



LIBSENSE

STRENGTHENING OPEN SCIENCE IN AFRICA

LIBSENSE Regional Open Science Policy Development Workshop 1

Monday, 8th November 2021

**A Compendium of Open Access/Open Science Policy
Case Studies from African Higher Education
Institutions**

Table of Contents

INTRODUCTION	3
CASE STUDY 1: ADDIS ABABA UNIVERSITY, ETHIOPIA PREPARED BY: Dr Melkamu Beyene Ababu, Assistant Professor, School of Information Science, Director, Addis Ababa University Library	4
Addis Ababa University Data Repository, Sharing and Use Policy Implementation Case Study	5
CASE STUDY 2: AMBO UNIVERSITY, ETHIOPIA PREPARED BY: Yared Abera, Lecturer, School of Technology and Informatics	7
Implementation of National Academic Digital Repository (NADRE) as Institutional Repository and National Academic Digital Library (NADL) of Ethiopia	8
CASE STUDY 3: ARBA MINCH UNIVERSITY, ETHIOPIA PREPARED BY: Sisay Tumsa Senbetu, Director, Library and Information Service Center	13
AMU Open Access(OA)/Research Data Management (RDM) Policy	15
CASE STUDY 4: KENYATTA UNIVERSITY, KENYA PREPARED BY: Gitau Njoroge, Chief University Librarian	21
Kenya OA policy implementation case study for senior university management policy workshop	22
CASE STUDY 5: UNIVERSITY OF NAIROBI, KENYA PREPARED BY: Rosemary Otando, Deputy Director, Technical Library and Information Services	25
UNIVERSITY OF NAIROBI OPEN ACCESS POLICY	26
CASE STUDY 6: MZUZU UNIVERSITY, MALAWI PREPARED BY: Felix P. Majawa, University Librarian	30
Open Access Policy Development Experience from Mzuzu University in Malawi	31
CASE STUDY 7: COVENANT UNIVERSITY, NIGERIA PREPARED BY: Prof. Conrad Omonhinmin, Professor, Plant Biotechnology (Molecular Systematics & Plant Genetic Diversity), Co-Ordinator, Open Access @ Covenant University (Oacu), NCP OA2020	35
Open Access @ Covenant University	36
CASE STUDY 8: UNIVERSITY OF CAPE TOWN (UCT), SOUTH AFRICA PREPARED BY: Dr. Reggie Raju Director: Research and Learning Services, UCT Libraries & Jill Claassen, Section Manager: Scholarly Communication and Research, UCT Libraries	40
OA/OS policy implementation case study at UCT for the Ubuntunet Alliance LIBSENSE senior university management policy workshop	41
CASE STUDY 9: UGANDA CHRISTIAN UNIVERSITY, UGANDA PREPARED BY: David Bukenya, Ag. University Librarian	47

INTRODUCTION

This LIBSENSE Open Science policy development workshop is the first of a series of regional workshops designed to bring together decision-makers in African higher education settings whose remit covers research and innovation within their institutions. These workshops are being convened as part of LIBSENSE activities in the AfricaConnect 3 programme¹. The case studies in this compendium have been solicited from LIBSENSE partners throughout the region and beyond through the help of the LIBSENSE policy working group. They represent a broad range of open access/open science policy development initiatives from the perspectives of those involved in developing and implementing them. The representative universities cover a range of public and private institutions where research activity is taking place. Each partner was asked to give an overview of their institution's OA/OS policy development using a specified template:

- **Who and Where:** University's profile & context;
- **What:** Policy description - what changed and the key elements of change;
- **Why:** Motivation for change;
- **How:** Processes and dynamics for developing, implementing and managing change (including specific obstacles faced);
- **When:** Timeline for development and implementation.

The resulting compendium of case studies covers policies providing a range of services that support open access/open science initiatives, including open journal publishing, open access repositories, research data management etc. Altogether, they give a mainly regional perspective on OA/OS policy development at the institutional level, the motivations, successes, challenges and outcomes.

Through these workshops, LIBSENSE envisages an opportunity to align institutional level policy with ongoing efforts to deliver on national open science roadmaps². This is part of the broader Open Science agenda that LIBSENSE wants to achieve across Africa³. It is also the impetus for its alignment with UNESCO's Recommendations on open science⁴ through embracing its own Open Science vision by setting out how the LIBSENSE community would implement UNESCO open science principles in an African context⁵

The case studies should be read in-depth before the workshop. They will be supported by short presentations and discussion sessions at the workshop itself.

¹ For more information see: <https://spaces.wacren.net/display/LIBSENSE/LIBSENSE+in+AfricaConnect3>

² See: <https://spaces.wacren.net/display/LIBSENSE/National+Open+Science+Roadmaps>

³ See the IFLA Blog on LIBSENSE NREN/Library collaborations:

<https://www.ifla.org/publications/libsense-building-library-nren-collaborations-around-open-science/>

⁴ Read more about this at: <https://en.unesco.org/science-sustainable-future/open-science/recommendation>

⁵ The statement is entitled "Open Science Africa: Principles and Actions for Global Participation" and is available at: <https://zenodo.org/record/4017999#.YOhrlhKiUk>

CASE STUDY 1: ADDIS ABABA UNIVERSITY, ETHIOPIA

**PREPARED BY: Dr Melkamu Beyene Ababu, Assistant
Professor, School of Information Science, Director,
Addis Ababa University Library**

Addis Ababa University Data Repository, Sharing and Use Policy Implementation Case Study

1. Background of Addis Ababa University

Addis Ababa University (AAU) was established in 1950 as the first public university in Ethiopia with 33 students and nine faculty members. Since its establishment, AAU has expanded both in the number of programs and students. As of 2021, the University had about 50,000 students, 2,987 faculty, 4,497 administration staff and 1,202 health professionals who are mainly engaged in health service provision in different University-owned Hospitals. The University runs its teaching and learning, research and community services in 10 colleges and 13 research institutes operated in 20 campuses including the Veterinary Medical College located at Bishoftu, two rural campuses (Butajira Rural Health Program and Ziway Community Health Rural Team Training Program) for students from medicine, nursing, pharmacy, dentistry and laboratory schools. The university has 366 graduate programs.

Throughout its lifetime, its faculty and students have been collecting a huge amount of data including, qualitative, statistical, biomedical, seismological, astrological, linguistic, geological, anthropological, plant and animal based and other academic discipline-based datasets in relation to collaborative and university's own studies. Since the past two decades, a wealth of research data has been collected due to the introduction of graduate studies where research is mandatory as partial fulfillment of the MSc and a full requirement for a PhD program. Apart from collaborative and graduate studies, different colleges have been generating community-based data for exploration, following development, change in population and teaching purposes.

2. Policy Brief Description

This policy is designed in line with the previous ministry of science and higher education open access policy. It is based on the principle that data should be as open as possible and as closed as necessary.

The policy applies for all data generated by AAU staff and students using public money. The policy also applies for data generated using collaborative projects based on prior agreements. The policy includes all digital statistical, qualitative and biological material based on the nature, time and sensitivity of the data. This includes but not limited to statistics, textual records, images, sounds, audiotapes, videotapes, photographs, films, standard operation procedures, methodologies and workflows, models, algorithms and scripts, biological materials. Such research data are results from observations from field work, surveys, interviews, experiments, measurements, observation and follow-ups of geological survey and related data, biological data generated for research, teaching or for sentinel surveillance.

In general, the policy enforces all researchers who receive public funding to submit their data management plans to research offices and to university libraries for approval, to confirm that data will be handled according to international FAIR data principles. The policy

document includes statements about the different tasks to be done in order to meet the desired quality and standards. Immediately after the adoption of the policy, the university designed its own data repository (<https://rdm.aau.edu.et>). Training sessions are conducted for PhD students and researchers. The policy and the data repository are promoted on the university website. Other university-wide training is planned for graduate students and researchers on the use of the system in collaboration with the University research office.

