

## Waseda University Open Access Policy Implementation Guidelines

### Purpose

Waseda University (the "University") holds as its founding principles the preservation of the independence of scholarship, the promotion of the practical application of scholarship, and the fostering of good citizens. The University has, in accordance with the founding principles, engaged in research activities that uphold the lofty ideals of scholarship, with the aim of contributing to the well-being of mankind and world peace. To contribute to the further development of academic research and the creation of a prosperous society for mankind by the wide dissemination of the University's research findings to both inside and outside the University in line with the founding principles, the University has established its open access policy as follows.

### (1) Open access (OA)

Open access is a set of practices through which research findings, such as articles, are made available to the public for free online viewing. There are two main types of open access: green open access (green OA) and gold open access (gold OA).

#### 1) Green open access (green OA)

Green open access (green OA) is when an author archives his/her research findings, such as articles, in an open access repository and makes them available for viewing free of charge (self-archiving). Open access repositories include institutional repositories that are hosted by the researcher's university or organization, disciplinary repositories that are widely recognized in the author's research field, and general repositories that are not limited to any research fields.

#### 2) Gold open access (gold OA)

Gold open access (gold OA) is when an author makes his/her research findings, such as articles, available for viewing free of charge on the publisher's website. In most cases, authors are required to pay an Article Processing Charge (APC) for each of their articles. The following types of journals offer gold open access:

#### Fully open access journals:

A fully open access journal is a journal in which all articles are published open access. The payment of an APC is required at the time of publication of an article, but no

subscription charge is incurred.

Hybrid open access journals:

A hybrid open access journal is a journal in which only articles for which an APC has been paid at the time of publication are published open access. A subscription charge is incurred. Some journals offer transformative agreements (read and publish agreements) for institutions that cover both subscription payments and APCs. If a subscribing institution has a transformative agreement to promote open access, the author's APC payments may be reduced.

There is another type of open access, which is referred to as diamond open access.

Diamond open access journals are funded by scholarly organizations that publish the journals, and they pay all fees and charges including APCs.

The University will provide and communicate more details about open access types on the website of the University Library or the WASEDA Research Portal.

Publication of research findings

The University published its researchers' research findings such as articles ("research findings") to the extent possible in its University Repository or by any other methods selected by the researchers.

(1) Researchers

The term "researchers" generally means the following persons:

- 1) The University's full-time and part-time faculty members, researchers, and staff who are engaged in research activities;
- 2) The University's students who are engaged in research activities; and
- 3) Persons who are engaged in research activities using research funds or the University's facilities or equipment, other than those who are listed in 1) and 2) above.

(2) Waseda University Repository

The Waseda University Repository (<https://waseda.repo.nii.ac.jp/>) is an institutional repository provided by the University. It is a system that collects and accumulates academic information resources in digital form and makes them widely available for free online viewing in Japan and abroad for the purpose of contributing to the further development of academic research.

### (3) Transfer of copyright ownership

Copyright in research findings will not be transferred to the University even if they are published in the Waseda University Repository. If research findings are published by a method selected by the researcher, the rules of the repository by which the research findings are published will apply.

#### Application exception

The University does not publish research findings in the Waseda University Repository if it is inappropriate to do so due to unavoidable circumstances such as copyright restrictions.

### (1) Unavoidable circumstances such as copyright restrictions

Examples of unavoidable circumstances include failure to obtain the co-authors' agreement, failure to obtain the publisher's permission, and suspicions about the fairness of research findings such as articles.

#### No retrospective application

This Policy does not apply to any research findings which were published on or before the effective date of this Policy or any research findings for which an agreement inconsistent with this Policy was executed on or before the effective date of this Policy.

### (1) Scope of application

This Policy applies to research findings which were published on or after the effective date of this Policy. The University also publishes in the Repository research findings which were published on or before the effective date of this Policy at the author's request.

#### Registration in the Repository

If the University's researchers publish their research findings in the Waseda University Repository, they provide the University as soon as possible with an appropriate version of their research findings that may be allowed to be registered in the Repository. Any matters associated with the Repository, such as repository registration and publication, will be dealt with in accordance with the implementation guidelines or internal rules for

the Repository separately established by the University Library.

(1) When to register

Some publishers may prohibit articles from being published in a repository for a certain period of time after they are published (embargo), and if that is the case, research findings should be registered in the Repository after the embargo period.

(2) Appropriate versions of research findings that are allowed to be registered in the Repository

A "publisher version" of research findings approved by the publisher should be registered in the Repository. However, if a publisher version is not allowed to be registered, the "author's final draft" should be registered in the Repository. If there is more than one author (e. g. co-author or publisher), their prior consent for repository publishing should be obtained.

Other

In addition to the matters set forth in this Policy, any other matters that may be required for open access will be discussed and determined by those who are involved and will be communicated accordingly.

(1) Other

Any matters that are not set forth in this Policy or any matters that may be required for open access will separately be discussed and determined by those who are involved. The University will provide and communicate more details about open access publishing on the website of the University Library or the WASEDA Research Portal.