

**DURBAN UNIVERSITY OF TECHNOLOGY
OPEN ACCESS POLICY**

Document name:	Open Access Policy
Co-ordinating Exec Manager/ Document owner:	DVC: Academic
Operational manager/s	Director: Library
Contact & tel. no. for support:	031-3735260
Status:	
Approved by:	Senate
Date approved:	8 September 2016
Date last amended:	
Title of manager responsible for monitoring policy implementation	Library Manager
Related policies:	Institutional Repository Policy (Approved 03 August 2009); Intellectual Property Policy; 3rd stream income policy; Policy on Proprietary Research

Timeline for policy development and approval process

Objective 1: Prepare first draft of document by 17 June 2015

Objective 2: Disseminate across the institution for comments and input by 17 December 2015. Draft policy and response form to be posted on DUT electronic notice board.

Objective 3: Refine document and finalise for submission to Senate by 11 May 2016 for approval, and to Council for ratification after Senate approval.

Objective 4: Senate approval of policy (insert date)

Objective 5: Implementation date for policy: (insert date)

POLICY CONTENT

<p>Purpose of the policy</p>	<p>Central to the University’s core mission is the education and training of students, and the advancement, preservation and dissemination of knowledge. DUT encourages research and development and social outreach by creating a research culture that actively responds to the needs of the people of South Africa, while also contributing to the global research community. The policy aims to preserve the intellectual effort and research output of staff and students. Furthermore, it seeks to maximise the local and international exposure of DUT research, thereby raising the profile of the institution.</p>
<p>Policy</p>	<p>By becoming a signatory of The Berlin Declaration on Open Access to the Sciences and Humanities on 20 May 2013, the university committed itself to the global drive for the free accessibility of research and all scientific knowledge. As a consequence, the university professes a responsibility to follow and promote an open access approach to scholarly communication and education. This commitment provides a basis to preserve the scholarly work of DUT scholars and to make this scholarship discoverable, visible and freely available online to anyone who seeks it.</p> <p>By adopting such a policy, the University actively seeks to:</p> <ul style="list-style-type: none"> • increase discoverability and visibility of scholarly output at DUT • preserve, present and facilitate access to the institution’s research and knowledge production; • ensure the full participation of the DUT academy in global knowledge communities; • contribute their academic resources to social and economic development; • develop research capacity within the institution and region by sharing research knowledge and practices; • manage the rising costs of library materials and access to scholarly knowledge; • increase citations to and maximise the visibility of DUT scholarship. •
<p>Applicability</p>	<p>This Open Access Policy applies to DUT Employees and Students and provides the legal basis for DUT to preserve the work of DUT Authors and maintain open dissemination, maximise visibility and discoverability through long term, robust and scalable digital platforms and services of the highest standards.</p>

	<p>The Office of the DVC Academic, in consultation with the Executive Committee of Senate (SENEX), will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending any revision of this policy.</p>
<p>Definitions</p>	<ul style="list-style-type: none"> • “Author(s)” means an Employee(s) and/or Student who is the Creator of an Original Scholarly Publication; • “Course Materials” means all materials produced in the course of or for use in teaching in any form (including digital, print, video and visual material) and all Intellectual Property in such materials and will include lectures, lecture notes and material, study guides, images, multi-media presentations, web content and course software; • “Creative Commons” means a non-profit organisation which is committed to facilitating the legal sharing of creative works through a range of licences which allow creators to stipulate which rights they reserve, and which rights they waive for the benefit of other creators. Creative Commons licences follow a "some rights reserved" model in contrast to traditional copyright, which follows an "all rights reserved" model. Creative Commons therefore provides a continuum of rights between "all rights reserved" on the one end of the continuum and "no rights reserved" (public domain) on the other end; • “Employee” means a person who has entered into an employment relationship with DUT, whether academic or professional, administrative support or service staff, full-time or part-time, and whether full appointment or joint appointment, including honorary and affiliate appointments and assistantships; • “HDC” refers to the Higher Degrees Committee; • “Institutional Repository” means digital collections which capture and preserve the intellectual output of a university community (Crow, R. 2002. The case for institutional repositories: a SPARC position paper); • “IRAC” refers to the Institutional Repository Advisory Committee, a sub-committee of the Senate Library Committee. • “Metadata” means structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource” (NISO, 2004). Examples of key metadata elements are: Title of the article/document; Author (Creator) of the document; Description of the content; Source of the document, Date created; • “Open Access” (OA) means digital, online, free access to scholarly work which is free of most

