

UNIVERSITY OF THE
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UNIVERSITEIT VAN DIE
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LIBRARY AND INFORMATION SERVICES

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Co-ordinating EXCO member	Vice-Rector: Research - Prof RC Witthuhn (051 – 401 2116)
Contact	Director: Library and Information Services – Mrs K.B. Eister (051 – 401 3680)
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Related policies	

1. TITLE

Open Access Policy

2. PREAMBLE

The University of the Free State Library and Information Services (UFS LIS) recognizes the mandate for open access in scholarly communication and publishing. This led to the signing of the Open Access Berlin Declaration to Knowledge in the Sciences and Humanities. As signatory, the University of the Free State commits itself to the wide and free dissemination of its scholarship by means of open access platforms. The University also aligns itself with the signatories of the Berlin Declaration who have declared the need to promote the internet as a functional instrument for making research accessible worldwide. This signifies an acknowledgement also of the benefits for individual scholars and also collectively for the University by means of greater recognition, increasingly thorough review, meaningful consideration and critique, and a general increase in scientific, scholarly and critical knowledge.

Open access has the potential to amplify and improve each phase of the research process. As such we acknowledge the following from the onset:

- Open access as the fundamental constituent of research infrastructure: This is an acknowledgement that open access is an integral part of the infrastructure supporting scholarly research and thus should be taken into account at the inception of the research process. Researchers recognize that their work is not complete until the results have been fully communicated and are openly available for others to build on and learn from.
- Open access as fundamental constituent of scientific productivity: This is an acknowledgement that open access affords scholars the opportunity to work faster and more effectively incorporating the latest findings in their work by allowing immediate and barrier-free online access to published work.
- Open access as an accelerator for innovation and commercialization: This is an acknowledgement that open access as fundamental constituent to scientific productivity, results in rapid publication with the potential to speed up the translation of ideas into innovative new services, products, etc., that in turn fuel economic growth.

UFS LIS recognises scholarly publications as one of the key assets of the University and seeks to ensure that these assets are managed (preserved, curated and disseminated) effectively and efficiently for the benefit of the academic community.

3. PURPOSE

The purpose of this document is:

- to embody the principles of the Berlin Declaration as signed by the University;
- to put regulations and processes in place to implement open access; and
- to encourage our scholars/grant recipients to comply with the principles of the open access paradigm/platform with a view to disseminating UFS scholarship.

4. AIM OF THE POLICY

This policy aims to:

- Increase access to UFS research output for a broad constituency;
- Increase the visibility of research publications produced by the UFS;
- Create high quality metadata to enhance visibility;
- Ensure that research output is preserved; and
- Contribute to the corpus of research content available through open access.

5. SCOPE

This Policy applies to all University researchers and academic staff.

6. DEFINITIONS AND ABBREVIATIONS

- “Author/Co-Authors” means creator(s) of original work(s).
- “Berlin Declaration” means Open Access to Knowledge in the Sciences and Humanities.
- “Copyright” means the legal process that grants the creator of an original work exclusive rights to that work.
- “Genuine Open Access journals” means journals that make all of the articles in the electronic issue freely accessible, without any restrictions or subscription charges.
- “Gold road” means open access through journals and books.
- “Green road” means open access through institutional repositories, encompassing research output of the university which does not require a publisher (theses, dissertations, inaugural lectures, memorial lectures, public lectures, and conference papers).

- “Hybrid Open Access journals” means journals that make only some of the articles in the electronic issue accessible free of charge, making access to other articles in the journal accessible through subscription charges.
- “KovsieJournals” means the platform used by the UFS to publish directly in an open access forum.
- “KoviseScholar” means the UFS’s research repository holding published research articles and completed theses and dissertations.
- “Open Access” means scholarly communication through the explicit removal of price barriers (such as subscriptions, licensing fees and pay-per-view fees) and permission barriers (such as most copyright and licensing restrictions) to the end user. Scholarly articles are made freely available at the point of use, permitting any users to search, read, download, copy, distribute, or print these articles.
- “Post-prints” means the final version of the accepted manuscript with the incorporation of revisions.
- “Refereed articles” means articles that have been peer-reviewed.
- “Scholarly output” means articles that describe the fruits of authors’ research generated on the basis of, and to foster, inquiry and knowledge production without expectation of payment. Such articles are typically published in peer-reviewed scholarly journals, conference proceedings, books and chapters in edited books.

