

Instructions for Open Access

Obligation of disseminating your doctoral thesis on the Internet

Kobe University Library Digital Library Section

Agenda

1. Obligation of Disseminating Doctoral theses

1-1. Principle of making doctoral theses available on the Internet

1-2. How theses are disseminated?

1-3. Checkpoints

2. Open Access

2-1. Basics of Open Access

2-2. How to make your articles open access

2-3. How Kobe University supports open access

Note : Choosing a journal to post

We expect you to understand at a practical level the checkpoints, copyright matters, etc., on making doctoral theses and academic articles available on the Internet.

Obligation of Disseminating Doctoral theses

1-1. Principle of making doctoral theses available on the Internet

Obligation by the Degree Regulations of Japan

- Obligation of disseminating your doctoral thesis
 - The dissemination of the doctoral theses on the Internet is an obligation established by the Degree Regulations of Japan. (on and after April 1, 2013)
 - On and before March 31, 2013: publication in print had been mandate.
- Available at Kobe University Library and National Diet Library
 - Including theses awarded on and before March, 2013
- If you have **unavoidable reasons**, you don't have to make it available on the Internet.
 - Instead of it, you need to make available the summary on the internet.
 - During non-disclosure, theses are available for visitors at Kobe University Library and National Diet Library.

Disseminating doctoral theses on the Internet at Kobe University

Principles of disseminating doctoral theses on the Internet

- うりぼーポータル「学位関係　《博士論文提出者の方へ》」 (in Japanese)
 - <http://www.office.kobe-u.ac.jp/stdnt-kymsys/student/blue04/index.html>
- Kobe University Library 「Doctoral Theses」
 - https://lib.kobe-u.ac.jp/kernel-en/deposit_thesis-en/
- Notes
 - Please ask each department about the procedure of submitting a doctoral thesis, including the case when you would like to postpone of (or refrain from) publishing the thesis due to the reasons like planning publication in academic journals or acquisition of patent.
 - It is not permitted to publish the versions of thesis manuscripts which are not granted as doctoral theses in Kernel.
 - During non-disclosure, theses are available for visitors at Kobe University Library and National Diet Library.

Unavoidable reasons

- Including 3D shape etc.
- Copyright protection
- Privacy protection
- Posting in academic journals prohibiting multiple publications
- Publishing
- Applying for a patent

FAQ : Non-disclosure (temporary/permanent)

- Temporary non-disclosure : You can postpone internet dissemination for 2 years
 - If you have a plan to post your doctoral thesis in an academic journal which prohibit disseminating.
 - You can postpone more than 2 years if you have clear reason.
 - Please finish the procedure to continue postponing (1 year in principle) or switch to permanent non-disclosure until the end of the deferment period if necessary.
 - You can continue postponing more than 1 year if you have clear reason.
 - "I don't want to postpone repeatedly." cannot be accepted as a reason for permanent non-disclosure.
- Permanent non-disclosure : In cases where unavoidable reasons persist indefinitely
 - E.g.) In the case the publisher prohibits making article available which is used as a doctoral thesis on the Internet.
 - When the unavoidable reasons are solved, you should make your doctoral thesis available on the Internet.

If you would like to know about the procedures, please contact the Academic Affairs Section in your department.

Summary : Disseminating, Non-disclosure (temporary/permanent)

- If you don't submit an application, your doctoral thesis will be made available on the Internet.
- Temporary non-disclosure
 - You have to submit your graduate school an application for Postponing internet publication of doctoral thesis.
- Permanent non-disclosure
 - You have to submit your graduate school an application for Refraining from internet dissemination of doctoral thesis.

If you would like to know about the procedures, please contact Academic Affairs Section in your department.

1-2. How theses are disseminated?

Kobe University Repository (Kernel)

