

## UNIVERSITY OF CAPE TOWN

### Open Access Policy

**for taking forward open scholarship and open education as part of the University's commitment to social justice through the widest distribution of its scholarly output**

#### 1. Preamble

Central to the University's core mission is the education and training of students, and the advancement, preservation and dissemination of knowledge. UCT encourages research and development and social outreach by creating a research culture that actively responds to the needs of the people of South Africa and the continent, while also contributing to the global research community.

In pursuit of this philosophy of sharing knowledge, the Vice-Chancellor formally signed [The Berlin Declaration on Open Access to the Sciences and Humanities](#) on 1 November 2011. This declaration commits UCT to following and promoting an open access approach with regard to scholarly communication and education. This policy provides the basis for the University to preserve the scholarly work of UCT scholars and to make this scholarship discoverable, visible and freely available online to anyone who seeks it.

By adopting such a policy, the University commits to the social justice principles of Open Access and actively seeks to:

- share research and learning content that addresses South African and African research and teaching and learning imperatives;
- share research and learning content that contribute to South African and African social and economic development;
- increase discoverability and visibility of scholarly output at UCT;
- preserve, present and facilitate access to the institution's research and knowledge production;
- ensure the full participation of the UCT academy in global knowledge communities;
- develop research capacity within the institution and the region by sharing research knowledge and practices;
- manage the rising costs of library materials and access to scholarly knowledge;
- increase citations to and maximise the visibility of UCT scholarship.

Agreement regarding the principles and mandate in this policy will lead to appropriate mechanisms and guidelines by which these objectives will be realised. Much of this work is already taking place at UCT; the history of the UCT academic community sharing scholarly content predates the Internet and there is strong evidence that there are many and various current activities at the level of the individual academic as well as by research and development groupings. These activities have raised issues of broad significance, which have been initiated in multiple fora, including UCT's research, teaching and learning, social responsiveness and ICT governance structures.

UCT recognises the additional pressure exerted by the policy environment which increasingly requires academics to make their work available through open access. As one of the leading research universities on the African continent, there is additional urgency for ensuring the online visibility of academic work from UCT. There is widespread demand for the availability of open education resources, open content, open courses etc. from the global south to support local research and, teaching and learning.

By joining peer institutions regionally, nationally and internationally as well as a growing number of governments and significant funding agencies globally in adopting open access practises, including but not limited to diamond open access publishing, UCT becomes part of an important and rapidly growing movement taking forward open scholarship and open education as part of its commitment to scholarly communication.

This policy must be read in conjunction with the University of Cape Town's [Research Data Management Policy](#). Collectively, the policies address the sharing of scholarship which includes, where permissible, the published content and data, both processed and unprocessed data which should be lodged in UCT's data repository, ZivaHub.

In keeping with these commitments, the Senate and Council adopt the following policy.

## 2. Definitions

In this policy, unless clearly inconsistent with or otherwise indicated by the context, the definitions set out below shall apply:

**“Author(s)”** means an Employee(s) and/or Student who is the Creator of an Original Scholarly Publication;

**“Creative Commons”** means a non-profit organisation which is committed to facilitating the legal sharing of creative works through a range of licences which allow creators to stipulate which rights they reserve, and which rights they waive for the benefit of other creators. Creative Commons licences follow a "some rights reserved" model in contrast to traditional copyright, which follows an "all rights reserved" model. Creative Commons therefore provides a continuum of rights between "all rights reserved" on the one end of the continuum and "no rights reserved" (public domain) on the other end;

**“Diamond open access”** means a route followed where the article is immediately open access without a charge to the author nor the reader. There is no subscription cost as the article is available open access and the author does not pay an article processing charge (APC);

**“Employee”** means a person who has entered into an employment relationship with UCT, whether academic or professional, administrative support or service staff, full-time or part-time, and whether full appointment or joint appointment, including honorary and affiliate appointments and assistantships;

**“Final published version”** means the version of the article that is published on the publisher's website;

**“Hybrid”** means a subscription journal which offers an open access option which authors pay via an article processing charge;

**“Green route”** means the depositing into an accepted open access repository that version of an article permitted by the publisher/outside of copyright;

**“Gold route”** means the article is freely available immediately on publication. It is common for the author to pay article process charges in the gold route;

“**Institutional Repository**” means an officially designated repository for UCT archiving purposes, details of which are published by UCT Libraries;