3. Motivation for the Policy

The main motivation towards implementing this policy can be stated as follows: first, requests are coming especially from life science researchers about the need to manage their research data in university-owned repositories or some other platforms. Second, researchers request research data management services such as how to anonymize research data and protect research data from unauthorized access. Third, we use this opportunity to promote open science.

4. How: processes and dynamics for developing, implementing and managing change (including specific obstacles faced)

The journey to achieving the new policy was too long and it comes after the launching of the National open access policy of Ethiopia. The AAU research office and the library played a crucial role to prepare the policy document. The secret behind achieving success was that the vice-president for research and technology transfer of AAU is an open access champion. Getting approval of the AAU senate was tough. Finally succeeded and the AAU senate approved the policy on 2020 and the effective date is July 2020. During the processes of approving the OA policy of AAU, awareness among many in the university community was limited. There was role conflict, the research office was an open access champion, but there was resistance from the staff, senate members and implementation challenges (data curation skill among librarians low). We perceived fierce resistance from the academic community who were worried that their work would be plagiarized and a poor network infrastructure system was observed.

When: Timeline for the policy development and implementation

September 30, 2019-July 2020

CASE STUDY 2: AMBO UNIVERSITY, ETHIOPIA

**PREPARED BY: Yared Abera, Lecturer, School of
Technology and Informatics**

Implementation of National Academic Digital Repository (NADRE) as Institutional Repository and National Academic Digital Library (NADL) of Ethiopia

Author: **Yared Abera**

Brief status of the digital repository implementation at Ambo University with special focus on Waliso Campus



Better Future through Knowledge and Wisdom!

Ambo University is located 111 KM away from Addis Ababa, Ethiopia.

Who: Organization profile:
<https://www.ambou.edu.et>

Country: Ethiopia

Who is involved?

Ambo University is a university that belongs to the 2nd generation universities in Ethiopia. Ambo University consists of 4 campuses: the Main Campus, Hachalu Hundesa Institute of Technology Campus, Guder Mamo Mezemir Campus and Waliso Campus.

Ambo University like all the other Ethiopian public universities are linked with the Ethiopian Research and Education Network (EthERNet). The issuance of the National Open Access Policy of Ethiopia for Higher Education (<https://nadre.ethernet.edu.et/record/4193#.YXvKJC8RpbU>) by the Ethiopian Ministry of Science and Higher Education (MoSHE) in 2019 brought all Ethiopian public universities into the same position in terms of Open Access Policy.

Ambo University is using NADRE from the very beginning. Per Oct. 31, 2021 there are 8,711 artifacts are uploaded. Not all Ambo University Campuses and Faculties use NADRE in the same way. The Waliso Campus for example is using NADRE extensively and follows the principles in line with the NADRE certification and compliances: OAI-PMH Registration Records, ROAR, OpenDOAR, OpenAIRE as well as the Ethiopian National Open Access Policy. Additionally, the digital object identifier (DOI) and the application of creative common licences bring clarity to researchers' concerns about their intellectual properties' rights.

The workflow for the NADRE has been harmonized by MoSHE for all Ethiopian universities following the National Open Access Policy of Ethiopia for Higher Education.

What: What changed and the key elements of change

The use of the NADRE and the National Academic Digital Library (NADL) as institutional repository and digital library has changed how academic staff, researchers and learners interact when it comes to achieving the very objective of the campus. Especially the NADRE platform has created the following benefits for Ambo University:

- Lecturers are enabled to integrate the platforms to the traditional teaching learning environment in reaching out to students and providing instructors comfort, flexibility and confidence in their job.
- It keeps both parties engaged in their work and bridges the gap of educator's absence from the normal schedule.
- It has enabled the Ambo University to continue the implementation of the Government Education Policy Roadmap that required ICT facilities and platforms for quality education as well as accessibility of learning resources for all students at any place, and time.
- It has boosted knowledge of digital literacy as well as remote teaching and learning skills for both - learners and educators.
- The 24/7 accessibility of resources without (hardware) interruption has provided confidence to the ICT-management and has created expectations for the platform's further use.
- It has created a business-like environment for students in view of self-organised learning environment as well as an additional learning source for students.
- Ambo University research works uploaded to NADRE can be found globally. It has increased the citation rate of local lecturers and has become an important tool for internationalizing the research and learning environment.

Among the notable key elements of change observed the active involvement of the stakeholders such as the academic director, school deans, instructors, students and ICT officers has been significant.

Why: Motivation for change

The implementation and use of the NADRE and NADL as institutional repository and digital library came into practice because of the multifaceted needs:

- The new Ethiopian Educational Policy Road Map seriously addresses the need to integrate ICT in educational settings and requires learners and educators to become IT savvy. This hasn't only come for the obvious reason that ICT based teaching provides for contemporary teaching and learning methodologies but also it helps Ambo University to deliver quality education for areas under developed (under resourced) and reduces the pressures from the government to reach out to these

areas. It also vividly increases the efficiency of resource usage and effectiveness of the resources brought to learners and in the collaboration of others.

- Ambo University is highly interested in the implementation of ICT based platforms and tools in order to increase the need to bridge the academic gap observed on graduates when every learner is expecting to get fully equipped with knowledge, skills and attitude required in the local as well as global market.
- NADRE has created Ambo University's window on the world. The NADRE is providing Ambo University researchers insights, what is ongoing around the globe in their disciplines as well as sharing Ambo University's research activities with the world.
- The global COVID-19 pandemic has made it clear that the existing workplaces at Ambo University were not always well suited to provide for the health and safety of occupants. In the months following the massive shutdown of workspace around the world owners, occupiers and their advisors have developed significant measures. Not only to address immediate concerns around COVID-19, but also to make the workplace more resilient in the face of other health crises that are inevitable in the future.

How: Processes and dynamics for developing, implementing and managing changes (including specific obstacles faced)

At first Ambo University demanded to integrate ICT infrastructures and resource platforms to enhance and capacitate parties engaged in the learning and teaching process.

Following the 3 pillars of Ethiopian Higher Education Institutions, all Ambo University campuses are engaged in the teaching and learning process, research and community service works. On its search for digital platforms for publishing and communicating findings to stakeholders such as policy makers and researchers in the various fields the NADRE and NADLE has been discovered as very useful. The resources and the readymade platform of the NADRE were directly applicable and have met the demand. Immediate adjustments of its existing infrastructure and implementation of the platforms to its settings have been no special challenge.

In addition to this, COVID-19 crisis has created unprecedented and unparalleled demands for immediate and far-reaching organizational changes. Stakeholders in the institution starting from managing directors, librarians and further to frontline staff and students are grappling with the pace, breadth, and depth of these demands. The field and practices of organizational changes have been heavily challenging in terms of needs for change.

Later the pressures were considered as an opportunity to digitize the campus and managers, which has attracted many learners, educators and researchers.

Challenges faced during the implementation process and change management

Changes require information, promotion and collaboration. Everyone who was affected by the introduction of the NADRE at Ambo University added experiences and has contributed to the current campus system. The team who has been working on the digitization of the content followed the adaptive approach set out by EthERNET during the implementation. Numerous challenges happened along the way:

- ↪ Staff was hesitant to upload some of their profound research works and teaching materials. One of the main reasons was the fear to loose control over ownership and copyright issues on the uploaded document.
- ↪ Students' and academic as well as research staff were lacking of skills on online resource utilization and digital literacy.
- ↪ The problem of constant internet connectivity and poor infrastructures at the campuses still challenges the team working on NADRE.
- ↪ Confusion arose from the fact to manage the own institutional repository, the national repository (NADRE) and the digital academic library that is only accessible to its community and controlled by the campuses.
- ↪ Lack of confidence the staff and researchers showed towards the quality of contents produced and the attempt to avoid critics.
- ↪ Lack of a well-orchestrated commitment from stakeholders (especially programme leaders) to use the resources and to contribute to the platforms.
- ↪ Fear that the platforms may go down without university's consent and contents will be gone forever. There is no binding agreement made between the university and the Ethiopian Research and Education Network (EthERNet) as service provider.

