

Open Access Guidelines

Purpose

The purpose of these guidelines is to assist in compliance with the Victoria University of Wellington (“the University”) *Open Access Policy*.

Open Access Institutional Repository

The University has an Open Access Institutional Repository (“repository”) which aims to collect and make accessible research outputs of the University’s academic and research staff and doctoral students (“authors”) undertaking research at the University, either full-time or part-time.

The repository has a number of purposes:

- Collect and expose the University’s research to the world
- Make copies of the University’s research outputs more widely accessible
- Allow researchers to comply with open access mandates of national and international funding bodies

Authors deposit work into the repository through Elements, the University’s authoritative source of publication information. Staff and students with an Elements account can use the deposit process to make their work available in the repository.

Research Outputs

It is strongly encouraged that research outputs are deposited in the repository if publishers permit it. The Sherpa/RoMEO advice in Elements indicates which version publishers allow to be self-archived. If unsure, the Library can advise.

Exclusions

The following copies of research publications 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
- Honours theses and undergraduate essays
- Draft papers or draft versions of paper released for discussion
- Submitted versions of journal articles, unless they are the only versions permitted for self-archiving.

- Material intended for learning and teaching (eg 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
- Where the University has advised the Library that the journal article or conference paper has been retracted by the publisher, for instance due to research integrity issues, the Library will retract the corresponding paper from the repository.

Depositing

Researchers can deposit papers through Elements. Instructions are here <https://libguides.victoria.ac.nz/c.php?g=622049&p=4347828> and researchers can contact their Subject Librarian or library-research@vuw.ac.nz for support.

Theses are deposited through the Self-Deposit Form here: <https://selfdeposit.vuw.ac.nz/authenticate/>. Theses deposited through this form will be uploaded into our preservation system, and any thesis without an embargo will automatically enter the open access repository from the preservation system. Embargoed theses will be available in the repository once the embargo period is complete, unless there has been an application to the Faculty of Graduate Research for an extension to the embargo.

At the current time research datasets are not able to be deposited into the open access institutional repository. Researchers wanting to make data available may want to consult the Library's guide to research data management: <https://libguides.victoria.ac.nz/c.php?g=738710&p=5282072>

Discovery

The repository is well-indexed, meaning that deposited material is likely to turn up in Internet searches and be accessed by harvesting tools. Researchers are able to see information about how many times their paper has been viewed and downloaded through the repository interface here: <https://openaccess.wgtn.ac.nz/>

Preservation

The repository software performs some digital preservation functions to ensure ongoing access to deposited material. As an additional safeguard, all content from the repository is backed up in the Library's preservation system (currently D-Space).

Institutional Repository and Copyright

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 NZ Copyright Act.

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. As a copyright owner you have the right to reproduce the work, publish it, make it available online to the public, or transfer ownership by contract.

The deposit process allows depositors to select a Creative Commons licence. Some publishers require particular CC licences to be applied, and depositors must ensure that where this is the case,

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.

The thesis self-deposit form asks depositors to confirm copyright status. Students and supervisors should ensure that the version of the thesis which will be deposited in the open access 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 open access repository, and the full copy will be stored in the preservation system (not publicly available). More information about copyright for thesis students is here: <https://www.wgtn.ac.nz/about/governance/copyright/research-students>

Managing your copyright

In academic publishing, copyright is often transferred from the creator to the publisher by contract. The University encourages researchers to retain copyright in their works where possible or negotiate the terms of author agreements with publishers. This ensures that creators retain the right to use and self-archive the work with an embargo no greater than twelve months after the date of initial publication, prior to agreeing to:

- The transfer of copyright to the publisher
- The grant of an exclusive copyright license in the research output to any other person or organisation

Many publishers allow authors to make content freely available immediately or within twelve months after publication. The University does not support publisher embargoes greater than twelve months after the publication date. If publishers do not specifically allow self-archiving, Victoria University of Wellington authors are encouraged to request that the following self-archiving addendum be included in the publishing contract, ie:

The Author has the right to publicly archive their revised, peer-reviewed personal version of their paper on their institutional website and their personal website, provided in all cases a link to the journal article on the Publisher website is included.