	<p>copyright and licensing restrictions (Peter Suber 2007).</p> <ul style="list-style-type: none"> • “Open Educational Resources” (OER) means any resources available at little or no cost that can be used for teaching, learning, or research. The term can include textbooks, course readings, and other learning content; simulations, games, and other learning applications; syllabi, quizzes, and assessment tools; and virtually any other material that can be used for educational purposes (see also, Course Materials); • “Public Domain” means works that are not covered by intellectual property rights at all, either because the rights have expired or the rights have been forfeited; and as such are held by the public at large and are available for anybody to use freely and without reference to the original creator or permission from a third party; • “Publicly Financed” means research and development undertaken using any funds allocated by the South African State, organ of state or state agency as defined in the IPR Act, excluding scholarships and bursaries. Research and development that is undertaken by DUT at below Full Cost is deemed to be inherently subsidised by the state and is regarded as being Publicly Financed; • “Repository” means a storage container for content artefacts, physical or electronic; • “Scholarly Publication” means an article or paper submitted for publication in a journal which may, or may not, be peer reviewed and may, or may not, be OA, or in conference proceedings; • “Student(s)” means a full-time or part-time student(s) of DUT from undergraduate to post-graduate level, including students in training and post-doctoral fellows.
Contact for support	Library Director
Policy authority/ Document owner	Authority: Vice-Chancellor Owner: DVC Academic
Related policies	<ul style="list-style-type: none"> • See cover page.
Implementation procedures	<p>The DUT Library through the Institutional Repository Advisory Committee (IRAC) shall be responsible for managing the implementation of the policy and procedures as well as develop and monitor a plan for a service or mechanism that would render compliance with the policy that is appropriate, convenient and supportive of DUT Authors, including adherence to archiving policies of publishers and funders.</p> <p>Author Responsibilities An Author,</p>

