

## **UNIVERSITY OF CAPE TOWN**

### **Open Access Policy**

#### **for taking forward open scholarship and open education as part of a commitment to scholarly communication, e-research and digital content stewardship**

#### **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, 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 actively seeks to:

- 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;
- contribute their academic resources to social and economic development;
- develop research capacity within the institution and region by sharing research knowledge and practices;
- manage the rising costs of library materials and access to scholarly knowledge;
- increase citations to and maximize 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 realized. 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. Activities in the digital scholarship, scholarly communication, and open scholarship and education arenas to date have tended to take place through funded projects, and it is evident that the time has come to move from project status to the co-ordination, support and embedding of digital scholarship within the institution.

UCT recognizes the additional pressure exerted by the policy environment in the global north which increasingly requires academics to make their work available through open access; this

creates additional urgency for ensuring the online visibility of academic work from the global south. At the same time the widespread availability of open education resources, open content, open courses etc. from the global north is both an opportunity and a concern as there is an equally urgent need for local teaching and learning resources to be made freely available online.

By joining peer institutions regionally, nationally and internationally as well as a growing number of governments and significant funding agencies globally in adopting an open access policy and building digital repository services, 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, e-research and digital content stewardship.

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;

“**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;

“**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;

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

“**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.

### **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 this with the philosophy of sharing 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**

### **5.1 Author Responsibilities**

An Author,

- (a) must deposit an appropriate version<sup>1</sup> of Scholarly Publications into an officially designated *Institutional Repository* or into an acceptable curatorial system which can be harvested by UCT; or
- (b) if prevented by a publisher’s copyright terms or other good reason from doing so, must notify the *Institutional Repository* in writing that he/she will not be doing so and the reasons for this.

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

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 the 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) encourages 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, 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 utilize 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 will provide a simple mechanism through which Authors can inform publishers of 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 peer-reviewed open access journals. In this case the Author should supply the metadata to the Institutional Repository in order to maximise institutional and personal discoverability.

## 5.2 Institutional Repository

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 recognized 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.

### **5.3 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, either through self-submission or assisted submission upload the final corrected version of the thesis or dissertation into the officially designated Institutional Repository (OpenUCT) prior to graduating. 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 Article Processing Charges (APC) 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 Article Processing Charges 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 two 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

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

[The Berlin Declaration](#)

[Harvard University Open Access Policy](#)

[Duke University Open Access Policy](#)

[University of Pretoria Policy to Provide Access to Research Papers](#)

[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](#)

Approved by Council 14 June 2014

Amendments approved by BfGS 9 February 2016

Amendments approved by URC 24 February 2016