OPEN ACCESS POLICY

Policy Owner	Executive Director Library and Information Centre
Division/Unit/Department	Library and Information Centre
Date of Initial Approval	17 February 2020
Approved by	URC
Approval Dates of Revisions/Amendments [1]	20 February 2020
Next Review Date	February 2025
Platform to be published on	Library website, intranet.

Introduction

The University of Johannesburg strives to give the highest quality of education to our students and to impact society by making the research produced by UJ researchers as visible and accessible to students and the public as possible. Open Access (OA) scholarship, resources, and education strives to make information freely available for the benefit of society and education, thus reducing some of the costs and obstacles faced by researchers and students. Worldwide OA offers a platform through which scholars can increase the dissemination of their research, achieve greater recognition while opening up more opportunities for debate, critique and consideration of scholarly, scientific research. By adopting an OA policy, the scholarly work of UJ researchers will be made more discoverable, visible and freely available online to both the academic community and society generally.

The growing global support for OA scholarship, resources, and education globally through OA2020 means that scholars in South Africa need to participate in this movement to ensure the global visibility of their research. By adopting an OA policy UJ will become part of a growing international movement of academic institutions, government agencies, and funders who are moving toward open scholarship and education in the context of e-resources and digital content stewardship.

A working document outlining how to achieve the OA2020 is articulated in Plan S[2] and can be summarized as:

- No publication should be locked behind a paywall;
- OA must be immediate and publishers should not stipulate embargo periods;
- There must be transparency about pricing and contracts regarding article publications;
- Funders should commit to supporting publication fees at a reasonable level;
- There are multiple routes to OA compliance that can be followed;
- A commitment to assess research outputs based on their intrinsic merit and not where the manuscript is published should be embraced.[3]

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[2]'Plan S is an initiative for open-access science publishing that was launched by Science Europe on 4 September 2018. It is an initiative of "cOAlition S", a consortium launched by major national research agencies and funders from twelve European countries. The plan requires scientists and researchers who benefit from state-funded research organisations and institutions to publish their work in open repositories or in journals that are available to all by 2021'. https://www.coalition-s.org/ Accessed 10 September 2019.

[3] 'South Africa's Journey Towards Open Access to Scholarly Journals: Briefing Document 3'. Universities of South Africa. 2019.

1. Purpose of Policy

1.1. To increase the discoverability and visibility of scholarly outputs at UJ thereby increasing citations.

1.2. Ensure that through the assistance of the University the rights to scholarly outputs that might otherwise be signed away, often unnecessarily, in agreements with publishers are reserved.[4]

1.3. Ensure the participation of UJ scholars in global knowledge communities.

1.4. Ensure the preservation, transmission, and advancement of the knowledge production of the University's academic community.

1.5. Develop research capacity by contributing to accessible knowledge production, dissemination, and sharing.

1.6. To share the resources of the University more broadly with society to enhance social and economic development.

1.7. Manage the rising costs of subscription fees for academic journals and books.

1.8. Respond to the OA policy developments internationally that increasingly require scholars to publish their research through OA publications.

1.9. Ensure that researches at UJ have the resources to collaborate with colleagues who are publishing on OA platforms.

2. Principles

2.1. This policy applies to UJ researchers who are employed at UJ or, are research associates of the University, or are students at the University.

2.2. All students' thesis (doctoral research) and dissertations (master's research) must be uploaded onto the University's Institutional Repository (IR). Only the final corrected version of the student's work is uploaded onto the IR, in compliance with the UJ IR policy.

2.3. Faculty staff must upload an appropriate version of their peer-reviewed scholarly manuscript onto the official IR such that their work can be harvested by the international research community in compliance with the UJ IR policy.

2.4. Where possible and appropriate, researchers are encouraged to publish on OA platforms as long as these comply with the Department of Higher Education and Training (DHET) criteria set out in the year of publication.

