



Scholarly Communication Guidelines

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1. PURPOSE

These guidelines inform Unitec staff and students about the meanings and processes of Scholarly Communication and dissemination and about how and when to make research and teaching materials available, including open and free access on the web. They provide the framework for a number of Unitec's policies and guidelines, in particular the Conduct of Research, Conduct of Student Research, Documenting Research Outputs, Intellectual Property and Research Outputs policies. These policies should be consulted along with the guidelines and links to them are provided throughout.

2. APPLICATION AND SCOPE

These guidelines apply to all Unitec staff and students. They focus on the formal, public examples of Scholarly Communication and not informal and private examples, such as blogs. Examples are wide ranging and include books, chapters in books, conference presentations, musical compositions, creative works (e.g. dance performance), exhibitions, films and videos. Unitec's Guidelines for Documenting Research Outputs provides a good list of 'output categories' considered to be Scholarly Communications. Most often they are journal articles, whether in print or electronic format. Research shows that published journal articles remain the preferred way for researchers to disseminate their research and that peer-review retains a 'central' role in both communication and research practice (Spezi, Fry, Creaser, Proberts, & White, 2013).

3. DEFINITIONS

Article Processing Charge (APC)	Means a charge paid by an author to a publisher enabling research (usually a journal article) to be made available to all without subscription of charge barriers. Also called "author pays".
Creative Commons	Means the non-profit organisation devoted to expanding the range of creative works available for others to build upon legally and to share. The organisation has released several copyright licenses free of charge to the public (Creative Commons, 2013)
Open Access	Means "the practice of providing unrestricted access via the internet to peer-reviewed scholarly research (Open Access, 2013)
Open Educational Resources (OER)	Means "freely accessible, usually open licensed documents and media that are useful for teaching, learning, educational, assessment and research purposes" (Open educational resources, 2013)
Research Output(s)	Means outputs included in and defined by Unitec's Guidelines for Documenting Research Outputs.
Scholarly Communication	Means knowledge transmission: it is about creating, disseminating and preserving scholarly research. Scholarly communication covers the full spectrum of communicative practices, from 'traditional' publication to newer internet-mediated forms, for example, digital media. Scholarly publishing is a subset of scholarly communication and is mediated through the use of a durable medium to fix knowledge.

4. GUIDELINES

4.1. Overview

The creation and dissemination of scholarly research “is an important part of academic work, passing on the knowledge and benefits to other scholars, professional practitioners and the wider community” (Australian National University, 2010). There are strong community calls that publicly-funded research is made accessible for the public good.

These guidelines recognise that researchers are authors (or creators) as well as readers (or users) of knowledge; and that attitudes towards communication may vary depending on whether they are author or reader.

4.2. Scholarly Communication

Scholarly communication is about creating, advancing, disseminating and preserving knowledge. Scholarly communications processes see scholars communicating in a range of ways, using practices that vary within and across disciplines and that include formal and informal modes of communications (Mabe, 2010). In the past, formal communication usually meant publication in peer-reviewed journals or books, conference papers and proceedings, reports and creative works of art. Today, scholarly communication practices have been transformed by the internet, enabling “unprecedented possibilities for dissemination...[that] affect scholarly publishing by enabling new publishing models”, such as open access: “These models usually are ‘new’ because they offer a new genre (or form) of presentation, a new mode for interaction (between authors, between readers, or between authors and readers), a new business model, a new approach to peer review, or some combination of these” (Hahn, 2008). These forms of dissemination do not replace traditional scholarly publications, but supplement them.

4.3. Responsibilities

Unitec will seek to facilitate these guidelines by:

- 1) Contributing to government strategy and policy frameworks to improve access to scholarly information;
- 2) Incorporating scholarly dissemination and community access to scholarly work into Unitec strategic plans;
- 3) Advocating and implementing policies to ensure fair use of copyrighted information for educational and research purposes;
- 4) Staffing the repository to identify and abide by publishers’ policies relating to copyright.

