Open Scholarship

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the University of Pretoria:

a case study

Prepared for the Open Access Repositories Workshop

Presented at Ahmadu Bello University, Zaria, Nigeria

28 April 2008

Elsabé Olivier
Agenda

- The Open Scholarship strategy
- The Open Scholarship Policies
- Responsibilities of the Open Scholarship office
- The UP repositories
  - UPeTD
  - UPSpace which includes openUP
- Processes and implementation of Open Scholarship
- Best practices
The UP Open Scholarship strategy

- The goal is to change scholarship practice at the University of Pretoria towards becoming an Open Scholarship institution.
- It is based on the following philosophy of the Wellcome Trust, namely: The job of research is only half-done if the results of that research cannot reach the widest audience.
Open Scholarship characteristics

- Theses/dissertations are available online based on a policy of mandatory submission
- Research/conference papers are available online
- Researchers actively contribute based on a policy of mandatory submission
- Researchers/students actively use OA material
- Researchers publish in available OA journals
- Researchers actively manage their copyright
- Institution's publishing house is available OA
- The institution publishes its own online OA journals
- Dissemination forms part of its publication strategies
UP Open Scholarship Policies

- **UPeTD policy**
  - The electronic submission of theses and dissertations is compulsory for all students since 2004

- **openUP policy**
  - According to the UP Strategic plan the library has a mandate to “manage this initiative and guide researchers towards contributing”
  - At the moment a policy is drafted which will address:
    - Author’s copyright practices
    - The possible mandatory submission of research articles
Responsibilities of Open Scholarship office

- To develop policies and practical procedures and implementation practices
- To provide guidance in the submission, formatting and editing process to implement quality controlled collections which will provide (as far as possible) access to the full text of the UP scholarly research
- To provide extensive training to all relevant role-players which includes library staff, students and faculty members
- To do extensive lobbying and advocacy on campus
- To link the UP Research report to the article citations in the institutional repository which will make the full text accessible
- To influence copyright practices of UP authors
The two current UP repositories

UPeTD
University of Pretoria’s electronic theses and dissertations

UPSpace
University of Pretoria’s institutional repository

Research articles collections
This collection offers open access to the full text of electronic theses and dissertations published by UP staff & students [http://upetd.up.ac.za/UPeTD.htm](http://upetd.up.ac.za/UPeTD.htm). Assistance is mostly provided via the web page. Submission can either be made by the student or the Open Scholarship office. UP holds the copyright of theses & dissertations. Copyright may be ceded back on request. Open Scholarship office coordinate with the UP Legal Office.
Theses & Dissertations
Compulsory electronic submission at Faculty Administration Offices

Open Scholarship office
Policy & procedures for theses and dissertations

Submitter
Student/Open Scholarship office

Reviewer
UPeTD manager

Available on UPeTD

Supervisor & student are notified of submission

UPeTD workflow

UPeTD Administration

UPeTD database
This collection offers open access to the full text of research articles published by UP staff & students. It implies a new **business model** where the creators of knowledge retain copyright and take responsibility for the dissemination of their products.

**Two routes**

- **OA self-archiving (”green” road)**
  - Authors submit their articles to a repository
- **OA publishing (”gold road”)**
  - Authors publish in an open access journal
Green route: authors submit articles to repository
Gold route: publish in open access journals

http://www.doaj.org
Research article workflow

Authors

List of articles
Alerts, information specialists, researchers, Research office

Open Scholarship Office

Submitter
Researchers, assistants, information specialists

Reviewer
Open Scholarship Office

Metadata Editor
Library Catalogues

Available on UPSpace

Publishers
Copyright: a major driver of an IR

- Develop a copyright policy
- openUP’s policy is to adhere to publisher copyright policies
- Publisher’s archiving policies are always checked on
  1. Firstly on the SHERPA/RoMEO database
  2. If they are not available on the above web site, the publisher’s web site is checked
  3. Only when policies regarding self-archiving cannot be traced on these sites, the Open Scholarship office contacts the publishers directly
Who holds the copyright?

Slide from a presentation by Stevan Harnad, 2005

Limited Access: Limited Research Impact

- Impact cycle begins: Research is done
- Researchers write pre-refereeing “Pre-Print”
- Submitted to Journal
- Pre-Print reviewed by Peer Experts – “Peer-Review”
- Pre-Print revised by article’s Authors
- Refereed “Post-Print” Accepted, Certified, Published by Journal
- Researchers can access the Post-Print if their university has a subscription to the Journal
- Articles not yet submitted - author
- Author signs Copyright Transfer Agreement – publisher holds copyright
- 12-18 Months
- New impact cycles: New research builds on existing research
- The university, who sponsored the research, now has to pay a high price to get access to its own research output and has no control over access and dissemination

Who holds the copyright?