“**Metadata**” means structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource” ([NISO, 2004](#)). Examples of key metadata elements are: Title of the article/document; Author (Creator) of the document; Description of the content; Source of the document, Date created;

“**OpenUCT**” means the designated title for UCT’s institutional repository

“**Pre-print**” means that version of the manuscript submitted by the author/s to a journal for peer review;

“**Post print**” means that version of the manuscript that has been through the peer review process and incorporates the comments of reviewer;

“**Repository**” means a storage container for content artefacts, physical or electronic;

“**Scholarly Publication**” means an article or paper submitted for publication in a journal which may, or may not, be peer reviewed and may, or may not, be Open Access, or in conference proceedings;

“**Senior Professors’ Committee**” means a Committee comprising at least three of the twelve most senior (long-serving) professors at UCT, who are not a Deputy Vice Chancellor, Dean, Deputy Dean or Executive Director;

“**Student(s)**” means a full-time or part-time student(s) of UCT from undergraduate to post-graduate level, including students in training and post-doctoral fellows.

“**ZivaHub**” means the designated title for UCT’s institutional data repository

### **3. Applicability of the Policy**

This Open Access Policy applies to UCT Employees and Students and provides the legal basis for UCT to preserve the work of UCT Authors and maintain open dissemination, maximise visibility and discoverability through long term, robust and scalable digital platforms and services of the highest standards.

This policy does not apply to Scholarly Publications written either before an Author joined or after the Author left UCT.

### **4. Relationship to the Intellectual Property Policy**

UCT seeks to protect the rights and privileges which the members of the UCT community enjoy in pursuit of knowledge, while at the same time balancing its commitment to social justice through the open sharing of information with others, and discharging its mission as a public university contributing to the greater public good.

With respect to copyright and intellectual property, this policy is informed by the institution’s [Intellectual Property Policy](#). In terms of the Intellectual Property Policy, the copyright in Scholarly Publication is automatically assigned to the author(s) unless UCT has assigned ownership to a third party in terms of a research contract.

UCT, in terms of the Intellectual Property Policy, supports the publication of materials under Creative Commons licences to promote the sharing of knowledge and the creation of open education resources.

## 5. Policy

The core of the policy focusses on the responsibilities of authors and the University with regard to the depositing of scholarly content.

### 5.1 Responsibilities of author/s and the University

An Author,

- (a) it is mandatory that authors deposit an appropriate version<sup>1</sup> of Scholarly Publications into *OpenUCT*
- (b) authors who are obliged by grant funding conditions MUST ensure that the appropriate version of the scholarly publication is deposited into *OpenUCT*
- (c) authors who receive financial support from the Institution for an APC MUST deposit the final published version of the scholarly publication into *OpenUCT*

Grant holders are required to comply with any conditions for publishing scholarly content as set out by the funder.

An author, unless prevented by publisher agreement, will be deemed when depositing an appropriate version of a Scholarly Publication, to grant UCT a royalty-free, non-exclusive, non-commercial, worldwide licence to publish the deposited version in a *UCT Institutional Repository* to which there will be open access.

Where an author voluntarily deposits a Scholarly Publication to which open access is restricted by virtue of a publisher agreement, the author will be deemed when doing so to grant UCT a royalty-free, non-exclusive, non-commercial, worldwide licence to publish this in a *UCT Institutional Repository* to which there will be open access effective from the date on which restrictions contained in the publisher agreement cease to apply.

The University

- (i) requires Employees and Students to make all forms of works of scholarship available through the appropriate platforms and service in digital format and of a type that is consistent with policies and practices. This includes (but is not limited to) essays, books, peer reviewed conference papers, reports (where permitted by a funder of the research leading to the report), educational resources, presentations, scholarly multi-media material, audio-visual works and digital representations of pictorial and graphical materials.  
  
(Authors should utilise Sherpa/Romeo (<http://www.sherpa.ac.uk/romeo/>) or publishers' websites to confirm a publisher's copyright policies and permissions that are normally granted in terms of their copyright transfer agreements;
- (ii) recommends that Authors avoid the transfer of copyright to publishers, where the publisher does not permit archiving, re-use or sharing, as a minimum, of a *submitted version* of a Scholarly Publication. UCT strongly encourages the use of UCT's author

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<sup>1</sup> An appropriate version is an article that has been peer reviewed

addendum (hyperlink) to prevent the ceding of copyright to publishers. This addendum will provide authors with leverage to engage with publishers their need to comply with UCT's policy so it is consistent with the permissions granted by the staff member to the University; and

- (iii) encourages Authors to publish their Scholarly Publications in high-quality peer-reviewed open access journals. In this case the Author should upload, for long term preservation and improved discoverability, the final published version into *OpenUCT*.

