WORKSHOP: CODATA Data Citation
NRF OA Statement grantholder requirements

Daisy Selematsela (PhD)
Knowledge Management Corporate, NRF

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OA Policies World Wide

Open Access policies worldwide

- Europe: 389
- Oceania: 39
- Central & South America: 34
- North America: 145
- Asia: 40
- Africa: 16
Funder mandates – Global perspective

- Funders, e.g. Welcome Trust, Bill Gates: 79
- National funder & research organisations, i.e. NRF/NSF: 54
- Multi research organisations: 8
- Research institutions, i.e. Universities: 485
- Sub research institutions, e.g. Faculty: 71
# SA transition to OA: Berlin Declaration

## Signatories (SA) to date

<table>
<thead>
<tr>
<th>Date</th>
<th>Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>30.09.2010</td>
<td>University of Stellenbosch</td>
</tr>
<tr>
<td>27.05.2011</td>
<td>University of Johannesburg</td>
</tr>
<tr>
<td>06.10.2011</td>
<td>Library and Information Association of South Africa</td>
</tr>
<tr>
<td>01.11.2011</td>
<td>University of Cape Town</td>
</tr>
<tr>
<td>21.05.2012</td>
<td>University of South Africa</td>
</tr>
<tr>
<td>25.09.2012</td>
<td>Academy of Science of South Africa</td>
</tr>
<tr>
<td>22.10.2012</td>
<td>University of KwaZulu-Natal</td>
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<td>09.11.2012</td>
<td>University of the Witwatersrand</td>
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<td>20.05.2013</td>
<td>Durban University of Technology</td>
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<td>21.10.2013</td>
<td>Tshwane University of Technology</td>
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<tr>
<td>23.10.2013</td>
<td>University of the Western Cape</td>
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<tr>
<td>24.10.2013</td>
<td>Rhodes University</td>
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<td>11.02.2014</td>
<td>North-West University</td>
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<tr>
<td>20.10.2014</td>
<td>National Research Foundation of South Africa</td>
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<tr>
<td>22.10.2015</td>
<td>Cape Peninsula University of Technology</td>
</tr>
</tbody>
</table>

[http://openaccess.mpg.de/Berlin-Declaration](http://openaccess.mpg.de/Berlin-Declaration)
NRF published a statement on Open Access to grant-funded research in early 2015, and subsequently conducted a workshop with its stakeholders (primarily HEIs, National Facilities, and Research Councils).
Which of the following policies have been approved at your institution?

<table>
<thead>
<tr>
<th>Answer Options</th>
<th>Response Percent</th>
<th>Response Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>OA Mandate/statement</td>
<td>22.2%</td>
<td>4</td>
</tr>
<tr>
<td>OA Policy</td>
<td>38.9%</td>
<td>7</td>
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<tr>
<td>IR Policy</td>
<td>44.4%</td>
<td>8</td>
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<tr>
<td>Digitisation policy</td>
<td>5.6%</td>
<td>1</td>
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<td>Intellectual property policy</td>
<td>72.2%</td>
<td>13</td>
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<tr>
<td>Preservation policy</td>
<td>11.1%</td>
<td>2</td>
</tr>
<tr>
<td>Other (please specify)</td>
<td></td>
<td>8</td>
</tr>
</tbody>
</table>

Answered question: 18

Skipped question: 5
The NRF recognises the importance of Open Access to science and research while at the same time appreciating that Open Access will continue to evolve in response to societal needs, achieving overarching policy harmonisation and new innovative publishing business models.

From 01 March 2015, authors of research papers generated from research either fully or partially funded by NRF, when submitting and publishing in academic journals, should deposit their final peer-reviewed manuscripts that have been accepted by the journals, to the administering Institution Repository with an embargo period of no more than 12 months. Earlier Open Access may be provided should this be allowed by the publisher. If the paper is published in an Open Access journal or the publisher allows the deposit of the published version in PDF format, such version should be deposited into the administering Institutional Repository and Open Access should be provided as soon as possible.

In addition, the data supporting the publication should be deposited in an accredited Open Access repository, with the provision of a Digital Object Identifier for future citation and referencing.

Source: http://ir.nrf.ac.za/bitstream/10907/103/1/oastatement_2015.pdf
Data supporting publication

• Research Data that underlies the findings reported in a journal article/ conference paper/thesis as set out in the NRF Open Access Statement.
1 Grantholder requirements

1. Deposit in a repository and ensure it is possible for third parties to access, mine, exploit, reproduce and disseminate for any user the –
   – Meta-data of the dataset, which is 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.
Grantholder requirements

– Repositories must be selected from an NRF-approved list.

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

– Data underpinning a PhD thesis: study supervisors consulted before any data is released.