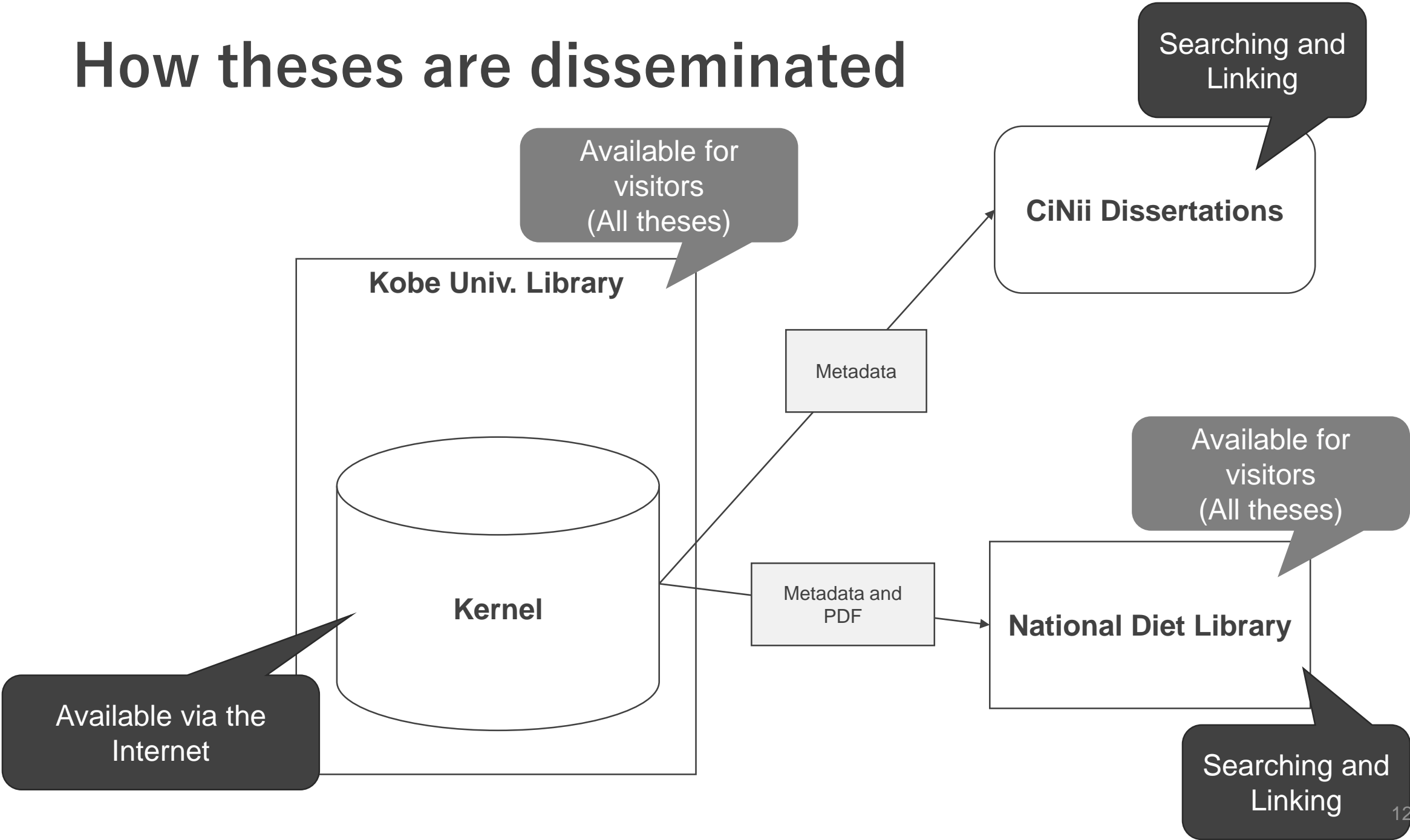
- At Kobe University, we disseminate doctoral theses in “Kobe University Repository (Kernel)”.



The screenshot shows the homepage of the Kobe University Repository (Kernel). The header includes the logo and name 'Kernel Kobe University Repository'. Below the header, there is a navigation bar with links for '神戸大学附属図書館', 'デジタルアーカイブ', and '学内研究成果'. The main content area is divided into several sections: a search bar with a search button, a section titled '神戸大学学術成果リポジトリKernel 神戸大学附属図書館' with a description of the repository, and a notice about the university's open access policy. The notice states that the university has adopted an open access policy to promote the development of academic research. The footer includes the text 'Kobe University Repository'.

http://www.lib.kobe-u.ac.jp/infolib/meta_pub/engG0000003kernel

How theses are disseminated

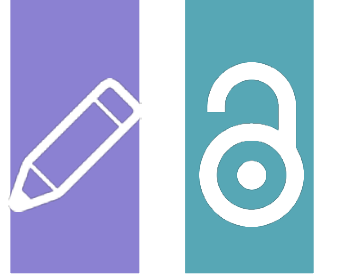


After submitting thesis

	Available on Kernel (Within 3 months)	Available on Kernel (Within a year)	Available at Kobe Univ. Library (Within a year)	Available at National Diet Library
Normal	Abstract	FullText	FullText	FullText
Disseminating masked thesis	Abstract	Masked FullText	FullText without masking	FullText without masking
Non-disclosure (temporary/permane nt)	Abstract	Summary of the doctoral thesis	FullText	FullText

FAQ : Will the copyright be transferred to the library?

