

Policy to provide open access to research papers authored
by University of Pretoria researchers

Policy Group/Category: Academic

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1. Position statement

The University of Pretoria supports free access to the research literature for all researchers worldwide and takes responsibility for the dissemination of its own research outputs in the spirit of the Budapest Open Access Initiative (BOAI) (<http://www.soros.org/openaccess>), the Bethesda Statement on Open Access Publishing (<http://www.earlham.edu/~peters/fos/bethesda.htm#note2>), the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (<http://oa.mpg.de/openaccess-berlin/berlindeclaration.html>), the Berlin 3 OA Recommendations 2005, and other similar initiatives.

Making UP research freely available should be maximized to increase the visibility and impact of this research for the benefit of both researchers and the University. Staff, students, and university administrators must all take greater responsibility for expanding access to scholarly research and ensure that their research publications reach as wide an audience as possible while maintaining scholarly standards of quality.

The University honours legal commitments made by researchers and abides by publishers' copyright regulations and the archiving conditions of research funders.

The University actively supports international initiatives to influence the current copyright practices of publishers and authors in order to expand the rights of its authors and researchers.

2. Purpose

This policy provides directions for the archiving and dissemination of journal articles authored by UP researchers which have been or will be published in accredited journals recognized for government subsidy as well as conference papers which will be published.

This policy aims to ensure that

- all published UP research is available for use within the University;
- any other student, researcher or member of the public with a non-commercial need for the information, has free access to it;
- the University's Research Report is complemented with the full text of research papers;
- mechanisms exist for the long-term preservation of UP research publications.

3. Policy statement

1. To assist the University of Pretoria in providing open access to scholarly articles and conference papers resulting from research done at the University, and which are wholly or in part supported by public funding, staff and students are **required** to
 - submit peer-reviewed postprints* of their articles and published conference papers to UPspace, the University's institutional repository (<https://www.up.ac.za/dspace/>), **AND**
 - give the University permission to a) make the content freely available and b) to take necessary steps to preserve files in perpetuity.

2. Postprints are to be submitted **immediately** after acceptance for publication.
3. The University of Pretoria **requires** its researchers to comply with the policies of research funders such as the Wellcome Trust with regard to open access archiving. Postprints of these articles are not excluded from the UP mandate and should first be submitted as described in 1. Information on funders' policies is available at <http://www.sherpa.ac.uk/juliet/>.
4. The Department of Library Services: Open Scholarship Office will manage implementation of the mandate including
 - adhering to archiving policies of publishers and research funders, and
 - managing the system's embargo facility to delay public visibility to meet publishers' requirements.
5. Access to the full text of articles will be subject to publisher regulations.
 - Access will not be provided if archiving permission is in doubt or not available. In such cases, an abstract will be made available for external internet searches to achieve maximum research visibility.
 - Access to the full text of articles will be suppressed for a period if such an embargo is prescribed by the publisher or funder.
6. The University of Pretoria strongly **recommends** that transfer of copyright to publishers be avoided. Researchers are **encouraged** to negotiate copyright terms with publishers when the publisher does not allow archiving, reuse and sharing. This can be done by adding the official UP author addendum to a publishing contract. The addendum is available at <http://openup.library.up.ac.za/>.
7. The University of Pretoria **encourages** its authors to publish their research articles in accredited open access journals.

4. Scope

This policy applies to all staff and students of the University of Pretoria even when they co-author with researchers from other institutions.

This policy does not apply to

- articles that do not qualify for the Research Report;
- articles written before the researcher joined the University of Pretoria;
- articles written after the researcher left the University of Pretoria.

5. Definitions

Open access (OA) **Open access (OA)** is free, immediate, permanent, full-text, online access, for any user, web-wide, to digital scientific and scholarly material, primarily research articles published in peer-reviewed journals. OA means that any individual user, anywhere, who has access to the Internet, may link, read, download, store, print-off, use, and data-mine the digital content of that article. An OA article usually has limited copyright and licensing restrictions. (http://en.wikipedia.org/wiki/Open_access).

Open access is consistent with both peer-review and copyright law. The legal basis for open access is the consent of the copyright owner. (*Understanding open access in the academic environment: a guide for authors*. Available online at <http://eprints.qut.edu.au/13935/2/13935.pdf> /).

Institutional

An online locus for collecting, preserving, and disseminating - in digital form -

repository	the intellectual output of an institution, particularly a research institution. For a university, this would include materials such as research journal articles, before (preprints) and after (postprints) undergoing peer review, and digital versions of theses and dissertations, but it might also include other digital assets generated by normal academic life, such as administrative documents, course notes, or learning objects. (http://en.wikipedia.org/wiki/Institutional_repository)
Open access journals	Open access journals are scholarly journals that are available to the reader "without financial or other barrier other than access to the internet itself." Some are subsidized, and some require payment on behalf of the author. Their business model is not based on subscriptions. For more information go to the <i>Directory of Open Access Journals</i> at http://www.doaj.org/ , or <i>Journal Info</i> at http://jinfo.lub.lu.se/ .
Self-archive / self-submit	The deposit or submission of copies of scholarly publications by authors or their trusted appointees in an institutional repository like UPspace
Preprint	The version of a research article which has been submitted for publication before it has been peer reviewed
Postprint	The author's final peer reviewed and corrected draft/manuscript of a research article which has been accepted for publication by an accredited journal without the publisher's copy-editing, formatting, mark-up and branding
Accredited journals	Accredited journals qualify for subsidisation by the South African Department of Education (DoE). Information on the accreditation criteria and the lists of journals which are accredited can be found at http://web.up.ac.za/default.asp?ipkCategoryID=8990&subid=8990&ipklookid=1
openUP	openUP is the name of the University's programme aimed at opening up UP research articles to the international research community. The programme is managed by the Open Scholarship Office in the Merensky Library on the Hatfield Campus (http://openup.library.up.ac.za/).

6. Action

Information, guidelines, forms and brochures will be provided to all researchers, including postgraduate students, to explain the process and to assist them with submission (<http://openup.library.up.ac.za/>).

7. Responsibility

- It is the responsibility of **authors** to provide articles (postprints) as agreed.
- The **Department of Library Services: Open Scholarship Office** will assess all submissions to ensure that they are within the scope of the repository, that publishers' regulations are adhered to, that the appropriate version of the article is archived and that declared standards are maintained. The authenticity of submissions is the responsibility of the author.
- The **Department of Library Services** will supply information, guidance and support to submitters.

- The **Department of Library Services** will be responsible for managing the institutional repository as a service to capture, store, index, preserve and make available UP research outputs in digital format in perpetuity.

8. Policy Base

University of Pretoria Strategic Plan: *Innovation Generation: Creating the Future, 2007 – 2011*.

“B 6.6. E-research and the Academic Information Service (cont.)

Secondly, archiving the published research papers and conference proceedings of UP staff and students and making them available to the international research community will integrate the University with the international open access movement. This will ensure enhanced visibility for UP research and its greater impact. The Academic Information Service will manage this initiative and guide researchers towards contributing. During the period under review, policy on copyright practices and the possible mandatory submission of articles will be developed.”

9. Associated Documents

Addendum to Publication Agreement

10. Implementation

The *Policy to provide open access to journal articles authored by University of Pretoria researchers* is to be implemented throughout the University of Pretoria as from 1 July 2009.

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