

Library and Information Service

OPEN ACCESS INSTITUTIONAL REPOSITORY GUIDELINES

1 Preamble

This document should be read in conjunction with the broader Open Access Policy of the NWU and refer only to the so called “Green Open Access” as one of the core routes of Open Access.

The NWU Library & Information Services maintains and updates the NWU IR to provide a digital archive that collects, preserves and distributes research material created by members of the North-West University to the wider community, in order to transform and position the university as a unitary institution of superior academic excellence with a commitment to social justice.

2 Objectives

The objectives of the NWU-IR is to increase the visibility, availability and impact of the research output through Open Access, search engine indexing (e.g. Google) and harvesting by several initiatives.

3 Background

3.1 Berlin Declaration

In 2013 the NWU became one of the many signatories of the Berlin Declaration. In this declaration, participating institutions are urged to work together internationally and intensively to formulate a viable, coordinated and transparent strategy to enable a transition to a system where Open Access (OA) publishing is the norm.

3.2 NRF Statement

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

4 Characteristics of Institutional Repositories

- Institutional repositories are digital collections of the outputs created within a university or research Institution and are part of the Open Access approach to publishing. The scientific and scholarly outputs are stored in a searchable digital format, which can be easily retrieved for later use internally, nationally, and worldwide.
- Most repositories adhere to an internationally-agreed set of technical standards that means that they expose the metadata (the bibliographic details such as author names, institutional affiliation, date, title of the article, abstract and so forth) on the Web in the same basic way. The contents of most repositories are indexed by major (academic and non-academic) search engines such as Google and Google Scholar. As the level of grows, the Open Access corpus will represent an increasingly larger proportion of the scholarly literature.
- Usage statistics (including Top country views and File visits) at Item, Collection or Community level can be determined.
- By registering with the Webometrics Ranking System, benchmarking with other institutions is possible as well as the ranking position of your IR, regional, national & international.
- By using the Google Analytics service you are able to determine website traffic and usage statistics.
- With the creation of a [Google Scholar Citation Profile](#), citations per item through Boloka can be determined.

5 Benefits

- Collects and preserves the intellectual capital/output of institutions and provides a centralised digital showcase to prospective staff, students and other stakeholders
- Increases/enhances visibility, use and impact of scientific and academic output
- OA for publicly-funded research benefits taxpayers and increases the return on their investment in research
- Manages and measures research and teaching activities
- Enables and encourages interdisciplinary approaches to research and sharing of materials and aids
- Supports student endeavours
- Reduces carbon footprint
- Research outputs are searchable via search engines and other global platforms
- Allocation of a system handle which is unique and persistent
- Links to the original article DOI
- Improves peer collaboration
- Improves discoverability, solve name ambiguity problem and distinguish own work from other researchers with ORCID
- Impacts on the Institutional ranking order using Webometrics

6 Definitions and abbreviations

Unless the context indicates otherwise:

- **“Academic staff”** refers to those persons employed by the University primarily to teach and/or to do research, including the executive members (as their individual contracts reflect) and the Deans.
- **“Boloka”** refers to the NWU Institutional Repository.
- **“DOI”** refers to the Digital Object Identifier.
“Dublin Core (DC)” is a vocabulary of fifteen properties for the use in describing a wide range of resources.
- **“ETD”** refers to Electronic theses and dissertations.
- **“Final manuscript”** refers to the last version submitted to the publisher by the author, including the amendments made after peer review. This manuscript is more commonly referred to as **Author post-print**.
- **“IT”** refers to Information Technology at the NWU.
- **“Institutional Repository”** refers to an online archive that stores, displays and preserves the research output of an organisation or institution.
- **“Metadata”** refers to structured/descriptive information that summarizes basic information about other data.
- **“NRF”** refers to the National Research Foundation.
- **“NWU-IR”** refers to the North-West University Institutional Repository.
- **“Open Access (OA)”** means the online public availability of peer reviewed research literature that is free of commercial and most technical barriers to re-use.
- **“OAI-PMH”** means the Open Access Initiative Protocol for Metadata Harvesting.
- **“ORCID”** provides a *researcher persistent digital identifier* and supports automated linkages between the author and his professional activities.
- **“Published version”** refers to the formatted and branded layout of a research publication as prepared by the publisher.
- **“Research”** refers to the “diligent and systematic inquiry or investigation into a subject in order to discover or revise facts, theories, applications, etc. “
- **“RIMS”** refers to “Research Information Management Systems” (e.g. InfoEd in support of the research administration process and research related decision making for the DST)
- **“Sherpa/Romeo”** refers to a database of publishers' policies on copyright and self-archiving.
- **“Scholarly”** refers to an article or paper that may, or may not be peer-reviewed or refereed.
- **“Self-archiving”** the process by which authors deposit their work in repositories.
- **“Students”** refers to those persons currently registered (full time or part-time) to study at the University and who publish research in the course of their degree.
- **“T&D”** refers to theses and dissertations.
- **“URL”** means Uniform Resource Locator also termed as *web address*

