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D Gray

By Email: fyi-request-29477-ed329e8c@requests.fyi.org.nz

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Tēnā koe D Gray

Re: – MBIE Transfer to GNS Science - Compliance with Kaupapahere Rangahau Tuwhera - Open Research Policy - a Official Information Act request to Ministry of Business, Innovation & Employment - FYI

1. On 6 December 2024 MBIE received the following request for information from you:

Section A: Open Access Publications

Since the release of the policy:

- 1. How many peer-reviewed publications arising from fully or partially MBIE-funded research have been made available with Open Access?*
- 2. What is the increase in Open Access publications compared to the three years preceding the policy's introduction?*
- 3. How many MBIE-funded research publications were made available through fully Open Access journals (i.e., Gold OA) since the policy was released?*
- 4. How many MBIE-funded research publications were made available through Hybrid Open Access journals since the policy was released?*
- 5. How many publications were made available as Green Open Access since the policy was released?*

Section B: Open Access and Crown Research Institutes (CRIs)

- 1. Please provide a list of CRIs with fully operational Institutional Repositories.*
- 2. For each CRI*

How many publications have been deposited in the repository since the policy's introduction? (i.e., Postprints, Author's Accepted Manuscript/AAM, Publisher's Version/Version of Record/VoR)?

How much has been spent on Article Processing Charges (APCs) for Gold Open Access or Hybrid Open Access in the last calendar year??

- 3. If a Crown Research Institute does not have an operational Institutional Repository, please provide the reasons for this.*

Section C: Monitoring Compliance

- 1. How is MBIE monitoring and auditing compliance with the Kaupapahere Rangahau Tuwhera - Open Research Policy among CRIs and universities?*
- 2. What resources (FTE) are allocated by you to compliance monitoring and auditing?*
- 3. What is the degree of compliance by CRIs and universities with the policy? Please provide numbers for:*

- Fully compliant institutions
- Partially compliant institutions
- Non-compliant institutions.

4. What actions has/does MBIE take in cases of partial or non-compliance?

5. And what penalties have been/can MBIE impose for partial or non-compliance by an institution or a Principal Investigator/Program Leader? And has this happened and for which institution(s)?

Answering the questions in Sections A and B should not be difficult if you are actively monitoring and auditing compliance with the policy. If monitoring and auditing is NOT occurring, please provide an explanation as to why this is the case as this would seem to be a significant oversight and questions the value of having the policy.

2. MBIE has transferred Section B of your request to GNS and we respond as follows:

Section B: Open Access and Crown Research Institutes (CRIs)

1. Please provide a list of CRIs with fully operational Institutional Repositories.
2. For each CRI

How many publications have been deposited in the repository since the policy's introduction? (i.e., Postprints, Author's Accepted Manuscript/AAM, Publisher's Version/Version of Record/VoR)?

GNS does not have a fully operational Institutional Repository.

How much has been spent on Article Processing Charges (APCs) for Gold Open Access or Hybrid Open Access in the last calendar year??

GNS does not hold any information on "Article Processing Charges (APCs) for Gold Open Access or Hybrid Open Access in the last calendar year".

3. If a Crown Research Institute does not have an operational Institutional Repository, please provide the reasons for this.

GNS has established a working group to investigate the potential to establish an Institutional Repository but due to resource and budget constraints we have made limited progress.

If you wish to discuss this reply, you can contact GNS Science at ويا@gns.cri.nz. Alternatively, should you be dissatisfied with this reply, you have the right to seek an investigation and review by the Ombudsman. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

Yours sincerely



Anna Jellie
General Counsel