Considerable efforts - both on individuals and institutional level – were undertaken to overcome the doubts and fears of stakeholders in order to get the staff ready to implement and to use the platforms.

The management went for an organizational readiness for change which included factors such as motivation, adequacy of resources, staff attribution and organizational climate.

When: Timeline for development and implementation

The implementation of NADRE as institutional repository at Ambo University came in 2019 when NADRE was introduced by MoSHE to all public universities of Ethiopia. Prior the launch of NADRE the Higher Education and Strategy Center (HESC) and EthERNet coordinated trainings for NADRE key persons from universities. Once NADRE has been launched HESC and EthERNet supported the university on demand. The outreach to departments as well as academic and research offices at the Ambo University campuses was through pamphlets and

a brochure. The NADL has come to the attention of the institution during the outbreak of COVID-19 in Ethiopia.



CASE STUDY 3: ARBA MINCH UNIVERSITY, ETHIOPIA

**PREPARED BY: Sisay Tumsa Senbetu, Director, Library
and Information Service Center**



Arba Minch University

AMU OA/RDM policy

AMU Open Access(OA)/Research Data Management (RDM) Policy

1. University Profile & Context

1.1 Introduction

Established in 1986, Arba Minch University is a non-profit public higher-education institution located in the suburban setting of the small city of Arba Minch. The University was initially founded as Arba Minch Water Technology Institute (AWTI) and it was officially inaugurated as a full -fledged university in June 2004 and started offering both undergraduate and post-graduate programs in the following institutes, colleges and schools:

- Arba Minch Institute of Water Technology
- Arba Minch Institute of Technology
- College of Agriculture
- College of Business and Economics
- College of Natural Sciences
- College of Medicine and Health Sciences
- College of Social Sciences and Humanities
- School of behavioral and pedagogical sciences
- School of law
- Sawla Campus (a multi-disciplinary Academic areas campus)

Arba Minch University (AMU) is currently classified as one of National Research Universities and has more than 36,000 registered students in regular, evening, weekend and distance programs in first (bachelor degrees), second (master degrees) and third (PhD degrees) programs. This 35 years old Ethiopian higher-education institution has a selective admission policy based on entrance examinations and students' past academic record and grades. Moreover, the university has given scholarships for several students under salient schemes.

In addition, the university has given scholarships in both undergraduate and postgraduate programs for surrounding countries like South Sudan and Somaliland.

1.2 Policy Description

Arba Minch University aspires to be one of the leading universities in Ethiopia and the world in general. This dream of aspiration can be achieved through different mechanisms such as by enhancing academic, research and community service, research and community service quality via the multitude of options, practices such as conducting national as well as international level research projects, organizing scholarly events collaborating with different institutions and universities both at the national and international level. In addition, as indicated in the introduction section, the university is designated as one of the research universities in Ethiopia and therefore it needs to create a conducive research environment which can facilitate the robust data and research repository and management system practices. This can enable the research staff and scholars to better collaborate, communicate and recompute the existing data assets for multifold cost cutting and optimum utilization of resources i.e., data as a crude oil is one of them. This new buzz and research data repository, usage, and management practice will certainly create a new paradigm shift in Ethiopian universities. This makes conducting and implementing various researches the pillar of the university to achieve its aspirations.

However, in the past couple of decades multiple obstacles hinder the rapid and effective research development and implementations within the university as well as the Southern Nations and Nationalities People Region (SNNPR) catchment areas.

This mainly includes unavailability of data (especially health and medical related), unorganized data, negligible scientific repository and management of the collected data, redundant practices of collecting the same data rather than sharing also the missing culture of shareability of Open access data and optimum utilization of national resources. Moreover, there is also lack of knowledge and data sharing platforms available within the university as well as lack of willingness by the researchers for knowledge and data sharing. Every time university sponsored or grant researches are proposed, the researcher is required to collect all the required data from scratch even if similar or related research has been conducted previously. This in turn creates associated problems such as poor time management, poor resource (material as well as money) usage and management and so on that hinder the development and delivery of sound research outputs to the university as well as to the community. Sometimes; It has been observed that research conducted for the same territory with similar datasets conflicts with the research outcomes. Such challenges hamper the real sanctity of the implementation of the research outcomes. In addition, historical,

legacy and legal documents need to be preserved for future references and the judicious usage in the research studies.

To eradicate such challenges and alleviate the aforementioned problems for the successful and efficient delivery of research outputs, the AMU's Library directorate proposes to design, develop and implement an effective use and implementation of Open Access/ Research Data management Policy (OA/RDM).

Upon implementing the OA/RDM policy, the university will be committed to increase, diffuse, and maintain the knowledge as part of its mission of offering relevant and quality education and training, conducting problem-solving and indigenous knowledge integrated research, and adapting or transferring skills and technologies which have high values to socio-economic upliftment and sensible development of the community. Furthermore, this will help in preservation of documentary heritage, intervention of Information and Communication Technologies (ICTs) and Information System Sciences (ISSs) in education, science and cultural research, including Open Access to scientific data, information and research outcomes. Also, the researchers and students could gain increased access to data, information and knowledge. The publications will receive greater visibility, readership, and citations and the potential impact of research will be highlighted. Increased access to, and sharing of data, information and knowledge leads to opportunities for equitable economic and social development, intercultural dialogue, and has the potential to spark innovation for the country's all-round development.

2. The University after adopting AO/RDM and the key elements of change

2.1. The importance of OA/RDM policy?

The University will be committed to provide free and open access to the research and scholarly output of its university community including research data, in accordance with the university legislation as well as common research ethical norms and standards. The University's open access approach will:

- Facilitate the worldwide communication of its research and scholarly publications and research data, passing on the benefits of research findings to other researchers, professional practitioners and the wider community; and
- Enhance its research profile, maximizing the impact of the University's research and scholarly achievements.
- The University will support and promote an open access approach through the dissemination of scholarly research outputs lodged in the open access Institutional repository, other open access archives and through support for publication in open access journals. Since, the library Services provides advice on all aspects of open access publishing including:
 - Copyright issues;
 - Metadata verification of material in the institutional repository; and

- Support to facilitate open access dissemination of scholarly outputs.

and therefore, wherever possible, material representing the total publicly available research and scholarly output of the University is to be deposited in the University's open access institutional repository, including:

- Research publications and associated data which are outputs of AMU's sponsored or other public funding agency grant;
- University scholarly works such as un-refereed research literature, journal articles, conference contributions, chapters in proceedings (the accepted draft), technical or project reports, white papers, periodicals, newsletters and grey literature not submitted for publication and that can be made available via open access;
- Higher degrees by research dissertations such as Doctor of Philosophy, Doctor of Philosophy by publication, Masters by Research, Masters by Coursework containing a significant research component and Honors theses, (except for where an embargo is in place);
- Research data which can be described and made openly available under license, or via negotiated or controlled access. Where deposit of the full-text material, or dataset, is not possible due to publisher embargo, or is not permissible due to copyright or licensing restrictions, or where the publication is available in a peer-reviewed open access publication or another open access archive, the metadata describing the publication or dataset will be included in the institutional repository; and
- Material deposited on the advice of the relevant Senior Management staff or Senior Executives such as grey literature, organograms, monograms, decision reports, legislations, by laws or engineering projects.

Note: Material intended for commercialization or containing confidential information should not be submitted to the repository.

- University scholarly outputs/works, research data and primary research materials, research data management records and other research related documents deposited into the institutional repository for preservation and access will be subject to any legal, contractual, privacy or cultural restrictions in accordance with the University's policy, Library Services Records Disposal Schedules and a Copyright Act.

2.2 Copyright Issues

Depositing material in the institutional repository does not transfer copyright to the repository. The repository exists to preserve and make available that material but does not assume ownership rights. Copyright remains with the author or publisher, as per the agreement or license made at the time of publication. Authors are encouraged to retain copyright in their work wherever possible, and if the publisher insists on a transfer of copyright, they should assert their right to deposit their work in the University's open access institutional repository using a suitable agreement addendum.