Unitec staff will seek to facilitate these guidelines by:

- 5) Promoting dissemination of scholarly findings through Faculty Research Committees to staff and postgraduate students;
- 6) Ensuring that mentoring and training of research students incorporates discussions about scholarly dissemination;
- 7) Recognising the increasing availability of parallel dissemination options when publishing scholarly work in order to reach the widest audience;

- 8) Collaborating with other researchers, research institutions and publishers to raise awareness of scholarly communication principles and practice, including the benefits of open access publishing;
- 9) Working with researchers to enable appropriate open access to both their published works and their primary research data;
- 10) Applying a Creative Commons licence to open access materials, when appropriate, to determine how materials may be used, reused or repurposed;
- 11) Retaining and filing their final post-peer reviewed and corrected version of articles sent for publication;
- 12) Considering the outcomes of the Treaty of Waitangi claim WAI 262 of 2011, affecting Maori culture and identity (Waitangi Tribunal, 2011).

Unitec Research Office staff will seek to facilitate these guidelines by:

- 13) Ensuring Unitec's research community is familiar with relevant policies;
- 14) Ensuring research students and academic staff are aware of current issues in scholarly publication and dissemination;
- 15) Developing infrastructure within Unitec, including ePress, that will facilitate access to scholarly information;
- 16) Providing a consistent form of institutional affiliation and address for author/s when submitting work for publication, so that Unitec's outputs will be able to be easily identified and retrieved.

Unitec Library staff will seek to facilitate these guidelines by:

- 17) Developing infrastructure within Unitec, Research Bank, that will facilitate access to scholarly information;
- 18) Providing a sustainable repository for the deposit and dissemination of scholarly work;
- 19) Maintaining and retaining content submitted to the repository.

4.4. Authorship and publication practice

Unitec's Conduct of Research Policy, Conduct of Student Research Policy, Intellectual Property Policy and Guidelines and Guidelines for Documenting Research Outputs discuss authorship and publication practice, including dissemination.

4.4.1. Advice about authorship and publication

One aspect of professional development in scholarship is mentoring and advice in respect of publishing and disseminating scholarly research.

The Chairs of the Faculty Research Committees and staff of the Research Office and Postgraduate Centre will lead in providing this mentoring and advice. Members of Unitec's ePress Advisory Committee, Faculty Research Committees and Departmental Research Committees are able to advise on researchers publishing options.

Mentoring and advice includes:

- 1) Recommending the choice of publication outlet (journal, conference, web-site etc);

- 2) Reviewing the implications of certain choices, for example journal impact factors, or being aware of the relatively scholarly prestige of conferences or journals;
- 3) Assisting with the development, structure and writing of an article, paper or presentation;
- 4) Advising on approaches to dealing with the editors and assessors of scholarly work;
- 5) Providing support in the face of rejection and critical attacks in the discipline.

As well, supervisors of undergraduate and postgraduate research students have a responsibility to inform them about the meanings and processes of Scholarly Communication and dissemination. These are outlined in Unitec's Conduct of Student Research Policy, particularly Guideline 12/10 'Guidelines for publication from a thesis or dissertation or research project.'

4.4.2. Solicitations to publish / Paying to publish

Staff may receive emails from journals or book publishing houses soliciting their publications. They need to assess the validity of these offers as the quality and legitimacy of these publications can often be questionable. For example, predatory publishers - those who lack transparency, deceive or otherwise fail to follow industry standards - publish substandard and often disputable research, in order to exploit the open-access, author-pays model. Other publishers scam researching staff by soliciting their work and invoicing them only after publication. The credibility of a journal soliciting publication should be assessed by reviewing previous publications, assessing membership of editorial committees and discussing the request with colleagues.

Unitec recommends staff and students resist the temptation to publish quickly and to use scholarly social networks to identify and share information on predatory publishers. A blog maintained by Jeffrey Beall, University of Colorado, Denver '*Scholarly Open Access: critical analysis of scholarly open-access publishing*' provides information about predatory publishers (Beall, 2013).

There are some reputable journal or book publishing houses that require payment for publication. The most common requirement is an Article Processing Charge (or APC), in which the publisher requires payment by the author to publish: this is an integral element of 'Gold Open Access' publishing. See section 4.8 on Open Access publishing for more information. At Unitec the Faculty of Social and Health Sciences introduced a faculty policy concerning APC's in 2013, and staff in this faculty should refer to this when faced with APC's. Staff should discuss possible APC's with their departments and faculties before committing to paying the charges as reimbursement by Unitec is not guaranteed.