2.5. Where possible, considering the ethical and commercial implications, researchers are encouraged to upload their research data onto the University digital research data

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[4] University of California, Open Access Policy https://osc.universityofcalifornia.edu/open-access-at-uc/open-access-policy/policy-text/systemwide-senate/. Accessed 10 September 2019.

management system to make their data visible and accessible to the global research community as open data.

3. Definitions

3.1. "Article Processing Fee" (APC) – the fee charged by publishers to publish a scholarly publication on free to view/read platforms.

3.2. "Authors" - means researchers who are creators of an original piece of scholarly publication and are employed by UJ, associates of UJ publishing under their affiliation with UJ, or students at UJ.

3.3. "Creative Commons" – 'means a non-profit organization that is committed to facilitating the legal sharing of creative works through a range of licenses that allow creators to stipulate which rights they reserve, and which rights they waive for the benefit of other creators. Creative Commons licenses 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.' [5]

3.4. "Creative Outputs" – this includes creative outputs in the subfields of Fine Arts, Visual Arts, Music, Theatre, Performance and Dance, Design, Film and Television and Literary Arts.

3.5. "Digital Scholarship" – 'research and teaching that is made possible by digital technologies, or that takes advantage of them to ask and answer questions in new ways.'[6]

3.6. "Hybrid Publication Models" – this refers to publications that are initially only available on a pay to read basis and then after an embargo period becomes free to read/view.

3.7. "Institutional Repository" (IR) – the institution's officially designated storage container of research artifacts which include both physical and digital/ electronic objects.

3.8. "Intellectual Property" (IP) – Intellectual property refers to intangible property that is the result of creativity, such as patents, copyrights etc.

3.9. "Library Open Access Fund" (LOAF) – this is a fund set up for each faculty at the University through which they can a reasonable percentage of their annual book budget to fund APCs. This fund is managed by the Faculty Librarian.

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[5] 'UCT Open Access Policy'
http://www.uct.ac.za/sites/default/files/image_tool/images/328/about/policies/Policy_Open_Access_2016.pdf. Accessed 10 September 2019.
[6] Melanie Schlosser, "Defining Digital Scholarship," blog post, Digital Scholarship @ The Libraries, Ohio State University Libraries, March 11, 2013. Accessed 10 September 2019.

3.10. "OA2020" 'is a global initiative to propel open access forward by fostering and inciting the transformation of today's scholarly journals from the current subscription (paywall/ pay as you read/view) system to new open access publishing models that enable unrestricted use and re-use of scholarly outputs and assure transparency and sustainability of publishing costs'.[7]

3.11. "Open Access" (OA) – refers to free information available in a digital online format. This includes both publications that are free to view from publication dates or publications that are published through a hybrid model whereby an article is at first only available on a 'pay to read' basis and then after an agreed-upon embargo period becomes freely available.

3.12. "Open Education" – refers to free education and educational resources and aims to reduce barriers, particularly financial ones that limit the people's access to education.

3.13. "Open Scholarship" – refers to all forms of information for research and education that is freely available including open access, open data, and open education.

3.14. "Open Source" – something that can be modified because its design is publicly accessible. In general, open source projects, software, products or initiatives are those that embrace and celebrate open exchange, collaborative participation, rapid prototyping, transparency, meritocracy, and community development.

3.15. "Researcher" – faculty staff who are doing research, researchers who are associated with UJ and students of the University who are doing research.

3.16. "Scholarly Publication" – any peer-reviewed article, conference proceeding, book, book chapter or creative output.

4. Objectives and Scope

The objectives of this policy are to encourage authors, as far as possible, to publish their scholarly publications in an OA format.

4.1.   For postgraduate students, this means uploading their corrected thesis and dissertations on the IR, according to the UJ IR policy.

4.2.   For authors, this means encouraging them to publish their research, as far as possible, on OA free to read scholarly publishing platforms or a hybrid publishing model that ensures the publication becomes free to read after a set embargo time has passed. Authors must ensure that the OA platform they choose meets the DHET criteria in the year that the manuscript/ creative output is published.