– Share all research data that can be shared, and provide a link to your data in your publication.
2 Grantholder requirements

1. It is acknowledged that data generated are more sensitive than others. Before initiating the research, it is the grant holders’ responsibility to consider the following: confidentiality, ethics, security and copyright.

2. Possible data sharing challenges should be considered in the data management plan with solutions to optimise data sharing.
3 Grantholder requirements

1. Potential *collaborators* should be informed that due to public funding and funder mandate, one is expected to share research data as openly as possible.

2. The *Data Management Plan* should indicate which data will be shared. If (some) research data is to be restricted, an appropriate statement in the Data Management Plan and subsequent publication should explain why access to data is restricted.
4 Grantholder requirements

• a number of *reasons for withholding research data*, even if there are obligations to funders or publishers to openly share the outputs of research.
  
  – a. An appropriate **embargo** is acceptable in respect of opportunity to publish: NRF permits a 12-month embargo period. If a researcher needs to apply an embargo, reasons must be provided on why the data should not be in an open access repository.
  
  – b. Restrictions are acceptable if necessary to protect IP or commercially confidential data;
• c. Personal/sensitive data should not be released into public domain, unless consent of person is given and data is properly anonymised;

• d. Data that can harm the interests of a community – human or otherwise – can be motivated as restricted.

• e. Where data deposit is not possible or cost effective, it is acceptable not to publish the data in a trusted repository. The ability to validate the published research findings must not be compromised and the alternative access to the data should be provided.
Joint COAR-SPARC conference, April 15-16, Portugal 2015 ranked the NRF’s OA Statement no. 5 globally

Based on the following recommendations

- Must deposit
- Cannot waive deposit
- Must make item Open Access
- Link to research evaluation

The NRF OA Statement is mandatory!
Example of joint funder OA requirement

ESRC-NRF Newton Call for Collaborative Research
Urban Transformations in South Africa
Call specification

**Open Access Policy**
RCUK ([http://www.rcuk.ac.uk/research/openaccess/](http://www.rcuk.ac.uk/research/openaccess/)) have an Open Access policy. Researchers funded under this call will be expected to comply with the requirements outlined in these policies. UK institutions are no longer able to apply for Article Processing Charges as part of a research proposal, but instead funds will be provided to research organisations at an institutional level in order to set up publication funds.

NRF ([http://www.nrf.ac.za](http://www.nrf.ac.za)) has a Statement on Open Access to Research Publications from NRF Funded Research. Researchers funded under this call will be expected to comply with the requirements outlined in the NRF’s Open Access Statement ([http://ir.nrf.ac.za/bitstream/10907/103/1/oastatement_2015.pdf](http://ir.nrf.ac.za/bitstream/10907/103/1/oastatement_2015.pdf)).
FAQ’s: pre-OA adoption

- Why the decision to draft a position paper on open access?
- What kinds of research do we collect?
- How do I put my work in the IR? (guidelines)
- Why do I have to put a file in IR?
- What is mandatory deposit?
- Which version to upload?
- Who checks copyright?
- How do I found out whether it works?
- What can people use my work for?
- Software – what is DSpace?
- What are the benefits?
- What do I have to do?
- Do I have to get permission from my co-authors?
- Who should be funding the creation of the repositories?
FAQ’s: - post OA implementation

- Who is covered by policies?
- Does the policy cover every article I have ever written?
- How do I know if I am depositing the right version?
- What are the waivers/embargoes?
- When is time to sign my publishing agreement?
- Does my publisher know that my institution has OA policy?
- My publisher charges $ for OA. Do I have to pay that to comply?
- My publisher policy says...which is different to our Univ. OA policies?
- How will people find my article once is openly available?
PARTNER with us
Realise the POTENTIAL

Enkosi, Thank you, Re a leboga, Siyabonga, Dankie
References

- http://universityofcalifornia.edu/open-access-policy/policy-faq
- Good practices for university open-access policies. http://cyber.law.harvard.edu/hoap/Good_practices_for_university_open-access_policies or bit.ly/gooodoa

NRF Open Access Statement, 2015
Digital object identifiers & Data publication

Data Publication and Citation

NRF/SAEON registered with Datacite as national DOI agent for data publication and citation via a DataCite License

- The service is free to all stakeholders willing to publish their datasets in OA repositories

In short, the service allows depositors to

1. Indicate and select data sets for publication;
2. Issue Digital Object Identifiers for such objects (DOIs);
3. Obtain feedback and statistics on the publication status of their deposited data;

Once a DOI has been allocated, SAEON has a responsibility to ensure continued access to the original data set, and, as such, will require additional information and commitment from depositors.