UNIVERSITY OF THE WESTERN CAPE

OPEN ACCESS POLICY

University of the Western Cape

Open Access Policy

1. Preamble

The University of the Western Cape's (UWC's) mission commits it as a public university in South Africa to the pursuit of a distinctive academic role that is alert to its African and international context and which seeks through critical and creative ways to contribute to South Africa's development within a broader society. Central to its core business and in support of this mission is the production and dissemination of new knowledge in a manner that facilitates access to such knowledge by a diverse range of constituencies, able to fully utilise it for the benefit of South Africa and the broader society.

To this end, in October 2013, the Rector and Vice-Chancellor signed the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities.* As a signatory to the Declaration, UWC has committed itself to adopting and promoting an "open access paradigm" with regard to the management and dissemination of the knowledge it produces. Such an approach recognises that the Internet has been profoundly important to facilitating greater access to new knowledge that is produced. The Internet and associated advances in information communication technology (ICT) have opened up a range of new opportunities for disseminating scholarly work more widely and creating enhanced and more flexible pathways for scholarly engagement among researchers, and between them and the broader society.

UWC also recognises that open access is important to its strategic intention towards strengthening its role as an excellent, research-intensive university in South Africa. As UNESCO emphasises, open access "increases the visibility, usage and impact of research, and enables it to reach all constituencies that can benefit, including the education, professional, practitioner and business communities, as well as the interested public. Both the institution and the individual scientists in it benefit from this visibility and impact".[1] Open access therefore not only creates new possibilities for UWC and its researchers but also opens up the space for local knowledge and insights to be elevated within global knowledge communities.

2. Core purpose of policy

The objective of this policy is to give meaning to the provisions of the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities* at UWC through the strengthening of institutional mechanisms and the promotion of institutional practices that will facilitate greater access to and

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[1] UNESCO (2012). Policy Guidelines for the Development and Promotion of Open Access. Available

wider distribution of its scholarly research outputs within the global knowledge community and towards the pursuit of the public good. It describes the parameters and processes for the effective functioning of UWC's Research Repository as the primary institutional mechanism for promoting and managing open access. It also outlines the responsibilities of UWC researchers, both staff and students as creators of original scholarly research, with regard to the depositing of their scholarly research outputs into the Research Repository and therefore their contribution to facilitating open access to their scholarship.

3. 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."[2]

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

4. Policy procedures

4.1 Intellectual property rights and responsibilities

UWC's intention is to strive to balance the rights and responsibilities of its researchers towards the creation of new knowledge with the desire to share and disseminate this knowledge as widely as possible in the interests of the public good.

In alignment with the provisions of The Intellectual Property from Publically Financed Research Act (Act no. 51 of 2008), UWC's Research Policy (2010) clarifies its rights as a public university with regard to intellectual property, stating that copyright for all work created by its staff and students in the course of their employment at UWC or while undertaking their studies, is assigned to UWC.

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[2] Peter Suber. (2012). *Open Access*. MIT Press: 4.

While UWC readily assigns authors the right to publish scholarly work, such assignment is subject to a perpetual, irrevocable, worldwide, royalty-free, non-exclusive licence in favour of UWC to allow the use of that work for teaching and research, and to reproduce and communicate that work online for non-commercial purposes via UWC's open access Research Repository.

Where the exercise of these rights by the University is seen to depart from the stipulations of academic publishers' copyright transfer agreements, UWC will on written request of the publishers postpone the open display of author versions of published articles for a period of twelve months. The UWC Addendum to Publication Agreement (See Annexure 1), that gives effect to this commitment on the part of the university, must be completed by all first author researchers upon acceptance of their article for publication and serves as the written notice of agreement by the publisher.

4.2 UWC researchers' responsibilities

Upon acceptance of a scholarly research output for publication, a UWC researcher is required to register with the Research Repository and deposit an author final version of the research output into the Repository. The details of the process that should be followed, together with necessary technical support specifications and guidelines, are provided in the Quick Submission Guide available at http://repository.uwc.ac.za.

4.3 UWC Research Repository

UWC's institutional Research Repository is an online digital archive that stores, displays and preserves the scholarly research outputs of UWC researchers and, through its registration with appropriate academic services, ensures that an open web search uncovers Repository content corresponding to associated search terms.

4.4 Policy implementation and management

The UWC Research Repository forms part of the responsibilities of the university's Library Services, under the leadership of the Director: Library Services reporting to the Deputy Vice Chancellor: Academic. It is managed by the Repository Manager. In addition to ensuring the effective functioning of the Research Repository and maintaining the integrity of its functions, the Repository Manager is responsible for providing advice, guidance and support towards the effective implementation of this policy and its objectives.

5. Related policies and relevant statutes[3]

- UWC Research Policy (2010)

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[3] The development of this policy has been informed by the following institutional open access policies: Duke University Open Access Policy; Stellenbosch University Open Access Publishing Fund Policy, and the University of Cape Town Open Access Policy.

- UWC Institutional Operating Plan (2010-2014)
- The Intellectual Property from Publically Financed Research Act (Act no. 51 of 2008)
- Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003)
- United Nations Educational, Scientific and Cultural Organisation (UNESCO) (2012). Policy Guidelines for the Development and Promotion of Open Access.

6. Revision cycle and maintenance

Reporting on progress towards the effective implementation of the policy and the objectives it seeks to take forward will be undertaken through the submission of annual reports to the Senate Library Committee. After a period of three years following its formal adoption, the policy and progress towards its implementation will be reviewed and any suggestions for revisions to the policy or procedures for improved implementation submitted to Senate for discussion and ratification.

Annexures
   i)   UWC Addendum to Publication Agreement