



Open Access Publication Fund Policy

Type of Document:	Policy
Purpose:	This policy provides guidelines for administering the Library's Open Access Publication Fund and for persons wanting to apply for funding from the Fund.
Approved by:	Information Service's Senior Management Team
Date of Approval:	2014/06/10
Date of Implementation:	2014/06/10
Date of Next Revision:	As required
Date of Previous Revision(s):	Approved by the Senate Library Committee on 04 May 2012 Updated and approved by the Library and Information Service's Senior Management Team on 30 April 2013 Updated and approved by the Library and Information Service's Senior Management Team on 10 June 2014
Policy Owner¹:	Vice-Rector: Learning and Teaching
Policy Curator²:	Library and Information Service: Senior Management Team
Keywords:	Open Access Publication Fund, Open Access Journals, Open Access Initiatives, Directory of Open Access Journals.
Validity:	In case of differences in interpretation the English version of this policy will be regarded as the valid version.

¹ Policy Owner: Head(s) of Responsibility Centre(s) in which the policy functions.

² Policy Curator: Administrative head of the division responsible for the implementation and maintenance of the policy



Open Access Publication Fund Policy

1. Open Access Publication Fund

The Open Access Publication Fund has been established to support Stellenbosch University researchers publishing in open access journals. Open Access journals refer to peer-reviewed journals which are published online and are freely available immediately after publishing.

The creation of this fund is part of the Library and institution's larger mandate to support open access initiatives, to broaden access to knowledge, to support research output at all levels within the institution and to assist in managing the high costs of library subscriptions to materials.

This document provides policy guidelines for administering the Library's Open Access Publication Fund and for persons wanting to apply for funding from the Fund. The procedures accompanying the policy are included in Appendix A.

2. Goals for the Fund

By making the Fund available, the Library endeavours to support the University's researchers in publishing within open access journals. In doing so it actively:

- Strengthens and visibly supports the University's open access mandate.
- Facilitates access to and showcases the University's research and knowledge production.
- Develops research capacity within the institution and region by sharing research knowledge and practices.
- Promotes and supports new publishing models within academic scholarship that facilitate the sharing of knowledge and optimise access to information. In doing so the Library provides support to open access publishers and facilitates better methods of acquiring scholarly library materials.
- Exposes SU authors to open access and all its variations.

3. Eligibility for funding

- The applicant applying for funding from the Fund should be a valid Stellenbosch University faculty member or currently enrolled student. This includes:
 - Faculty staff (academic or support)
 - Researchers
 - Postgraduate students (Honours, Masters, PhD, Post-doctoral)
- The applicant may be a previous staff member or student of Stellenbosch University who is publishing under the affiliation of Stellenbosch University.
- Funded authors must always indicate Stellenbosch University as an affiliated institution.

- Only articles to be published within the most recent calendar year are eligible for funding.
- Applicants who have already received funding (e.g. grant, donor or faculty funding) to specifically cover publication costs for said work/research, are not eligible for funding.
- Applicants who have articles accepted for publication in journals published by Stellenbosch University and hosted on the University's SUNJournals platform are not eligible for funding.
- The Fund will support publications where the author retains copyright and where the Library is able to deposit a copy of the article in the University's open access repository (SUNScholar).
- Articles should be accessible immediately after publication (no time embargoes).
- The Library will fund open access publication fees to a maximum amount per author per annum. This amount will be determined annually.
- Only articles published in journals accredited by the Department of Higher Education and Training (DHET) will be funded.
- The funding of articles to be published in non-accredited journals will be subject to approval by the Dean of the Faculty.
- Articles published in hybrid/subscription journals will not be funded. Hybrid journals refer to traditional journals that charge annual subscription, but offer an open access (Open Choice), fee-based option to publish individual articles via open access.

4. Types of charges covered

The fund will cover or subsidise the following costs or charges:

- Author or article processing fees for publishing scholarly articles in open access, peer-reviewed journals.
- Institutional membership fees for membership with open access publishers such as BioMed Central and Public Library of Science (PLOS).

5. Content Types

Content types that may be funded via the Open Access Publication Fund include peer-reviewed journal articles, monographs and proceedings.

The Directory of Open Access Journals (DOAJ) will be used to vet and evaluate a publication's open access credentials.

6. Access to published materials

Articles to be funded by the Open Access Publication Fund should have no access restrictions (temporary embargoes or other limitations).

Upon publication of the funded article, the main respondent applying for funding is required to archive a copy of the published article within the Library's institutional repository (SUNScholar).

7. Management of the Fund

The management and ownership of the Open Access Publication Fund is the overall responsibility of the Senior Director: Library and Information Service. This includes securing of funds for the Open Access Publication Fund.

Approval of applications, communication with applicants, reporting on the fund activities, tracking results and marketing or outreach activities to promote the fund is coordinated by the Library's Director: Technical Services and Electronic Resources Management. This includes drafting or editing policies, procedures, processes and application vetting.