7 Scope

The guidelines & regulations applies to all scholarly publications authored or co-authored while the person is a member of the NWU community at time of publication or submission. External researchers sponsored by

NWU or co-author with researchers from NWU can contribute their knowledge to the NWU-IR provided that there is an agreement prior to commencement of the project or co-authorship.

The following materials will be included, but it is not limited to:

- Scholarly journal articles
- Theses and dissertations
- Inaugural lectures
- Conference proceedings and papers
- Books and book chapters
- NWU OA journals

8 Content: Terms & Conditions

- NWU is granted the right to publish theses and dissertations onto Boloka after graduation. The library adheres to publications under embargo and will not make them publicly available until such period has expired.
- Completed theses and dissertations are provided by Central Higher Degrees Administration Office to the library and the electronic/digitized copy in PDF should be captured on Boloka within 6 months after graduation.
- It is mandatory that all forms of scholarly publications to be submitted for inclusion in [Boloka](#) at time of acceptance for publication in an appropriate electronic format (such as PDF).
- Anyone at the institution who publishes should be encouraged to register for an ORCID.
- The version to be deposited is the author's final document/manuscript (post print) once the changes required by peer review have been made simultaneous with the author's final correspondence with the publisher.
- If the publisher consents, then the institution should deposit the published version of an article. [SHERPA/RoMEO](#) keeps a list of publishers willing to allow/not allow self-archiving of published versions.
- The deposit must be made, regardless of whether a publisher embargo (copyright terms) is to be observed or there are other legitimate reasons for not making the material openly available immediately but rather at a future date.
- Each deposited article is associated with the full citation for the published version, where applicable.
- Metadata should be OAI-PMH compliant like the Dublin Core metadata schema. See also minimum NRF-DC requirements for theses and dissertations. This compliance will enable the NWU-IR to be harvestable by other harvesters such as the [South African National ETD portal](#)
- Links (DOIs) are provided to the online definite version, where applicable and available.
- Authors could retain certain rights over their work (in practice, this means retaining the right to make the work OA by depositing it in an OA repository). It is recommended that authors avoid the transfer of copyright to publishers, where publishers refuse to endorse the principle of OA.
- Funder OA requirements should be respected by grantees, and in cases where a publisher will not allow OA in line with the funders terms the grantee should consider alternative publishers.
- If a publisher/funder sends a reasonable take-down request to the repository, the repository should always comply and withdraw the article.
- Open Access electronic journals will be hosted on Boloka with the consent of the Editor. Back issues are digitised for completeness of a journal. (See also 12.2)
- NWU is granted the right to publish an Inaugural address soon after the inauguration ceremony onto Boloka.

9 Operational guidelines and responsibilities for implementation

The operational guidelines will lay out the responsibilities of NWU academic staff, researchers and students in respect of publication and access to research outputs produced in the course of their employment or studies at NWU. It furthermore outlines the roles and responsibilities of the Research Office, Central Higher Degrees Administration Office, Library & Information Services and IT.