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[7] 'South Africa's Journey Towards Open Access to Scholarly Journals: Briefing Document 1'. Universities of South Africa. 2019

4.3.   To ensure that a manuscript version or digital copy of every peer-reviewed scholarly publications is uploaded onto the IR.

4.4.   To create a legal basis for UJ to ensure that all scholarly publications produced by researchers affiliated with UJ are preserved and disseminated to promoted maximum visibility and discoverability of research through various digital platforms.

4.5.   Where possible for UJ scholars to contribute to broader Open Source Software.

5. Funding Implications

5.1.   As far as possible researchers are encouraged to include the cost of APC in their funding proposals to funders.

5.2.   If researchers do not have access to funding for APCs then researchers may apply through their faculties to the Library Open Access Fund (LOAF).

5.3.   Each faculty will have a LOAF which is managed by their Faculty Librarian. The amount in this fund is taken from each facility's annual book budget. Faculties may choose to commit a reasonable percentage of their annual book budget to this fund.

5.4.   Each Faculty Research Committee will decide which articles will be funded through their LOAF.

5.5.   The Faculty Librarian for each Faculty will review the articles proposed by the Faculty to ensure that each article is being submitted to DHET accredited journals with a high impact factors.

5.6.   Faculty LOAFs may only be used to pay APCs for OA scholarly publications that meet the criteria approved by DHET in the year the scholarly work is published.

5.7.   Authors do not have to pay back any money into the LOAF once they receive money for their scholarly publication from DHET.

6. Stake Holders, Responsibilities and Implementation of Policy

6.1. Authors' Responsibilities

6.1.1. Authors are responsible for determining in which journals their scholarly publications will appear and are encouraged as far as possible to publish their work in OA journals.

6.1.2. Authors are responsible for submitting their scholarly manuscripts/ creative outputs to the UJ IR.

6.1.3. Authors are responsible for securing funding, first from an external funder and if this fails then through their Faculty LOAF for APC.

6.1.4. Authors must ensure that the OA platform they wish to publish in meets the criteria set by DHET in the year that their manuscript is published.

6.1.5. Before any article is submitted for APC's to the Library, the author must ensure that by publishing their findings on an open access platform they will be in line with the policies stipulated in the following related University policies: 1) Intellectual Property Management Policy, in particular, liaise with the Technology Transfer Office to disclose any new invention(s), 2) The Institutional Repository Policy, 3) The Research Data Management Policy.

6.2. Funder's Responsibilities

6.2.1. Where ever possible to fund any APC that might be associated with the OA publication of scholarly work.

6.3. Library's Responsibilities

6.3.1. To manage the LOAF for each faculty.

6.3.2. To manage the APC payment process for all authors who are paying APCs to publish their scholarly work on an OA platform.

6.4. Faculties' Responsibilities

6.4.1. To determine what percentage of their annual Library book budget will be used annually for APCs.

6.4.2. To determine through their Faculty Research Committee which scholarly works will be funded through their LOAF.

7. Dispute Resolution of the Policy

The Office of the Deputy Vice-Chancellor for Research and Innovation will be responsible for resolving disputes concerning the policy's interpretation and application.

8. Policy Review

The policy will be revised every four years by Senate.

9. Related UJ Policies

Before any article is submitted for APC's to the Library, the author must ensure that by publishing their findings on an open access platform they will be in line with the policies stipulated in the following related University policies:

- Intellectual Property Management Policy
- Institutional Repository Policy
- Research Data Management Policy

This policy is informed by:

The Berlin Declaration

Plan S and cOALITION s

Harvard University Open Access Policy

University of Cape Town Open Access Policy

University of Pretoria Open Access Policy

FAIR

University of California Open Access Policy

National Research Foundation Statement on Open Access to Research Publications

Universities South Africa - South Africa's Journey Towards Open Access to Scholarly Journals: Briefing 1 & 3.