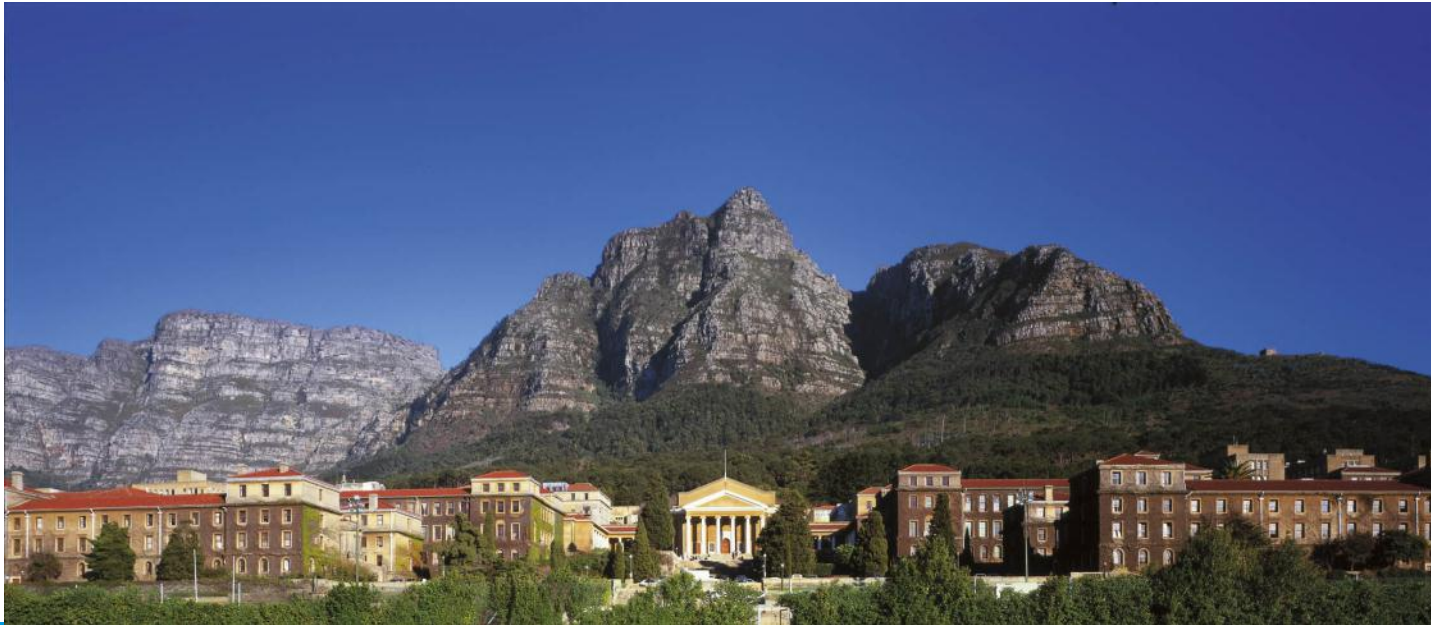
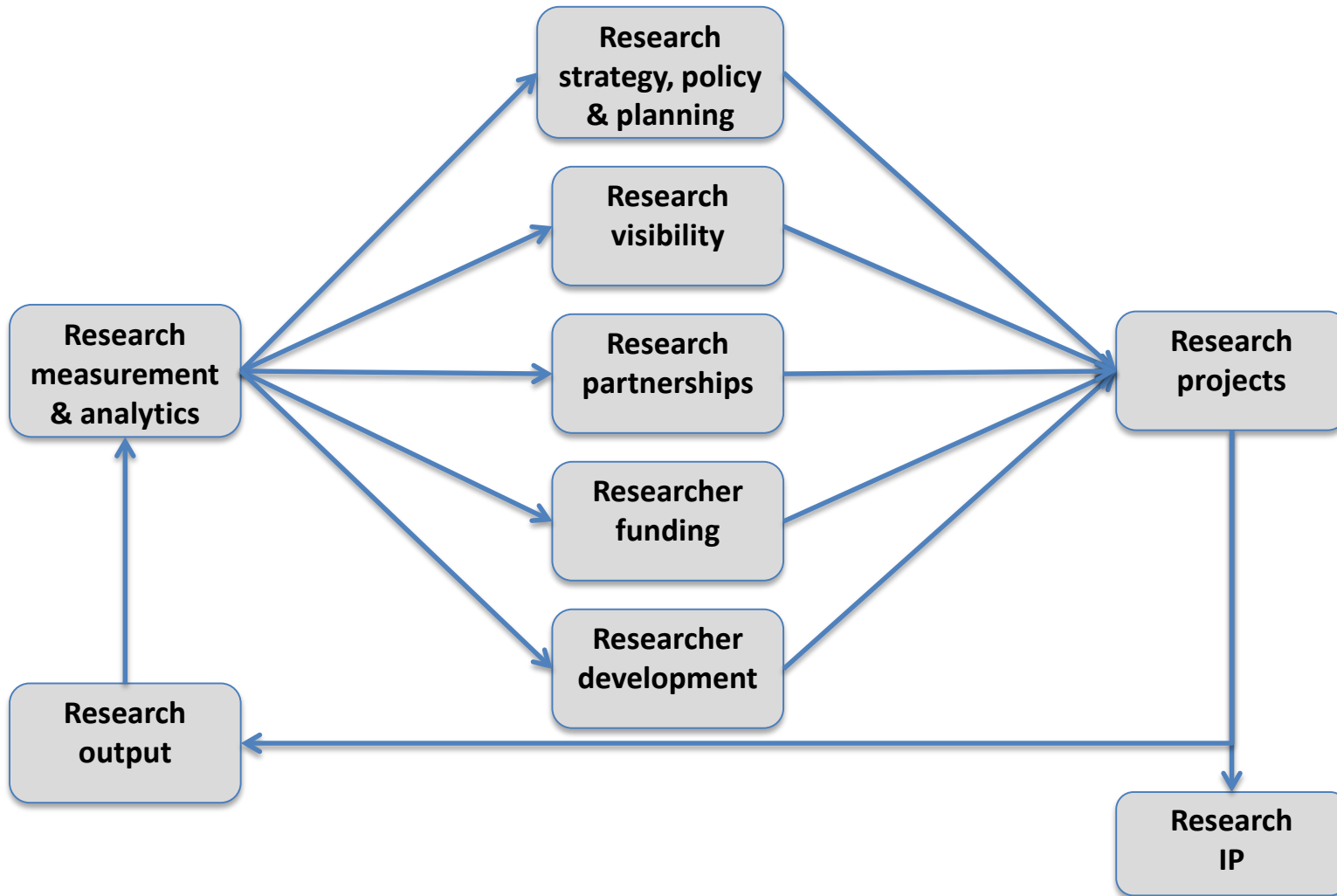


