 <p><b>UNIVERSITY of the WESTERN CAPE</b></p>	<b>UNIVERSITY OF THE WESTERN CAPE</b>	
	Council Approval Reference	C2014/06
	Implementation Date	27 November 2014
	Revision / Amendment Number	C2019/04
	Revision / Amendment Date	20 November 2019
	Policy Owner	DVC: Academic Office
	Executive Management Portfolio	
	Contributors	
	Circulated by:	Senate Research Committee
	Circulated to:	Deans, Deputy-Deans and Library Committee, SEC, Senate & Council

## SECTION 11: UNIVERSITY OF THE WESTERN CAPE OPEN ACCESS POLICY

<b>Policy name</b>	University of the Western Cape Open Access Policy
<b>Executive responsible</b>	Deputy Vice Chancellor: Research & Innovation
<b>Policy driver/s</b>	Director: Library Services Director: Research Development
<b>Governance</b>	Senate Library Committee Senate Research Committee
<b>Policy life cycle</b>	Every three years following its formal adoption
<b>Relevant legislative, regulatory, guidelines &amp; policy framework</b>	Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003) Copyright Act 98 of 1978 Protection of Personal Information Act 4 of 2013 Intellectual Property Rights from Publicly Financed Research and Development Act 51 of 2008 Department of Science & Technology White Paper Wellcome Trust Open Access 2020 Plan S
<b>Institutional policies</b>	UWC Open Access Policy (2014) UWC Policy on Intellectual Property UWC Research Ethics Policy UWC Institutional Operating Plan UWC Open Access Publication Fee Fund (OAPFF)

### 1. Introduction & background

The Open Access (OA) policy at the University of the Western Cape (UWC) was passed in 2014, as a response to the global movement to bring about the widest circulation of knowledge for the benefit of science and society more broadly. As an institution focused on building and applying knowledge to achieve transformation for the alleviation of problems in our society, UWC recognised that the

principles of open access aligned with its own mission and became a signatory of the Berlin Declaration and shortly thereafter produced an OA policy for the institution.

## **2. Purpose Statement**

UWC will endeavour to maximise publication and dissemination of research that is either partly or wholly public-funded in open repositories and journals that offer free and unrestricted access to readers. UWC believes this is the most effective way of ensuring that public funded research can be accessed, read, re-used and foster a richer research culture.

## **3. Policy Scope**

The policy applies to all UWC-affiliated authors, these include:

- 3.1. UWC staff (Researchers, academic or professional support)
- 3.2. Extraordinary or Emeritus appointments
- 3.3. Postdoctoral Fellows; Postgraduate students as well as
- 3.4. Former staff members/visiting scholars publishing under the affiliation of UWC.


## **4. Author responsibilities**

- 4.1. Authors must deposit their own scholarly research output (author final draft or published pdf) into a trusted repository such as the UWC Research Repository or a disciplinary archive from which metadata can be harvested by UWC.
- 4.2. As a matter of course, authors expected to first seek out Open Access publishing avenues for their research outputs.
- 4.3. Authors, especially grant holders, are required to comply with the publishing conditions set out by the funder for publishing of scholarly content
- 4.4. Authors are responsible for ensuring that their publications are uploaded onto the institutional repository.
- 4.5. Publications may be self-archived by the author onto the institutional repository or provided to the library for uploading by proxy.
- 4.6. Unless barred by a preceding publisher agreement, authors will grant UWC a royalty-free, non-exclusive, non-commercial, worldwide licence to store and display deposited scholarly research output through the Research Repository, as part of the submission process.

## **5. Policy Principles**

The following principles are widely recognised as best practices in open access publishing and research conducted at the University must comply with this Policy, to ensure that:

- 5.1. Authors of research articles, monographs and book chapters and associated research data and data analysis software maximise the opportunities to make their research outputs freely available

 <p>UNIVERSITY of the WESTERN CAPE</p> <p><b>POLICY ON RESEARCH POLICY SECTION 11: OPEN ACCESS PUBLICATIONS POLICY</b></p>	<b>UNIVERSITY OF THE WESTERN CAPE</b>	
	Council Approval Reference	C2014/06
	Implementation Date	27 November 2014
	Revision / Amendment Number	C2019/04
	Revision / Amendment Date	20 November 2019
	Policy Owner	DVC: Academic Office
	Executive Management Portfolio	
	Contributors	
	Circulated by:	Senate Research Committee
	Circulated to:	Deans, Deputy-Deans and Library Committee, SEC, Senate & Council

- 5.2. Electronic copies of research papers, open platforms, monographs and book chapters that are accepted for publication to be made available through institutional repositories within 12 months of the publisher's official date of final publication
- 5.3. Publicly-funded researchers select publishing routes that ensure the work is available immediately on publication in its final published form, wherever such options exist for their publisher of choice and are compliant with institutional policy
- 5.4. Grant-holders that require additional funding to cover open access charges are assisted in line with Open Access Publication Fee Fund Policy requirements.
- 5.5. Authors and publishers licence research outputs using the Creative Commons licenses
- 5.6. The University determines a percentage of its subscription budget to support open access publishing initiatives
- 5.7. The University recognises that it is the intrinsic merit of the work and not the journal/publisher that should be considered for accreditation, performance evaluation or promotion purposes

## 6. Definitions

**"Open access"** means the practice of providing through the internet unrestricted access to scholarly research outputs with the intention of widening access to new knowledge for the public good.

"Open access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions."

**"UWC researcher/author"** means an employee, registered post-graduate student or post-doctoral fellow at UWC who through their work or academic studies undertakes research towards the production of scholarly research outputs.

**"Scholarly research output"** refers to material produced through academic research that has been prepared for the purposes of publication in a scholarly publication. Such outputs may or may not be peer reviewed and are likely to include, but not be limited to: journal articles; research datasets,

book chapters; written conference papers; research and technical reports and multimedia (audio and video) content.

“Creative Commons License” refers to a range of licences which allow creators to stipulate which rights they reserve, and which rights they waive for the benefit of other creators.

“Institutional Repository” means an officially designated repository for archiving purposes. At UWC this responsibility has been mandated to the Library.

## 7. Policy formulation process

Version	Contributors	Details	Date
1	A Nqotole, M Snyders, T Mawa, C Hart and G Davis	Initial draft	18/01/2019
2	A Nqotole & M Snyders	Revised draft	18/04/2019
3	Faculties, Senate Library Committee, Senate Research Committee & other stakeholders	Comments/Feedback	07/05/2019
4	Senate Library Committee	Table and discuss	14/05/2019
5	Senate Research Committee	Table and discuss	05/06/2019
6	Senate Research Committee	Consolidate feedback	21/06/2019
7	Senate Executive Committee & Council	Table for endorsement	30/08/2019