9.1 Management responsibilities

Vice-Rector: Research and Planning	Strategic Guidance and Support
DVC: Teaching & Learning	Executive Guidance and Support / Overall compliance?
Institutional Research Office	Seamless liaison between Research Office and Library Services ensuring complete and full report of research outputs on Boloka
Central Higher Degrees Administration Office	Responsible for new title registrations of T&Ds on NRF Nexus database Responsible for providing copies of all theses and dissertations for inclusion on Boloka (also indication of any embargo statements)

9.2 Author responsibilities

Academic/researcher	Submit an appropriate version (final manuscript, post print or published version) to Boloka OR Email an appropriate version (final manuscript, post print or published version) to the library for upload onto Boloka
Academic and personal profiles	Update personal profiles (ORCID) Add necessary ID's or links to the article or document submitted to Boloka Create Google Scholar Citations Profiles

9.3 Research Office responsibilities

Research officer	Report research outputs to DHET on RIMS
	Ensure that final lists of all research output reaches or are accessible to the library

9.4 Library and Information Service responsibilities

Chief Director Library & Information Service	Owner (strategic)
Director: Shared Services	Strategic Leadership and planning
Manager: Library Systems	Strategic and operational Liaise with IT and coordinates IR activities Quality assurance and reporting
Repository Administrators	Submission of articles, preparation of files, review of outputs, digitise where necessary and submit to Boloka, remove duplicates, access Sherpa Romeo to clear copyright where necessary, evaluate and edit metadata; do quality control of items submitted by researchers
Cataloguers	Metadata input of theses, dissertations and inaugural lectures Catalogued records be submitted/holdings updated to OCLC WorldCat & SABINET Completed research (T&Ds) be submitted with URL to NRF for updating of Nexus database
Senior Librarian: Systems Development	Oversees all processes and handles administration/authorizations System maintenance, upgrades, systems monitoring, back-ups, recovery.
Web Librarian	(Customizing of web interface) Ensures access, consistency, corporate identity and brand standards in the online environment

10 Other considerations

10.1 Data sets (RDM)

The treatment of data sets (data supporting the research results) should be outlined by the Institutional RDM policy. When the policy is approved, more content will be provided in the RDM Policy.

10.2 Journals published by the NWU (OA)

As soon as the new OJS (Open Journal System) is in place, all the journals on Boloka will be transferred to the new platform. Currently the OJS implementation is registered as a project with IT.

10.3 Any other works

Works not covered by 7. can still be placed on Boloka and with permission they can be made Open Access. Content will be evaluated for eligibility and/or alternative platforms may be suggested.

11 Review

This guidelines will be reviewed bi-annually or when necessary/determined by changes in procedures & content.

12 Related NWU Policies, Rules & Guidelines

12.1 Masters & Doctoral studies

- [General Academic Rules](#) 2015 (A-Rules) see 4.4.2 and 4.4.8
- [Manual for Master's and Doctoral Studies](#), May 2016
- [Rules for classification of Thesis and Dissertations](#), 2016
- [Submission of final copies: Potchefstroom Campus \(I think this has changed\)](#)

12.2 Research @ NWU

- [Policy on Plagiarism and other forms of Academic Dishonesty and Misconduct](#), June 2013
- [Research and Innovation Policy](#), 2015 (new processes?)
- [Research Infrastructure Policy](#), 2016
- [Policy for the Management of Research and Innovation Contracts and External Investment / Stakeholding](#), 2014
- [Rules of the Research Ethics Regulatory Committee \(RERC\) and the Research Ethics Committees \(RECs\)](#), 2016
- [Policy on the Management of Intellectual Property at the NWU](#), 2015

12.3 Non-NWU Documents

Department of Higher Education and Training: [New Research Output Policy](#) (2015)

PASTEUR4OA. [n.d.] Open Access policy effectiveness: A briefing paper for research institutions. Available at: <http://www.pasteur4oa.eu/sites/pasteur4oa/files/resource/Policy%20effectiveness%20-%20funders%20final.pdf> Accessed 19 May 2016.

Queensland University of Technology (QUT). 2013. QUT ePrints repository for research output. Available at: http://www.mopp.qut.edu.au/F/F_01_03.jsp?view=print Accessed 30 January 2015.

Corrie Breitenbach

Manager: Library Systems

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