## **5.2 Platforms**

The University offers, via its Libraries and other relevant departments, an institutional repository service as well as a publishing service. The institutional repository (*OpenUCT*) collects digital copies of scholarly articles, essays, books, peer reviewed conference papers, reports (where permitted by a funder of the research leading to the report), educational resources, scholarly multi-media material, audio-visual works and digital representations of pictorial and graphical materials. The 'library as a publisher' service offers a diamond open access publishing service for the publication of open journals, open monographs and open textbooks.

### ***5.2.1 Institutional Repository service***

UCT Libraries shall publish details of officially designated Institutional Repositories and other acceptable curatorial systems, as well as procedures for archiving and/or self-archiving Scholarly Publications, theses and dissertations on their website.

It is recognised that some Employees and Students of UCT currently make their works available through repositories such as arXiv and PubMed Central. UCT will work with established repositories to harvest UCT-produced outputs. Authors may satisfy preservation and access requirements by making such work available through an alternate repository, provided that such a repository makes the work accessible in full-text to the public, without costs or other restrictions (other than customary restrictions) and that it offers to preserve and maintain the work indefinitely.

### ***5.2.2 Library as a publisher service***

The University offers, via its Libraries and other relevant departments, a 'library as publisher' service to grow the number of local journals that are available open access. The Libraries also provides a platform and support for the publication of open monographs and open textbooks. This diamond open access journals and monograph option will complement current publishing processes to meet the need for more local and decolonised content: such content will be accessible globally.

## **5.3 Student Theses and Dissertations**

- In line with the provisions of the Intellectual Property Policy and institutional student rules, UCT is granted a right to publish student research theses (doctoral degrees) or dissertations (master's degrees). Research reports submitted by candidates for professional master's degrees are exempt from this requirement. A student shall through self-submission upload the final corrected version of the thesis or dissertation into the University's PeopleSoft system prior to graduation, for final migration into the officially designated Institutional Repository (*OpenUCT*). As the norm, students whose dissertations or research reports are less than sixty credits do not upload these dissertations or research reports. The designated Institutional Repository shall make provision for the delayed public release of any thesis or dissertation for up to twenty-

four months (and, in exceptional cases, for longer defined periods) provided the necessary criteria for doing so have been met (refer to [Guidelines OpenUCT: Publication of Theses and Dissertations after Conferment of the Degree](#)).

Grant holders are required to comply with any conditions for archiving theses and dissertations as set out by the funder.

#### **5.4 Dispute Resolution, Interpretation and Revision of the Policy**

The Office of the Vice-Chancellor, in consultation with the Senior Professors' Committee, will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending any revision of this policy.

#### **5.5 Policy Implementation and Management**

UCT Libraries shall be responsible for managing the implementation of the policy and procedures as well as develop and monitor a plan for a service or mechanism that would render compliance with the policy that is appropriate, convenient and supportive of UCT Authors, including adherence to archiving policies of publishers and funders.

#### **5.6 Funding Support for Open Access Publication**

UCT endeavours to provide funding for APCs in the Department of Higher Education and Training (DHET) subsidy-earning publications, where Authors are not able to source alternative funding for this purpose. Whenever possible, Authors should include funding for APCs in their funding proposals. Guidelines for the support of funding for open access publication are the responsibility of the Research Office.

### **6. Policy Review**

The policy will be reviewed after five years by Senate and Council.

### **7. Related UCT Policies, Rules and Guidelines**

- Intellectual Property Policy
- Metadata and Information Architecture Policy
- Guidelines *OpenUCT*: Publication of Theses and Dissertations after Conferment of the Degree
- UCT Handbook 3 General Rules and Policies
- Research Data Management Policy

#### **This policy is informed by the following:**

[The Berlin Declaration](#)

[Harvard University Open Access Policy](#)

[Duke University Open Access Policy](#)

[Policy to provide open access to research papers authored by University of Pretoria researchers](#)

[Policy on University of Pretoria Electronic Theses and Dissertations](#)

[Stellenbosch University Open Access Publishing Fund Policy](#)

[NISO \(2004\)](#)

[National Research Foundation \(NRF\) Statement on Open Access to Research Publications](#)

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