



<b>Open Access (OA) Policy</b>			
<b>Policy Group(s):</b>	B: Teaching and Learning F: Technology, Partnerships, Research and Planning		
<b>Type:</b>	Policy	x	Guideline
	Procedure		Regulation
<b>CPUT statute and/or regulation reference no. and date:</b>	Government Gazette No. 33202 of 17/05/2010		
<b>Relevant legislation and/or policy, codes of practice, professional authorities:</b>	<ul style="list-style-type: none"> <li>• South African Copyright Act 98 of 1978</li> <li>• National Research Foundation Act 23 of 1998</li> <li>• Promotion of Access to Information Act 2 of 2000 (PAIA)</li> <li>• Higher Education Amendment Act 23 of 2001</li> <li>• Intellectual Property Rights from Publicly Financed Research and Development Act 51 of 2008 (hereinafter the IPR Act)</li> <li>• Berlin Declaration on Open Access</li> <li>• National Archives and Records Service of South Africa Act 43 of 1996</li> <li>• Protection of Personal Information Act, 4 of 2013 (POPIA)</li> </ul>		
<b>Relevant institutional policies/ documents/ manuals/ handbooks:</b>	<ul style="list-style-type: none"> <li>• Research Technology and Innovation Blueprint</li> <li>• Intellectual Property and Innovations Policy</li> <li>• Electronic Communication Policy</li> <li>• Information Security Policy</li> <li>• Promote International Collaboration and Partnerships Policy</li> <li>• Community Engagement Policy</li> <li>• Records and Archives Management Policy</li> <li>• Plagiarism Policy</li> <li>• Research Data Management Policy</li> <li>• Privacy Policy</li> <li>• Information Security Policy</li> <li>• Strategic Plan 2021 – 2030 One Smart CPUT</li> <li>• Promotion of Access to Information Manual</li> </ul>		
<b>Policy reference and version number:</b>	5/7/P; 8/3/P		

<p><b>Consultation Process</b> To be verified and signed off before approval</p>		<p>Request to initiate the creation of this policy was submitted to ManCom on 11 March 2020. This was approved.</p> <p>The formation of the Policy Working Group (PWG) started with the nomination of 18 staff members on 6 May 2020 across Departments of Research, Technology Innovation &amp; Partnerships, Faculties, Libraries and the Quality Management Directorate (QMD). Most of the nominees agreed to form part of the PWG. The PWG was reviewing two policies, the Open Access (OA) and Research Data Management (RDM) policies. The first meeting took place on 7 August 2020 and further subsequent meetings were held on 11 September 2020, 15 September 2020, 9 December 2020, 5 March 2021, 8 March 2021 and 17 March 2021. The Blue Paper was finalized on 17 March 2021 and circulated via Newsflash on 19 March 2021, with 9 April 2021 as the due date for comments. One comment was received during this period and one definition. The PWG met on 13 May 2021 to discuss these and conclude the process by issuing a White Paper.</p>			
<p><b>Policy Owner</b></p>		<p>DVC: Research, Technology Innovation &amp; Partnerships</p>			
<p><b>Compliance Officers</b></p>		<p>Director: CPUT Libraries</p>			
<p><b>Certification of Due process:</b> To be verified and signed once approved by the relevant authority</p>		 <p>_____ Vice-Chancellor</p>		<p>04.10.2021 _____ Date</p>	
<p><b>Approval Date</b></p>	<p>To be inserted</p>	<p><b>Commencement Date</b></p>	<p>To be inserted</p>	<p><b>Review Date</b></p>	<p>To be inserted</p>

<b>REVISION HISTORY:</b> Only applicable to amended or reviewed policies. Details of amendments/revision.					
<b>Version No.</b>	<b>Approved/ Rescinded</b>	<b>Date</b>	<b>Approving Authority</b>	<b>Resolution Number/ (Minute number)</b>	<b>Date for next review (start date for review process)</b>
2.0					
1.0	Approved	2015	Vice-Chancellor		

