# Open Access Policy

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# OPEN ACCESS POLICY

## Preamble

Against the background of the dream to be an internationally recognised university in Africa, distinguished for engaged scholarship, social responsiveness and an ethic of care, the Council of the North-West University (NWU) has adopted this Open Access Policy to regulate the provision for public access to NWU research output.

## 1    Definitions

In this policy –

"**administrative records**" means records and documents used during university administration processes, including financial records, student application and acceptance records;

"**author**" refers to an employee or student who is the creator of an original scholarly publication; "**Boloka**" refers to the NWU Institutional Repository;

"**creative commons license**" is a grant of permission by the author to the public (or a segment of the public) to use portions of work otherwise protected by copyright without first obtaining permission from the author, subject to guidelines on open access provided by LIS in a generally accessible manner;

"**ETD**" refers to Electronic Theses and Dissertations;

"**final manuscript / final version of the article**"**,** more commonly referred to as "Author post-print or Author Accepted Manuscript", refers to the last version submitted to the publisher by the author, including the amendments made after peer review;

"**gold open access**" (also known as a "gold" route to open access) refers to publishing in an open access journal;

"**green open access**" (also known as "green" route to open access) refers to the archiving of the final manuscript in Boloka of a publication appearing in a subscription journal;

"**institutional repository**" refers to an online archive that stores, displays and preserves the research output of an organisation or institution;

"**LIS**" refers to the Library and Information Service;

"**OER**" refers to the Open Educational Resources - teaching, learning and research material in any medium that reside in the public domain;

"**open access (OA)**" means the online public availability of peer-reviewed research literature that is free of commercial and most technical barriers, which makes it free to re-use;

"**open data (OD)**" refers to data that is free, unrestricted and available online without any cost implications when accessed for view, re-use or redistribution;

"**open science**" refers to efforts to make the output of research more widely accessible in digital format to the scientific community, the business sector, or society more generally;

"**ORCID**" provides a *researcher persistent digital identifier* and supports automated linkages between the author and the author's professional activities;

**"published version"** refers to the formatted and branded layout of a research publication as prepared by the publisher;

**"research"** refers to the diligent and systematic inquiry or investigation into a subject in order to discover or revise facts, theories, applications;

**"research output"** refers to the peer-reviewed published work of authors, including journal articles, books, book chapters, conference proceedings, and dissertations and theses by masters and doctoral students, and

**"transformative agreements",** also known as 'transitional' or read and publish agreements, are agreements whereby publishers move from traditional subscription journals to an open access model.

## 2   Policy statement

2.1   The NWU is committed to disseminating the fruits of its research and scholarship as widely as possible by facilitating open access publishing of research output by employees and students, thereby making the university's research more accessible and increasing the visibility and impact of the research for the benefit of both authors and the university.

2.2   The university wishes to comply with the principle and mandate of making research widely accessible in line with the demands of open science by making available its research output in open access institutional repositories.

2.3   Employees and students are responsible to expand access to their scholarly research and to ensure that their research publications reach as wide an audience as possible while maintaining scholarly standards of quality.

2.4   The university favours open access by means of the Green Route by making a final accepted version of research manuscripts freely available on Boloka.

2.5   The university honours legal commitments made by authors and abides by publishers' copyright regulations and the archiving conditions of research funders.

2.6   Open access research outputs are published under Creative Commons (CC BY) license without affecting authors' copyright of their research outputs.

2.7   The university actively supports international initiatives to influence the current copyright practices of publishers and authors in order to expand the rights of the authors.

2.8   Enhancing public access to the NWU's research output – for everyone, from everywhere – is intended to highlight its excellence, to attract scholars and students, foster collaboration, enhance public engagement with research, and maximise the intellectual, social, cultural and economic impact of research.

2.9   The NWU supports the funding of open access publishing in accredited journals, among other support services, through transformative agreements and membership agreements with the publishers.

## 3   Scope

3.1   This policy applies to all employees and students of the NWU even when they co-author with authors from other institutions.

**3.2   This policy does not apply to -**

3.2.1   research output published before the author joined NWU;

3.2.2   research output written by an author not affiliated with NWU; and

3.2.3   the university's administrative records.

# 4 Principles

The principles of the policy are to -

4.1 encourage more collaborative practices amongst authors through the sharing and open accessibility of research output;

4.2 ensure that all scholarly publications produced by authors affiliated with NWU are preserved and disseminated to promote maximum visibility and discoverability of research through various digital platforms;

4.3 comply with the growing open access mandates and research data requirements imposed by funders and publishers;

4.4 ensure that a final manuscript version or digital copy of a peer-reviewed scholarly publication is uploaded to Boloka when copyright permits;

4.5 promote Open Educational Resources (OERs);

4.6 support the hosting of NWU Open Access Journals with Open Journal System (OJS) platform;

4.7 strengthen international scholarly communication and collaboration channels and the NWU's international profile; and

4.8 promote global visibility of institutional research output that plays a vital role in the global university rankings.

# 5 Boloka, roles and responsibilities and accountability

To promote research visibility, Boloka is intended to increase the visibility, availability and impact of the research output of the NWU through open access. For this purpose –

5.1 An author is expected to submit an appropriate version (final manuscript or final version of the article) to Boloka –

- by emailing an appropriate version (final manuscript or published version) to the LIS for uploading onto Boloka;
- by any alternative means to ensure that the author's research output reaches the LIS for inclusion on Boloka, or
- by using the self-submission user interface on Boloka.

5.2 Submission of an appropriate version as contemplated in paragraph 5.1 is deemed to constitute the granting by the author of the relevant green or gold open access license, and if an author does not wish to grant the required license, such intention must be communicated expressly and in writing to LIS.

5.3 The author is responsible for updating research profiles and researcher ID (ORCID).

5.4 The Higher Degrees Office is responsible for forwarding electronic copies of all ETDs for inclusion in Boloka (with the exception of classified ETDs).

5.5 The Office of Research Support must ensure that final lists of all research output reaches the LIS.

5.6 The LIS must make the research output available to the public on Boloka.

5.7 The LIS must assess all submissions to ensure that they are within the scope of the repository, that publishers' regulations are adhered to, that the appropriate version of the article is archived, and that declared standards are maintained.

5.8 The LIS is responsible for managing Boloka as a service to capture, store, index, preserve, and make available NWU research output in digital format in perpetuity.

5.9 Whenever possible, authors should include funding for article processing charges (APCs) in their funding proposals.

5.10 The Deputy Vice-Chancellor: Research and Innovation (DVC: R&I) is responsible for the overall management of this policy and may delegate specific functions and assign associated duties to employees of the NWU.

## 6   Dispute resolution

The Office of the DVC: R&I is responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes from time to time.

## 7   Policy review

This policy must be reviewed every five years.