Open Access (OA) and Institutional Repository (IR) Policy 2018, Kampala International University

Contents

ACRONYMS

CCL   = Creative Commons Licenses
CD   =   Compact disc. A small disc on which sound or information is recorded
COPE   = Committee on Publication Ethics
DOAJ   = Directory of Open Access Journals
DOI   = Digital Object Identifier
D-Space = Digital Signal Processing and Control Engineering is the acronym definition
D-Space = Is an open source repository software package typically used for creating   open access   repositories for scholarly and/or published content.
IBML   = The Iddi Basajjabalaba Memorial Library
IC   = Index Copernicus
ICT   = Information Communication Technology
IR   = Institutional Repository
KIU   = Kampala International University
KIUIR   = Kampala International University Institutional Repository
MIT   = Massachusetts Institute of Technology
OA   = Open Access
OS   = Open Source
PDF   = Portable Document File
PGC   = Plagiarism and Grammar Software Checker
ROARMAP = Registry of Open Access Repository Material Archiving Policies

1.0 INTRODUCTION

1: 1What is OPEN ACCESS?

By "open access" to [peer-reviewed research literature], we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited".[1]

"…accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge."[2]

Along with the use of open access is an implied responsibility in the angles of information ethics and digital literacy.

Information ethics is "accessing and using information and information communications technology in morally responsible ways". While **digital literacy** refers to the "ability to find, discern, select and use online information appropriately".[3]

1.2 Background

1.2.1 The Birth of the Open Access: The Budapest Open Access Initiative (BOAI)

On December 1-2, 2001, the Open Society Institute convened in a conference at Budapest, Hungary to promote open access formerly called as *Free Online Scholarship*[4] which was consequently declared to the public on February 14, 2002 as the Budapest Open Access Initiative (BOAI) and finally reaffirmed in 2012 towards achieving "the new goal that within the

next ten years, OA will become the default method for distributing new peer-reviewed research in every field and country."[5] By February 14, 2016, over 5,932 and 837 individuals and organizations respectively signed in favor of the BOAI.[6] This initiative was funded by the Open Society Institute in the amount of USD 3 million.[7]

1.2.2 DEVELOPMENT OF KIUIR

Kampala International University Library(the IBML) customized DSpace open source software which was developed by Massachusetts Institute of Technology(MIT) and Hewlett Packard Labs HP Labs).26 for its IR. The DSpace software was developed specifically for Open Access scholarly digital content repositories. The software is user-friendly and is freely available (open source). The software has online support from the developers and is updated regularly. DSpace is an Open Archives Initiative (OAI) Protocol for Metadata Harvesting compliant, thus allowing research output to be easily discovered by web search engines, directory services and indexing tools. Each item in the repository is assigned a tag with unique identifier automatically by the system. The tag assigned allows items in the repository to be properly and effectively cited.

1.3   Salient Points Related to Open Access

1.3.1 Through open access, scholarly information created and generated from systematic research and creative minds is transferred and shared in the widest scope possible with less or no restrictions and no payment barriers.

1.3.2   The development of the following well planned structures should be underscored:

1.3.3   An uninterrupted connection to internet

1.3.4   **open access platform** that is user friendly and an institutional repository to host the scholarly materials digitally on line

1.3.5   **ethical standards** in the use of open access and professional conduct for open access publishing

1.3.6   The control of the integrity of the works under open access is that of the author who has all the right to be acknowledged and cited.

1.3.7   Information ethics, digital literacy, safety and security are embedded in open access.

1.3.8   Authentic   and   quality   indicators   for   open   access

journals/publications are as follows: ISSN/ISBN; Membership in internationally recognized journals; Creative Commons Licenses; Digital Object Identifier (DOI), Indexing, Publication Ethics and evidences of vigilant peer review process and stable systems.

1.3.9 Advocacy and literacy campaign through seminars, workshops, hands-on and other relevant engagements for safe, quality and professional conduct of open access platform in these areas:

1.3.10 Open access

1.3.11   Digital wellness (Information Ethics, Digital Literacy, Digital Safety and Security)

1.3.12   Publication ethics

1.3.13   Creative Commons Licenses

1.3.14 Peer review process

1.3.15 Digital Object Identifier (DOI)and Indexing mechanisms

1.3.16 International integration through membership in reputable journals and organizations (Directory of Open Access Journals, Committee on Publication Ethics)

2.0 The Benefits of Open Access in General

2.1. The repository deposits of staff are tangible assets that can be used for tenure, promotion, evaluation for funding and when assessing for research impact, however, the said repository deposits should not limit the review of other sorts of evidence nor cause alterations to the evaluation/feedback/review performance standards and procedures.