3. Motivation for change (Need of the new Policy)

- A World Health Organization survey carried out in the year 2000 found that researchers in developing countries claim access to subscription-based journals to be one of their most pressing problems. Wider availability of research articles democratizes information and spurs further innovation and progress. By removing legal, commercial and technological barriers to access of scientific information the research process becomes more efficient and the research results more visible. Furthermore, Open Access prevents duplication, fosters knowledge and technological transfer and promotes innovation. More specifically, by requiring Open Access to the research they fund, funding agencies will:
 - Be able to better monitor the quality and transparency of the research they fund.
 - Enhance the innovation potential of research institutions and reduce redundant practices.
 - Enable new and innovative ways of performing research, such as, for example, Text and Data Mining Big Data, Cloud Computing and machine-intensive research methods.
 - Enable new collaborations and the paving of new, cross disciplinary or interdisciplinary and internationally-driven research paths.
 - Foster science-literate and research-literate citizens and enhance citizen science.
 - Minimize conflicts amongst the research outcomes on the common issues
 - Gradually may expect to save financial resources otherwise spent on expensive subscriptions.
 - Overall obtain a higher return on their investment (RoI) on research through Open Access both by reducing (cost) and re-using (resources) and by the redoing (research) for higher visibility of the research results they fund.

4. Implementation Processes and Dynamics (Processes and dynamics for developing, implementing and managing change (including specific obstacles faced))

This can be achieved through:

1. Formation of the Taskforce for the Implementation Process
2. Creating awareness amongst both the higher officials as well as academic, researchers' community
3. Providing training to the stakeholders involved in the process including academic staff and researchers.
4. Designing, and developing a prototype of the institutional repository.
5. Designing and developing the well-structured processes implementation and management systems for maintaining the repositories

6. Collecting, encoding and storing the primary, secondary and tertiary data resources
7. Evaluating the implementation status of the Policy and compile the success indicators
8. Protecting the privacy of data related to health, legal, legacy/historical and educational credentials.

5. Timeline (Tentative) When: Timeline for the policy development and implementation

- Formation of Task force for AMU (3 days)- November 8, 2021
- Training to the task force (2 days Workshop)
- Survey on the existing state of art Practices of the selected Universities (5 days)
- Draft Proposal for the Policy documentation based on aforementioned findings (5 days)
- Final design of the Policy Document in line with AO/RDM mission goals (15 days)
- Approval of the policy document by the competent authorities of the partner units (7 days)
- Training to the academic, research and community service staff get benefit from the Open Access Policy implementation (21 days in 6 rounds)
- Implementation Plan of the AO/RDM aligned Open Access Policy at AMU (2 days)
- Assessment Success factors and Indicators (2 days)- January 11, 2022

CASE STUDY 4: KENYATTA UNIVERSITY, KENYA

PREPARED BY: Gitau Njoroge, Chief University Librarian

Kenya OA policy implementation case study for senior university management policy workshop

Who and where: Your University's profile, context

Kenyatta University (KU) is a public university with its main campus in Nairobi County, Kenya. It acquired the status of university in 1985. The university has 9 campuses. There are 19 Schools at KU offering a rich and wide range of programmes at both undergraduate and postgraduate (masters and doctoral) levels. The institution has invested heavily in infrastructure and facilities to offer students and staff the best experience in learning.

What: Your policy description. What changed in the University after adopting it and the key elements of change?

Policy description

The Kenyatta University OA Institutional Repository (IR) Policy was published in 2014. The policy is registered with the Registry of Open Access Repository Mandates and Policies (ROARMAP). It covers the following key areas:

- Open Access Policy Statement
- Access Policy
- Repository Content Policy
- Submission Policy
- Metadata Policy
- Selection, Retention, Replacement and Withdrawal
- Intellectual Property/Copyright
- Quality Control
- Preservation Policy
- Compliance and Monitoring

What changed in the University after adopting it and the key elements of change

- There was increased awareness of the open access concept
- The Kenyatta University Institutional Repository was implemented using Dspace
- The Library created the Digitization Section with the mandate of implementation and management of the IR

- The IR became one of the University's metrics of measuring researchers' productivity and performance
- Retrospective digitization of theses that were in print format became part of the library's workflows
- It became a requirement that postgraduate students submit an e-thesis in addition to the print copy of their thesis
- The e-thesis made it easier to spot cases of plagiarism. This accelerated the development of the KU plagiarism policy
- Kenyatta University developed and published the Anti-Plagiarism Policy and Guidelines in 2017
- The University invested in the Turnitin text matching software
- Increased availability of resources for research
- The IR is currently one of the University's performance targets

Why? Motivation for change

- The University was under pressure to improve its Webometrics ranking. The IR contributed directly to the parameter of *Size*. Although the parameter was recently discontinued, IRs' content affects the ranking indirectly through the parameter of *Transparency* or *Openness*, which measures citations from the Top 210 authors from respective institutions.
- The OA movement spearheaded by the Library increased awareness of the emergence of and the need for Institutional Repositories
- The need to archive KU research output online

How: Processes and dynamics for developing, implementing and managing change (including specific obstacles faced)

- The University's top management support was instrumental in the success of developing and implementing the OA policy.
- Initially, researchers feared and were concerned that their work would be plagiarized if uploaded in the IR. The concerns were addressed through intensive training and awareness creation
- Laxity in submitting research work to the repository. The library countered this obstacle by archiving on behalf of the authors. The process involves mining and harvesting of research output available on various search engines

- Legal implications in retrospective application of the policy to allow uploading of theses done before the publication of the policy. This obstacle was mitigated by publishing a notice in the dailies that provided an opportunity for KU alumni and staff to raise any objections they may have had
- Some publishers declined to publish research papers that were extracted from the e-thesis on the basis that they constituted previously published works. The University allows for requests for embargo periods that give the researchers time to publish articles before the theses are uploaded online.
- The university is committed to academic integrity and the management was therefore concerned about potential plagiarism cases. To counter the risk, the Kenyatta University Anti-Plagiarism Policy and Guidelines were developed and implemented. This was complimented by subscription to Turnitin text matching software. All theses are checked for plagiarism before being uploaded.

Timeline for the policy development and implementation

- The first document was uploaded in the KU repository on 2011-05-09
- The Kenyatta University Open Access Institutional Repository Policy was adopted on 9th January 2014
- The total number of documents uploaded by 6th October 2021 is 16,503
- The first version of the Kenyatta University Antiplagiarism policy was published in 2017. The policy was revised in 2020.

CASE STUDY 5: UNIVERSITY OF NAIROBI, KENYA

**PREPARED BY: Rosemary Otando, Deputy Director,
Technical Library and Information Services**



UNIVERSITY OF NAIROBI OPEN ACCESS POLICY

UNIVERSITY OF NAIROBI PROFILE, CONTEXT.

The University of Nairobi is a collegiate research university based in Nairobi, Kenya. The University is the pioneer institution of university education in Kenya and the region. Its inception is traced back in 1956 with the establishment of the Royal Technical College, which was later transformed into the second University College in East Africa in 1961 referred to as Royal College, Nairobi.

In 1963, the University of East Africa was created which led to renaming of the Royal College to University College Nairobi as a constituent college of the University of East Africa. In 1970, the University College Nairobi became the first national university of Kenya and was renamed the University of Nairobi.

The university offers about 326 academic programmes spread over eleven faculties. Currently, the total student population is approximately 84,000.

UNIVERSITY OF NAIROBI OPEN ACCESS POLICY DESCRIPTION: WHAT CHANGED IN THE UNIVERSITY AFTER ADOPTING IT AND THE KEY ELEMENTS OF CHANGE

Open Access policy is a guideline or a commitment towards supporting open access scholarship.

The University of Nairobi values information and has taken deliberate steps to capture, preserve and disseminate knowledge through provision of a conducive environment that facilitates quality education and research. The university is committed to the global open access initiatives as evidenced by signing of the Berlin Declaration on Open Access to knowledge in the Sciences and Humanities. In December 2012, the Vice- Chancellor approved the university's open access policy.