Changes in scholarly communication: implication for research data management

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The Research Support Cycle



Strategic Partners



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Contents

- UCT Open Access Policy (amended Feb 2016);
- OpenUCT publication of theses & dissertations after conferment of degree – amended General Rules (Feb 2016);
- NRF Open Access Statement (Jan 2015) & FAQ;
- NRF Communique 2 (2015) – conditions for grant funded theses & dissertations;
- NRF Communique to Library Directors (CHELSA);
- NRF presentation outlining conditions for grantees depositing OA publications with supporting data sets

UCT Open Access (OA) Policy

- Approved by Senate in 2014
- Amended in 2016 in response to the NRF OA statement (Jan 2015)
- Author responsibility (Clause 5.1)
- Student theses and dissertations (ETDs) (Clause 5.3)
- Both clauses stress funder compliance:

“Grant holders are required to comply with any conditions for publishing scholarly content as set out by the funder”

OpenUCT Guidelines

- Guidelines for the publication of theses and dissertations after conferment of the degree;
- General Rules amended (PC1 Jan 2016);
- Distinguish deferred publication (up to 24 months) from publication under embargo (DVC level approval)

NRF Individual Grant Holders

- Conditions in the grant;
- Clause re data storage, usage and dissemination;
- Where the institution decides that the NRF funded research outputs should not be protected under IP, the institution shall be obliged to make the necessary arrangements to ensure the availability of the research data output to the larger research community...