2.1.1   The benefits are as follows

A.   Universal visibility and usage of research results thus leading to increase in citation score, impact and reputation on web ranking of the university

B.   Research collaboration, networking and opportunities for grants

C.   Greater visibility of the university's research and intellectual resource showcase towards attracting students, multi-disciplinary experts and funders

D.   Enriched teaching and learning with innovative tools

E.   Eliminates the traditional barriers for wide and informative knowledge resources

Article 1.0 GENERAL PRINCIPLES

1. Kampala International University Open Access policy and Institutional Repository aims at archiving free online access to its research products funded by the university or its development partners.
2. Kampala International University agree with the international recognition that information and knowledge is for the public for social development of any society.
3. Kampala International University will efficiently and effectively disseminate widely its research products as part of its mission as a research institution for visibility and contribution to worldwide knowledge generation.
4. Kampala International Institutional Repository enables the archival and dissemination of its research products for internal and external evaluation.
5. All members of staff and students of KIU must abide by the policies and guidelines stipulated in this policy.

Article 2.0 Definitions

KIU IR will operate within the confines of the definitions provided here below:

1.2.1. Guidelines are procedures that set out an organization's best or safest practices. Such guidelines are approved, reviewed and often updated by the management of the organization.

1.2.2. Institutional Repository is an official archive for collecting, preserving and disseminating copies of intellectual output of an institution particularly a research institution. These could be print or digital copies.

 1.2.3. Policy is a formal statement that outlines the governing principles of an organization, in order to guide its procedures and practices. The policy provides members of an organization with approved guidelines of operation in relation to particular issues.

1.2.4. Repository is a central place where information materials are stored for easy local and global access.

1.2.5. Scholarly work is the original intellectual output that is validated by peers where at least one (1) of the authors or creators is a university member of staff or a postgraduate student at the time of depositing or at the time when the work was produced.

1.2.6. Staff member is anyone engaged by or associated with an organization by means of employment which could either be permanent, casual, honorary, contractual, voluntarily or those holding offices including those members of the organization's committee.

Article 2.0 SPECIFIC POLICY STATEMENTS

From January 2018, Kampala International University will observe the following in as far as open access research is concerned:

2.1 The quality and integrity of the materials

 While the open access can readily integrate KIU globally, the open access materials should be credible therefore the university shall subject the documents is a plagiarism and grammar checker (PGC).

2.1.1 How the Plagiarism Detection/Checking should be Managed

1. The materials submitted by the students and staff properly authorized by the college, school, institute, directorates, offices, departments for the repository are subjected to the plagiarism and grammar software before they are posted under open access with results filed by the university library for future use and reference.

    Materials found wanting 20% acceptance by the university after the plagiarism and grammar check will be returned for revisions as suggested by the PGC.

2. Theses/dissertations undergo plagiarism and grammar check before the viva voce and the final revised manuscript submitted officially to the IBML are rechecked for plagiarism and grammatical errors before posting to the repository.

2.1.2 In view of the mechanisms underlying the Creative Commons Licenses (CCL) for open access resources, the staff and students must be well briefed on noting the corresponding CCL in their respective references/bibliographies. Careful rechecking must be made to reduce any unacceptable percentage from the plagiarism check in consideration to the Creative Commons Licenses.

2.2. Open Access KIU Journals

2.2.1 Colleges, schools and institutes must endeavor to design, develop and post their respective open access journals (OAJ) and comply with the publication standards as stipulated by the internationally recognized Committee on Publication Ethics (http://publicationethics.org/about).

2.2.2 The respective OAJs are to be presented to the Institutional Review and Ethical Standards Board of KIU for advice and consideration for open access publication.

2.2.3   For reasons of credibility and quality of the OAJs these are aspects that will be required to be found in the OAJs with evidence of written acceptance from the members of the board:

2.2.4   Editorial Board (at least two editors for alternate tasks)

2.2.5   Associate editors (combination of internal and external experts, not a staff of KIU and foreign experts from different countries)

2.2.6   Internal and External Review Board

2.2.7   Internal and External Advisory Board

2.2.8   Members of the editorial, review and advisory boards can also be authors for as long as an alternative editor is assigned in his/her place while reviewers and advisors may be excused from the list of the journal volume where they are authors. Membership is an added accent and value to one's career and capacity thus the membership is on voluntary basis as universally and dominantly practiced.

 2.2.9 Priority should be given to KIU staff authors. Authorship in KIU journals in cases of non- KIU staff contributors is accepted although KIU favor more of collaborative research and co-authorship.