4.5. Ownership and Copyright

Copyright is a part of an area of the law known as intellectual property (IP). Copyright is "a set of exclusive property rights given to owners in relation to their creations ... Copyright protection is automatic ... there is no formal system for copyright registration ... You don't need to put a copyright notice on your work, publish it, or do anything else for your work to be protected ... it is protected from the time it is first recorded, either in writing or in some way" (Copyright Council of New Zealand, 2009).

Thus the ownership and copyright of Scholarly Communications, Research Outputs and research data, is held by the author / creator unless it has been signed over to a third party (for example, a journal publisher).

Ownership of work created by a Unitec staff member, in the course of their employment with Unitec, is retained by the individual, except in situations where it is agreed that commercialisation of that material should be pursued as detailed out in Unitec's Intellectual Property Policy.

4.6. Assigning copyright

When an author sends their final peer reviewed corrected version of a paper (referred to as the 'accepted version') to a journal publisher, they commonly assign their copyright to that publisher. Most publishers, including Elsevier and Springer, allow authors to deposit the accepted version in open access repositories (such as Unitec's Research Bank). Others, such as Wiley-Blackwell, allow authors to deposit the original (pre-peer review) version they sent to the publisher (the 'submitted version'). Some outlets embargo open publication before critical dates.

Unitec recommends authors retain copyright of their work where possible by not assigning copyright to a publisher. While many publishers' agreements request transfer of copyright, authors can attach an addendum which modifies the publisher's agreement and allows authors to keep key rights to their works, including placement into Unitec's Research Bank, a form of self-archiving. The *Scholar's Copyright Addendum Engine* ([HTTP://SCIENCECOMMONS.ORG/PROJECTS/PUBLISHING/SCAE](http://sciencecommons.org/projects/publishing/scae)) will help you generate a PDF form that you can attach to a journal publisher's copyright agreement to ensure that you retain certain rights.

Unitec supports publishing and copyright agreements that allow authors to retain copyright by only taking a licence to publish or by allowing authors to self-archive in Research Bank.

Unitec accepts responsibility for managing the copyrights of deposited work in Research Bank. Wherever possible, an item in the Research bank will have a link to the published edition.

4.7. Maori culture and identity

KO AOTEAROA TENEI is the Waitangi Tribunal's report into the claim known as Wai 262 and concerns the place of Maori culture, identity and traditional knowledge in New Zealand's law, and in government policies and practices. It reports on the control of Maori traditional knowledge, who controls artistic and cultural works such as haka and waiata, and who controls the environment that created Maori culture. Wai 262 contains definitions of 'taonga works' and 'taonga-derived works' and recommends how these works may be used. We need to take into account the intellectual property in 'taonga works' and the role of *kaitiaki* (cultural guardians).

The dissemination and use of Indigenous Knowledge should be discussed at consultation stage, particularly with reference to digital dissemination. For more see the Guidelines for Maori and Community Social and Cultural Responsiveness.

4.8. Open access

Open Access means that “the full text results of scholarly research are made promptly, freely and permanently available to anyone with access to the internet” (Australian National University. 2010). An overview of Open access is at [HTTP://LIBGUIDES.UNITEC.AC.NZ/OPENACCESS](http://libguides.unitec.ac.nz/openaccess).

These guidelines endorse the principle of Open Access and Unitec recommends researchers make their work available in Open Access format. To this end Unitec has established the [RESEARCH BANK](#) and encourages researchers to submit their work to it.

This does not mean that researchers have to make their work available in an open access format. Unitec recognises that researchers are best placed to choose the publication and dissemination option of their choice and that there will be circumstances when it would be inappropriate to make research or other content openly accessible. When considering open access publishing researchers also need to be aware of ‘predatory publishers’. See section 4.4.2 for more information.

“Most discussion of Open Access recognises the two main mechanisms to achieving open access. The gold route, often referred to as the “author pays” route, involves payment of an article processing charge to publishers enabling the article to be made available to all without subscription or charge barriers. The alternative green route, often referred to as the “self-archiving” route, entails authors submitting manuscripts to traditional journals but maintaining the right to mount a version of their work on an open access repository. Much debate has focussed on the most effective way to achieve Open Access” (Spezi, Fry, Creaser, Proberts, & White, 2013). Unitec currently follows the ‘green route’ of open access publishing.

4.8.1. Open Educational Resources

Open Education Resources (OER) are “digitised materials offered freely and openly for educators, students and self-learners to use and reuse for teaching, learning, and research. OER includes learning content, software tools to develop, use and distribute content, and implementation resources such as open licenses” (Centre for Educational Research and Innovation, 2007).