- You don't have to transfer the thesis's copyright.
- Please allow Kobe University Library to use 2 rights of the copyright you have.
 - Reproduction Right(Copyright Act: article 21) : Uploading the PDF to the server for registration to the repository.
 - Rights of public transmission(Copyright Act: article 23) : Disseminating thesis through the internet.
- If anyone attempts to reproduce beyond private use, permission from the copyright holder is required.



1-3. Checkpoints

Checkpoints : Writing articles



- If you want to use academic articles in your doctoral thesis,
 - Are you authorized to use it by publisher?
- Are you quoting abiding the rules “Quotation” established in Article 32 of the Copyright Act?
- Are references appropriate?
- If you reproduce other’s work (sentences, diagrams, pictures, photographs, musical scores and lyrics, etc.) beyond the scope of quotation,
 - Do you have permission to reprint from the right holder?
- Compliance with research ethics for personal information



Checkpoints : disseminating on the Internet

- Shape : Can you disseminate it on the Internet?
 - Yes ⇒ **Disseminating**
 - No (including 3D shapes etc.) ⇒ **Non-disclosure (permanent)**
- Others' works : Do you have permission to disseminate on the Internet?
 - Yes ⇒ **Disseminating**
 - No ⇒ **Disseminating with masking, Non-disclosure (temporary/permanent)**
- Personal Information : Do you have permission to disseminate on the Internet?
 - Yes ⇒ **Disseminating**
 - No ⇒ **Disseminating with masking, Non-disclosure (temporary/permanent)**

Checkpoints : disseminating on the Internet



- If you have a doctoral dissertation published or submitted to an academic journal, or plan to do so,
Do you have permission from the publisher to disseminate on the Internet within one year after the award?
 - Yes ⇒ **Disseminating**
 - I don't know ⇒⇒ **Non-disclosure (temporary)**
 - ✕ Please take appropriate action when dissemination is confirmed.
 - No but permitted after a certain period exceeding one year ⇒ **Non-disclosure (temporary)**
 - No and impossible forever ⇒ **Non-disclosure (permanent)**
- Patent
 - For details ⇒ ksui-chizai@office.kobe-u.ac.jp
 - Office for Academic and Industrial Innovation, Industry-University Collaboration and IP Management Section

About quotations and references

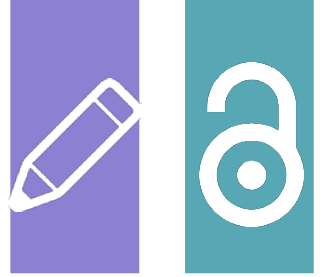


Altering the content of a source or quoting a sentence without showing the source is considered plagiarism.

The description method varies depending on the academic field, but the principle is as follows.

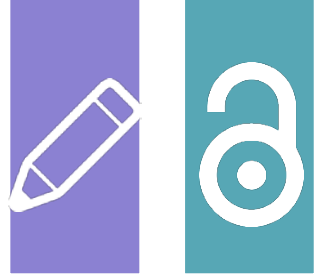
- Clarify quoted / referenced parts
- Annotate
- Describe the source (the source of the text) as a reference

Quotation Rules



- Quotation is allowed only when necessary.
- You must not excessively cite.
 - Your own writing should consist main part of the work.
- You have to distinguish between your own sentences and quotations.
 - Short quotations: You can use 「 」 or “ ” to enclose with a quotation.
 - Long quotations: Decrease paragraph height, changing font size and line spacing.
- You have to specify the source of the citation and its author.
- If you reproduce beyond the citation, you must be authorized by the copyright holder.
 - To reprint in a doctoral thesis
 - To disseminate on the Internet

Privacy of examinees



It is necessary to comply with applicable research ethics and ensure proper investigation, analysis and description in an appropriate manner, regardless of whether it is disseminated on the Internet.

