Dear Colleague

The emerging BRICS countries stand for an increasing part of the global research and development activities. Brazil, Russia, India, China and South Africa represent almost half of the world’s population, their GDP is nearly 30% of the world’s economy, and their scientific output represents a growing part of the international scientometric databases such as the Web of Science or SCOPUS.

SA’s economic situation, academic system, higher education and research are in some instances different from the other BRICS as well as developed countries. Also, each country develops different models of academic publishing for the dissemination of their research results. These models, even if partly integrated into the international market of scientific and technical information, reflect specific situations and strategies often not well known in the Western world.

We have been invited to contribute a chapter in a book, of which the value proposal is to provide the above information and to close a gap in scientific literature on academic publishing. The reason is twofold: not only will the BRICS countries share a growing part of the international STI market (for their own scientists but also for authors from other countries), but they provide interesting and alternative options for this market, too.

**We would like to kindly invite you to help establish the current status of research dissemination and the protection of our local content in South Africa through completing an online survey. It should take maximum 30 minutes. Your identity will not be made public, and the results will be used for academic purposes only. The survey has to be completed by 10 June 2014.**

**Our sincere thanks for your willingness and time,**

**Mrs Ina Smith**

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**A. Background**

3. Your institution:

|  |  |  |
| --- | --- | --- |
| 1 | Cape Peninsula University of Technology |  |
| 2 | Central University of Technology |  |
| 3 | Durban University of Technology |  |
| 4 | Mangosuthu University of Technology |  |
| 5 | Nelson Mandela Metropolitan University |  |
| 6 | North-West University |  |
| 7 | Rhodes University |  |
| 8 | Stellenbosch University |  |
| 9 | Tshwane University of Technology |  |
| 10 | University of Cape Town |  |
| 11 | University of Fort Hare |  |
| 12 | University of Johannesburg |  |
| 13 | University of KwaZulu-Natal |  |
| 14 | University of Limpopo |  |
| 15 | University of Pretoria |  |
| 16 | University of South Africa |  |
| 17 | University of the Free State |  |
| 18 | University of the Western Cape |  |
| 19 | University of the Witwatersrand |  |
| 20 | University of Venda |  |
| 21 | University of Zululand |  |
| 22 | Vaal University of Technology |  |
| 23 | Walter Sisulu University |  |

4. Your designation (job title), e.g. Institutional Repository Manager etc.:

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6. Do you have any other responsibilities other than that mentioned in item 4? Please specify.  
  
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**B. Policy (confirming strategy and structure)**

1. Does your institution have policy/policies for the following?

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Open Access research |  |  |
| Institutional research repositories |  |  |
| Research data management and preservation (curation of data sets) |  |  |
| Theses and dissertations (mandatory submission) |  |  |
| Intellectual Property (incl. copyright) |  |  |
| Archival policy (special collections) |  |  |
| Please specify other related policies: | | |

2. Is the submission of the following to an institutional repository required?

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Theses & dissertations |  |  |
| Research articles |  |  |
| Conference presentations |  |  |
| Full conference papers |  |  |
| Inaugural addresses |  |  |
| Chapters in books |  |  |
| Working papers |  |  |
| Data sets and other data |  |  |
| Other - please specify: |  |  |

**C. Institutional Repositories (Green route)**

1. Does your institution have an institutional repository?

|  |  |  |  |
| --- | --- | --- | --- |
| Yes |  | No |  |
|  |  |  |  |

1.1. If ‘yes’, who takes ownership for the repository?

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  | | --- | --- | | Research Office |  | | Library |  | | Information Technology (IT) Division |  | | Intellectual Property Rights Office |  | | University press |  | | University archives |  | | Other - please specify: |  | |  |  |  |

1.2. If ‘no’, do you keep track of publications by researchers at all, and how?  
  
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4.1 Indicate which division/s at your institution collaborate and contribute resources to grow and maintain the institutional repository.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  | | --- | --- | | Research Office |  | | Library |  | | Information Technology (IT) Division |  | | Intellectual Property Rights Office |  | | University press |  | | University archives |  | | Vice-Rector: Research |  | | Other - please specify: |  | |  |  |  |

4.2 Please describe their roles and responsibilities.

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5. All SA HEI’s needs to report their research output to the Dept. of Higher Education and Training for funding purposes. Please indicate how the repository is used to feed into the research report to DHET.

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6. What would you describe as the *most important* focus of the institutional repository? Using the Likert scale with 1 being the most important and 4 the least important, please rate the following.

|  |  |
| --- | --- |
| To provide open access to research output and increase its visibility |  |
| To digitally curate and preserve research output for years to come |  |
| To provide a central storage space for all research output for easy access |  |
| To manage research output for reporting and funding purposes |  |

7. With regard to content, please indicate which of the following content types are ingested into the repository.

|  |  |
| --- | --- |
| Theses & dissertations |  |
| Research articles: pre-prints |  |
| Research articles: post-prints |  |
| Research articles: publishers’ versions |  |
| Conference presentations |  |
| Full conference papers |  |
| Inaugural addresses |  |
| Chapters in books |  |
| Learning and teaching objects |  |
| Special collection material |  |
| Other - please specify: |  |

8. What interventions have been put into place to increase the visibility and dissemination of research output through the institutional repository? Please note that you can choose more than one option.