If, however, an author has previously published their research outputs (research publication or thesis), then a determination would need to be made about who owns the copyright in the research publication/thesis. If the copyright has been transferred to a publisher, then it may be necessary to obtain clearance before depositing the work in the repository. Advice on publishers' policies on self-archiving can be obtained from the SHERPA RoMEO database here, <http://sherpa.ac.uk/romeo/index.php>. This advice is also available on the Elements screen when depositing. For further assistance please contact your subject librarian.

Publication venue choices and Article Processing Charges (APCs)

The University acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for their research publications. The University does not centrally fund fees to make outputs open access in an otherwise subscription-based (hybrid) outlet. Researchers are

encouraged to build APCs into funding applications to ensure that funds are available to make outputs open access.

The University acknowledges that in some cases, funds may not be available and therefore the output cannot be made open access. It may be that the reasons for publishing behind a paywall outweigh the value of making outputs open access. However, researchers are encouraged to check publisher policies and not assume that the work cannot be made open access. Firstly, some publishers do allow some form of open access in institutional repositories (for instance, following an embargo period). Secondly, in some cases it may be possible to negotiate with publishers around cost of APCs and ability to deposit. Authors may want to use the Scholarly Publishing and Academic Resources Coalition (SPARC) resource here to request an amendment to a publishing agreement: <https://sparcopen.org/our-work/author-rights/>

The University recognises that 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 outcomes of these negotiations.

Where a publisher will not negotiate the terms of a publishing contract, the University discourages authors from APC fees to make outputs open access in an otherwise subscription-based (hybrid) outlet. APC payment sometimes means that publishing charges have been paid twice: through subscription, and also through article-level payments.

Publications via open access outlets are acceptable, but the University also strongly encourages the deposit of the appropriate version of the research output in the institutional repository for the purposes of preservation, open access, 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 open access version, rather than a full-text file. However, full-text files are strongly preferred even if the item is already openly available elsewhere. This is because full-text files are easier for people browsing the repository to access, and because links may break if the website hosting the material is changed.

Rights of use

Researchers can (but do not have to) select a Creative Commons licence when they deposit materials. More information on these licenses is available here:

<https://creativecommons.org/licenses/>

If in doubt, the University's recommendation is to select the Attribution-NonCommercial-NoDerivatives Licence (CC BY-NC-ND). This licence permits users to freely use, copy and distribute verbatim copies of the original work for non-commercial purposes, and requires them to appropriately credit the creator of the work. If users remix, transform or build upon the material, they may not distribute the modified material under the terms of this license.

Copyright infringement

When authors deposit research outputs, including theses, into the repository, they warrant that they have the authority to do so. Authors also warrant that they have removed any third-party materials in their works for which they have not received an appropriate licence to use.

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

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

Definitions and Acronyms

Elements	Elements is 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	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 open access, and some theses have had embargo periods approved because of (for instance) commercial sensitivities.
Institutional Repository	A digital archive for collection, preserving, and disseminating the outputs of an institution. At Victoria University of Wellington, this refers to the Open Access Institutional Repository here: https://openaccess.wgtn.ac.nz/
Metadata	Structure 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	Making research outputs permanently and freely available via the internet, permitting any user to read, download, copy, distribute, print, search or link to the fulltext of these outputs. Outputs may be crawled for indexing, pass them as data to software, or use them for any lawful purpose without financial, legal or technical barriers other than those inseparable from gaining access to the internet.
Publisher's Version	The final version of a publication as it appears on a publisher's website or an electronic journal database
Research Output	Dissemination of findings, whether in hardcopy, electronic or other form that communicates the products of research, which includes examples: a book, a journal, working paper services, conference proceedings, multimedia
Self-Archiving	Making a copy of a manuscript available through an institutional repository or other repository