- When you include parts personally identifiable facial photographs or personal information that are not suitable for disseminating on the Internet.
 - You have to obtain permission, if not, you need to mask it.
 - You need masked version for internet dissemination and complete version for browsing in the library.
- It is also important to consider for privacy and personal information when submitting to a journal.
 - Please comply with submission rules, writing guidelines, and ethical rules.

If you have any questions, seek advice from your academic advisor.

Using a journal article as a doctoral thesis



1. Is the copyright transferred to the publisher or not? (If so, what is the scope of rights to be transferred?)
 2. Are you authorized to use your own paper posted in a scholarly journal as your doctoral thesis?
 3. Are you further authorized to disseminate such a doctoral thesis on the Internet?
- When you submit a paper published in a journal (published version) as a doctoral thesis.
 - published version : a version of paper which is published by publisher or academic society including excerpts)
 - Sometimes included as part of a doctoral thesis
 - Some publishers and academic societies admit to use a published version.
 - Elsevier : You can submit as a doctoral thesis and disseminate on the Internet.
 - Japan Society of Civil Engineers : You can submit as a doctoral thesis and disseminate on the Internet.
 - Open access articles with Creative commons licenses can be disseminated on the internet. (ref 35 slide)

Please check "copyright transfer agreement" and confirm any unclear points with the publisher.

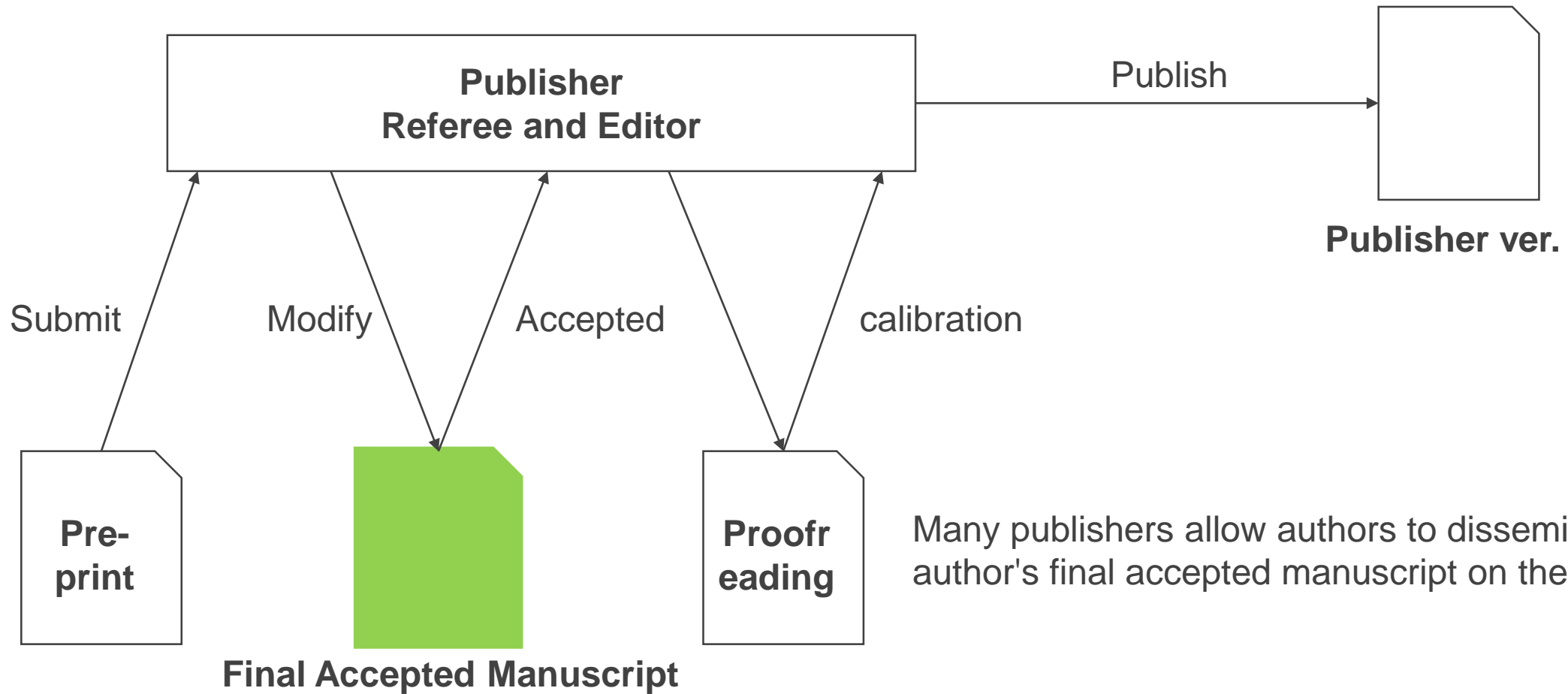
Planning to post /publish your doctoral thesis