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| All/most of the content is available as open access (excl. embargoes) |  |  |
| IR is registered with metadata harvesters & directories |  |  |
| Open standards (OAI-PMH compliant) are adhered to |  |  |
| Digital files are stored in open file formats |  |  |
| Application software is open source |  |  |
| Digital object identifiers are assigned to digital objects |  |  |
| Google site map was set up to allow for Google to index metadata |  |  |
| Best practice URL was assigned to repository |  |  |
| Persistent URL’s are assigned to items |  |  |
| Descriptive metadata is assigned to digital objects |  |  |
| Researcher id’s are embedded in metadata |  |  |
| Not sure |  |  |
| Other – please provide more details: |  |  |

9. Who is responsible for the submission of the content to the repository?

|  |  |
| --- | --- |
| Author or his/her substitute |  |
| Library staff |  |
| Author and/or Library |  |
| Other – please specify: |  |

10. Who is responsible for checking the quality of the metadata?

|  |  |
| --- | --- |
| Cataloguers |  |
| Librarian working in the ‘repository office’ |  |
| Metadata specialists |  |
| Other - please specify: |  |

11. Who is responsible for verifying compliance with copyright policies?

|  |  |
| --- | --- |
| Cataloguers |  |
| Librarian working in the ‘repository office’ |  |
| Metadata specialists |  |
| Copyright Officer in the Library |  |
| Intellectual Property Rights Officer (Institutionally based) |  |
| Other - please specify: |  |

12. To whom does copyright belong for institutional theses & dissertations?

|  |  |
| --- | --- |
| University |  |
| Author/researcher |  |
| Other – please specify: |  |

13. How does the institution deal with copyright as applied to research articles (emanating from theses & dissertations) and the publishing thereof in academic journals?

|  |  |
| --- | --- |
| University retains copyright, and researcher needs consent from designated university representative to cede copyright |  |
| Author/researcher retains copyright and has independent discretion to cede copyright |  |
| Copyright is never signed away by the university/author/researcher |  |
| Authors/researchers are encouraged to apply a Creative Commons License to their research articles |  |
| Other – please specify: |  |

14.1 Do researchers submit research output to the institutional repository in compliance with funder requirements?

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| Not sure |  |

14.2. If ‘yes’ please list the funders?  
  
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16. How is the impact of making the research output available through an institutional repository measured?

|  |  |
| --- | --- |
| Platform specific statistical tool e.g. DSpace |  |
| Third party applications e.g. Google Analytics, Piwik |  |
| Altmetrics |  |
| Citations |  |
| Webometrics Ranking |  |
| Not sure |  |
| Other – please specify: |  |

**D. Open Access Journals (Gold route)**

1. Does your institution offer a journal publishing or hosting service?

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| Not sure |  |

2. If ‘yes’, are these journals open access, hybrid or subscription based?

|  |  |
| --- | --- |
| Open Access |  |
| Subscription |  |
| Hybrid |  |
| Other – please specify |  |

3. Which division is responsible for hosting/publishing the journals?

|  |  |
| --- | --- |
| University Press |  |
| Individual departments/faculty |  |
| Library |  |
| Research Office |  |
| Other – please specify: |  |

4. Does your institution fund author page fees for the following?

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Open Access Journals |  |  |
| Subscription Journals |  |  |
| Hybrid Journals |  |  |
| Not sure |  |  |

5. Are data sets published together with the final manuscript?

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| Other – please specify |  |

6.1 Do funders require that data be published?

|  |  |
| --- | --- |
| Yes |  |
| No |  |
| Not sure |  |

6.2 If ‘Yes’ please list the funders.

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7. Please indicate if the journals hosted by your institution are listed on the following?

|  |  |
| --- | --- |
| Scopus (SCImago) |  |
| Thomson Reuters (ISI Web of Knowledge) (ISI/IBSS) |  |
| Dept. of Higher Education and Training (DHET) |  |
| DOAJ |  |
| Other – please specify: |  |

9. As a hosting institution, which services are offered to journal editors?

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Registration of domain name |  |  |
| Server storage space |  |  |
| Back-up’s |  |  |
| Software & upgrades |  |  |
| Registration of eISSN |  |  |
| Registration of doi prefix and doi’s |  |  |
| Journal setup |  |  |
| Journal management services |  |  |
| Copyediting services |  |  |
| Layout editing services |  |  |
| Proofreading services |  |  |
| Reviewing services |  |  |
| Metadata editing services |  |  |
| Digitization of retrospective issues |  |  |
| Graphic design of journal |  |  |
| Digital curation (incl. preservation) |  |  |
| Training |  |  |
| Statistical reports |  |  |
| Other – please specify: |  |  |

Thank you for completing the questionnaire.