The open access policy states the obligation of the university towards embracing open access initiatives and highlights the university commitment to free and open access to scholarship and its responsibility for the dissemination of its research output. It states that "all members of the University community are required to submit their scholarly output to the University Digital Repository" to enhance free access. To encourage open access publishing, the policy declares that "a member of the University Community who publishes in an Open Access Journal shall not be disadvantaged during promotion and tenure considerations"

The scope of the research stipulated in the policy include both “Green” and “Gold” funded by the institution or owned by the staff, students and visiting researchers and students. The policy describes types of content that include both full-text and metadata to be uploaded in the repository. Other areas described in the policy include: accessibility, submission guidelines, quality assurance, replacements, legal policy framework, preservation and withdrawal of items.

The policy supports the implementation of open access initiatives in the university and provides scholars with the opportunity and platform to promote their scholarly works.

On adoption, the policy helped in capturing the university’s output to a larger extent since all students graduating with masters and PhD have to submit their research work for uploading on the institutional repository. When the theses and other research publications are uploaded to the repository, apart from enhancing the institution’s visibility, the individual researcher’s visibility also increases. There are higher chances of funding and collaborations when research work gains global visibility. Having research captured in one platform in an institution leads to promotion of quality standards in research management and better preservation of the same. In addition, the policy has enhanced citation and impact of the research output as well as archiving of the scholarly works.

Advocacy and management support are key elements in driving the change. All the university stakeholders have to be brought on board since each has its own role starting with the university managers, lecturers, students and library staff.

MOTIVATION FOR CHANGE

As a result of the consolidated and well-managed research output, the university has had improved results in the Ranking Web of universities which is the largest academic ranking of Higher Education Institutions, and other global university rankings. The primary objective of Ranking of Universities is to promote openness to the knowledge generated by the universities. The best strategy to improve ranking is to increase quantity and quality of web contents of which the policy plays a great role in achieving this.

The role of the library has changed from being passive to an active participant in the research communication cycle.

Implementation of the policy has improved visibility and impact of the University’s research output and researchers’ profiles. In addition, it has enhanced collaboration with the global research community thus promoting competition and scientific discovery.

Implementation has also led to long-term preservation of local content and reduced duplication in collecting, creating, transferring and re-using scientific material, hence speeding up scientific discovery through sharing materials and data. This improves science’s reliability, transparency and quality of research.

PROCESSES AND DYNAMICS FOR DEVELOPING, IMPLEMENTING AND MANAGING CHANGE (INCLUDING SPECIFIC OBSTACLES FACED)

Developing and implementing open access policy requires representation for all the institution stakeholders in order to avoid conflicts at the implementation stage. It is important to have personnel with different professional backgrounds so as to combine the views. When it comes to implementation of the policy, the approach that works better is whereby the university management understands the policy and supports it. This makes implementation easier because the rest of the staff is likely to follow suit.

Implementation of the policy in the University of Nairobi involved various strategies. All students graduating were mandated to submit their theses and dissertations in soft copy to facilitate the archival process. Backlog hard copy theses were digitized and microfilms converted to digital format for preservation and posterity. Archival local content created by the university was harvested or acquired and preserved in the digital repository.

A digital repository unit was established in the library to coordinate Open access (OA) initiatives in the university and ensured sustainability of the OA projects through including them in the library budget.

Moving towards implementing open science to make scientific research, data and their dissemination available globally has been a challenge. Scholars are hesitant to make scientific processes and results more transparent and accessible globally. Some researchers opt to keep their data private due to being afraid that some scrupulous researchers globally may “steal” their idea and publish, and benefit unfairly without putting in much effort before the original researcher has opportunity to do so. In addition, scholars are reluctant to publish in OA journals and to deposit their research in OA repositories for fear of their work being plagiarized. To counter this, the university has purchased plagiarism detection software to enhance academic integrity. On adoption of open data/science initiatives, the university has formed a committee to develop a framework on implementation of an open data system.

Balancing openness and protection of scientific information, and Intellectual Property Rights, and security of information has been a major concern. The university is tempted to use the principle of “as open as possible, as closed as necessary” to protect intellectual property rights.

Other challenges include developing an open access policy and aligning it with other university policies. For instance, the open access policy may contravene the university research policy.

Lack of incentives in the academic community is a major factor to the implementation of the policy. There is need to put in place incentives and rewards mechanisms in place for researchers to encourage them to publish in open access journals.

Other challenges include inadequate infrastructure and skills and sustainable funding. Spearheading some projects including open science and open journal systems may require designated personnel.

TIMELINE FOR THE POLICY DEVELOPMENT AND IMPLEMENTATION

The policy development began way back in 2008 when the concept of open access repositories was adopted. Several sensitization programs were conducted for senior management to support the open access initiatives.

The University signed the Berlin Declaration on Open Access to knowledge in October 2012 and the same year, a committee was formed to look into a draft OA policy formulated by the library. In December 2012, the policy got approved by the Vice-Chancellor to provide scholars the opportunity and platform to promote their academic works.

To enhance visibility of the OA initiatives, the policy was registered in ROARMAP

The university is currently in the implementation and evaluation stage. The impacts of the policy formulation include; growth in numbers of items deposited in the university repository, high levels of usage noted from the statistics, excellent performance of the University in Webometrics Ranking, and visibility of the local research.

CONCLUSION

Successful policy implementation depends on commitment from top-level managers, researchers, librarians and ICT support. In addition, instituting required infrastructure and sustainability are vital elements in the implementation of the policy.

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CASE STUDY 6: MZUZU UNIVERSITY, MALAWI

PREPARED BY: Felix P. Majawa, University Librarian

Open Access Policy Development Experience from Mzuzu University in Malawi

Who and where

Mzuzu University (Mzuni) was established by an Act of Parliament in 1997.

There are six faculties: Faculty of Education; Faculty of Environmental Sciences; Faculty of Health Sciences; Faculty of Humanities and Social Sciences; and Faculty of Science, Technology, and Innovation.

The University has about ten thousand students.

What

The policy covers the following priority areas: Administration, Contents, Access, Metadata Presentation Format and Data Usage.

The policy presents the following guidelines:

- Contents guidelines
- Submission guidelines
- Metadata guidelines
- Format guidelines
- Article Access guidelines
- Selection and retention guidelines
- Replacement guidelines
- Withdrawal guidelines
- Intellectual property guidelines
- Privacy guidelines
- Quality control guidelines
- Preservation guidelines

On selection, retention and withdrawal, it was agreed that the policy should state clearly that depositing in Mzuzu University Institutional Repository would attract no economic benefits.

Repository Workflow:

- A. Mandatory submission of research outputs by the author to the Institutional Repository Manager and Quality Assurance Officer.
- B. Published documents included in the repository are consistent with publisher's copyright rules and conditions.

C. University Librarian coordinates and manages the Institutional Repository.

Why

A digital repository policy is very necessary for the proper management and function of a digital repository – “A policy was needed to provide guidelines that will help to define characteristics of resources that can be included; terms for depositing such resources and use of the resources among others” (Mzuzu University Digital Repository Policy 2018).

How

Consultative workshop on 12-14 December 2017 that included deans, directors, assistant registrars, management accountant, librarians and a guest facilitator, Rosemary Otando, Deputy University Librarian from University of Nairobi; opened by the Deputy Vice Chancellor, Late Prof. Fred Msiska.

Key issues raised: the need for full time repository staff and the need for Open Access Committee with a composition of Deputy Vice Chancellor, University Librarian, University Registrar, Director of Research, Coordinator of Intellectual Property, ICT Director, and Librarians. This committee would report to the University Senate. The mandate of this committee is to preside over policy issues whilst overall management of the Open Access Institutional Repository would fall into the hands of the University Librarian as the manager of the repository.

The policy approval process: University Library Committee, Senate and University Council.

