

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Open Access and Research Dissemination Policy	Effective Date	14/06/2026
	Policy Subject	Research	Last Review date	
	Policy Number	RES-005	Next Review date	14/06/2029
	Responsible Entity	Assistant VP Research	Approved By	President

Overview

Research that is not published is research that did not happen, at least as far as the scholarly community and the public are concerned. The act of dissemination, of making research findings available to other scholars, to practitioners, to policymakers, and to the public, is not a formality appended to the end of the research process: it is the completion of the scholarly cycle. Research that produces knowledge but conceals it serves neither the institution's mission, Kuwait's development priorities, nor the global academic community that AIU aspires to join.

Open access to research outputs, making peer-reviewed scholarship freely available online without paywalls or subscription barriers, has moved from an idealistic aspiration to an institutional obligation in higher education over the past decade.

AIU's RISE Strategy 2026-2030 targets more than 100 SCOPUS or Web of Science-indexed publications per year by 2030. Reaching that target requires not only that AIU's faculty produce research of indexed-journal quality but that the institution has a framework for supporting the dissemination of that research. This policy provides that framework. It defines the open access routes available to AIU researchers, sets the quality standards that protect AIU's research reputation, addresses research data management as a component of research transparency, and establishes the annual reporting cycle that connects this policy to the RISE Strategy KPIs and to accreditation evidence.

This policy does not mandate open access for all AIU research outputs. Academic freedom under ACA-002 includes the freedom of faculty to choose their publication venues based on their professional judgment about where their work will be most read and most valued in their discipline. What this policy does is create the institutional conditions under which open access becomes the path of least resistance rather than an additional administrative burden: Repository deposit is supported, and guidance on rights retention and funder compliance is accessible. The policy encourages and enables; it does not command.

Scope

This policy applies to all research and scholarly outputs produced by AIU faculty, staff, students, and affiliated researchers with AIU acknowledged as an institutional affiliation. It covers peer-reviewed journal articles, conference papers, monographs, book chapters, research datasets, technical reports, theses, dissertations, and other research outputs intended for scholarly dissemination. It applies to outputs arising from internally funded research (AIU Research Fund grants under RES-001), externally funded research (RES-003), and unfunded research conducted in the course of faculty scholarly activity. It does not govern routine administrative documents, instructional materials not intended for scholarly dissemination, or confidential research subject to non-disclosure requirements under RES-003 or RES-004.

Purpose

The purposes of this policy are to:

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- Establish AIU's commitment to the broad public dissemination of its research outputs, consistent with the institution's mission to contribute to Kuwait's knowledge economy and to the global academic community
- Define the open access routes available to AIU researchers and AIU's institutional position on each route
- Establish the APC funding mechanism through which AIU supports faculty in meeting open access publication costs, including eligibility criteria and quality standards
- Establish the publication quality standards that protect AIU's research reputation, including the definition of qualifying indexed journals and the identification of predatory publication risks
- Define the rights retention practices that enable faculty to share their work openly while complying with publisher agreements
- Establish the research data management standards that support reproducibility and research transparency
- Establish the AIU Institutional Research Output Register as the primary mechanism for tracking, reporting, and demonstrating AIU's research dissemination performance
- Demonstrate compliance with scholarly activity as a complete cycle including dissemination and institutional effectiveness evidenced by documented research outputs

Abbreviations and Definitions

Open Access: The practice of making peer-reviewed scholarly research freely and permanently available online, without charge or restriction to the reader. Open access encompasses multiple routes and models (Gold, Hybrid Gold, Green, Diamond) as defined in Article 2 of this policy.

Article Processing Charge (APC): A fee charged by some open access and hybrid journals to cover the cost of peer review, editing, typesetting, and online hosting of an article that is published open access. APCs are typically charged to the corresponding author or their institution. AIU may provide APC funding support under Article 4 of this policy.

Green Open Access (Self-Archiving): The practice of depositing the accepted author manuscript (the peer-reviewed version before publisher typesetting) in an open access repository, after any embargo period required by the publisher. Green OA does not involve payment of an APC. Also known as the 'Green Route.'

Acceptable Author Manuscript (AAM): The version of an article that has been peer-reviewed and accepted for publication but has not yet undergone the publisher's copyediting and typesetting. The AAM is typically the version that faculty are permitted to self-archive under publisher self-archiving policies (Green OA), even where the final published version is not openly available.

