Frequently Asked Questions: Open Access Statement issued on 19 January 2015

Why was the decision made to draft a position paper on Open Access?

The National Research Foundation (NRF) is a signatory to the Berlin Declaration on Open Access to Knowledge in the Science and Humanities. The issue of Open Access (OA) has gained impetus over the past years with international funding agencies such as the Global Research Council, of which the NRF is a member. The NRF supports scientific research through public funding and, in doing so, contributes to growing the local knowledge economy; promoting innovation; and stimulating appropriate development which benefits sharing and the reuse of research outputs. This statement brings the NRF into line with other international funding agencies.

Will our IR be harvested by the NRF or will researchers have to submit directly into a NRF repository?

NRF will harvest metadata. Researchers are expected to deposit content at their respective repositories.

Do you have a specific standard that we will have to comply with in order for our institutional repository (IR) to be harvested effectively?

NRF is developing a set of guidelines that will be shared with the stakeholder community in due course.

Is there a set of guidelines/procedures for the authors/researchers?

NRF is developing a set of guidelines that will be shared with the stakeholder community in due course.

The NRF statement indicates that research data needs to be deposited in an accredited repository and that the repository should make provision for a digital object identifier (DOI). The repository makes use of the handle system to provide a persistent identifier for referencing. It is my assumption that a handle would be equally acceptable. Is this correct?

Handles will be equally acceptable, but the DOI system is preferred as it utilises the handle system as one component in building an added value application, for the persistent,

semantically interoperable, identification of intellectual property entities. (http://doi.org/factsheets/DOIHandle.html).

What is meant by an 'accredited repository'?

NRF will provide Data Seal of Approval and Trusted Repositories Audit and Certification (TRAC) guidelines.

Which IRs are accredited?

The NRF will provide a list of accredited repositories in the NRF Online Submission Form. Grantholders are encouraged to use their institutional repositories and domain-specific repositories that are registered with DOAR and DataCite.

Is there a specific procedure in place for authors/research offices on reporting where the research has been submitted, e.g. a web address where the research has been submitted?

The grantholder has the responsibility of including the research output in the Annual Performance Report (APR), including the DOIs and handles.

What about the copyright form that we typically sign with the publishing journal?

Publishers' agreements (often titled "Copyright Transfer Agreement") have traditionally been used to transfer copyright or key use rights from author to publisher. Many authors do not realise that when they sign this form they also shift their copyright to the publisher as well. In order to retain some rights to their works, they should attach an Author Addendum to the publisher's Copyright Transfer Agreement. The Author Addendum is a free resource developed by SPARC in partnership with Creative Commons and Science Commons, non-profit organisations that offer a range of copyright options for many different creative endeavours.

Is this mandatory or can researchers opt for Open Access?

The OA statement attests that research outputs resulting from public funds must be made freely accessible and the NRF is committed to making the transition to Open Access as simple as possible. We are aware that compliance with research funders' OA mandates is becoming the norm internationally.

The position paper says recipients of NRF funding must deliver their peer-reviewed manuscript to the administering institution repository. Which administering institution repository is the paper referring to? Is this the institution where the researcher is

based or the NRF?

The administering institution repository is the one where the grantholder is based (e.g. University).

If it is the researcher's institution, will the NRF fund universities and research institutions to create the repositories?

NRF will not fund the establishment of institutional repositories. Most universities have established IRs and resources to support the IR processes. If no IR is immediately available to a researcher, this will need to be recorded in the grant Final Report.

Who should be funding the creation of the repositories?

It is the responsibility of the individual institutions together with their respective Library and Information Services.

How will other researchers access this repository if they want to read papers published by their peers who are funded by the NRF?

Repositories are openly searchable over the Internet and this enables anyone to access content archived in respective repositories.

Why is there a 12-month embargo?

Grantholders are required to deposit the full-text article in the repository within 12 months. Scientific publishers may require an embargo period before the published articles are made Open Access. Embargo periods vary by journal and also by scientific area (e.g. six months for science, engineering and technology disciplines, up to two years for humanities and social sciences).

An appropriate embargo is acceptable in respect of opportunity to publish. If a grantholder needs to apply an embargo, reasons must be provided on why the data should not be in an OA repository.

Restrictions are acceptable if necessary to protect intellectual property or commercially confidential data and the alternatives for accessing the data should be provided.