Author signs Copyright Transfer Agreement – publisher holds copyright
1. Check publisher’s archiving conditions

http://www.sherpa.ac.uk/romeo.php
### Conditions & restrictions of a publisher

Publisher version cannot be used
2. Also check publisher’s web sites

Conditions of the publisher
3. Last option: trace publisher copyright policies

- Most South African and African journals are not listed on SHERPA/RoMEO web site
- The Open Scholarship office contacts the publisher on behalf of the author and requests permission to archive research articles published in the journal
- The data is captured in an Excel spreadsheet (UP Publisher policies) which is accessible to UP submitters
- The letters of consent are also submitted to UPSpace
### UP Publisher policies list keep track of consent

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<td>Elizabet Olivier</td>
<td>14/02/2007 - kombinier artes 250 N1</td>
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<td>6/5/2007</td>
<td>Faculty of Theology of the University of Orange Free State</td>
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<td>Africa Education Review</td>
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<td>Umsa Press &amp; Taylor and Francis</td>
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[Logo: UNIEBEN'SI THEI YAPETRORIA](https://www.up.ac.za)
Consent letters are submitted to UPSpace
In a nutshell...what you should do

- Develop a policy for your institutional repository
  - Include your position and policy statement
- Decide on the scope: who is it intended for?
- What kind of content will be included? E.g. theses and dissertations, research articles, conference papers, photographs, newsletters, media articles etc.
- Responsibility: who will be responsible for what?
- How will you handle copyright?
- Design and develop
  - Guides and help manuals for staff members
  - Flowcharts which can assist submitters
UP offers various forms of assistance

- **Web sites**
  - openUP: [http://openup.ais.up.ac.za/](http://openup.ais.up.ac.za/)
  - UPeTD: [http://upetd.up.ac.za/UPeTD.htm](http://upetd.up.ac.za/UPeTD.htm)

- **Guidelines and support for submission**
  - openUP: [http://openup.ais.up.ac.za/authors.htm](http://openup.ais.up.ac.za/authors.htm)
  - UPeTD: [http://upetd.up.ac.za/authors/publish/index.htm](http://upetd.up.ac.za/authors/publish/index.htm)

- **Compilation of submission guides**

- **Submission workshops are presented:**
  - One-to-one sessions
  - Group sessions
Example of the Quick guide for metadata

Quick guide to submitting items in openUP

<table>
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<tr>
<th>Submission Field</th>
<th>Examples</th>
<th>Notes</th>
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</thead>
</table>
| Title            | Hallelujah under fire | Use full title if article without a full stop at the end; do not abbreviate title.
| Person            | Pende, a modern South African | Do not abbreviate South African.
| Academic Affiliation | Honors in Science | Do not abbreviate Honors.
| Synthesis         | Hybridization | Do not abbreviate synthesis.
| Place             | Tokyo, Japan | Do not abbreviate Japan.
| Title             | The quick brown fox jumps over the lazy dog | Do not abbreviate lazy dog.

Please apply linguistic principles, e.g. start sentences with a capital letter and use sentence case throughout.
Leadership role on campus

- Who plays a role in the success of the Open Scholarship strategy on campus?
- In which ways do they contribute?
- Involve the following important role players:
  - University management: to support your strategy and policies
  - Faculty Administrative Officers: administrating the theses and dissertations
  - Postgraduate students & supervisors: to submit their theses and dissertations
  - University’s Legal Office: help with copyright decisions & queries
  - Authors: to inform you of their publications and to submit articles
- Manage the value chain of role players effectively
Lobbying and advocacy on campus

- How can these role players be influenced to support the Open Scholarship initiatives?
- Collaborations with Research office, campus webmaster and journal editors on campus
- Organize awareness-raising campaigns / give presentations in cooperation with subject librarians during meetings with:
  - Faculties and departments
  - Research groups
- Two strategies which proved successful:
  - Enhancing the visibility of the UP Research gained the support of UP Management
  - Personalized collections like the Jonathan Jansen Collection attracts lecturers
Example 1: Visible linking in Research report

Full text of the article
Example 2: Enhanced visibility of UP authors

https://www.up.ac.za/dspace/handle/2263/1125//browse-title
Example 3: Personalized collections

https://www.up.ac.za/dspace/handle/2263/108

Collections in this community
In conclusion

- Open access repositories provide value on a personal, departmental and university level
- Librarians and open scholarship advocates play a major role in the development of repositories
- We believe that one of the primary aims, namely enhancing the visibility of UP research, has been achieved
- Let’s work together in converting our dream of opening access to research output into reality!
A last thought...

You've got to think about big things while you're doing small things, so that all the small things go in the right direction. -- *Alvin Toffler*
Thank you!

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Useful links

- Creative Commons
  http://creativecommons.org/
- Directory of Open Access Journals
  http://www.doaj.org/
- eIFL-IP Advocacy for Access to knowledge: copyright and libraries
  www.eifl.net
- Journal Info
  http://jinfo.lub.lu.se/
- Scholarly Communication: What's happening at MIT?
  http://libraries.mit.edu/about/scholarly/mit.html
- SHERPA/RoMEO
  http://www.sherpa.ac.uk/romeo.php
- SPARC author addendum
  http://www.arl.org/sparc/author/addendum.html
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