7. POLICY CONTENT AND GUIDELINES

7.1 Principles of the Policy

This Policy is based on mandatory self-archiving of research output based on two key principles:

- that the submission of scholarly articles reinforces the philosophy of sharing trusted and relevant content to generate new knowledge and innovation; and
- that there should be no violation of existing academic freedoms, including upholding the authors’ prerogative of deciding where to publish.

7.2 Content

7.2.1 The Policy asserts that all refereed manuscripts authored by personnel affiliated to the UFS or writing under the auspices of the University should be deposited on the UFS LIS repository platforms, KovsieScholar and KovsieJournals:

- published journals articles;
- post-prints;
- published full-text of peer-reviewed conference papers;
- book manuscripts;
- chapters in edited volumes; and
- all articles published in KovsieJournals, where the author has an affiliation with the University.

7.2.2 The following materials shall not be included in the KovsieScholar repository:

- Research output meant for commercial purposes.
- Research output with confidential content or where the promulgation would infringe a legal commitment by the University or the author.
- Manuscripts where there is no evidence of peer-review and subsequent publication, or non-refereed draft papers or draft versions of papers released for discussion.
- Unedited and non-reviewed personal opinions.
- Book reviews.
- Textbooks and teaching materials.
- Administrative documents and records.

7.3 Author License and Limitations

- Authors shall grant to the University of the Free State non-exclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium and to authorize others to do the same, for the purpose of making their research output widely and freely available in an open access repository.
- Authors and right holders shall grant all users a free, irrevocable, worldwide right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works in any digital medium for any responsible purpose, subject to proper attribution of authorship.
- Deviations/limitations to above rights shall be approved by the UFS senate.
- This policy does not transfer copyright ownership which remains with the author/s.

7.4 Scope and Waiver (Opt-Out)

- The policy applies to all scholarly articles authored or co-authored while the person is a member of the University except in the following instances:
 - any articles published before the adoption of this policy; and
 - any articles for which the author entered into an incompatible licensing or assignment agreement before the adoption of this policy.
- Upon express direction by an author, the University will waive the license for a particular article or delay access to the article for a specified period of time.
- If, in the case of research articles, publishers or copyright owners require that access to the full text be restricted, following an agreement with the University.
- Where the research is of confidential nature, and involves commercial confidentiality (patents).
- Where research is of security interest.

7.5 Deposit of Articles

7.5.1 To assist the University in disseminating and archiving research output, authors commit to:

- Assist the University to obtain copies of the articles;
- An author who does not permanently waive the license above will provide an electronic copy of his or her final version of the article to the UFS LIS by the date of its publication, for inclusion in an open access repository.
- Notify the UFS LIS if the research output will be freely available in another repository or as an open-access publication.

7.5.2 The Library and Information Services commit to:

- extracting and uploading the research output into KovsieScholar;
- addressing copyright and related issues;
- creating the highest quality metadata;
- ensuring that submissions are harvested by all major harvesters; and
- ensuring long-term preservation of the content in the repository.

Notwithstanding the above, this policy does not in any way prescribe or delimit the avenue or format of publication. This policy neither requires nor prohibits the payment of fees or publication costs by authors.

7.6 Oversight of Policy

- The Senate and UFS LIS are jointly responsible for implementing this policy, resolving disputes concerning its interpretation and application, and recommending changes. Any changes to the text of this policy will require approval by senate.
- The policy shall be reviewed after three years, or as parties deem necessary.
- The UFS LIS shall develop and monitor mechanisms that would render implementation and compliance with the policy possible.

Compiled by: KB Eister
Director: Library and Information services

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