

This template was developed by the LIBSENSE Policy Working Group. The aim is to provide a draft text of an open science policy, which can be used and amended by any institution interested in adopting an open science policy. This template expands the scope of the earlier [Version 1](#), to move beyond open access articles and includes research data and other types of research outputs.

INSTITUTIONAL OPEN ACCESS/OPEN SCIENCE/OPEN RESEARCH POLICY

1. Aims and Scope of the Policy

1.1 The [\[Name of the University/Research Institute\]](#) commits to the advancement of science and the wide dissemination of knowledge for the benefit of research and society by adopting practices on open, reproducible and responsible research.

1.2 The [\[Name of the University/Research Institute\]](#) recognizes “openness” as one of its guiding principles and commits to promoting it by, among other things, requiring open access to publications and research data; building the necessary infrastructure, skills, rewards and incentives to support open science; and supporting research processes and tools that enable collaboration, new working models and new social relationships.

1.3 The [\[Name of the University/Research Institute\]](#) also recognizes that open access advances the principles of social justice through promoting a culture of open sharing, mentorship and skills development. The [\[Name of the University/Research Institute\]](#) actively seeks to share research and learning content that addresses national and African research and teaching and learning imperatives; and share research and learning content that contribute to national and African social and economic development.

1.4 For this purpose, the [\[Name of the University/Research Institute\]](#) has defined the following policy that applies to all researchers active at [\[Name of the University/Research Institute\]](#).

1.5 The Policy has been approved by [\[.....\]](#) and takes effect from [\[dd/mm/yyyy\]](#).

2. Rights, Roles and Responsibilities

The [\[Name of the University/Research Institute\]](#) is responsible for:

2.1 Supporting and empowering the transition to open access and open science through education, training and awareness-raising actions targeting researchers and other employees along with the provision of the necessary infrastructure and services to support this transition. Acquisition of open science skills should form an integral part of professional training and career development offered to researchers.

2.2 Establishing (if one does not yet exist) an Institutional open access repository [\[Name of the Repository\]](#).

2.3 Requesting the use of persistent identifiers (like ORCID or others which are free or affordable, DOIs).

2.4 Appointing a Research Data Officer responsible for all research data related matters, including – but not limited to – issues related to the development of Data Management Plans (DMPs) and compliance with national and donors’ policies.

2.5 Developing and providing mechanisms and services for the storage, safekeeping, registration, deposition and distribution of research data and other records as well as their long-term preservation and providing appropriate guidance to researchers.

2.6 Embedding open science practices in recruitment, promotion and tenure activities; and research assessment and evaluation criteria, such as recognition of open access to publications and data, participation in collaborative community science projects, contributions to open peer review, the development of open educational resources.

2.7 Monitoring policy compliance by comparing the content of the repository with information gathered from indexing services and through data on the use (access and downloads) per publication/ department/unit/ institute etc.

2.8 Having Intellectual Property Rights (IPR) and data protection policies and documentation as well as an open licensing policy mandating a coherent and comprehensive set of licenses for releasing content and data.

Researchers are responsible for:

2.9 Managing publications, data and educational resources in adherence with the principles and requirements expressed in this Policy.

2.10 Complying with the organizational, regulatory, institutional, and other contractual and legal requirements related to the production, curation, deposit, management, and distribution of publications and research data.

2.11 Where relevant, compiling a DMP for research activity they are coordinating.

2.12 Documenting the IPR status of their research and choosing the appropriate type of licensing for their research output.

3. Open Access to Publications

3.1 The [Name of the University/Research Institute] requires that a machine-readable electronic copy of the published version or a final manuscript (author’s accepted manuscript) of all peer reviewed publications produced by researchers is deposited in the Institutional open access repository/national open access repository. Metadata should be made fully open, searchable and machine-readable and be licensed under CC0 or equivalent.

3.2 Researchers are responsible for the timely deposit of their publications in the institutional repository/national repository at the time of acceptance of publication, or at the latest at the time of publication, and providing open access under a standard open licence (CC-BY or equivalent, CC-BY-ND/NC for longer text formats is allowed). This step also applies in the case of open access

publishing (“Gold Open Access”). For monographs, deposit remains mandatory, but access may be closed.

3.3 The [Name of the University/Research Institute] requires researchers to retain ownership of copyright and to licence to publishers only those rights necessary for publication. This is possible through the use of addenda to the publishing contract. Templates are available at https://sparcopen.org/wp-content/uploads/2016/01/Access-Reuse_Addendum.pdf.

3.4 For purposes of individual or institutional evaluation of the research output of the institution and its members, [Name of the University/Research Institute] will only consider as publications those for which the metadata and full texts are deposited in the institutional repository/national repository according to the requirements stated above (access could be closed in case of embargo periods).

3.5 While the dominant type of scientific publication is the journal article, researchers are strongly encouraged to provide open access to other types of publications such as monographs, book chapters, conference proceedings, grey literature, reports, etc.

3.6 The [Name of the University/Research Institute] encourages researchers to deposit in the institutional repository/national repository all publications authored prior to the date of effect of the current policy and make them openly accessible whenever possible.

4. Open Access to Theses and Dissertations

4.1 The [Name of the University/Research Institute] requires that an approved final version of the thesis or dissertation must be deposited in an institutional repository/national repository.

4.2 This policy applies to all graduate and post-graduate students who author a thesis or dissertation as part of their University graduate degree requirements and following issuance of this policy.

4.3 To assist the University in archiving and openly disseminating theses and dissertations within the scope of this policy, all of the University’s graduate students will submit the final version of the student’s thesis or dissertation to the University before conferral of the student’s graduate degree, regardless of whether an embargo is obtained. Such thesis or dissertation will be made freely and openly available to the public after filing, unless the graduate student obtains an embargo.