2.2.10 Authenticity and quality of the hosted materials/scholarly works through the KIUIR should reflect these indicators where they apply: International Serial Number (ISSN); Membership in internationally recognized journals; Creative Commons Licenses; Digital Object Identifier (DOI), Indexing, Publication Ethics and evidences of vigilant peer review process and stable systems.

2.3 Accountability and Copyrights in Open Access

Accessing information is a human right however, anyone who avails of the open access must also be aware of information ethics and digital literacy

and be accountable and responsible for whatever actions are done in relation to the use of open access.

2.3.1 Publication Embargo

In academic publishing, a period of time is indicated where open access to academic journals is not allowed for reasons of payment requirements. KIU indicates its embargo period ideally from 6-12 months.

2.3.2 Digital/Cyber Safety and Security

Though open access has good intentions, the technology and the users of the device along with this process is exposed to potential threats/dangers such as virus attacks, hackers, cyber bullies, predators who harm and destroy people and devices.

Materials therefore that are hosted under the KIUOAR should not be used by individuals or groups to harm the reputation of the authors/contributors, the university (KIU) and all other people and entities reflected in the hosted materials.

2.3.3 Copyright and Intellectual Property Rights

KIU will abide with copyright issues and observe the intellectual Property Rights as stipulated in its policy of 2016.

2.4 The KIU Institutional Repository (KIU)

Kampala International University (KIU) Institutional Repository is a web-based portal that was started by The Iddi Basajjabalaba Memorial Library (IBML) in 2014 to manage, preserve and disseminate digital material created by members of KIU community. KIU institutional repository is called **KIUIR.**

The KIU Institutional Repository (IR) is an online digital archive for collecting, indexing, preserving, and disseminating in digital form the intellectual/research outputs of the university. IR serves as a tangible indicator of the institution's quality, thus increasing its visibility, prestige, and public value.[22] The IR provides access to KIU research outputs through one interface and showcases the institutions scholarship and the international prominence of faculty and staff individually and collectively.

Like any other institution of higher learning, KIU benefits from an IR by getting higher visibility and accessibility which leads to bigger impact and a higher research profile for the university and its researchers. Webometrics ranking of universities,[23] monitors research outputs, and benchmarks in terms of visibility and impact. Webometrics reports are released twice a year, January and July. Hence it is important for every university to put in place policies and guidelines that guarantees the smooth operations and management of the IRs.[24]

Successful university Institutional Repositories worldwide are realized when there is close collaboration between librarians, information and communication technologists, research and innovation faculties/ departments and university management/administration through a documented policy.[25]

2.4.1 KIU Institutional Repository Policy and Guidelines

KIU Institutional Repository Policies and Guidelines are aligned with the overall university and the IBML values, mission, vision and objectives such as:

    2.4.1.1   KIU Charter 2008
    2.4.1.2   Research, Innovation and Extension policy 2016
    2.4.1.3   Research and Consultancy Policy 2016
    2.4.1.4   Quality Assurance Policy 2016
    2.4.1.5   Post Graduate & Research Policy 2016
    2.4.1.6   The IBML Rules and Regulations 2014

2.5 Purpose

This policy establishes the framework under which KIU IR operates to ensure the KIU scholarly outputs are collected, organized, stored, preserved, distributed and properly indexed for global access.

2.6 KIU Objectives

In line with the values of KIU and all its other policies, KIUIR major objective is to support the research, innovation and publication goals of the university.

The KIUIR has three specific objectives:

a. To create an avenue for global visibility of KIU's scholarly work and research output, thereby marketing and enhancing the university's reputation;

b. To collect, store and preserve KIU research outputs which include the unpublished works such as theses, dissertations and technical reports;

c. To promote open access to research dissemination tool and strengthen KIU publication and author recognition.

2.5 Scope

This Policy is applicable to all members of staff and students involved in scholarly work at all KIU campuses namely: Main Campus, Western Campus, KIU-TZ, Nairobi Campus and any other campuses that will be established by KIU in future.

It also applies to individuals who undertake scholarly work on behalf of KIU, but are not employed by the University.

2.6 Types of Scholarly Works Accepted in KIUIR

KIU scholarly works in their final form for publication of the following nature are accepted for uploading in KIUIR D-Space.

