

# Open Access Policy

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 Last review: 15 July 2021  
 Next review: 14 July 2024

Access category: Public

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## 1. Policy Statement

1.1 Nanyang Technological University (NTU) fully endorses the principles of open access and expects faculty, staff and higher degree students by research to make their research publications and theses open access.

## 2. Background and Rationale

2.1 In line with the growing worldwide movement towards open access, NTU implemented the Open Access Policy with effect from 8 August 2011. The policy enables a wider dissemination of NTU research publications and theses so as to contribute to society and research advancement.

2.2 Many local and international funders require research outputs to be made open access (OA) within set time frames. This policy aims to provide appropriate support for NTU authors in meeting funders and research communities' OA requirements.

## 3. Scope

3.1 This policy is applicable to all NTU faculty, staff and higher degree (PhD and Masters by research) students.

3.2 It covers faculty and staff publications and higher degree theses.

## 4. Definitions

4.1 The definitions of terms used in this document are as follows:

|                           |  |
|---------------------------|--|
| <b>Open access (OA)</b>   | The online availability of scholarly work via the internet, free of charge to individuals who wish to access and read it.  |
| <b>OA repository</b>      | A digital platform that provides free, open and reliable access to research outputs for anyone to use, download and distribute. Established examples of repositories maintained by universities or funders include <a href="#">DR-NTU</a> , <a href="#">PubMed Central</a> and <a href="#">arXiv</a> . |
| <b>Staff publications</b> | Journal articles and conference papers authored or co-authored by NTU faculty and staff.   |
| <b>Accepted version</b>   | The final peer-reviewed manuscript of a paper that includes all changes resulting from the peer-review process and has been accepted for publication. It is also called as the author accepted manuscript (AAM) or the post-print.   |
| <b>Published version</b>  | The version that has been published in a journal in print and/or online, also known as the Version of Record (VoR). It includes  |

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|                             | any copy editing and formatting changes made by the publisher and is usually available online on their website in PDF or HTML form. Normally the publisher restricts authors from depositing this version to a repository.   |
| <b>Higher degree theses</b> | Complete full-text version of theses of PhD and Masters degree students by research.   |
| <b>Embargo</b>              | <p>An embargo is a period of time requested by the publisher or a third party where access to the archived version of the article in a digital repository is restricted until the embargo period expires. Typical embargo periods range from 6 to 24 months, though some publishers may require an embargo of up to 48 months.</p> <p>During the embargo period, the full-text of the article is locked up, but the metadata record including the abstract is still publicly viewable.</p> |

## 5. Policy

### 5.1 Staff Publications

5.1.1 NTU faculty and staff are required to make their publications open access through any of the following approaches:

- Depositing the accepted version of their publications in DR-NTU (or NIE repository if applicable) upon acceptance of their publications
- Depositing in other reputable non-profit OA repositories, with the metadata of the publication and the link presented in DR-NTU
- Publishing their papers as OA publications, with the metadata of the publication and the link presented in DR-NTU

5.1.2 If none of the above is possible, the metadata of the publication, including abstract and a link to the published version, is required to be displayed in DR-NTU.

5.1.3 To deposit their papers in DR-NTU, faculty and staff need to check the publisher's self-archiving policy to identify the version that is allowed to be deposited and if needed, an embargo can be imposed on their papers during submission to DR-NTU. Many publishers allow the accepted version to be deposited in DR-NTU.

5.1.4 When making open access deposits in DR-NTU, each faculty and staff grants NTU a nonexclusive, irrevocable, royalty-free, and perpetual license to use, reproduce, preserve, and disseminate his or her work including the metadata and abstract worldwide.

5.1.5 The faculty and staff are responsible for making their publications open access.

5.1.6 Deposits of other forms of research outputs such as books, book chapters, reports, working papers and creative works in DR-NTU are encouraged, if the authors have the rights to do so.

### 5.2 Higher Degree Theses

- 5.2.1 The full-text of higher degree theses (PhD and Masters by research only) will be made available for open access. All PhD and Masters degree students (by research only) are required to submit the complete full-text of their theses to DR-NTU (or NIE repository if applicable).
- 5.2.2 The student shall retain their rights as author of the work in compliance with current University regulations and shall grant the University the rights to publish it in DR-NTU or any other library OA repositories.
- 5.2.3 In certain circumstances, a student work may not be suitable to be deposited in DR-NTU, hence students or supervisors may request for deposit exemption. Reasons for an exemption request may include confidentiality, sensitivity, security concerns or obligations to third parties. Once approved, the full-text of the student work can be exempted from deposit. However, where possible, the metadata and abstract, excluding sensitive information, should still be deposited in DR-NTU.
- 5.2.4 Embargo of no longer than 24 months may be imposed on theses that contain information of pending publications, patent applications, or on those that have obligations to third parties. If needed, students or supervisors can request for an embargo extension, and the request will be reviewed on a case-by-case basis.

### 5.3 Exclusion of Liability

- 5.3.1 The University (including the Library) shall not be liable for any loss or damage connected with the submission, storage or making available of the work on DR-NTU, or for any loss or damage arising from any use of data or information contained in DR-NTU by any person.

## 6. Consulted Parties

- 6.1 The following have been consulted in the drafting of this document.

| Name                      | Designation  | College/School/Department          |
|---------------------------|--|------------------------------------|
| Prof Fung Tat Ching       | Director   | Research Support Office            |
| Prof Timothy John White   | Associate Vice President (Infrastructure and Programmes) | President's Office                 |
| Assoc Prof Roderick Bates | Research Integrity Officer                               | Research Integrity & Ethics Office |

## 7. Related Legislation, Policies, Procedures and Guidelines

| Type   | Document Title (hyperlink to document if available)  |
|--------|--|
| Policy | <a href="#">NTU Research Data Policy</a>   |
| Policy | <a href="#">Embargo or Exemption Policy for the Submission of Works to NTU Digital Repository (DR-NTU)</a> |

## 8. Responsible Parties and Contacts

Policy Owner: Ms Caroline Pang, University Librarian

Responsible Office: Office of Knowledge, Information and Library Services

For clarification on this policy, please contact:

| Name                       | Designation  | Email                    | Telephone |
|----------------------------|--|--------------------------|-----------|
| Mr Kamaludeen Mohamed Rafi | Deputy Director, Office of Knowledge, Information and Library Services | kamaludeen.mr@ntu.edu.sg | 6790 6065 |
| Ms Goh Su Nee              | Deputy Director, Office of Knowledge, Information and Library Services | sunee@ntu.edu.sg         | 6316 2905 |

## 9. Revision History

| Version | Approved By  | Approval Date | Effective Date | Sections Modified   |
|---------|--|---------------|----------------|---|
| 1       | Provost-Deans Group                                | 13 Feb 2009   | 8 Aug 2011     | Not Applicable  |
| 2       | Deputy Associate Provost (Information & Knowledge) | 16 Oct 2018   | 16 Oct 2018    | 2.1 & 2.2 Background & Rationale and Effective Date   |
| 3       | Senior Vice President (Research) Council           | 15 July 2021  | 1 Aug 2021     | 5.1.1 Accept more OA compliance methods.<br>5.2.3 For exempted higher degree theses, the metadata including abstract, where possible, are required to be deposited in DR-NTU. |