1. Does publisher accept you to post article which you have submitted as a doctoral thesis? (Is it duplicated posting?)
2. Is it possible to disseminate on the Internet?
3. What version of the paper does the doctoral thesis correspond to?
 - When will it be possible to disseminate on the Internet? After embargo period?
 - It is different when can it be disseminated depending on version.
 - Pre-print : Mostly possible to disseminate on the Internet after publication.
 - Final Accepted Manuscript : Mostly possible to disseminate on the Internet after embargo.

Please check "copyright transfer agreement" and confirm any unclear points with the publisher.

Final Accepted Manuscript





Others

- Publication as a book
 - If you're going to publish doctoral thesis as a book, possibility is depending on agreements with publishers.

Please ask publisher if you have any unclear points.

- Patents
 - For details ⇒ ksui-chizai@office.kobe-u.ac.jp
 - Office for Academic and Industrial Innovation, Industry-University Collaboration and IP Management Section

Open Access

2-1. Basics of Open Access

What is open access?

Free access to articles on the Internet

- Definition of Open Access varies.
 - Free Access (viewing, downloading and printing)
 - Free secondary use (Inclusion in crawling software for reprinting and indexing)
- There are many types of open access publisher's policies.

Why open access is so important?

- Improve accessibility to academic papers
- Counter the price increases in electronic journals
- Viewpoint that research results using public funds should be made publicly available
- Creation of interdisciplinary research and innovation
 - Promote sharing of research results
 - Returning these results to society

Trend of Open Access in Japan

- Major Policies

- 我が国におけるオープンサイエンス推進のあり方について (in Japanese) 2015/03/30
- 第5期科学技術基本計画について (in Japanese) 2016/01/22

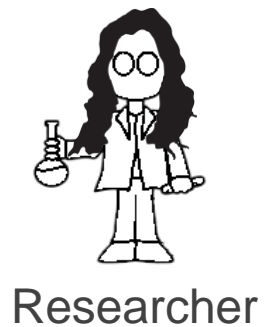
- Funders recommending Open Access

- Japan Science and Technology Agency
- Japan Society for the Promotion of Science
- Japan Agency for Medical Research and Development

2-2. How to make your articles open access

Routes to open access publication

- Publishing as Open Access
 - Open Access (OA) journal
 - Hybrid journal
- Self archiving



Publish in an open access journal



Pay APC if required



Immediate open access (via publisher)

Gold OA Route



Publish in a Subscription based journal

Green OA Route



Self archive in a repository, based on publisher policy.



Immediate or delayed open access, depending on publisher's policy



If option exists



Pay APC if required



Immediate open access (via publisher)



Publishing as Open Access

Authors pay publishing fees (APC *) for Open Access

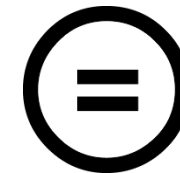
- Open Access journal
 - All articles are open access.
 - Scientific Reports, PLOS ONE...etc.
- Hybrid journal
 - A subscription based journal that has a paid open access option.
 - Subscription fee + APC
- * APC (Article Processing Charge) is priced between \$1,000 and \$5,000, and APC for hybrid journals tend to be more expensive.

Notes on Open Access publishing : Creative Commons License

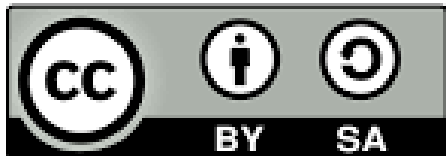
- The Creative Commons License gives everyone a simple, standardized way to grant copyright permissions to their creative work.
 - When publishing open access articles, Creative Commons Licenses are often applied.



Attribution (BY)
You must give appropriate credit



NoDerivs (ND)
You may not distribute the modified material



ShareAlike (SA)
You must distribute your contributions under the same license as the original.