Creative Commons Aotearoa New Zealand works with the Open Educational Resources (OER) movement. By applying Creative Commons licenses, teachers can reuse, remix and share their own lesson plans, courses, textbooks and a growing range of digital and print resources.

The [OPEN EDUCATION RESOURCE FOUNDATION](#), based at Otago Polytechnic, is an independent, not-for-profit organisation that provides leadership, international networking and support for educators and educational institutions to achieve their objectives through Open Education.

In 2013 Unitec became an OERu Anchor partner and Unitec will support staff who want to make their teaching materials OER.

4.9. Creative Commons

The Creative Commons (WWW.CREATIVECOMMONS.ORG.NZ/) provide free licences and tools that copyright owners can use to allow others to share, reuse and remix their material, legally. The licenses give everyone from individual creators to large companies and institutions a simple, standardised way to grant copyright

permissions to their creative work resulting in a vast and growing digital commons (Creative Commons, 2013).

There are six types of licence. See website for more details.

Unitec staff should be aware of the different types of Creative Commons licences and apply them to their work then making that material freely available on the internet. The Unitec Library and Research Office staff will assist in this if required.

4.10. Documenting research outputs

Unitec takes responsibility for ensuring accuracy in reporting research activity and the resulting outputs undertaken at Unitec. To this end Unitec will provide a comprehensive list of research and academic output types in order to categorise and report on this activity. This will be managed through a centralised database (ROMS), in which staff are required to record all research related outputs. This database will be regularly checked in order to ensure information provided to the public domain is complete and accurate. For more information see Documenting Research Outputs Policy and Guidelines.

4.11. Storing and preserving research outputs

Unitec's Research Bank is the digital repository in which research carried out at Unitec is stored and made available to the world. The purpose of the Research Bank is to make Unitec research as widely available as possible, by providing free access to it over the Internet, and making it easily found by Internet search engines.

The repository was developed using DSpace, an open source software platform, as part of a Library Consortium of New Zealand (LCoNZ) project. The contents of the repository are listed on the National Library of New Zealand's Kiwi Research Information Service (KRIS).

The Research Bank is administered by staff in Unitec library. To access Research Bank go to unitec.researchbank.ac.nz. The Research Office and Library staff work together to make information recorded in ROMS available in open access format within Research Bank where possible. Copyright restrictions may limit the availability of material held in ROMS and Research Bank. Staff should contact the library and provide copies of articles recently published directly to the Research Bank as copyright allows.

Digital preservation is a significant problem facing institutional repositories such as Research Bank and at Unitec we have yet to determine the intent and methodology of a digital preservation programme for research outputs. The uncertain timeframes around the deterioration of digital storage media and technological obsolescence are examples of issues common to all preservation agencies that deal with digital formats. How we define adequate access and preserve commonly-supported text, image and audio file formats (such as .pdf, .xml, .jpg, .wav, .tiff or .avi) are questions a preservation programme will need to address. Conversations around digital preservation and the role Unitec's digital repository will take regarding this are on-going.

4.12. Academic integrity

A draft policy on academic integrity is currently being circulated for feedback. Its approach is to promote a culture at Unitec based on the values of honesty, integrity and respect. With regard to scholarly communication the policy requires all students and staff “to undertake their academic work with academic integrity”, which is defined as “intellectual honesty with regard to the use of information and in the pursuit of knowledge and understanding”. Using information would also mean its publication and dissemination.

4.13. Theses

Part of the requirements of many levels of postgraduate study is the completion of a research thesis. At Unitec it is a requirement of completion for students to provide a digital copy of their thesis in addition to their final bound printed copies, one of which will be deposited in the library. Unitec will then deposit the thesis into the Research Bank for public access, unless restricted by an embargo. Theses completed by Unitec staff at other academic institutions may also be deposited in the Research Bank, unless copyright has been assigned to another institution. Unitec encourages depositing full, electronic copies of theses in open access repositories.

4.14. References

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REFERENCE DOCUMENTS

- [1] Conduct of Research Policy
- [2] Copyright Procedures for Staff
- [3] Copying of Copyright Works for Educational Purposes
- [4] Documenting Research Outputs
- [5] Intellectual Property Policy
- [6] Guidelines for Maori and Community Social and Cultural Responsiveness

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