4.4 If possible, the full text to be made available under a standard open license.

4.5 Graduate and postgraduate students may delay the date their theses or dissertations become available in an institutional repository/national repository by specifying the embargo period – up to two years – upon filing. Upon compelling circumstances, the University may grant embargoes of longer than two years or embargoes requested after filing.

5. Open Access to Research Data

5.1 The [Name of the University/Research Institute] requires researchers to deposit the research data needed to validate the results presented in scientific and scholarly publications into a suitable repository.

5.2 The [Name of the University/Research Institute] follows the principle “as open as possible as closed as necessary”. The [Name of the University/Research Institute] requires research data to be handled according to the CARE Principles for Indigenous Data Governance and FAIR principles (i.e. Findable, Accessible, Interoperable and Re-usable). If data cannot be open due to legal, privacy or other concerns (for example personal or sensitive data) this should be clearly explained.

5.3 The [Name of the University/Research Institute] encourages researchers to submit a Data Management Plan for research activities showing how data will be handled according to the CARE and FAIR data principles.

6. Licensing

6.1 The [Name of the University/Research Institute] encourages that publications are made available under an open content license, such as Creative Commons (CC BY).

6.2 The [Name of the University/Research Institute] requires that research data must be made available under an open content license, such as Creative Commons (CC BY or CC0).

7. Open Science and Citizen/Community Science

7.1 The [Name of the University/Research Institute] encourages the uptake of open science practices such as open access to publications and data, involvement in collaborative community science projects, open peer review, the use of open educational resources.

7.2 The [Name of the University/Research Institute] supports community/citizen science projects and where possible connects students’ curricula and degrees to community/citizen science projects as a means to rethink the knowledge production and circulation models inside and outside the university; includes students in the design phase of such projects as an active learning approach and an in person experience; invests in in-house training to raise awareness and build capacity for students’ participation in projects for society; rewards students’ performance as participants of community/citizen science projects with awards and extra academic excellence points.

7.3 The [Name of the University/Research Institute] strongly encourages researchers and PhD students to post preprints of their work under a CC BY license on a preprint platform/open access repository and prominently state whether or not it has undergone peer review. Preprint authors should certify that their manuscript will be submitted to a peer-review journal, and should regularly update the manuscript status. When the article is published, a researcher/PhD student should inform the repository to add a link to the journal DOI to the preprint record (e.g. via a related identifier/DC relation field).

8. Research Assessment and Evaluation

8.1 The [Name of the University/Research Institute] commits to developing in cooperation with [Name of the Ministry] a framework for research assessment and evaluation that incentivizes research quality and open science behaviors. Such systems should take into consideration disciplinary differences and their impact on researchers at different career stages.

8.2 The [Name of the University/Research Institute] commits to setting up reward mechanisms for researchers using open science practices (e.g. sharing provisional results through open platforms, using open source software and other tools, participation in open collaborative projects, open access to publications and data, using open educational resources etc.); adopting open science metrics and 'responsible metrics', along with ways of rewarding the full diversity of outputs and of recording the broader social impact of research ('next generation metrics').

9. Training

9.1 The [Name of the University/Research Institute] library in cooperation with institutional departments or any other appropriate body (such a legal services, research support staff, data officers) commits to developing training resources to facilitate the adoption of open science and equip researchers and librarians and other support staff with the necessary skills and expertise. Such training resources should address the skills necessary for open access publishing, research data management and sharing, research integrity, reproducibility and open science.

9.2 Training should be developed and tailored to different disciplines and delivered to researchers at all career stages.

10. Policy Monitoring

10.1 The [Name of the University/Research Institute] will set up institutional workflows and define responsibilities at the institutional level for monitoring policy compliance.

10.2 The [Name of the University/Research Institute] commits to an evidenced-based review of the policy implementation three years following its adoption and subsequent reviews will take place on a biannual basis.

ANNEX I: Definitions

CARE Principles for Indigenous Data Governance The emphasis on greater data sharing alone creates a tension for Indigenous Peoples who are also asserting greater control over the application and use of Indigenous data and Indigenous Knowledge for collective benefit. This includes the right to create value from Indigenous data in ways that are grounded in Indigenous worldviews and realise opportunities within the knowledge economy. The CARE Principles for Indigenous Data Governance are people and purpose-oriented, reflecting the crucial role of data in advancing Indigenous innovation and self-determination. These principles complement the existing FAIR principles encouraging open and other data movements to consider both people and purpose in their advocacy and pursuits.

Data Management Plan (DMP) is a brief plan that defines how the data will be created, how it will be documented, who will be able to access it, where it will be stored, who will back it up and whether (and how) it will be shared and preserved.

Embargo is the period during which a publication can be 'closed' while deposited in the repository (i.e. the publication is not openly available).

FAIR Data Principles for scientific management and data stewardship refer to a set of principles to make data Findable, Accessible, Interoperable and Reusable <https://www.force11.org/group/fairgroup/fairprinciples>.

Metadata are the descriptors used for describing, tracing, use and management of the deposited item (indicatively: title of publication, author(s), institutional affiliation, name of journal where the publication has been accepted, etc.).

Open Educational Resources (OER) according to the OECD are “teaching, learning and research materials that make use of tools like open licenses that permit their free reuse, continuous improvement and repurposing by others for educational purposes”.

Publication is defined as the peer-reviewed published (or under publication) work of researchers based in the institution.

Research Data is any information that has been collected, observed, generated or created to validate original research findings (such as raw data captured from instruments sensors, visualizations, models, algorithms, images, audio and video files, etc.).

Research is defined as any creative and systematically performed work with the goal of furthering knowledge.

Researcher is defined as any member of the research staff of [Name of the University/Research Institute], of all levels and irrespective of their employment status including employees and doctoral students.