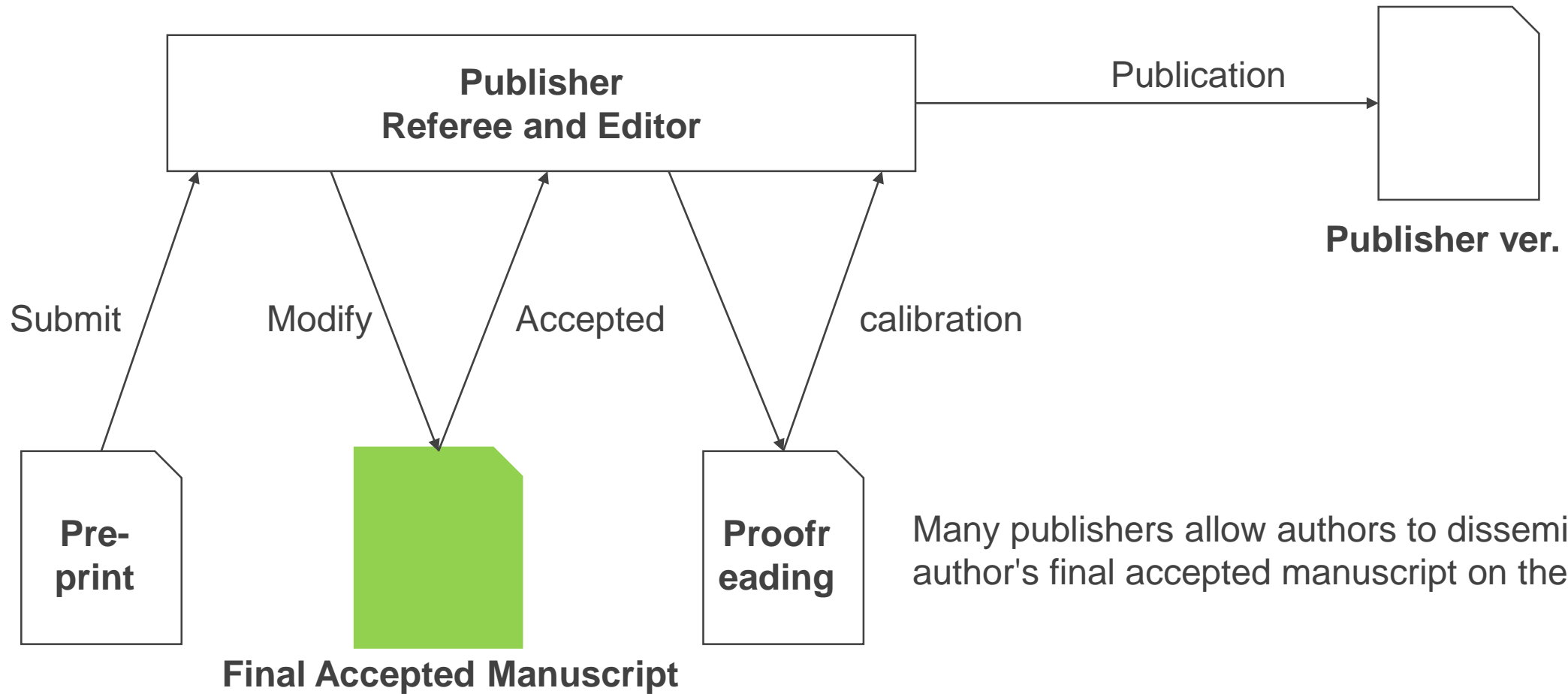
NonCommercial (NC)



Self archiving

- Authors and their proxies make their articles OA outside the publisher's site.
 - In most typical cases, the copyright on a paper submitted by an author is transferred to the publisher.
 - You are required a permission from copyright holder, which is not necessarily an author, to disseminate your article on the Internet.
 - Many publishers allow authors to disseminate author's final accepted manuscript.
- Where you can archive?
 - Institutional repository
 - Preprint server
 - Website
 - Social media for researchers (ResearchGate, Mendeley...etc)

