Open Access (OA) Policy

Version No. 1

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1. CONTEXT / BACKGROUND

Publications from publicly financed research are often only accessible in expensive subscription-based journals and electronic databases and access to this knowledge is costly for users, even to the broad academic community that produces the knowledge.

The University of the Witwatersrand, Johannesburg (Wits) is a research-intensive higher education institution. In compliance with relevant legislation and the National Research Foundation’s Statement on Open Access to Research Publications (2015), and in alignment with the Wits Intellectual Property Policy, Wits Research Strategy, Wits Institutional Repository Policy, and other related policies, Wits confirms its position as rights-owner of all Wits research and other scholarly outputs.

2. DEFINITIONS

2.1. Accepted Author Manuscript Version/Postprint: Final peer-reviewed, corrected but unpublished version of a work.

2.2. Accredited works: These include journal articles, conference proceedings, monographs and edited books that are accredited by the Department of Higher Education and Training (DHET). The acid test for accreditation is peer review and, in the case of journals, being listed in selected international indices, e.g. Web of Science, Scopus, IBSS, etc.

2.3. Article Processing Charges (APCs)/ Publication Fee/Page Costs: a publisher’s fee which is sometimes payable by the author (or the author’s institution) when publishing in a scholarly journal.

2.4. Embargo: Temporary (short- or long-term) restrictions placed on material by the University or publishers to prevent it being made Open Access (OA) for a certain period of time.

2.5. ETD: Electronic version of theses and dissertations.

2.6. Wits Institutional Repository (Wits IR): An online platform for the management, curation and dissemination of research outputs produced by Wits.


2.8. Metadata: Data which describes a resource/publication for purposes such as discovery and identification, for example title, author, and keywords.

2.9. OA works: Works which are digital, online, free of charge, and free of most copyright and licensing restrictions. There are two types of OA, namely:

- Green Open Access (OA), which is OA delivered by an IR.
- Gold OA, which is OA delivered by a journal, with or without APCs (see Annexure 1).

2.10. Wits Peer-Reviewed Research: includes Accepted Author Manuscript Version/Postscript and Accredited works and accompanying supplemental material or research data.

2.11. Published Version of Record (PDF): In this context this refers to the peer-reviewed, published, branded version of academic work.

2.12. Research data: Research data or supplemental material is that which is gathered, created and/or analysed to create research findings.

3. PURPOSE

This policy is premised on the belief that knowledge is most valuable when shared and that the role of higher education institutions is to create and share knowledge. This policy is designed to ensure that Wits peer-reviewed research, where appropriate, be made accessible openly, globally, and as soon as possible by depositing (self-archiving) it in the Wits IR (Green OA), and/or publishing it in an open access journal (Gold OA). Material that contains information of a confidential, sensitive, or secret nature, or material for which the promulgation may infringe a legal commitment by Wits or the author, is also to be deposited in Wits IR, but not made openly accessible, except for its metadata.

4. SCOPE

This policy applies to all academic and research staff, students and professional and administrative staff whose research publications derive from their employment at Wits, from research grants awarded to Wits, co-authorship where one or more authors are employed by Wits, or otherwise from the use of Wits resources and facilities.

Peer-reviewed publications to be deposited include the complete version of works and all
supplemental materials, e.g. books, book chapters, journal articles, conference papers, creative
textual works, research reports, data sets, and ETDs.

5. **PRINCIPLES**

Wits is committed to openly sharing and showcasing on the global stage, the research created or
produced by its academics and students in accordance with IP legislation and Wits IP Policy. In
pursuit of this principle, Wits is a signatory to the Berlin Declaration on Open Access to Knowledge
in the Sciences and Humanities\(^1\).

6. **ROLES AND RESPONSIBILITIES**

6.1. **The Library**

The Library is responsible for recommending policy, management and preservation of the research
outputs deposited in the Wits IR. It will provide support and training to users uploading peer-reviewed
research and other works on Wits IR. Where possible, it negotiates journal subscription agreements
that incorporate APCs to enable individual researchers publishing in the qualifying journals to do so
without paying additional charges.