When am I expected to deposit?

The following are three different options:

1. **Immediate Deposit with Immediate Open Access:** The article is deposited immediately upon acceptance for publication, i.e. after the peer-review process and once the final corrections and modifications have been made, and is promptly made OA if authorised by the publisher.
2. **Later Deposit, After the Embargo Period:** The article is only deposited in the repository upon publication and after expiration of the embargo period established by the publisher.
3. **Immediate Deposit with Optional Later Access:** The full-text article is immediately deposited upon acceptance for publication, but if it is submitted to a journal with an embargo, then the policy permits access to be opened only at the end of the embargo period ("dark deposit"). The metadata for the article, however, becomes immediately available, since it is not subject to copyright and, therefore, is not covered by the embargo period.

What happens when a publisher does not allow Open Access to a paper written by an NRF grantee?

It is acknowledged that researchers consider a range of factors when deciding on their publication outlets and do not intend to place restrictions on nor enter into discussions with publishers. Grantholders are encouraged to use OA outlets.

Which copyright should I use for my outputs?

On copyright matters, grantees should know their rights and of the scientific publishers' rules (e.g. most publishers allow self-archiving of pre-print and post-print versions with an embargo period before the article becomes Open Access). Grantholders are requested to check publishers' permissions for the journals in which they wish to publish on the Sherpa ROMEO website (http://www.sherpa.ac.uk/romeo/).

What is a "final accepted version" of a manuscript?

The final accepted version is the author's final manuscript of a peer-reviewed paper accepted for journal publication, including all modifications resulting from the peer-review process. It is the version before the journal makes edits that will constitute the final "version of record."

The OA Statement speaks of a mandatory deposit of publications and datasets into an administering "institutional repository" (IR). It is not clear whether the ALTERNATIVE of publishing in an Open Access journal will also be acceptable. In other words, can the researcher opt for direct publishing in an OA journal and thus not have the additional requirement to deposit in an IR as the article is already OA?

Grantholders can publish in an OA journal but must ensure that the same article is deposited in the repository.

No mention is made of page/publication fees charged by many OA journals (and toll-access journals). Can the researcher utilise the NRF funding to pay for publication in an OA journal? This is an important consideration as OA is now actively encouraged.

The grantholder, as part of their grant proposal, is expected to indicate how they are going to use the grant.

The allocation of a DOI is mandatory for datasets, but what about the article itself and how can I get a persistent identifier for my data?

The Digital Object Identifier (DOI®) System is for identifying content objects in the digital environment and is mandatory. Published journal articles are allocated DOIs by the publishers. NRF/SAEON is a member of DataCite and enables data owners, stewards or archives to assign persistent identifiers to research data.

Is the NRF going to provide DOIs for records or does each institution have to apply for them separately?

NRF/SAEON will provide DOIs for funded datasets for its grantholders.

What specific data is required with publications for deposit in our institutional repository in terms of NRF's OA Statement?

The data needed to validate the results presented in scientific publications; data which might valuable to others; and data which cannot be re-generated as soon as possible.

The data supporting the publication refers to the following:

- Metadata of the dataset and other supporting material or instruments used during the research. The reference to the data should include the NRF award number and other attributes such as a permanent identifier for future citation and referencing as required by the publisher/funders. Meta-data should be made available irrespective of constraints that may exist in respect of data access.
- Data underpinning a PhD thesis. Study supervisors must be consulted before any data is released. This is encouraged to ensure that the research process is not damaged by premature and/or inappropriate release of data whereby one might be unable to use the data in future publications.

If the grantholder doesn't comply, what are the penalties?

Grants are conditional, hence grantees have to comply with the Grant Conditions and the Annual Performance Report (APR).

How is the research data shared by the grantholder?

By depositing it in a repository and ensuring that it is possible for third parties to access, mine, exploit, reproduce and disseminate for any user. Provide a link to your data in your publication using the DOI.

How do I share data supporting my research if it is personal or sensitive in nature?

For research involving human participants, you need to consider at the start of project the ethical aspects. When you are considering sharing data, the consent form should inform the participants about your plans for research data processing, storage and sharing as part of your DMP.

Who can help me with intellectual property rights questions?

Queries concerning IPR conditions in the funding agreement should be directed to the IPR Office at your institution.