Final Accepted Manuscript



2-3. How Kobe University supports Open Access

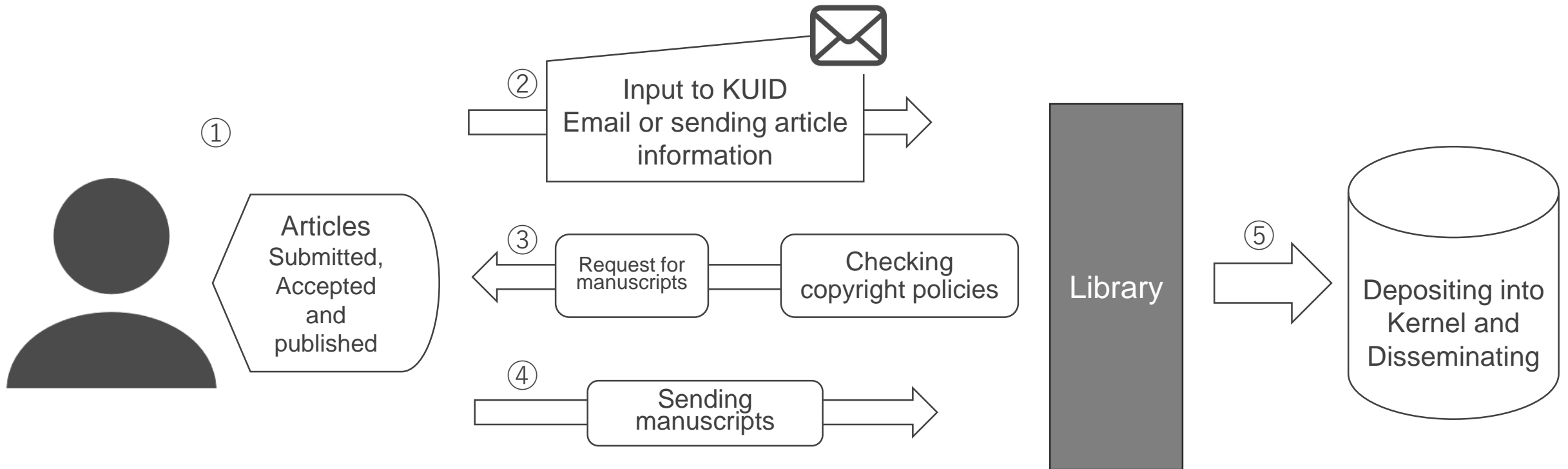
How Kobe University supports Open Access

- The Kobe University Repository Kernel
 - Storage and disclosure system for digital resources
 - Metadata that conforms to international standards
 - Academic papers which have appeared in journals and bulletins, doctoral theses, books, research reports, databases and teaching materials created by faculty members and graduate program students (master/doctor) of Kobe University (Including who belonged to Kobe University as the status above)

Kobe University Open Access Policy

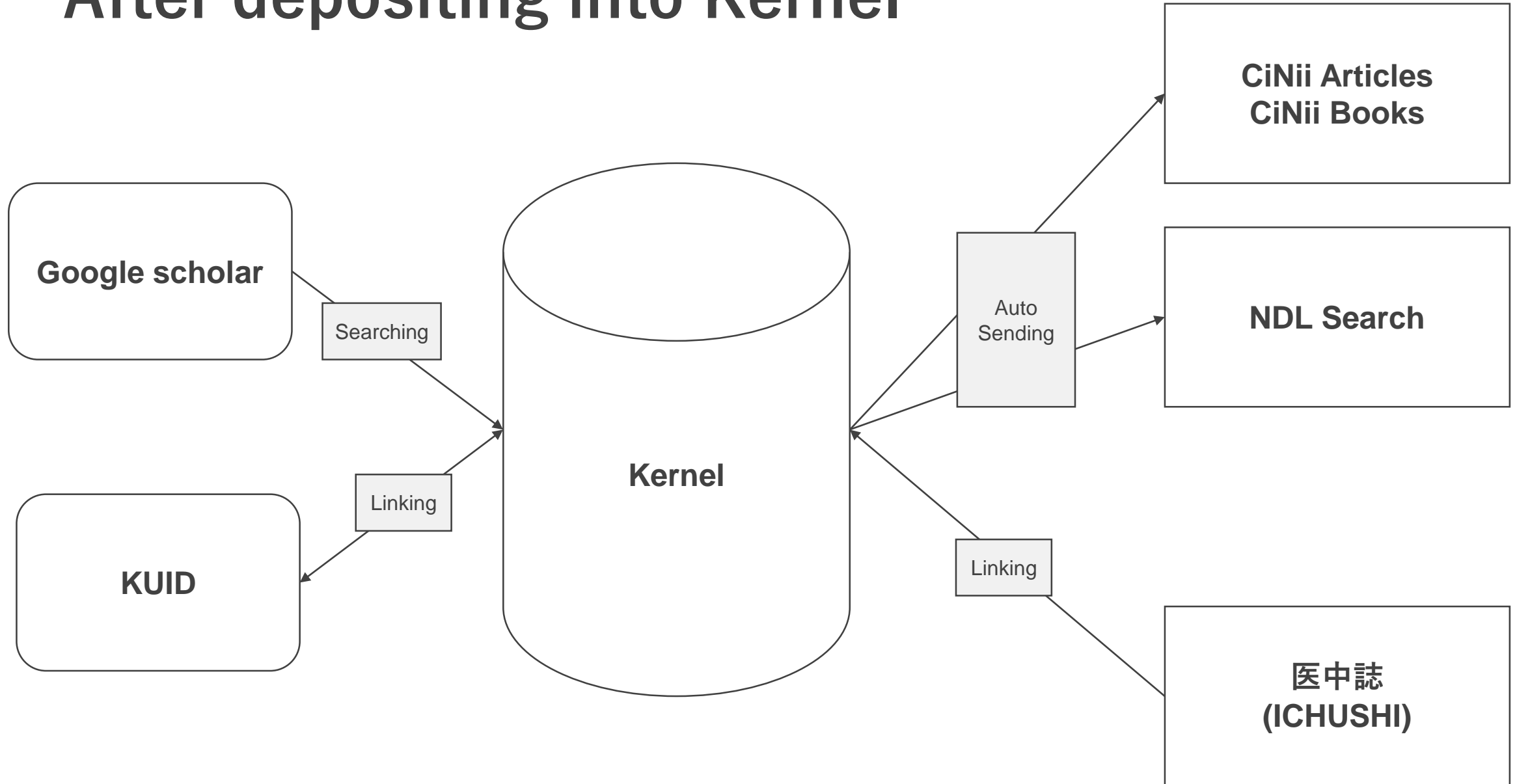
- Articles published on and after February 1, 2017
 - Scholarly articles authored or co-authored by Faculty Members and published in scholarly journals of commercial publishers, academic societies or university departments
- The university recommends to make research results of faculty members available to the public on the internet via the Kobe University Institutional Repository, Kernel.