NRF Open Access Statement

- Issued in January 2015 – it is policy and it is mandatory;
- In summary what it says:
“Research papers generated from research fully or partially funded by NRF when submitting & publishing in academic journals should deposit their final peer-reviewed manuscripts that have been accepted by the journal to the Institutional Repository (IR) with an embargo period of no more than 12 months...”

NRF OA Statement

“In addition, the data supporting the publication should be deposited in an accredited OA repository with the provision of a Digital Object Identifier (DOI) for future citation and referencing”.

What is does not clarify:

- NRF funded theses and dissertations (ETDs)
- Research Data Management for ETDs
- Accredited data repositories

Status of OA institutional repositories & data repositories

- South African universities have OA institutional repositories (IR);
- Many institutions do not have data repository capacity/capability to store and protect data e.g. IP
- Deadline was 1 March 2015 – CHEC CEO wrote to the NRF as did many institutions indicating that they could not meet the data management deadline. Clarification was sought from the NRF;
- Responses back were more about publications than data management

UCT where are we?

- UCT recognised that it would need to assist researchers and prepare for a time when the NRF compliance would be implemented;
- Research Data Management (RDM) Policy initiated by the URC which includes proposal for governance;
- Advocacy initiatives underway with campus stakeholders;
- eResearch capability implemented at UCT
- Active leadership and participation in regional & national cyberinfrastructure development

GMSA Communique 2

(issued by NRF)

- Issued in 2015 separately from NRF OA statement
- Prescriptive/requirements to process grant-holder linked and free standing & postdoctoral support
- Primarily this covers NRF funded theses and dissertations in electronic format (ETDs)
- GMSA directive to Delegated Authority (Research Office)
- Directive also sent to Library Directors (CHELSA) – requirements for archiving NRF funded theses and dissertations (ETDs)

GMSA Communique 2

Delegated Authority

“The grantee is required to upload the final corrected version in approved e-format to the university’s IR. The Research Office should ensure that the bursary holder submits the ETD handle or link in the university IR to the NRF before or a month after their graduation ceremony...Failure to comply with the requirement, the grantee will be liable to refund all support provided by the NRF”

GMSA Communique 2 issued to University **Library Directors**

- What it says:
 - The library should archive the ETD before or no later than a month after the NRF grantee's graduation;
 - The Library should provide the ETD handle to the grantee to submit as evidence of completion of studies to the NRF;

- The Library should update the NRF when a NRF funded ETD handle changes
- If an ETD is to be embargoed*, the Library is expected to update the NRF on the status of that item when the embargo expires.

(*UCT distinguishes between deferred release up to 24 month in order to publish from embargoed which requires DVC/DDB approval)

GMSA Communique 2 issued to University Library Directors

- What it does not say anything about:
 - Management of research data supporting a thesis or dissertation;
 - In anticipation that the NRF implements a requirement for research data management at some point, UCT wants to make provision in the **Student-Supervisor MoU** that a Research Data Management Plan is submitted at time of proposal approval.

Supervisor/Student MoU: proposed clause (i)

- Supervisor expectations and arrangements
Requirements for archiving theses & dissertations
 - requirements of UCT open access policy
 - NRF scholarship/bursary holders – provide handle/link to NRF
 - Comply with conditions for archiving theses and dissertations as set out by another funder

Supervisor/Student MoU: proposed clause (ii)

- Intellectual Property, RDM & Ethics
 - Funders may prescribe that research output generated from grant funding to be deposited in an open access platform ... data supporting the publication may need to be deposited in OA platform with Digital Object Identifier (DOI) for future citation and referencing

Supervisor/Student MoU: proposed clause (iii)

- Research Data Management Plan
Candidate should be aware of need to complete a Data Management Plan (DMP) prior to collecting, storing, describing or analysing data. The completed DMP must be included with the MoU. The requirements of all funders must be included.

NRF presentation at CODATA meeting December 2015

- Policy outlined
- Conditions outlined
- Emphasised that the 2015 NRF Open Access statement is mandatory

National ETD Repository (NETD)

- www.netd.ac.za

Acknowledgements

- UCT Libraries and staff
- UCT eResearch Centre
- ICTS
- Research Office & OPGS
- Research and Innovation Office
- URC
- BfGS
- Deputy Registrar Office

Thank You