Challenges

- Low response from the stakeholders after input from the workshop
- Took time to be considered for discussion at Senate
- Referred back at Senate level for consultation with the Heads of Departments
- Very few Heads of Departments responded
- Printing costs led to print of few copies
- Implementation plan was not developed

When

The Digital Repository Policy development process started in 2015 and went a long way in facilitating stakeholders’ meetings and approval processes among other things.

Impact

Since its approval by Mzuzu University Council in 2018, a number of positive developments have been registered albeit with a few challenges too.

The operationalization of the policy has led to the following positive developments:

- Constituting of a Library Digital Repository Committee to oversee the establishment and operations of the open access repository.
- Setting up of a Digital Repository Unit in the Technical Services Section of the Library and identifying of staff to run routine jobs of the section.
- Facilitated capacity development of staff to manage the day-to-day activities of the open access repository.
- Assisted in the designing, installation and configuration of a new and more vibrant repository using web technologies which can be accessed from <http://repository.mzuni.ac.mw/>
- Helped in the speedy growth of the collections of the Repository which currently stands at 138.
- Facilitated increase in the use of the digital repository as statistics indicate that there were 7,054 item views and 1,716,663 searches from March 2019 to 16 September 2021.

COVID-19 restrictions that compelled staff to work from home slowed down activities related to the Repository such as collection development and marketing.

Conclusion

Digital Repository Policy development process needs to be highly consultative for the policy to reflect all the necessary guidelines for operation.

Quality control tends to lengthen the process of approval:

- Library Committee
- Senate
- Council

Top management support is critical for the policy to be developed and implemented.



MZUZU UNIVERSITY
Self-Reliance || Service || Perfection

DIGITAL REPOSITORY POLICY 2018
Version 1



CASE STUDY 7: COVENANT UNIVERSITY, NIGERIA

**PREPARED BY: Prof. Conrad Omonhinmin, Professor,
Plant Biotechnology (Molecular Systematics & Plant
Genetic Diversity), Co-Ordinator, Open Access @
Covenant University (Oacu), NCP OA2020**

Open Access @ Covenant University

Covenant University is a Nigerian Christian Mission University founded in February of 2002. It currently has four colleges and twenty-two departments.

Covenant aspired to be among the globally recognized universities and sought to improve its research output and visibility through the scholarly publication of its research efforts, pedagogy, and learning outcomes. Similarly, Covenant sought to engage best practices in research, innovation, and discovery and ensure that outputs from these sources are globally visible. In addition, Covenant sought to encourage research engagements that are globally competitive and constitute one of the critical tools for fair and responsible hiring, promotion, and tenure of faculty.

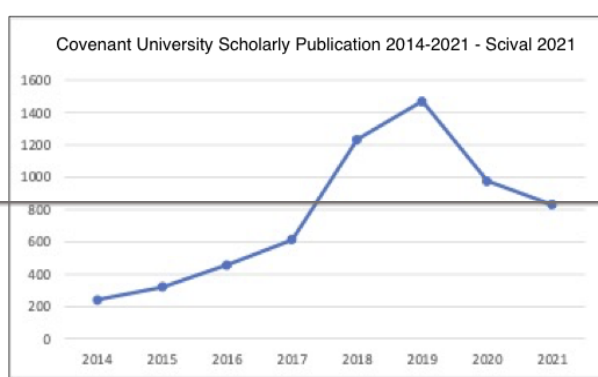
What: What changed and the key elements of change

In 2012, Covenant University proposed its global recognition and visibility plan to its faculty and student communities. In 2013 the University faculty and senate adopted three policies, namely:

- i. **Open Access (OA) scholarly communication policy:** To emphasize institutional rather than individual funding of scholarly publication. It also required that research works be published via Open Access outlets (gold, green, or hybrid).
- ii. **Open Educational Resources (OER) policy:** To promote pedagogy and study for improved and impactful student learning outcomes through access to numerous free learning, teaching, and research materials.
- iii. **Open-Access Repository (Open Archive) policy:** To promote self-archiving, deposition of research theses and dissertations, and other materials for free user access, students' engagement, teaching, and research on an interoperable format according to the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH).

Adopting the **Open Access (OA)** scholarly communication policy is strategic because funding research publications in Nigeria is generally researcher-centred. The model eliminated that hurdle for researchers in Covenant. Researchers gained the liberty to access a wide range of journal outlets and, most importantly, retain rights to their research works while demanding instant access by readers to their published works through the university funding support for OA publications.

Feedback for the model has been overwhelmingly encouraging from researchers. The model increased the research outputs from the University's stables, promoted interdisciplinary and multidisciplinary research engagements, improved collaboration by the university researchers, and improved the University and researchers' global visibility.



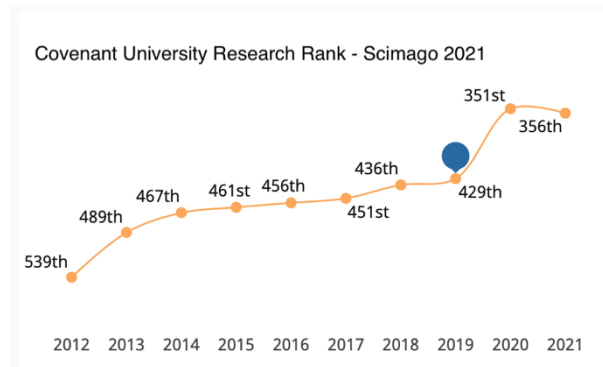
One of the highlights of the model's adoption is the increase in research publication outputs by researchers in the University. The scholarly publication output rose by over 500% in six

years, only slowing down in the COVID-19 period as captured on Scival. Following this, the University commenced its participation in the Times Higher Education rankings. Emerging 601-800, with a citation score of 36.9 in its maiden year (2019); its research visibility improved 52.93% with a citation score of 78.4 and ranked 401-500 in its second year (2020). Covenant ranked 1st amongst universities in Nigeria and West Africa and 5th in Africa within six years of adopting the model. The University has remained amongst the top universities in Africa since 2019, driving research quality, development and progression for both researchers and institutions.

Why: Motivation for change

The vision to pursue global recognition and visibility as an institution, deploy best practices in research, learning, teaching, and archiving research outcomes was a major motivation for the change.

Changes at Covenant were primarily internal, in part by a desire to be relevant at national, regional, and global levels and the non-existing governmental funding for privately operated universities. The willingness to participate at international levels in research, teaching, and learning; access to national and global personnel and funds, and creating responsible and stimulating research, teaching, and learning environments were also key motivations. In 2019 the University won a World Bank Centre of Excellence grant for Applied Informatics and Communications.



How: Processes and dynamics for developing, implementing and managing change

Covenant has a dynamic management system that prioritizes research and research-based teaching and learning and implements these policies to drive Openness in the University.

The institution has an Open Access unit that co-ordinates and advises on the policies and their implementations. Covenant has a robust Centre for Research, Innovation, and Discovery that co-ordinates research, research funding and works with the Open Access co-ordinating unit to promote OA scholarly publications, negotiations with publishers, and advise researchers on Open Access publishing. The university library works with the OA unit to operate the Open Archives. The institutions, Academic Planning Unit, the Centre for Systems and Information Services, and the Open Distance Learning programme work with the OA unit to operate the OER.

After adopting the Open Access policies in 2013, the University evolved commensurate hiring, retention, promotion, and tenure criteria to accommodate the growing University's profile, retain faculty and attract top-level personnel (faculty and research positions.) Feedback from outside and within the institution has been pivotal to improving the institution rewards system around research and research publication, learning environment and outcomes, teaching quality, and internal controls.

Key obstacles faced are:

- initial poor awareness of the Open Access position on research outcomes and research funding;
- the apathy to switch from the well-enshrined closed access publication model to the Open Access model;
- resistance to the research assessment reform following the adoption and its potential benefits to researchers;
- poor co-ordination among the relevant actors within the institution at the inception of the model.

