UNIVERSITEIT STELLENBOSCH UNIVERSITY

Mandatory Self-Archiving of Research Output

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SU Policies are available at www.sun.ac.za/policies

Policy on mandatory self-archiving of research output

1. Introduction

Stellenbosch University (SU), acknowledged as a leading research institution on the African continent, recognises that one of its key assets is its research publications. Therefore, it is imperative that this asset, as with all other assets, be managed in a way that ensures that it provides maximum value to individual members of the academic community, whose research output it represents, and collectively to the institution. The academic community has a critical role to play in the generation of research output. The University, on the other hand, has an essential role to play in supporting academic and research staff, and in acting as disseminator, curator and preserver of its assets.

This self-archiving policy relates to and complements other University policies such as the *University's policy in respect of exploitation of intellectual property* envisioned to protect the intellectual property of the Institution and its employees.

2. Definitions

Author/co-authors	Creator/s of an original work.
Copyright	The legal process that grants the creator of an original work exclusive rights to that work. In the case of scholarly written works, copyright covers what may be done with the work in terms of making copies, distribution, making derivative works and abstracting parts of it for citation or quotation elsewhere.
Open access	The practice of providing unrestricted access via the Internet to peer-reviewed journal articles.
Post-prints	The final version of the accepted manuscript with the incorporation of revisions.
Published journal article (PJA)	The publisher's version of the article that appears in the journal. It includes all publisher activities including copy-editing, formatting and (if relevant) pagination.
Refereed articles	Articles that have been peer-reviewed.
Self-archiving	Depositing a free copy of a digital document on the World Wide Web in order to provide open access to it.
SUNJournals	The platform used by SU to publish directly in an open access forum.
SUNScholar	SU's research repository holding published research articles, and completed theses and dissertations.

3. Purpose of the policy

Building on the Senate decision of 2007 relating to the compulsory submission of electronic copies of theses and dissertations, this mandatory submission policy is aligned to the Institutional goal of broadening the knowledge base. The mandate to deposit the full text of peer-reviewed articles is also in alignment with the principles underpinning the HOPE Project with regard to sharing of research output to address the Millennium Development Goals.

Further, the Institution's commitment to openly sharing its research output contributes to a growing international corpus of refereed and other research literature available on open access platforms, a process rapidly gathering momentum at leading research universities worldwide.

4. Aims of the policy

This policy aims to:

4.1. increase access to the research output of SU for the widest possible audience;
4.2. increase the visibility of research publications produced by staff and students;
4.3. create high-quality metadata to enhance visibility;
4.4. ensure that the research output is preserved; and
4.5. contribute to the corpus of research content available through open access.

5. Principles of the policy

This policy on mandatory self-archiving of research articles is based on two key principles, namely

5.1. that the submission of scholarly articles reinforces the philosophy of sharing trusted and relevant content to generate new knowledge and innovation; and
5.2. that there should be no violation of any of the freedoms that academics have enjoyed over the years, including upholding the authors' prerogative of choosing where to publish.

6. Prescriptions with regard to the policy

This section provides guidelines setting out the roles and responsibilities of the author as well as the Library and Information Service. Further, it outlines types of research outputs which should be submitted and that which will not be included. It also discusses copyright issues and addresses general compliance procedures related to this.

6.1. Contributions by stakeholders

6.1.1. Authors

Authors who have a formal affiliation with Stellenbosch University are required, for subsidy and other purposes, to report and submit their research output to the Division of Research Development (DRD). Authors would as far as possible include in their submission the full text of the published journal article. The Library will seek, where necessary, permission for all content that is made accessible via SUNScholar.

Note: SUNScholar is the authoritative holding of the content of Stellenbosch University's research outputs. Where authors maintain webpages, links should direct researchers to the article that is in SUNScholar.

6.1.2. The Library and Information Service

The Library and Information Service, acting on behalf of the University, would take responsibility for:
6.1.2.1. extracting and uploading the full-text article into SUNScholar;
6.1.2.2. addressing copyright and related issues;
6.1.2.3. creating the highest quality metadata;
6.1.2.4. ensuring that the submissions are harvested by all of the major harvesters; and
6.1.2.5. ensuring long-term preservation of the content in the repository.

6.2. Content

This policy asserts that all refereed research manuscripts authored by personnel affiliated to SU or writing under the auspices of the University should be deposited into the Institution's research repository, SUNScholar.

The following materials should be deposited into SUNScholar:
6.2.1. Published journal article (PJA) of SU staff and students in compliance with the policy of the publisher or on application by an appropriate authority from SU;
6.2.2. Post-print of SU staff and students in compliance with the policy of the publisher or on application by an appropriate authority from SU;
6.2.3. Published full text of peer-reviewed conference papers in compliance with the policy of the publisher or on application by an appropriate authority from SU;
6.2.4. Published journal article (PJA) funded via the University's Open Access Publication Fund; and
6.2.5. Published journal article (PJA) published in SUNJournals, where the author has an affiliation with the University.

The following materials will not be included in the Institution's research repository (SUNScholar):
6.2.6. Materials to be commercialised, or which contain confidential material, or where the promulgation would infringe a legal commitment by the University and/or the author;
6.2.7. Manuscripts where there is no evidence of peer-review and subsequent publication. Or, unrefereed draft papers or draft versions of papers released for discussion
6.2.8. Unedited/unreviewed personal opinion;
6.2.9. Book reviews;
6.2.10. Textbooks and teaching materials; and
6.2.11. Administrative documents and records.

6.3.   Copyright

The ceding of copyright should be done in accordance with the *University's policy in respect of [the] exploitation of intellectual property*. Section 2.1.1 of the above-mentioned policy states that "all staff should note that ownership of IP (intellectual property) created by them in the normal course and scope of their duties and obligations vests in SU". The policy also states that "all IP that may emanate from work conducted by students in the course of their studies … will vest in SU".

Scholarly journal publishers have traditionally required authors to sign over all of the rights when their article is ready for publication so that the publisher owns the work from then on. Until that point, all rights belong to the authors.

In recent years, there has been a shift towards authors retaining certain rights: authors give publishers the right to publish a work while they retain the rest of the rights. In accordance with the University's policy on intellectual property, authors are urged to retain copyright of their material of which SU is the copyright owner. Further, authors are encouraged to sign a 'licence to publish'. Such a licence will allow authors to deposit the article in SUNScholar, making the work freely available to the public via the Internet subject to the expiration of the embargo period. The embargo period is usually 6 to 12 months depending on the publisher.

The 'licence to publish' is normally done through adding an 'author addendum' to the publisher's copyright transfer agreement which the publisher requires the author to sign (and which normally transfers copyright to the publisher). An example of a 'licence to publish' (http://wiki.lib.sun.ac.za/images/3/36/Licence_to_publish.pdf (Appendix 1)) is available on the Library and Information Service's website.

7. Conclusion

This policy promotes wider access to high-quality full-text peer-reviewed research output of SU staff, researchers and students. It further fulfils the ambition of increasing the visibility of the Institution's output and strengthening its position as a leading research university.