Embargo Period: A period specified by a publisher during which an author may not self-archive their accepted author manuscript in an open access repository. Common embargo periods range from six to twenty-four months after publication. After the embargo period expires, the author may deposit the AAM

Institutional Repository: A digital platform that collects, preserves, and makes available the research outputs of an institution's faculty and researchers. An institutional repository is the primary infrastructure for Green OA and for the systematic documentation of AIU's research output. AIU's institutional repository function is currently provided through external platforms (see Article 6) pending the establishment of a dedicated AIU repository.

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Predatory Journal: A publication that falsely claims the characteristics of a legitimate peer-reviewed journal, typically soliciting manuscripts with minimal or no genuine peer review in exchange for APC payments. Predatory journals are characterized by misleading impact metrics, fabricated editorial boards, rapid acceptance without credible review, and absence from established quality indices. Publication in a predatory journal is not a qualifying scholarly output for RISE Strategy KPI purposes and may constitute a violation of FAC-004 (Faculty Professional Ethics Policy) where the faculty member was aware of the journal's predatory nature.

Scopus: A major international abstract and citation database of peer-reviewed literature owned by Elsevier, covering more than 25,000 titles. SCOPUS indexing is used as the primary quality standard for research output reporting at AIU.

Web of Science (WoS): A major international research intelligence platform providing citation data and journal quality indicators. The Web of Science Core Collection is used alongside SCOPUS as an equivalent quality reference for AIU's research output reporting.

Directory of Open Access Journals (DOAJ): An international directory of peer-reviewed open access journals maintained by a nonprofit organization. Inclusion in the DOAJ requires journals to demonstrate genuine peer review and transparency. The DOAJ provides an additional quality reference for open access journals beyond SCOPUS and WoS indexing.

Research Data Management Plan (DMP): A structured document specifying how data generated in a research project will be collected, organized, stored, preserved, shared, and eventually disposed of or archived. A DMP is required for all AIU Research Fund grants and externally funded projects from Year 2 of this policy.

Author Addendum: A document that a faculty author appends to a publisher's copyright transfer agreement, reserving specific rights including the right to self-archive the accepted author manuscript. The Library Director advises faculty on the use of author addenda consistent with their publisher's policies.

Research Output Database: The institutional database maintained by the IR Director, in coordination with the Director of Research and Grants, documenting all scholarly outputs produced by AIU-affiliated researchers with AIU affiliation acknowledged. The primary evidence base for the RISE Strategy publication KPIs and for accreditation compliance.

Policy

Article 1: Governing Principles

The following principles govern AIU's approach to open access and research dissemination:

- Research transparency:** Research produced at AIU should be accessible to the people whose questions it addresses, the practitioners who could apply it, and the scholars who will build upon it. A research culture that produces knowledge for internal promotion purposes and keeps it behind paywalls is not a research culture in any meaningful sense. Transparency in research dissemination is an expression of AIU's institutional values and of its commitment to Kuwait's knowledge economy.
- Academic freedom in publication:** Faculty have the right, as an expression of academic freedom under ACA-002, to choose the publication venues most appropriate to their scholarly work. AIU encourages open access as the default and provides financial support to enable it. AIU does not

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mandate specific journals or publication routes for faculty whose research is not funded by sources requiring open access compliance. The encouragement of open access must never shade into pressure that constrains scholarly autonomy.

- c. Quality before openness: Open access publication in a low-quality venue does not serve AIU's research mission. The quality standards in Article 5 exist not to limit faculty publishing choices but to ensure that AIU's APC funding is directed to publications that strengthen the institution's research profile and contribute genuine value to the scholarly record. Publication in a predatory journal, regardless of its open access status, is not a qualifying research output.
- d. Rights retention: Faculty who retain meaningful rights to their published work can disseminate it more widely. The trend in scholarly publishing toward author-favorable rights retention policies - including the Science Europe Rights Retention Strategy, adopted by major European funders and implemented by the rights-retention clauses now standard in many UK and European faculty publishing agreements -- is in the direction of greater faculty control. AIU supports faculty in understanding and exercising their rights, including through the use of author addenda and the selection of publishers with liberal self-archiving policies.
- e. Funder compliance: Where research is funded by an external sponsor whose terms require open access publication, compliance with those terms is a non-negotiable condition of accepting the grant under RES-003. APC funding for funder-mandated open access is treated as a direct project cost and should be budgeted in the grant proposal.

