



UNIVERSITY OF PRETORIA
Department of Library Services

Policy on Open Access to Research Papers and Creative Outputs Authored by University of Pretoria Researchers

Document type: Policy
Policy Category: Research

Document number: S 5120/21

TABLE OF CONTENTS

1. Purpose	2
2. Scope	2
3. Consequences of non-compliance	3
4. Policy statement.....	3
5. Definitions	4
6. Roles and responsibilities	6
7. Associated documents	7
8. Policy life cycle	7
9. Document metadata.....	8

1. Purpose

The University of Pretoria supports various Open Access initiatives, for example, the Berlin Declaration.

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 recognises that there will be instances where ethical, contractual or legal restrictions will apply, and will honour these and abide 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.

This policy provides directions for the archiving and dissemination of scholarly journal articles, conference papers and creative outputs authored/co-authored by UP researchers which have been or will be published.

This policy aims to ensure that all published UP research as well as Creative Outputs are available for use within the University, and that any other student, researcher or member of the public with a non-commercial need for the information, has free access to it

2. Scope

This policy applies to all researchers engaged in publishing and/or disseminating research outputs under the auspices of the University of Pretoria. This includes but is not limited to postgraduate students, research staff, employees, visiting researchers, and postdoctoral fellows, even when they co-author with researchers from other institutions.

This policy does not apply to

- articles written before the researcher joined the University of Pretoria;
- articles written after the researcher left the University of Pretoria;
- conference papers presented before the researcher joined the University of Pretoria;
- conference papers presented after the researcher left the University of Pretoria;
- creative outputs generated before the researcher joined the University of Pretoria; and
- creative outputs generated after the researcher left the University of Pretoria.

3. Consequences of non-compliance

3.1 For the University

Non-compliance with this policy could lead to financial losses (e.g., loss of funding), or reputational damage. Reputational damage could harm relationships with key stakeholders and investors and could negatively affect the University's appeal to top class researchers, funding providers, employment candidates, and prospective students.

3.2 For employees and students

Failing to comply with this policy may lead to disciplinary action. The University has a culture of transparency, and employees and students should feel comfortable reporting incidents of non-compliance. The University relies on the cooperation of all employees and students to help achieve the goals set out in this policy. Failing to report non-compliance could also lead to disciplinary action.

4. Policy statement

4.1 To assist the University of Pretoria in providing open access to scholarly articles and conference papers and creative outputs resulting from research done at the University, and which are wholly or in part supported by public funding, researchers are required to

- submit peer-reviewed postprints* of their articles and published conference papers immediately after acceptance for publication to UPSpace, the University's institutional repository, AND
- submit creative outputs after creation or performance or exhibition to UPSpace, the University's institutional repository, AND
- give the University permission to make the content freely available and to take the necessary steps to preserve the files.

4.2 The University of Pretoria **requires** its researchers to comply with the policies of research funders with regard to open access archiving.

4.3 The Department of Library Services: Scholarly Communications 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 in order to meet publishers' requirements and intellectual property, commercial, legal or ethical obligations.

4.4 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.
 - Access to the full text of articles will be suppressed for a period if such an embargo is prescribed by the publisher or funder.
- 4.5 Access to creative outputs will be subject to intellectual property, legal and ethical restrictions.
- 4.6 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.
- 4.7 The University of Pretoria **encourages** its authors to publish their research articles in accredited open access journals.
- 4.8 All research outputs should be made available with an appropriate license for reuse and this license should maximise the reuse of the output where it is possible to do so.
- 4.9 Research data underpinning scholarly articles and conference papers should be deposited in the University's Research Data Repository platform in a responsible manner without infringing on intellectual property, legal or ethical obligations in accordance with the Research Data Management Policy.
- 4.10 Where required, published results *must* include links or references to the supporting data in accordance with the Research Data Management Policy.

5. Definitions

Accredited journals

Accredited journals meet specified criteria and qualify for subsidisation by the South African Department of Higher Education and Training (DHET).

Creative Outputs

Creative outputs contain outputs in the fine arts, literary arts, design, film, television, theatre, performance, dance and music performance.

Institutional repository

An online archive for collecting, preserving, and disseminating - in digital form - 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, conference papers, digital versions of theses and dissertations, creative outputs and digitised materials from special collections. It might also include other digital assets generated by normal academic life, such as administrative documents, course notes, or learning objects (New World Encyclopedia).

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 (Wikipedia).

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).

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.

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.

Preprint

The version of a research article which has been submitted for publication **before** it has been peer reviewed

6. Roles and responsibilities

Authors

- It is the responsibility of **authors** to provide pre- or postprints of articles when required, in line with by publisher copyright policies.
- It is the responsibility of authors to provide creative outputs in line with the Code of Ethics for Scholarly Activities, the University of Pretoria Intellectual Property Policy, and Information Governance Policy.
- It is the responsibility of researchers to ensure that they have cleared the rights that any third parties may hold in a work, for example copyright of co-authors, before submitting a research output for deposit into the repository.

Deans of Faculties

- Deans, through their Deputy Deans of Research or designated persons (in the absence of a Deputy Dean of Research), will monitor their Faculty's compliance to this policy.

The Department of Library Services (DLS)

The **DLS** will:

- assess all submissions to ensure that they are within the scope of the repository, that publishers' regulations are adhered to, and that all rights (e.g. copyright of co-authors) that any third parties may hold on the work is cleared and that the appropriate version of the article is archived;
- ensure that all appropriate research outputs are assigned a persistent resource identifier (Handle or Digital Object Identifier) to support long-term access;
- work with researchers to ensure that appropriate embargo periods are placed on the items that are deposited in the Institutional Repository and that any

- restrictions and license requirements for research outputs are complied with;
- render consultation services and training to researchers and research support staff to ensure awareness and understanding of this policy and of the open access policies of funders;
- provide timely reports of deposited and published outputs, where this information is readily available; and
- 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.

7. Associated documents

This policy is aligned with the following University of Pretoria policies and documents:

- Code of Ethics for Scholarly Activities
- Contract Research and Consultation Policy
- General Rules and Regulations Yearbook
- Information Governance Maturity Assessment
- Information Governance Policy
- Policy and Procedures for Responsible Research
- Research Data Management Policy
- University of Pretoria Intellectual Property Policy

This policy is aligned to the following government legislation:

- Promotion of Access to Information Act No. 2 of 2000
- Protection of Personal Information Act No. 4 of 2013

This policy is aligned to the following international legislation:

- General Data Protection Regulation 2016/679 (EU)

8. Policy life cycle

This policy should be reviewed every three years

9. Document metadata

Document number:	<i>S5120/21</i>
Document version:	<i>S5120/21 is the new version replacing S4845/08</i>
Document approval authority:	<i>Senate</i>
Document approval date:	<i>7 October 2021</i>
Document owner:	<i>Director: Library Services</i>
Document author(s):	
Next review date:	<i>7 October 2024</i>
Visibility: Display on staff intranet Display on student intranet Display on public web	<i>✓ ✓</i>