	<ul style="list-style-type: none"> • must deposit an appropriate version¹ of Scholarly Publications into an officially designated Institutional Repository or into an acceptable curatorial system which can be harvested by DUT; or • if prevented by a publisher's copyright terms or other good reason from doing so, must notify the Institutional Repository in writing that he/she will not be doing so and the reasons for this. • An author, unless prevented by publisher agreement, will be deemed when depositing an appropriate (peer-reviewed) version of a Scholarly Publication, or Course Materials (OERs) to grant DUT a royalty-free, non-exclusive, non-commercial, worldwide licence to the publish the deposited versions in the DUT Institutional Repository to which there will be open access. • Where an author voluntarily deposits a Scholarly Publication to which open access is restricted by virtue of a publisher agreement, the author will be deemed when doing so to grant DUT a royalty-free, non-exclusive, non-commercial, worldwide licence to publish this in a DUT Institutional Repository to which there will be open access effective from the date on which restrictions contained in the publisher agreement cease to apply. <p>The University</p> <ul style="list-style-type: none"> • encourages Employees and Students to make all forms of works of scholarship available through the appropriate platforms and service in digital format and of a type that is consistent with policies and practices. This includes (but is not limited to) essays, books, conference papers, reports (where permitted by a funder of the research leading to the report), educational resources (OERs), presentations, scholarly multi-media material, audio-visual works and digital representations of pictorial and graphical materials. • (Authors should utilize Sherpa/Romeo (http://www.sherpa.ac.uk/romeo/) or publishers' websites to confirm a publisher's copyright policies and permissions that are normally granted in terms of their copyright transfer agreements; • recommends that Authors avoid the transfer of copyright to publishers, where the publisher does not permit archiving, re-use or sharing, as a minimum, of a submitted version of a Scholarly Publication. DUT will provide a simple mechanism through which Authors can inform publishers of their need to comply with DUT's policy so it is consistent with the permissions granted by the staff member to the University; and
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	<ul style="list-style-type: none"> • encourages Authors to publish their Scholarly Publications in peer-reviewed open access journals. In this case the Author should supply the metadata to the Institutional Repository in order to maximise institutional and personal discoverability; and • recognises the moral rights of the author, in particular the right of paternity (attribution). <p>Institutional Repository</p> <ul style="list-style-type: none"> • The DUT Library (via IRAC) shall publish details of the officially designated Institutional Repository and other acceptable curatorial systems, as well as procedures for archiving and/or self-archiving Scholarly Publications, theses and dissertations on their website. • DUT permits its employees and students of to make their works available through alternate repositories (e.g. arXiv, PubMed Central), provided that such a repository makes the work accessible in full-text to the public, without costs or other restrictions (other than customary restrictions) and that it offers to preserve and maintain the work indefinitely. <p>Student Theses and Dissertations</p> <ul style="list-style-type: none"> • In line with the provisions of the Institutional Repository Policy, Intellectual Property Policy; Policy on Proprietary Research and student rules, DUT is granted a right to publish Student research theses (doctoral degrees) or dissertations (master’s degrees). A Student shall either through self-archiving or assisted archiving upload the final corrected version of their thesis or dissertation into the officially designated Institutional Repository prior to graduating. The Institutional Repository shall make provision for the delayed public release of any thesis or dissertation for which a confidentiality period has been approved by the Deputy Vice-Chancellor, or the Higher Degrees Committee. <p>Course Materials (Open Educational Resources – OERs)</p> <ul style="list-style-type: none"> • The 2013 DHET White Paper for Post-School Education and Training recommends the development and sharing of OERs to provide more flexible offerings and thus contribute increased enrolment, improved throughput, and curriculum relevance at South African universities and colleges.(White Paper: 50). • Course materials for inclusion in the Institutional Repository would require Faculty approval because not all teaching and learning materials
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	<p>may be suitable for dissemination beyond the original class. Materials would also need to be accompanied by an explanation of the purpose of the materials, and appropriate tagging.</p> <ul style="list-style-type: none"> • Established university criteria for the evaluation of course materials (e.g. The Vice Chancellor's Award for Excellence in Teaching and Learning) provide a basis for the selection of material for dissemination on the IR. • Enabling mechanisms for the promotion, production and evaluation of OERs support the DHET aim of "Provid [ing] support for the production and sharing of learning materials as open education resources at institutions in the post-school sector. [...] potentially successful initiatives in the area of OER across the post-school education and training sector will be supported.
Monitoring	The Library Director will monitor the policy via periodic reports by the Chair of Institutional Repository Advisory Committee.

References

- Department of Higher Education and Training. 2013. *White Paper for Post-School Education and Training*. Pretoria: Department of Higher Education and Training.
- Durban University of Technology. *Vice-Chancellor's Award for Teaching Excellence. Information, Guidelines and Nomination/Application Instructions*. Durban: Durban University of Technology.
- Hodgkinson-Williams, C. 2009. *Institutional report 2: Sketching the terrain: Open educational resources for teaching and learning at the University of Cape Town*. Cape Town: Centre of Educational Technology, University of Cape Town.
- University of Cape Town. 2014. *Open Access Policy - for taking forward open scholarship and open education as part of a commitment to scholarly communication, e-research and digital content stewardship*. . Available: <https://www.uct.ac.za/downloads/uct.ac.za/about/policies/UCTOpenAccessPolicy.pdf> (Accessed 3 June 2015).
- University of Cape Town. 2011. *Intellectual Property Policy*. Available: https://www.uct.ac.za/downloads/uct.ac.za/about/policies/intellect_property.pdf (Accessed 3 June 2015).

DURBAN UNIVERSITY OF TECHNOLOGY

RESPONSE FORM: OPEN ACCESS POLICY

Please e-mail completed response to **(insert details of Document Developer)** before or on **(insert date)**. You may also fax your response to

Details of respondent:

Name:

Department: Designation: e-mail:

Tel:

Key: 1 = Strongly agree; 2 = Uncertain; 3 = Disagree;

General comments about the draft policy	1	2	3	Use the space below if you wish to comment on each statement
1. The policy is helpful in establishing ... (related to the purpose of the policy)				
2. The use of relevant terminology is clarified in the policy				
3. The policy is clear and useful for ... (related to 1)				
4. The policy is helpful in providing procedural guidelines for...				

General comments about the policy & procedures:

How could the policy and procedures be improved?