Article 2: Open Access Routes

AIU recognizes four primary routes through which research outputs may be made open access. AIU's institutional position on each route is defined in the following table:

Route	Description	AIU Position	When Appropriate
Gold Open Access	Publication in a fully open access journal where the article is immediately freely available to all readers. Article Processing Charges (APCs) are typically required, paid by the author or institution.	Supported AIU provides APC funding under Article 4 where funds are available and quality criteria are met	Where the journal meets the quality criteria in Article 5 and APC support is available. Preferred where mandated by the funder of the research.
Hybrid Open Access	Publication in a subscription journal where the author pays an APC to make their specific article open access	Conditionally supported APC funding available only where the journal is high quality and the	Where the journal is a well-regarded peer-reviewed venue in the discipline and

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	while the rest of the journal remains subscription-based.	arrangement represents value for money	no equivalent fully open access journal of comparable quality exists
Green Open Access (Self-Archiving)	Publication in a subscription journal with deposition of the accepted author manuscript (post-print) in an open access repository, under the journal's self-archiving permissions (typically after an embargo period). No APC paid.	Encouraged for all AIU faculty as the minimum dissemination standard where Gold OA is not available or affordable	Always where faculty publish in subscription journals, they are encouraged to deposit the accepted author manuscript in an approved repository as soon as the journal's embargo period allows
Diamond / No-Fee Open Access	Publication in open access journals that charge no APCs to authors, typically supported by academic societies, institutions, or public funding.	Strongly supported no cost to AIU and maximum public access	Where a high-quality diamond OA journal exists in the relevant discipline. The proliferation of diamond OA journals in the Arab region (including Qatar University Press) makes this route increasingly available.
Preprint Servers	Posting of a pre-peer-review version of a manuscript to a discipline-specific preprint server (such as arXiv, bioRxiv, SSRN, or equivalent) before or	Encouraged where preprint culture exists in the relevant discipline and where the content has been reviewed by the	Physics, mathematics, computer science, economics, and increasingly in life sciences and social

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	simultaneously with formal journal submission.	author's colleagues before posting	sciences where preprint servers are established. Faculty must ensure that deposited preprints do not contain sensitive research data, human participant information, or content subject to IP protection procedures under RES-004.
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Faculty may use more than one dissemination route for a single output. Publishing in a subscription journal and simultaneously depositing a preprint, then depositing the accepted author manuscript in a repository after the embargo period, is a legitimate and encouraged dissemination strategy. Faculty are encouraged to consult the Library Director on the self-archiving policies of specific journals before submission, using resources such as the SHERPA/RoMEO database of publisher self-archiving policies.

Article 3: AIU Affiliation Acknowledgement

All research outputs produced by AIU faculty, staff, students, and affiliated researchers with AIU as a primary or secondary affiliation must include a correct acknowledgement of AIU affiliation. The standard acknowledgement format for a single AIU affiliation is:

Standard AIU Affiliation Format for Publications

[Author Name], [Department Name], [School Name], American International University, Kuwait

Example: Dr. Layla Al-Rashidi, Department of Computer Science, School of Engineering and Computing, American International University, Kuwait

Email: [institutional email address]

Where a faculty member holds a joint appointment with another institution, both affiliations should be listed. AIU affiliation is listed first where AIU is the faculty member's primary employer. Faculty who publishes research conducted while on sabbatical leave at another institution include both their AIU affiliation and the host institution's affiliation.

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Research outputs that do not acknowledge AIU affiliation cannot be counted in the Research Output Database or toward the RISE Strategy publication targets. The Director of Research and Grants contacts faculty where the Annual Research Activity Report identifies publications without correct AIU affiliation, and may request that publishers issue corrections where possible. Failure to acknowledge AIU affiliation in outputs produced during AIU employment, without documented justification, is a breach of the obligation to act in AIU's interests and may be addressed through the faculty performance review process.

Article 4: APC Funding Support

4.1 APC Fund

AIU establishes an Article Processing Charge (APC) fund administered by the Director of Research and Grants, with an annual budget allocation approved through the institutional budget cycle under FIN-002. The APC fund is designed to remove financial barriers to open access publication for AIU faculty whose research meets the quality criteria in Article 5. The fund is not limitless, it is allocated on a first-come, first-served basis within the annual budget, with priority given to the criteria in Article 4.2.

4.2 Eligibility and Priority

The following eligibility criteria and priority order govern APC funding decisions:

- Eligibility: The corresponding author must be a full-time AIU faculty member or a registered AIU graduate student supervised by an eligible faculty member. The journal must meet the quality criteria in Article 5. The research must acknowledge AIU affiliation. APCs for publications arising from externally funded research should in the first instance be budgeted within the grant (and were required to be included in the budget proposal under RES-003); APC fund support is available as a supplementary source where grant funds are insufficient or where the grant does not cover publication costs.
- Priority 1: Funder-mandated OA: APC applications for publications where open access is mandated by the external funder as a condition of the grant award are given first priority.
- Priority 2: AIU Research Fund grant outputs: APC applications for publications arising from AIU internal Research Fund grants (RES-001) are given second priority, as direct outputs of institutionally funded research.
- Priority 3: Gold and Diamond OA in high-quality indexed journals: APC applications for publication in fully open access journals (Gold or Diamond route) that are indexed in SCOPUS or Web of Science Core Collection are given third priority.
- Priority 4: Hybrid OA in high-quality journals: APC applications for hybrid open access in subscription journals are given fourth priority and are approved only where the journal is well-regarded in the discipline and the cost represents value for money relative to the Green OA alternative.