<b>For office use only</b>	
<b>Policy Group</b> (Broad policy field)	Governance and Administration
<b>Subject</b> (Policy sub-field)	Open Access Policy
<b>Reference Number</b>	5/7/P; 8/3/P
<b>Version Number</b>	2
<b>Key Words:</b>	Institutional Repository, Open Access, Open Data, Open Science, open output, self-archiving, research dissemination

<b>POLICY STATEMENT</b>	
<b>1.0 Intent</b>	<p>In recognition of the global movements Open Science, Open Data and Open Access focused on promoting unlimited access to research outputs in all domains and digital formats in pursuit of the advancement of science, knowledge creation and dissemination and preservation, this policy intends to make published research generated by CPUT more accessible and visible through institutional repositories hosted by the library.</p> <p>It is also intended to promote scholarly communication and research/information sharing among peers. As a signatory to the Berlin Declaration on Open Access to the Sciences and Humanities, CPUT affirms its role in the global community by contributing to the creation and preservation of knowledge and its wide distribution on open platforms without any restrictions on discoverability and visibility.</p>
<b>2.0 Scope</b>	<p>The Open Access Policy applies to all research outputs produced by employees and students of the University.</p> <p>The policy does not cover University administrative records.</p>
<b>3.0 Objective(s)</b>	<p>The objectives of this policy are to:</p> <p>3.1 Ensure that the University complies with the principle and mandate of making publicly-funded research widely accessible.</p> <p>3.2 Preserve the University’s research outputs in accessible and open access Institutional Repositories.</p>