6.2. **University Research Office**

The University Research Office is responsible for collecting academics’ accredited published
versions of record (PDFs), for purposes of the submission to the Department of Higher Education &
Training (DHET) and forwarding a copy of each work to Wits IR.

6.3. **Academic and Professional Staff (Authors)**

It is in the discretion of the authors to decide on the best place to publish their works. However,
publication in accredited and reputable peer-reviewed OA journals/publications is recommended in
order to promote the sharing of knowledge, increase impact as well as ensure visibility of the
research outputs of the author and the University. Authors are responsible for submitting their
unpublished accepted author manuscript version/postprint to the Faculty/School/Department/Entity
Administrator, at the time of acceptance by the publisher (see 7.2 below).

6.4. **Postgraduate Students**

Postgraduate students are responsible for submitting their final, corrected ETDs to the relevant
Faculty Office for depositing in the Central Records Office and Wits IR.

6.5. **Wits University Press**

Wits University Press will submit the final PDF of books by Wits authors / academics for access and
archiving on the repository, subject to copyright laws and contractual agreements with authors. This
will be done after confirmation of accreditation of research outputs by the Research Office. Books
may be subject to embargos (to be determined on a title-by-title basis).

7. **PROCESSES**

The processes and workflow for paying APCs, publishing and depositing publications and
accompanying data resulting in whole or in part from publicly-financed research is as follows:-

7.1 **Article Processing Charges (APCs)**

In cases where payment of APCs is required, or where APCs are not included in research grants,
and the target journal is accredited, fully open access and available immediately upon publication,
authors should consult the Open Access Publishing Fund guidelines (see Annexure 1).

7.2 **Accepted Author Manuscript Version/Postprint**

Once the author submits the postprint to the Faculty/School/Department/Entity Administrator as per
6.3 above, the Administrator then submits it to the relevant Librarian for uploading to IR, in
accordance with publishers’ copyright policies. The author(s) is also encouraged to complete, sign
and attach the Wits Author’s Addendum (see Annexure 2) to the Publisher’s Agreement when
submitting it for publication.

7.3 **Published Version of Record (PDF)**

This version of accredited works shall be submitted to the University Research Office which will then
forward a copy to the Library for depositing in the IR in accordance with publishers’ copyright policies.

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\(^1\)See: https://openaccess.mpg.de/Berlin-Declaration
7.4. **Electronic Theses/Dissertations**
On receipt of the correct digital version of an ETD, the Library will catalogue and then load the full-text ETD and its metadata onto the IR (see 6.4 above).

7.5. **Supplemental material/Research Data**
Supplemental material/research data will be deposited with the Library, recorded and managed in accordance with Wits IR Policy and other related policies.

7.6. **Publishing**
Annexure 3 outlines the workflow.

8. **EFFECTIVE DATE OF POLICY**
This Policy is effective from .................and applies to all research publications and supplemental material/research data. Wits may adapt and amend the terms of this policy from time to time.

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This Policy was informed by the following:

1. Intellectual Property from Public-Financed Research Act No. 51 of 2008
6. Queensland University of Technology, Australia. QUT ePrints Repository for Research Output (rev. 2016)

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**References**


Harvard Guide to Good Practices for University OA Policies


Open Access Publishing Fund (OAPF)

Summary
The purpose of the Open Access Publishing Fund (OAPF) is to help broaden public access to the research output of the University by encouraging and supporting researchers to publish in accredited Gold Open Access (OA) journals. OA publishing presents opportunities for greater readership and increases the impact of Wits research output. The Library and the Research Office are collaborating in a pilot project starting in 2018 to jointly fund and promote the publishing of OA journal articles.

