OPEN SCHOLARSHIP POLICY

1. **PURPOSE**

   The purpose of this policy is to enact the sharing and dissemination of AUT's research, and in doing so to further increase the impact and citation rate of AUT research.

   The policy establishes practices for making AUT research openly accessible while ensuring authors retain their copyright and are free to choose where they publish.

2. **POLICY**
   a. **General Principles**
      The University recognises:
      - that open access to research serves the public good and the University's interest in maximising the impact of our research and improving our profile and rankings,
      - the best method to achieve this is by depositing research outputs in sustainable green open access repositories,
      - that Tuwhera Institutional Repository, AUT's research archive, is the University's green open access repository for preservation and archiving of AUT research.

   b. **Enabling open access to AUT scholarship**
      - Copyright is not transferred to AUT. Each faculty member grants to Auckland University of Technology permission to make available their scholarly articles, and to exercise the copyright in those articles. In legal terms, the permission granted by each faculty member is a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of their scholarly articles, in any medium, and to authorise others to do the same, for the purpose of making their articles widely and freely available in an open access repository, provided that the articles are not sold for a profit.
      - The AUT author remains the copyright owner unless that author chooses to transfer the copyright to a publisher.
      - The policy applies to all scholarly articles authored or co-authored while the person is a member of AUT except for any articles completed before the adoption of this policy and any articles for which the faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy.
      - The Deputy Vice-Chancellor or Deputy Vice-Chancellor's designate will waive application of the license for a particular scholarly article or embargo access for a specified period of time upon written request by a faculty member explaining the need.
      - To assist the University in distributing and preserving the scholarly articles, each faculty member will provide an electronic copy of the author's accepted manuscript (AAM) version of the article at no charge to the Library in an appropriate format (such as PDF) specified by the Library at the time the article is accepted for publication.
      - The Library will make the scholarly article available to the public in the Tuwhera Institutional Repository. Where a waiver has been approved or an embargo period has been agreed, the

AAM of the scholarly article must still be provided to the Library. The Library will ensure the article is archived in the Tuwhera Institutional Repository without open access for the period of the embargo, or permanently in cases of waiver.

- The Office of the Deputy Vice-Chancellor will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes from time to time.

c. **Further recommendations**
- AUT encourages University staff and research students to publish and communicate their work in open access journals or other openly accessible forums. However, this policy does not limit the author's freedom to choose their preferred publication venue.
- While this policy primarily applies to scholarly articles, authors are encouraged to deposit any element of the academic endeavour, such as books, book chapters, theses, reports, software, creative works and data, to the Tuwhera Institutional Repository for the purpose of open access and preservation.
- Authors may, in addition to submitting to the Tuwhera Institutional Repository, submit to other green open access repositories such as discipline specific repositories.

3. **DEFINITIONS**

   Author's accepted manuscript version means the final version of the publication which incorporates changes made during the peer review process and has been accepted for publication by the journal. It includes all charts, graphics and illustrations. It does not include post-review copy-editing carried out unilaterally by the publisher, or the pagination, format or look and feel of the final publication. It is not the preprint version.

   Green open access means self-archiving by authors in an institutional or discipline-specific repository, of the author's accepted manuscript of an article published elsewhere.

   Open Scholarship refers to sharing of methods, data and code as well as publications though open access.

   Scholarly articles are articles that describe the fruits of research and that authors give to the world for the sake of inquiry and knowledge without expectation of payment. Such articles are typically presented in peer-reviewed scholarly journals and conference proceedings.[1]

   Tuwhera Institutional Repository is the University's green open access repository of research outputs and theses and dissertations.

4. **SCOPE**

   This policy applies to all AUT faculty.

5. **RELEVANT LEGISLATION**

   Nil

---

[1] This definition uses the terms of the Budapest Open Access Initiative, https://www.budapestopenaccessinitiative.org/read

6. **LEGAL COMPLIANCE**
    Nil

7. **RELATED PROCEDURES/DOCUMENTS**
    Academic Expectations
    Copyright Policy
    Intellectual Property Rights Policy
    Research Roadmap

8. **RESPONSIBILITY**
    The Library is responsible for managing the Tuwhera Institutional Repository, including providing deposit options which facilitate ease of submission for authors. The Library will provide advice and assistance to researchers and ensure copyright compliance.

    It is the responsibility of all AUT staff to give effect to the requirements of this policy.

    The payment of article processing charges (APCs) related to gold open access publishing is the responsibility of the researcher and their faculty or research centre. Research funds accessed through grants or scholarships may be used to pay APCs.

9. **DOCUMENT MANAGEMENT AND CONTROL**
    Date of Issue: 15 June 2020
    Date for Review: 15 June 2021
    This policy is the property of AUT University