<p><b>4.0 Definitions and Acronyms</b></p>	<p>4.1 <b>Administrative records:</b> records and documents used during University administration processes, e.g. financial records, student application and acceptance records, etc.</p> <p>4.2 <b>Designated authority:</b> refers to the Deputy Vice-Chancellor (DVC) responsible for Research, Technology Innovations and Partnerships (RTIP) at CPUT.</p> <p>4.3 <b>Embargo:</b> Banning the full-text publication of a document, usually for a defined period of time (<i>Oxford Pocket Dictionary of Current English</i>, 2008).</p> <p>4.4 <b>Institutional Repositories:</b> Open Access digital collections hosted by CPUT Libraries that capture and preserve the intellectual output of the University research community.</p> <p>4.5 <b>Metadata:</b> Data that provides information about the research output. Metadata describes the authorship, provenance, publication location, date of publication, object type and so forth (UNESCO). In the case of research data, it describes the data, including how, where, when and by whom a particular set of data was collected, and how the data is formatted.</p> <p>4.6 <b>Open Access (OA):</b> refers to material that is digital, online, free of charge, and free of most copyright and licensing restrictions.</p> <p>4.7 <b>Open Science:</b> involves transparency in experimental methodology, observation, and collection of data; the public availability and reusability of scientific data; the public accessibility and transparency of scientific communication; using web-based tools to facilitate scientific collaboration. (The OpenScience Project, <a href="http://openscience.org/what-exactly-is-open-science/">http://openscience.org/what-exactly-is-open-science/</a>)</p> <p>4.8 <b>Ownership of copyright:</b> refers to the rights of the copyright holder (owner), which may be the author or creator, in the first instance, or the owner of the copyrighted material in terms of Section 21 of the Copyright Act 98 of 1978.</p> <p>4.9 <b>Published work:</b> A research output prepared for distribution and made publically available.</p> <p>4.10 <b>Research output:</b> “Output of an original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement. Such output includes, but is not limited to, Artefact/Object/Craftwork, Authored Book, Awarded Doctoral Thesis, Awarded Research Master’s Thesis, Chapter in a Book, Commissioned Report for an External Body, Composition, Conference contribution, Confidential Report for an External Body, Creative Output, Discussion Paper, Design Output, Edited Book, Exhibition, Film/Video/CD, Intellectual Property, Journal Article, Literary translations, where these contain significant editorial work in the nature of research, Monograph, Oral Presentation, Performance, Scholarly Edition, Software, Technical Report, Working Paper, other forms of Assessable Output.” (University of Auckland: <a href="https://www.auckland.ac.nz/en/about/the-university/how-university-works/policy-and-administration/research/output-system-and-reports/research-outputs--definition-and-categories.html">https://www.auckland.ac.nz/en/about/the-university/how-university-works/policy-and-administration/research/output-system-and-reports/research-outputs--definition-and-categories.html</a>)</p> <p>4.11 <b>RIMS:</b> Research Information Management System.</p> <p>4.12 <b>Self-archiving:</b> The process by which an author creates metadata and uploads a research output into an Open Access repository (SHERPA: <a href="http://www.sherpa.ac.uk/glossary.html">http://www.sherpa.ac.uk/glossary.html</a>)</p> <p><b>Abbreviations and acronyms</b>          CPUT – Cape Peninsula University of Technology          DVC – Deputy Vice-Chancellor          TTO – Technology Transfer Office (Technology Transfer and Industry Linkages)</p>
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<p><b>5.0 Policy, Procedure, Principles</b></p>	<p><b>5.1 Content</b></p> <p><b>5.1.1 Submissions</b></p> <p>5.1.1.1 All research output must be submitted to an Institutional Repository.</p> <p>5.1.1.2 Uploading can only be done by a library employee of CPUT who is an Institutional Repository specialist and has knowledge of metadata. Only in the case of research data sets is the author permitted to make their own submission, which will go through a review process to certify the quality of the metadata before it is made public, in accordance with the RDM Policy.</p> <p>5.1.1.3 Authors may only ask for their own work to be archived (including co-authored papers). The validity and authenticity of the content of submissions is the sole responsibility of the author/depositor.</p> <p>5.1.1.4 It is the responsibility of the author/depositor to ensure that all deposited items contain acknowledgements as specified by publisher policies. The Library will see to it that these are added as required. Advice will be provided by the Library regarding publisher requirements.</p> <p>5.1.1.5 All items deposited should be in Portable Document Format (pdf), or, where appropriate, in an alternative format as agreed to by the Library.</p> <p>5.1.1.6 Application of the policy will be waived if incompatible license agreements (e.g. Non-Disclosure Agreements) have been signed by staff with publishers and funders.</p> <p>5.1.1.7 A designated authority will decide on the application of a waiver for a particular article upon written notification by the author, who will inform the University in accordance with CPUT's Intellectual Property and Innovations Policy.</p> <p><b>5.1.2 Embargoes</b></p> <p>5.1.2.1 Embargoes are periods of time during which research output is not allowed to be openly accessible.</p> <p>5.1.2.2 During the embargo period, the research output details, including the abstract, will be available in the Institutional Repository. The full content of the research output will only be accessible on an individual basis with the permission of the Director: Library.</p> <p>5.1.2.3 An embargo period of up to 2 years is allowed. When the period is over, the embargo is automatically lifted by the repository.</p> <p>5.1.2.4 In exceptional cases, a motivation for a longer embargo period must be signed by the relevant DVC and submitted. Such extensions will be granted only in the most exceptional circumstances and when the lack of an extension would cause significant prejudice to the author, University or sections of society.</p>
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5.1.2.5 The following is a closed list of considerations deemed reasonable for granting permission for an embargo:

- 5.1.2.5.1 Rights that could potentially be protected as intellectual property, and which have either commercial or translational social value, are invested in the work, such that the disclosure of the work may be detrimental to the rights or interests of the University or society.
- 5.1.2.5.2 The thesis contains sensitive material, which must not be made publicly available as it could prejudice national security.
- 5.1.2.5.3 An academic or commercial publisher has expressed interest in acquiring the rights to publish the work as a book and seeks a temporary embargo.
- 5.1.2.5.4 The work contains content that has already been submitted to a peer-reviewed journal that may require an embargo.
- 5.1.2.5.5 The thesis contains personally identifiable or ethically sensitive data, or data potentially offensive to social mores.
- 5.1.2.5.6 Material made public in the thesis was obtained under a guarantee of confidentiality.