2.6.1 These are:

i)   Books, book chapters, hand-books and manuals
ii)   Theses and dissertations (doctoral and masters)
iii) Journal articles accepted for publication
iv)   Revised published works with comments from an academic reader
v)   Conference papers and conference proceedings
vi)   Works of Art
vii) Literary works, essays and poems
viii) Photographs, films and video recordings
ix)   Selected administrative documents
x)   Technical Reports
xi)   Datasets resulting from research projects
xii) Committee reports
xiii) KIU staff teaching materials, modules, hand-outs and power-point presentations
xiv) Students' projects

2.7 Requirements for Submission to KIUIR

i. The scholarly work should be a product of a member of staff, student or researcher of KIU.

ii. The scholarly work should be complete and ready for public consumption.

iii. The creator/author/should be willing to grant KIU the right to preserve and provide access to the item.

iv. The creator/author should provide adequate bibliographic description to facilitate identification and usability of the publication. (e.g. author, editor, title, year of publication, funders, sponsors, abstracts as the need may arise).

v. Classified, confidential and restricted items are not accepted.

vi. Non KIU staff is not included in this policy unless the material has a KIU staff with it as part of the author/contributor.

vii. All members of staff and students of KIU must abide by policies and guidelines stipulated below when making their submissions to D-Space.

2.8 Acceptance Formats

i. Full text files are accepted using open file formats such as PDF, jpg, jpeg and png.

ii. Abstracts and Meta data of full text items with details of where to find the full item.

iii. Zipped files, CDS with passwords are discouraged.

2.9 Submission Procedures

i. Application to submit must be sent to kiuir@kiu.ac.ug

ii. To submit an item, one must use the correct file names and copyright statement.

iii. Only members of KIU staff who have the necessary authentication logins are allowed to submit their research outputs to the repository and must be assigned specific rights.

OR

iv.   Submissions can be done manually to the Chief University Librarians' Office or her   assigned personnel on a CD.

2.10   Digital scholarly work such as journals and book chapters

Scholarly work published in digital format is submitted in open file format (pdf) including all accompanying digital files such as video clips, data sets direct to the repository or to the IBML.

2.11 Non-digitally scholarly work such as journals and book chapters

2.11.1 Non-digitalized scholarly work is digitized on request by the IBML, and saved using open file formats (PDF).

Printed copies are sourced from the library shelves, from the library's compact storage collection or from academic department/researcher. Where a print and digital copies are available, a link must be created from the library catalogue to the persistent URL for that item in the IR D-Space.

2.2 Theses and Dissertations

2.2. 1 KIU owns the copyright of all its students' theses/dissertations.

2.2.2 All postgraduate students must submit a softcopy of their thesis/dissertation with signed approval statements to IBML before graduation.

2.2.3 In addition to the softcopy, on completion of their studies all Postgraduate students deposit two hard copies of their theses or dissertations to IBML for preservation and easy accessibility

2.3   Access to KIUIR items

Items in KIUIR have a version of full text content for free access to KIU Community with strong bias to open access abstracts, except:

i.   When licensed materials that are placed in KIUIR are limited by legal agreements for specific users.

ii.   When restrictions of open access to a thesis or dissertation have been approved by Senate.

2.3 Administration of the KIUIR

The KIUIR is the university's project administered by the IBML.

ii.   Issues related to KIUIR including technical input requirements are approved by the

   Senate through the Academic Programmes and Library Committee of Senate.

   iii.   The IBML oversees the day to day running of the repository and reports the progress to Senate.

2.3.1 KIU LIBRARY (THE IBML) responsibilities

The IBML is responsible for the management of the KIUIR.

i)   Customizes the system in accordance with the needs of the university.

ii)   Decides the workflow of the KIUIR.

iii)   Decides contents to be accepted or not accepted.

iv)   Receives items to be uploaded in KIUIR.

v)   Submits the items into the KIUIR

vi)   Assigns the items to various communities.

vii)   Edits, standardizes and ensures meta data controls using the international Standards such as Dublin core and Marc format.

viii)   Provides search interface

ix)   Promotes access to KIUIR through training and other user support.

x)   Disseminates the contents as widely as possible.

2.3.2 The Role of ICT Directorate

i.   Supports the IBML with technical skills and equipment required in KIUIR.

ii.   In liaison with the IBML provides permanent storage, appropriate back-ups and data recovery mechanisms.

iii.   Guarantees the perpetuity and the availability of the system.

2.3.3 The Role of Senate

i. Sets policies at the institutional level regarding issues that affect KIUIR D-Space such as quality controls, copyright, submissions and access.

ii. Popularizes KIUIR D-Space and its research outputs.

ARTICLE 3: SUPPORT AND MONITORING OF THE OPEN ACCESS AND REPOSITORY POLICY

3.1 Kampala International University shall support open access awareness seminars, events, education and training through participation and resource provisions.

