

Tohoku University Open Access Policy Guidelines

March 13, 2018

This guideline defines items necessary for implementing "Tohoku University Open Access Policy".

(Objective)

1. Tohoku University has a **mission** to widely disseminate research outcomes created at our university, based on the ideas of "Research first" and "Open doors", which have been the **university's principles** since its foundation. Therefore, as a research-oriented university, in order to diffuse "Knowledge" to the public, and to contribute to the sustainable development of human society as a fellowship of knowledge open to the world, Tohoku University has established the following **Open Access** Policy.

As a research-oriented university, Tohoku University set the missions is to open research outcomes to public and to promote Open Access Policy.

Mission Statement of Tohoku University

Mission Statement of Tohoku University is listed as follows

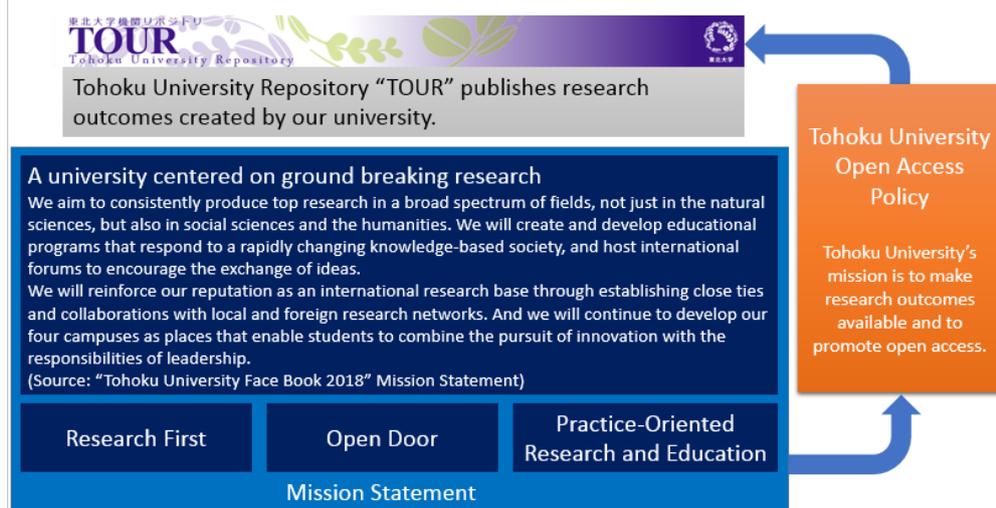
2 A university centered on ground breaking research

We aim to consistently produce top research in a broad spectrum of fields, not just in the natural sciences, but also in social sciences and the humanities. We will create and develop educational programs that respond to a rapidly changing knowledge-based society, and host international forums to encourage the exchange of ideas.

We will reinforce our reputation as an international research base through establishing close ties and collaborations with local and foreign research networks. And we will continue to develop our four campuses as places that enable students to combine the pursuit of innovation with the responsibilities of leadership.

(Source: "Tohoku University Fact Book 2018" Mission Statement)

Promotion of "Tohoku University's Open Access as a "research-oriented institution"



Open Access

Open access refers to free, unrestricted online access to academic publications. There are two ways of achieving open access:

(1) Green Open Access

Self-archiving. Refers to researchers being able to deposit full texts in their own website or an institutional repository.

(2) Gold Open Access

The publication costs, known as 'article processing costs' (APCs), are paid by the author or his or her institution and then open access. Many of the gold open access journals are of the following types:

- An open access journal consisting entirely of author payments, without the subscriptions from users.
- Subscription-type journal that allows the author to select the open access option at the dissertation level.

In this policy, the target of registration to TOUR is both (1) and (2).

(Definition)

2. In this policy, "research outcomes" mean academic papers authored/written by the **academic staff of our university** which are published in academic journals issued by publishers, academic societies, universities and research institutes, etc. They include papers co-authored/written with outside researchers.

The target of "research outcome" is an academic paper registered in the Tohoku University information database.

The academic staff of our university

The target of the academic staff is full-time faculty members (professors, associate professors, senior assistant professors, assistant professors, research associates) among Tohoku University information database users.

(Access Rights)

3. Tohoku University provides open access to the research outcomes through **Tohoku University Repository** ("TOUR" hereafter). However, **copyright** is not transferred to Tohoku University.

Tohoku University Repository

"Tohoku University Repository: TOUR" aims to gather and publish the results of research and educational achievements of our university. TOUR provides bibliographic information such as author and title. Additionally, it grants full access to research / educational results

free of charge.

TOUR : <https://tohoku.repo.nii.ac.jp/>

Tohoku University Repository Guidelines : https://tohoku.repo.nii.ac.jp/?page_id=38

Copyright

The copyright of the scholarly research registered in TOUR is not transferred to Tohoku University.

(Waiver)

4. Notwithstanding the provisions of the preceding paragraph, Tohoku University makes specific research outcomes not accessible to the public owing to **unavoidable reasons such as those relating to copyright**.

Unavoidable reasons such as copyright

The reasons are as follows. See "Non-Disclosure Procedures" in the implementation procedure

- (1) Agreement from the co-author(s) cannot be obtained.
- (2) Agreement from the publisher cannot be obtained.
- (3) Research outcomes contain contents infringing on the other's right.
- (4) Misconducts in research, such as falsification, etc., are found.
- (5) Publisher permits only the author's pre-print version, and author have judged that it is not suitable to open due to the mistakes that have been pointed out by peer-review.
- (6) Others *

*: Reasons such as "patent pending" do not apply because it covers articles already published in academic journals

(Non-retroactive)

5. This policy exempts research outcomes published prior to its implementation or contractually conflicting with it.

This policy applies to research results published after the enforcement this policy. "Research contractually conflicting" with the policy after it was enforced is given a "Waiver." However, if the faculty member wishes to the results before the enforcement of this policy, he or she can post on TOUR.

(Submission of Research)

6. The academic member of staff shall submit his/her research outcomes that can be made public in TOUR as soon as possible unless an exceptional case arises. All other issues related to the operation of TOUR (registration, disclosure, usage conditions, etc.) shall be implemented in accordance with the Tohoku University Institutional Repository Operational Guidelines.

Submission

Submission methods and procedures can be found in “How to submit data to TOUR” in the implementation procedure.

The submission is free of charge. Even when the author pays the article processing fee (APC) to the Gold Open Access Journal, the university will not cover the cost.

(Monitoring)

7. Tohoku University monitors its open access consistently to see if it is operating effectively based on this Policy.

The Tohoku University Library Open Access Committee check the list of materials which registered to Tour compare with the list registered to Tohoku University information database, and evaluate the effectiveness of Policy.

(Others)

8. Open access issues unstated in this policy shall be negotiated by the parties concerned.

If it is necessary to coordinate with relevant departments and publishers, the parties concerned, such as the Open Access Committee, shall discuss.