5.1.2.6 In exceptional cases embargoes may be granted for reasons other than those listed in Clause 5.1.2.5 if requested by the relevant DVC. Such permission may only be provided in the most exceptional circumstances and where the absence of an embargo would cause significant prejudice to the author, university or sections of society.

5.1.2.7 An application for embargo should be made to the Library via a formal letter indicating the specific ground/s for consideration.

5.1.2.8 Applications on the grounds set out in Clause 5.1.2.5.1, above, will only be considered if submitted by the TTO.

## **5.2 Procedure**

5.2.1 Electronic copy of the final version of the research output is deposited immediately into an Institutional Repository. If there is opposition to immediate access an embargo may be imposed.

5.2.2 Metadata will be exposed immediately upon deposit of the research paper, regardless of embargos. Metadata displayed may not be re-used in any medium for commercial purposes without formal permission from the University.

5.2.3 In cases of materials to be commercialised, materials which contain confidential information or where free access would infringe a legal commitment by the University and/or the author, e.g. Non-Disclosure Agreements, only metadata will be displayed in an Institutional Repository and access to the material will not be provided. It is the responsibility of the author/depositor to inform the Library in writing if this requirement is applicable.

5.2.4 Publishing in accredited, peer-reviewed, open-access journals should take preference.

<b>6.0 Responsibility</b>	<p><b>Roles and Responsibilities</b></p> <p>6.1. Library Responsible for the day-to-day management and maintenance of Institutional Repositories, including overseeing copyright compliance, software support and Open Archives Initiative (OAI) compliance. The Library also facilitates the sourcing of research outputs, processing master’s and doctoral theses, and providing metadata to assist in making the material accessible online.</p> <p>The Library in collaboration with RTIP is responsible for aligning this policy with Research, Technology, Innovation and Partnerships policies, guidelines and procedures.</p> <p>6.2. CPUT Researchers Comply with the policy as stipulated.</p> <p>6.3. Postgraduate Students Comply with the policy as stipulated.</p>
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<b>7.0 Accountability and Authority</b>	
Implementation:	DVC: Research, Technology Innovation & Partnerships
Compliance:	All CPUT staff and students
Monitoring and Evaluation:	DVC: Research, Technology Innovation & Partnerships
Development/Review:	DVC: Research, Technology Innovation & Partnerships
Approval Authority:	Council
Interpretation and Advice:	DVC: Research, Technology Innovation & Partnerships

<b>8.0 Who should know this Policy?</b>
All staff and students at CPUT should be made aware of this policy.

<b>9.0 Policy/procedure implementation plan</b>	<p>9.1 The relevant stakeholders and officials in policy implementation are the DVC: RTIP and the Director: CPUT Libraries.</p> <p>9.2 Circulation of the approved policy via Newsflash.</p> <p>9.3 Training and awareness campaign activities to cover the content of the Policy.</p> <p>9.4 The policy will be reviewed after three years.</p>
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<b>10.0 Resources required</b>	<ul style="list-style-type: none"> <li>• IT systems and required platforms to maintain repositories</li> <li>• Human Capital and expertise</li> <li>• Skills development</li> <li>• Access to policy</li> <li>• Metadata and research output</li> <li>• Finance, and participation by researchers</li> </ul>
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<b>11.0 Answers to FAQ</b>	
	<p>List questions asked by participants in the development of the Policy. Provide answers that will help direct action within the relevant departments.</p>

<b>EFFECTIVENESS OF THE POLICY</b>	
<b>Performance Indicator(s):</b>	<ul style="list-style-type: none"> <li>• Increased number of research outputs placed in open-access institutional repositories.</li> <li>• Increased publishing in peer-reviewed, open-access journals.</li> </ul>