The library is repurposing a portion of the Information Resources budget to provide eligible researchers at the University with financial assistance of 50% to partially cover the Article Processing Charges (APCs) levied by many OA publishers. For purposes of this pilot, the nominal APC per article is not more than R20,000. Authors can generally apply for support from this Fund when other funding sources (such as research grants, where APCs are often allowable expenses) are unavailable.

Financial assistance will be considered on a first-come, first-served basis until the funding for a given year is exhausted. No additional funds will be made available until the following year.

The Library will administer the fund in close collaboration with the Faculties. All works published with the support of the OAPF will be deposited in the Wits Institutional Repository. An Annual Report including the use of funds, recipients by faculty, and publication details will be compiled for information.

The Library will provide advice, guidance and support in the identification of eligible OA journals and the fund application process. A list of the Department of Higher Education and Training accredited Gold OA journals will be made available. Funding for future years will be dependent on the number of applications received in the previous year, available funds, and evaluations of the funding project.

Application criteria

Author eligibility
- Any current Wits staff member.
- Early career researchers (i.e. postgraduate students and postdoctoral students, if co-authored by a Wits staff member), and researchers who have been employed at Wits for at least two years before the date of applying for funding.
- In the event of co-authorship with a non-Wits author, the Fund will support only the 50% pro-rated APC portion of the Wits author.
- Affiliation with Wits University must be included in the published article.
- Applicants who have exhausted other funding sources that can be used to pay for OA fees may apply to this Fund.

Journal eligibility
- The article must be submitted to a Gold OA subsidy bearing journal in the current year. This means that the peer-reviewed article is not in a hybrid OA journal (i.e. a closed subscription journal with
an option to publish an OA article), is available with immediate unrestricted online access (i.e. no embargo period), and at no cost to the end user. Articles submitted to journals of a predatory nature are excluded.

- Books and other publications are not covered by this Fund.
- This fund covers only fees associated with OA publishing and does not cover additional charges beyond the basic APC. If there are such charges, then these have to be met by the author.
- Articles must be accepted for publication before applying to the Fund. Requests for funding, together with written proof of acceptance, should be made immediately after an article is accepted for publication.
- The journal/publisher archiving policy should allow the deposit of the published PDF version of the article in the Wits Institutional Repository.

Publisher eligibility
- The publisher of the OA journal must be a member of the Open Access Scholarly Publishers Association (OASPA) and adhere to OASPA’s Code of Conduct.

Application process

- Contact the Scholarly Communications and Copyright Services Office to confirm that funds are available before committing to payment of an APC.
- Apply for funding upon written acceptance of your article and before the work is published. Download the funding application form, complete and return to Denise.Nicholson@wits.ac.za, Tel: (011) 717-1929, together with the author’s invoice for payment of APCs.
- It will be the responsibility of the author to settle the costs with the publisher. The library funding contribution of 50% of the APC will be transferred directly into the Faculty research fund. The OAPF will not pay publishers directly.
- You will receive communication of the funding decision from the Scholarly Communications Office.
- The payment will be disbursed by the Library’s Finance Department.

Glossary

Gold Open Access: Gold Open Access journals provide immediate free and full open access to all of its articles on the publisher’s website.

Article Processing Charge (APC): The fee that publishers of some Open Access journals charge in order to publish articles. The reason given by publishers for charging APCs is that they do so in order to cover the costs of publishing material.

Hybrid journals: Hybrid journals provide open access to specific articles where an Article Processing Charge (APC) has been paid in an otherwise closed subscription journal.

Embargo period: When an author decides to deposit their research outputs in an Open Access repository they need to comply with any embargo period a publisher might have in place. In practice this means that the author submits the research article to the Wits Institutional Repository but only the metadata will be made openly accessible during the embargo period. Once the embargo period expires, the full-text article is released to the open web. Embargo periods vary between a few months up to 36 months.
Wits Open Access Publishing Fund Application Form

Thank you for your interest in the Wits Open Access Publishing Fund. This form allows you to apply for funds related to Article Processing Charges (APCs) associated with the publication of your article in a Gold Open Access accredited journal.