How to deposit



Based on the information provided, the library confirms a policy survey of the publisher and requests the submission of manuscripts. If the publisher's version is approved for publication, the library obtain the manuscript by ourselves.

After depositing into Kernel



FAQ

- Should I obtain permission from co-authors?
 - Yes. You can do it verbally or by email.
- What is final accepted manuscript?
 - It is written in Word, LaTeX and template.
 - Draft and manuscript without page numbers and logo
- What should I do if I have an article pdf and images separately?
 - You can send us all of them as they are. We can merge them.
- Is it possible to deposit movie files in Kernel?
 - Yes. Feel free to contact us about distribution of multimedia files as well.

Other contents

The permission of the publisher, sponsor and author must be obtained before disclosure.

- Departmental Bulletin Paper (change to E-journal)
- Handouts and presentations from conferences, academic conferences, symposiums, and study groups

Choosing a journal to post

Choosing a journal to post

Predatory journals

- Journals only aiming for APC revenue
- Poor quality assurance and peer review processes
 - Papers rejected by other journals are often accepted
 - Quality assurance as a journal is questionable
- Hijacked journals
 - Similar to famous journals
 - Some people posts to by mistake.

Choosing a journal to post

- Check the white lists and black lists
 - It is only a temporary expedient.
 - White lists : Web of Science and Directory of Open Access Journals
 - Black lists : Cabell's Blacklist (fee-charging) and Beall's List of Predatory Journals and Publishers (no charge but update stopped)
- Self-defensive measures
 - Trying to doubt the sales mail asking to post
 - Checking Review editors and editorial boards

If you have any questions, seek advice from your academic advisor.

Sources of Reference Materials

- 『Open Access Handbook』 (in Japanese) (Tokyo university)
<http://hdl.handle.net/2261/72694>
- 『Guide for Doctorate Theses and Copyrights』 (Tokyo university)
<http://doi.org/10.15083/00043124>
- 「Afternoon Talk on Open Access and Predatory Journals」 (Hokkaido University)
<http://hdl.handle.net/2115/71762>
- 「Open science and its advocacy」 (Sarah Jones)
<https://www.fosteropenscience.eu/content/open-science-and-its-advocacy>

Thank you!

If you have any questions, feel free to ask us!
Kobe University Library Digital Library Section
<https://lib.kobe-u.ac.jp/about-en/contactus-en/>