When: Timeline for development and implementation

Covenant University proposed to seek global relevance and visibility in its research, pedagogy, learning, and industry engagement in 2012 and set a ten-year timeline. In 2013 it adopted the three policies to promote Openness as a platform to pursue its global agenda. The three OA policies were revised in 2016 to accommodate feedback from a wide range of stakeholders. In 2019, Covenant entered the Times Higher Education World University Rankings. It emerged top in the national, regional, and international rankings, berthing among the top 500 universities globally by 2020, among several recognitions for undergraduates and graduates' impacts.

After 2022, Covenant hopes to revamp her commitment to the Openness drive and forge ahead to more significant national and global engagements and relevance. Covenant assented to the [Bethesda Statement on Open Access Publishing](#), the [Budapest Open Access Initiative](#), and the [Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities](#) and has been a signatory to the last two since 2013.

Who: Organization profile

Country:	Nigeria
Profile of institution:	Comprehensive University or equivalent
Number of FTE researchers/Faculty:	> 500
Organization of research evaluation:	Faculty/department levels Institutional/university level research unit levels or clusters
Who is involved?	University management/academic leadership policy/ staff research department/ staff research support/Open Access unit

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**CASE STUDY 8: UNIVERSITY OF CAPE TOWN (UCT),
SOUTH AFRICA**

**PREPARED BY: Dr. Reggie Raju Director: Research and
Learning Services, UCT Libraries & Jill Claassen,
Section Manager: Scholarly Communication and
Research, UCT Libraries**

OA/OS policy implementation case study at UCT for the Ubuntunet Alliance LIBSENSE senior university management policy workshop

1. University's profile, context

The University of Cape Town (UCT) is South Africa's oldest university founded in 1829 and is currently one of Africa's leading teaching and research institutions.

The university has 6 faculties - Commerce, Engineering & the Built Environment, Law, Health Sciences, Humanities and Science – which are all supported by the Centre for Higher Education Development, which addresses students' teaching and learning needs.

UCT also has more than 80 specialist research units that provide supervision for postgraduate work and is home to more than a third of South Africa's A-rated researchers – academics who are considered world leaders in their fields.

Vision⁶

UCT is an inclusive and engaged research-intensive African university that inspires creativity through outstanding achievements in learning, discovery and citizenship; enhancing the lives of its students and staff; advancing a more equitable and sustainable social order and influencing the global higher education landscape.

UCT is the highest-ranked African university in the QS World University Rankings, the Times Higher Education World University Rankings, and the Academic Ranking of World Universities, and its Commerce, Law, and Medicine Faculties are consistently placed amongst the hundred best internationally.

The 2015 Rhodes Must Fall student protest movement contributed significantly to a wider movement for the decolonisation of the education system across South Africa. At a UCT Senate meeting, there was widespread support for curriculum reform.

The drive for a decolonised higher education contributed to the conceptualisation and roll-out of a publishing service.

2. What: Policy description. What changed and the key elements of change

There are four significant changes to the current Open Access (OA) policy, and these include:

- social justice driving the open access movement;
- linking of Research Data Management policy with the OA policy;
- introduction to diamond OA: and
- incorporation of library publishing.

⁶ this is important as it serves as the foundation document for the amendment to the open access policy

Social justice driving OA

The purpose of the Open Access Policy:

for taking forward open scholarship and open education as part of the University's commitment to social justice through the widest distribution of its scholarly output.

The preamble extended the reach with specific reference to the contribution to the continent.

... the University commits to the social justice principles of Open Access and actively seeks to:

- *share research and learning content that addresses South African and African research and teaching and learning imperatives;*
- *share research and learning content that contribute to South African and African social and economic development;*

Linking of Research Data Management policy with the OA policy

This policy must be read in conjunction with the University of Cape Town's Research Data Management Policy. Collectively, the policies address the sharing of scholarship which includes, where permissible, the published content and data, both processed and unprocessed data which should be lodged in UCT's data repository, ZivaHub.

Introduction of diamond open access

"Diamond open access" means a route followed where the article is immediately open access without a charge to the author nor the reader. There is no subscription cost as the article is available open access and the author does not pay an article processing charge (APC);

Incorporation of library publishing

The University offers, via its Libraries and other relevant departments, an institutional repository service as well as a publishing service. The institutional repository (OpenUCT) collects digital copies of scholarly articles, essays, books, peer reviewed conference papers, reports (where permitted by a funder of the research leading to the report), educational resources, scholarly multi-media material, audio-visual works and digital representations of pictorial and graphical materials. The 'library as a publisher' service offers a diamond open access publishing service for the publication of open journals, open monographs and open textbooks.

The specific section regarding *Library as a publisher service* reads as follows:

The University offers, via its Libraries and other relevant departments, a 'library as publisher' service to grow the number of local journals that are available open access. The Libraries also provides a platform and support for the publication of open monographs and open textbooks. This diamond open access journals and monograph option will complement current publishing processes to meet the need for more local and decolonised content: such content will be accessible globally.

3. Why: Motivation for change

As indicated above, UCT is one of the leading research universities on the African continent. The Library was of the view that, as a leading research university, there was a moral obligation to freely share as much of its research output as possible. Driven by the University's social responsiveness goal, the Library lobbied for the OA policy to be underpinned by social justice imperatives.

The second driver for the amendments to the policy was the response to the National Research Foundation (NRF), the funding agency, requirements. The NRF made it mandatory for all datasets to accompany theses and dissertations. This gave the library the leverage to link the OA policy with the RDM policy.

UCT Libraries was one of the first libraries to have an article processing charges (APC) budget. However, the budget was expended very quickly with support for less than 5% of the annual research output. Using this as a lever, there was successful lobbying for library publishing to be incorporated into the policy. Further, the need for decolonised content to support the change in curriculum was also leverage for the adoption of library as publisher service which is now embedded in the policy.

4. How: Processes and dynamics for developing, implementing and managing change (including specific obstacles faced)

It would seem that UCT was not immune to the international challenge of the additional administrative burdens of researchers for the deposit of their outputs. The research rewards system together with the approved list of accredited publications from the national Department of Higher Education make it extremely difficult for authors NOT to publish with commercial publishers who charge exorbitant prices to buy that research back for use by UCT researchers and students. The continuous support for publications in international journals goes against the grain of making the research accessible to the rank and file.

In response to the 'sale' of the research output to commercial publishers was the introduction of author agreements. Unfortunately, the guidelines were much easier to draft than to implement. Again, another administrative burden that the researchers could do without. Below is an extract from the policy, "UCT strongly encourages the use of UCT's author addendum to prevent the ceding of copyright to publishers. This addendum will provide authors with leverage to engage with publishers their need to comply with UCT's policy so it is consistent with the permissions granted by the staff member to the University...". Again, well intended guidelines but not very implementable.

Another challenge was the mandatory submission of articles (self-archiving) to the policy. There was debate that should work as there was no stick to this section of the policy – there will be no compliance. The University was not prepared to introduce a stick neither could we

find a carrot. The compromised position was to include mandatory submission in the hope that solutions will be found to provide the carrot.