Before you apply, please read the “Wits Open Access Publishing Fund - Summary and Criteria” to verify the eligibility of your application.

1. Applicant information

Title, Name and Surname:

Faculty, School, Research Unit:

Status: Academic researcher; Support staff; Postdoctoral student; PhD student; Masters student

Staff / Student number:

Wits E-mail:

2. Publication information

Title of article to be published open access:

Title of Open Access journal:

Date of publication:

Publisher:

Department of Higher Education and Training, Accredited journal list:

Names/affiliations of co-authors:

Total Article Processing Charges required by the publisher:

3. Publicity
We plan to publicise funded articles on the library webpage as an additional way of providing visibility for your work. Please indicate if you agree to this. Your answer to this question will not be considered in the decision whether or not to provide funding.

Yes _____
No _____

I am aware that a copy of this article will be submitted to the Wits Institutional Repository.

Applicant signature ___________________________ Date ____________

Return your application form to Denise Nicholson at the Scholarly Communications and Copyright Services Office: Denise.Nicholson@wits.ac.za. A copy of the publisher’s invoice should accompany your application. On approval of your application the Open Access Fund will pay the Faculty 50% of the charges for qualifying APCs.
ANNEXURE 2

ADDENDUM TO PUBLICATION AGREEMENT

1. THIS ADDENDUM hereby modifies and supplements the attached Publication Agreement concerning the following Article:

   (manuscript title)

   (journal name)

2. The parties to the Publication Agreement as modified and supplemented by this Addendum are:

   ____________________________ (corresponding author)

   ____________________________

   ____________________________

   (Individually or, if more than one author, collectively, Author)  (Publisher)

3. This Addendum and the Publication Agreement, taken together, allocate all rights under copyright with respect to all versions of the Article. The parties agree that wherever there is any conflict between this Addendum and the Publication Agreement, the provisions of this Addendum are paramount and the Publication Agreement shall be construed accordingly.

4. Author’s Retention of Rights. Notwithstanding any terms in the Publication Agreement to the contrary, AUTHOR and PUBLISHER agree that in addition to any rights under copyright retained by Author in the Publication Agreement, Author retains: (i) the rights to reproduce, to distribute, to publicly perform, and to publicly display the Article in any medium for non-commercial purposes; (ii) the right to prepare derivative works from the Article; and (iii) the right to authorize others to make any non-commercial use of the Article so long as Author receives credit as author and the journal in which the Article has been published is cited as the source of first publication of the Article. For example, Author may make and distribute copies in the course of teaching and research and may post the Article on personal or institutional Web sites and in other open-access digital repositories.

5. Publisher’s Additional Commitments. Publisher agrees to provide to Author within 14 days of first publication and at no charge an electronic copy of the published Article in a format, such as the Portable Document Format (.pdf.) that preserves final page layout, formatting, and content. No technical restriction, such as security settings, will be imposed to prevent copying or printing of the
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7. For record keeping purposes, Author requests that Publisher sign a copy of this Addendum and return it to Author. However, if Publisher publishes the Article in the journal or in any other form without signing a copy of this Addendum, such publication manifests Publisher’s assent to the terms of this Addendum.

AUTHOR
(corresponding author on behalf of all authors)
(Date)

PUBLISHER
(Date)

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1. Prepare first manuscript draft, including authorship

2. Clear any copyrights of included materials

3. Proofread and do Turnitin check

4. Consult WE Tech Transfer Office for commercialisation potential

5. Selection of suitable publishers
   - Open Access
     - No APCs
     - APCs
   - Subscription based journal

   Submit manuscript to journal

   Attach Wits Author’s Addendum to Publisher’s agreement

   Possible corrections

   Publisher’s rules - OA

   Deposit Postprint version on IR

   Deposit PDF on IR