless the context otherwise requires:

Elements	refers to the system used to harvest and manage the University's author research outputs for the purpose of research assessment and management. Elements holds description records (metadata) of research outputs only.
Embargo	means a period of time during which outputs may not be made publicly available. For instance, some publishers require a twelve-month embargo period before an output can be made OA, and some theses have had embargo periods approved because of (for instance) commercial sensitivities.
Metadata	means structured information about the attributes of a research output or collection of research outputs that enables that output or collection to be identified, retrieved and managed over time. Typically includes fields such as title, author, journal name, volume, issue and page numbers and may also include data by or about any grants associated with the output.
Open Access (OA)	has the meaning given in the Open Access Policy .

Publisher's Version	means the final version of a publication as it appears on a publisher's website or an electronic journal database.
Self-Archiving	means making a copy of a manuscript available through an institutional repository or other repository

Related Documents and Information

8. Related Documents

[Copyright Act 1994](#)
[Education and Training Act 2020](#)
[Victoria University of Wellington Act 1961](#)

[Intellectual Property Policy](#)
[Open Access Policy](#)
[Recognition of Authorship Policy](#)
[Responsible Research Policy](#)
[Te Tiriti o Waitangi Statute](#)

9. Document Management and Control

Essential Record

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1 December 2020	Tumu Whakarae – Vice-Chancellor	New Policy