5. When: Timeline for development and implementation

Document Name/type	Date of Approval/working	Comment
Signing of The Berlin Declaration on Open Access to the Sciences and Humanities	1 November 2011	The Vice-Chancellor signed the Declaration as an intent to promote an open access approach to UCT's scholarship, including open educational resources
Draft proposal for an Open Access Policy at UCT	December 2013	Amendments to draft policy as recommended by Senate Executive Committee (SEC)
Open Access Policy	March 2014	Submitted to Council for approval
Open Access Policy as adopted by Council	June 2014	<p>Inclusions as per Council approval. Changes to March 2014 document.</p> <p>5. Policy</p> <p>5.1. Author responsibilities</p> <p>Grant holders are required to comply with any conditions for publishing scholarly content as set out by the funder. (Note 1: inclusion of funder requirements)</p> <p>5.3 Student Theses and Dissertations</p> <p>In line with the provisions of the Intellectual Property Policy and institutional student rules, UCT is granted a right to publish student research theses (doctoral degrees) or dissertations (master's degrees). Research reports submitted by candidates for professional master's degrees are exempt from this requirement. A student shall, either through self-submission or assisted submission upload the final corrected version of the thesis or dissertation into the officially designated Institutional Repository (OpenUCT) prior to graduating. Students whose dissertations or research reports are less than sixty credits do</p>

		<p>not upload these dissertations or research reports. The designated Institutional Repository shall make provision for the delayed public release of any thesis or dissertation for up to twenty-four months (and, in exceptional cases, for longer defined periods) provided the necessary criteria for doing so have been met (Note 2: broadening of items that need to be uploaded onto the repository. Previously it was full theses and dissertations).</p> <p>7. Related UCT Policies, Rules and Guidelines</p> <ul style="list-style-type: none"> ● Intellectual Property Policy ● Metadata and Information Architecture Policy ● Guidelines OpenUCT: Publication of Theses and Dissertations after Conferment of the Degree (Note 3: addition of supplementary policies) <p>This policy is informed by the following</p> <p>National Research Foundation (NRF) Statement on Open Access to Research Publications</p>
Guidelines for OpenUCT: publication of theses and dissertations after conferment of the degree	February 2015	Approval of Guidelines for OpenUCT which was approved by SEC.
University of Cape Town Board for Graduate Studies	31 May 2016	<p>Inclusion of amendments as a result of the change to NRF requirements.</p> <p>3.3 Amendment to the Open Access Policy</p> <p>It was mandatory for NRF grant holders to upload their research and data sets (data supporting the research) to the institutional repository.</p>

<p>Amendments to <i>Open Access Policy</i> as adopted by Council, June 2014</p>		<p>Inclusion of social justice and library publishing. First reference to:</p> <ul style="list-style-type: none"> ● diamond open access publishing ● social justice driving OA ● alignment of RDM policy and OA policy
<p><i>Amended Open Access Policy</i> was adopted by Council</p>	<p>11 September 2020</p>	

**CASE STUDY 9: UGANDA CHRISTIAN UNIVERSITY,
UGANDA**

PREPARED BY: David Bukenya, Ag. University Librarian

UCU OA policy implementation case study for the forthcoming LIBSENSE online workshop for senior university management.

Who and where: Your University's profile, context

Uganda Christian University, inaugurated in 1997, runs over 70 programmes at undergraduate and postgraduate levels. As a university, it fosters its research mandate with a research agenda and structures that support staff and students to carry out research. In 2013, UCU took keen interest in Open Access via the support of CUUL and EIFL. Subsequently, the institution supports Open Access and has a repository, OA Journal System and an approved policy supporting the implementation.

What: Your policy description. What changed in the University after adopting it and the key elements of change

"...This is the reason for the UCU OA Digital Repository Policy. It is a vital policy that addresses the dual duties of preservation and diffusion of UCU's intellectual output. It is a truism that the modern academic world has advanced in global integration thus allowing exchange of ideas to astronomical proportions. This means that universities are under obligation to exercise 'give and take' for their knowledge output. For UCU to remain relevant, it's incumbent upon our academic pursuits to actively interface with academics elsewhere and ensure that our own knowledge is placed in the public sphere, to benefit more than this university." John Senyonyi, Former UCU Vice Chancellor, excerpt from policy foreword.

UCU OA Policy provisions

- The Policy declares UCU is committed to free and open access scholarship for all, and takes responsibility for the dissemination of its own research outputs.
- The Policy then requires all members of the UCU community to submit their scholarly work to the UCU OA Digital Repository.
- The policy also requires the author to grant UCU certain non-exclusive rights to future and existing research articles authored or co-authored by faculty members. This binding, global licence allows UCU to distribute scholarly articles for any non-commercial purpose.
- Applying retrospectively, this policy covers all scholarly works completed before and after the adoption of the policy.
- The policy encourages members to publish their scholarly work in peer-reviewed Open Access journals. It also assures members who publish in Open Access Journals of positive consideration for promotion and tenure.

These sort of policies that provide for automatic rights retention of scholarly articles and a commitment to provide copies of articles for open dissemination were preferred for the benefits they offer:

1. Authors retain ownership and control of their works, subject only to UCU's prior, nonexclusive license. This allows them to retain broad use and reuse rights.
2. Faculty can apply their copyright in any way they deem useful. They can also transfer it to a publisher, if they so wish. In such a case, UCU still retains its licence and the right to distribute the work from the UCU Digital repository.
3. With ease, the policies allow UCU to help authors in openly diffusing their research works for wider access and impact.

Key elements of change:

- Increased awareness on Openness and appreciation of benefits of having more publishing channels and their work more accessible and citable. There was a fair level of mindset change toward Open Access.
- Increased publishing in Open Access journals while ensuring careful checks of where they publish, with advice from the library.
- Increased deposits in the UCU Repository despite the apathy toward making the deposits personally; preferring mediated deposits.
- The policy adoption, was a motivation in building support for OA, and helped implement good practices. It also supported the change of the student research submission policy from print to electronic theses and dissertations.
- Research assessment. Academic promotions Committee, was modified to now include a librarian to provide quality checks; of particularly OA publishers. HR Office was involved.

Why: Motivation for change

- The quest to have the UCU research output more accessible and visible. This also was envisioned to solve the conundrum of managing and making theses and dissertations more accessible.
- It would provide accountability and statistics for the UCU research output.

How: Processes and dynamics for developing, implementing and managing change (including specific obstacles faced)

1. The Open Access conversation started with the library and its involvement in the EIFL/SPIDER OA Project in 2013.
2. This conversation progressed to the Joint Academic Management Committee of Senate, which agreed to appoint a taskforce to manage what was required to implement OA and draft the policy. The seven-person team constituted:
 - The University Librarian
 - The Dean, School of Research and Postgraduate Studies
 - Head of Research, (School of Research and Postgraduate Studies)

- Director, Teaching and Learning
- Systems and Technical Services Librarian
- Research Administrator (School of Research and Postgraduate Studies)
- Head of Systems (University ICT Services)

The key terms of reference were:

- Draft and OA policy
 - Consult stakeholders about the policy
 - Install appropriate software for the repository and plan implementation of the policy
3. Evaluated OA readiness based on:
 - the availability of OA infrastructure (repository software),
 - the awareness of OA by authors
 - the availability of structures (Library, IT support, etc.) to coordinate the working procedures. Consultations with faculty members about key elements of the policy.
 4. Policy development started in February 2014; the library led the development after involvement in the SPIDER OA project.
 5. Had two bench-marking visits to the University of Nairobi and Kenyatta University, which were already implementing their policies.
 6. Preliminary policy drafted. We used the Harvard, Kenyatta and Nairobi Universities policies as guides. The draft was reviewed by the taskforce and faculty consultations started in May to September 2014. During this period we prepared key questions for the stakeholders. Some themes included were:
 - a) Their understanding and views about Open Access and OA Publishing and whether they would consider publishing in this model.
 - b) Views of making their work freely and widely accessible and whether they would deposit their work in the IR.
 - c) Discussion on copyright, non-exclusive rights to institution and CC licenses

Some issues that came up during consultations

- Expression of skepticism about the principle of open access; having their work freely accessible by anyone. Feared copyright violations and plagiarism
- Were concerned about the high cost of Gold OA via the Article Processing Charges (and the lack of funding)
- Not sure about the quality of the Open Access Journals

- Several asked what their benefit would be.

When: Timeline for the policy development and implementation

The process started in February 2014 through to October 2015 when the UCU Senate approved the policy. The repository was launched during the International OA Week that year. The implementation started then and is still ongoing.

Obstacles during implementation.

- We found out that approving and adopting an OA policy is much easier than actually implementing one. The challenge was ensuring the deposits are made. It's still an ongoing process.
- Issue with adopting authority – even after the consultations and many nods, it took more effort including one-to-one meetings to get more faculty adopting the policy and leading the campaign.
- Although UCU faculty members are now more strongly mandated to submit a postprint of their work, the university has not yet established a time limit for submission.
- There is an enduring question mark about the 'postprint', and for some reason, most authors don't quite get it and don't have a copy.