3.2 Kampala International University shall monitor the implementation of the open access and repository policy.

3.3 Kampala International University shall review this policy after a period of three years as need arises**.**

Sources of Information Relevant to Open Access

1. Budapest Open Access Initiative (http://www.budapestopenaccessinitiative.org/)
     Accessed: June 9, 2016

2. Prologue: The Budapest Open Access Initiative after 10 years
     http://www.budapestopenaccessinitiative.org/boai-10-recommendations
     September 12, 2012,Budapest, Hungary
     Accessed: June 9, 2016

3. Malan, B., & Bester, C (2015). South Africa: African Centre of Excellence for Information Ethics (ACEIE),
     Department of Information Science, University of Pretoria.

4. "Strategies for preservation of and open access to scientific data in China ...". Retrieved 11
     February 2015. In "Budapest open access initiative". Wikipedia. Retrieved 1st July 2016.
     "Ten years on, researchers embrace open access". Retrieved 11 February 2015. In "Budapest open
     Access initiative". Wikipedia. Retrieved 1st July 2016.

5. Tsoukala V. & Angelaki M.(2015). Open Access Policy Guidelines for Research Performing
Organisationa

7."Ten years on from the Budapest Open Access Initiative: setting the default to open". September
     11, 2012. Archived from the original on September 12, 2012. Retrieved September 12, 2012. In
     "Budapest open access initiative". Wikipedia. Retrieved 1st July 2016.

     "BOAI". Retrieved 11 February 2015. In "Budapest open access initiative". Wikipedia. Retrieved 1st July
     2016.

8. "View signatures". Budapest Open Access Initiative. In "Budapest open access initiative".
     Wikipedia. Retrieved 1st July 2016.

9. Noble, Ivan (14 February 2002). "Boost for research paper access". BBC News (London: BBC).
     Retrieved 12 February 2012. . In "Budapest open access initiative". Wikipedia. Retrieved 1st July
     2016.

10. What is HTML". http://www.w3schools.com/html/html_intro.asp.
     Accessed: July 5, 2016

11. The International Standard Book Number (ISBN).
     http://www.nlu.go.ug/index.php?option=com_content&view=article&id=106&Itemid=89
     Accessed: July 6, 2016

12. What is an ISSN?. https://www.google.com/webhp?sourceid=chrome-
     instant&ion=1&espv=2&ie=UTF-8#q=what+is+an+ISSN. Accessed: July 5, 2016.

13. www.**issn**.org/understanding-the-**issn**/**what-is-an-issn**/. Accessed: July 5, 2016.

14. https://www.google.com/webhp?sourceid=chrome-instant&ion=1&espv=2&ie=UTF-
     8#q=what+is+peer+review+process. Accessed: July 5, 2016.

15. https://www.google.com/webhp?sourceid=chrome-instant&ion=1&espv=2&ie=UTF-
     8#q=what+is+a+plagiarism+. Accessed: July 5, 2016.

16. https://www.google.com/webhp?sourceid=chrome-instant&ion=1&espv=2&ie=UTF-
     8#q=what+is+URL. Accessed: July 5, 2016.

17."Promoting integrity in research". publicationhttp://publicationethics.org/. Accessed:
     July 6, 2016.

18."What we do What is Creative Commons?"https://creativecommons.org/about/. 1866. Mountain
     View, CA 94042. info@creativecommons.org. Creative Commons Attribution 4.0 License.
     Accessed: July 6, 2016.

19. https://doaj.org/. Creative Commons (CC BY –SA). Accessed: July 6, 2016.

20. https://en.wikipedia.org/wiki/Index_Copernicus.Creative Commons Attribution- ShareAlike
     License. Accessed: July 6, 2016.

21. https://www.elsevier.com/solutions/scopus. Accessed: July 6, 2016.

22. https://en.wikipedia.org/wiki/Elsevier. Creative Commons Attribution-ShareAlike License.
     Accessed: July 6, 2016.

23. http://elibrary.kiu.ac.ug.

24. Smith Ina (2014) SUN Scholar Repository Management and Policy Guideline

Sources of Information Relevant to Open Access

25.Kumar N. Ashok (2009) Institutional Repositories in India
   http://eprints.rclis.org/17511/1/IR%20IN%20INDIA.pdf
26. http://dspace.org/.
27. Smith.*op.cit*
28. Charles Darwin University (2015)Policies, Procedures and Guidelines – What are they?
      http://www.cdu.edu.au/governance/self-help-
      docs/policiesproceduresandguidelineswhatarethey.pdf
29. Sompel, Van de & C. Lagoze 2000. The Santa Fe Convention of the Open Archives Initiative. *D-lib.*
      Magazine, 6(2).
30. Charles Darwin.*op.cit.*
31. http://dublincore.org/.