8. Co-authorship: Collaboration with non-SU Authors

The Fund supports collaborative research and authorship. In the case of co-authorship with authors from outside of Stellenbosch University, SU authors may apply for their portion of the author or publishing fees. The Fund will support only the pro-ratio portion of the author fees for SU authors only.

(See the Appendix A (point 3b) below for reimbursement of prorated funding)

9. Updating of this Policy

This policy needs to be re-evaluated regularly as publishing and access models change and as options for open access increase. The Library will assess, on a regular basis, whether or not the current publishing options and models facilitate open access publishing and support the current acquisitions aims of the University and library. It will evaluate on a regular basis whether or not the fund supports, on a broader level, the aims of open access.

Approved by the Senate Library Committee on 04 May 2012

Updated and approved by the Library and Information Service's Senior Management Team on 30 April 2013

Updated and approved by the Library and Information Service's Senior Management Team on 10 June 2014

Appendix A:

Open Access Publication Fund Procedures

1. Submitting an application

Authors applying for funding may complete the Open Access Publication Fund Application form and submit it online, via email, internal post or fax to:

Ilse de Lange
Head: Acquisitions
Email: idl@sun.ac.za
Tel: 021 808 4874
JS Gericke Library

Application forms and information about the application process are available via the Library's website (<http://library.sun.ac.za>).

2. Application Vetting

Once an application has been received by the Library the following vetting protocol will be followed.

- The overall application is checked for eligibility (fees requested, content type, access restrictions etc.)
 - The Journal's open access credentials are checked against the DOAJ list.
 - The authors are checked for eligibility and institutional affiliation.
- The Head: Acquisitions assesses the findings together with the entire application and makes the final decision. This decision is made in consultation with the Director: Technical Services and eResources Management, as and when required.
- The decision on whether or not the application has been successful is communicated, via email, to the main applicant/respondent by the Head: Acquisitions.
- The entire application vetting process takes approximately 5 working days.

3. Payments

Payment only to be made after the relevant article has been accepted for publication. Proof of acceptance from the publisher must be submitted to the Library in order for payment to be processed.

a) Payment of articles authored by SU authors only (not co-authored with authors from other institutions)

Upon approval of the application for funding, the Library may:

- i) Pay the applicable funds directly to the publisher of the open access article concerned.

- Upon successful processing and approval of the application for funding, the applicant will provide the library with an invoice or payment directive, issued to the University by the publisher concerned, for payment of the relevant article fees.
- The library will check the invoice/payment directive details to ensure that the payment correlates with the application.
- The Library pays the publisher directly via credit card or on invoice for payment (where publishers do not accept credit card payments).

Or,

- ii) Reimburse the author for the applicable fees paid by the author to the publisher concerned, in the instance where the applicable author fees are paid by the author(s) prior to applying for funding.
- Reimbursement is in the form of a corrective journal entry (as recommended by University Finance Division) and is completed by the Library's Head: Finance and Administration. This corrective journal entry is a transfer of the expense (payment of article fees) from the main respondent/author's departmental fund to the Library's Open Access Publication Fund. The detail of the payment on the relevant cost point/account should be supplied by the applicant to enable the corrective journal entry.

Or,

- iii) Where Biomed Central (BMC) article funding is concerned, upon approval of the application, the Library will provide the main applicant with the relevant BMC institutional code for the article to be submitted to BMC within the ambit of the Library's institutional membership.

b) Payment of articles authored by SU authors and co-authored with authors from other institutions:

As indicated above, where articles are co-authored with authors from other institutions, the Fund will support only the pro-rated portion of the author fees for Stellenbosch University authors only.

Upon approval of the application for funding Stellenbosch University authors concerned may pay the entire publication fee owing directly to the publisher. They may submit proof of payment of author fees for the article. The library will reimburse the pro-ratio portion of the author fees, in the form of a corrective journal entry, which is the transfer of the expense (or part of an expense) from the main respondent/author's departmental fund to the Open Access Publication Fund.

In the event that the author is unable to pay the full amount to the publisher, the Library may make an exception for these special cases. Upon written request from the main corresponding author, and upon approval of funding, the Library may pay the entire publication fee owing directly to the publisher of the open access article concerned. The Library will then claim the

pro-rated portion owed to it via a corrective journal entry, which is a transfer of the expense from the Library's Open Access Publication Fund to the main respondent/author's departmental fund.

Important: Authors paying publisher fees prior to their Open Access Publication Fund applications being approved should please note that receiving funding via the Open Access Publication Fund is not guaranteed. Funding approval is dependent on the availability of funds.

4. Funding Levels

The Library reserves the right to increase or lower the ceiling limit for funding authors at any time in order to ensure that as many authors as possible are able to utilise the Fund.

Approved by the Senate Library Committee on 04 May 2012

Updated and approved by the Library and Information Service's Senior Management Team on 30 April 2013

Updated and approved by the Library and Information Service's Senior Management Team on 10 June 2014