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4.3 Maximum Funding Levels

The maximum APC funding from the AIU APC Fund per article is KD 300. Where the APC exceeds this amount, the faculty member is responsible for the balance from their research account (where one exists under RES-001 Article 6 or RES-003's IDC allocation) or from other available funding. The Director of Research and Grants may approve exceptions to this ceiling in writing where the publication is in a particularly high-impact journal and the excess cost is justified by the expected scholarly impact.

Article 5: Publication Quality Standards

AIU's APC funding, research output reporting, and RISE Strategy KPI calculations all depend on a clear, consistently applied definition of a qualifying scholarly publication. The following quality standards define what counts as a qualifying publication at AIU:

Quality Standard	Description and Application at AIU
SCOPUS or Web of Science indexing	The primary journal quality indicator for research output reporting at AIU. A journal that is indexed in SCOPUS or Web of Science Core Collection meets the minimum quality threshold for AIU's research output reporting and for APC funding eligibility. Indexing is a proxy for quality, not a guarantee; faculty are encouraged to target journals within these indices that are well-regarded in their discipline. Priority is given to publications in Journals with IF of 15 or higher.
Peer review with independent external reviewers	All journals receiving AIU APC funding must use a documented, independent peer review process. Single-blind, double-blind, and open peer review are all acceptable models, provided that reviewers are independent of the authors and the editorial team. Editorial board membership must include recognized scholars; the editor and reviewers should not be the same individuals as the authors of the paper under review.
Regular publication frequency	Journals must publish on a regular, documented schedule. Journals that claim a frequency but do not maintain it, that publish disproportionately large numbers of papers in short timeframes, or that cannot produce a credible publication history are not eligible for APC funding.

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Absence of predatory indicators	AIU does not fund APCs for publication in journals exhibiting predatory characteristics, including: rapid acceptance without credible peer review; solicitation of manuscript submissions through unsolicited email; inability to verify editorial board membership; artificially inflated or fabricated impact metrics; fees demanded after acceptance without prior disclosure; or absence from SCOPUS, Web of Science, or DOAJ. The Directory of Open Access Journals (DOAJ) provides an additional quality reference for open access titles. Faculty who are uncertain about a journal's quality consult the Director of Research and Grants or the Library Director before submitting.
Research Data Management Plan	Where a publication presents data collected in connection with the research, the author must have a documented plan for how underlying data will be stored, preserved, and made accessible, consistent with Article 8 of this policy. This is not a journal quality criterion in itself but is a condition of AIU APC funding for data-generating research.

The Director of Research and Grants maintains and annually updates a list of journals and preprint servers known to exhibit predatory characteristics ('Caution List'). Faculty may consult the Caution List before submitting a manuscript. The Caution List is advisory, not exhaustive; the absence of a journal from the Caution List does not confirm its legitimacy. Faculty who are uncertain about a journal's quality should verify SCOPUS or DOAJ listing before submitting.

Article 6: Institutional Repository and Self-Archiving

An institutional repository is the primary infrastructure for systematic capture and dissemination of AIU's research outputs over time. It enables Green OA, preserves the institutional research record, and provides the technical basis for reporting research outputs to Accrediting agency and to external stakeholders. The following provisions govern AIU's approach to repository infrastructure:

- Enhancement of the existing repository system complemented with external approved repository platforms. Approved platforms include: Zenodo (operated by CERN, free to use, widely accepted by publishers and funders); Figshare (widely used for data and research outputs, including by the Manara Qatar platform); and discipline-specific repositories such as arXiv, SSRN, and the Social Science Open Access Repository (SSOAR) where appropriate to the discipline. The Director of Research and Grants and the Library Director jointly maintain the Approved Repository List, updated annually.
- Faculty are encouraged to deposit their accepted author manuscripts in an approved repository as soon as the publisher's embargo period permits. The Library Director provides guidance on

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embargo periods using the SHERPA/RoMEO database and advises faculty on the rights they retain under their publisher agreement.

- c. The Author Addendum process: Where a faculty member's publisher requires a copyright transfer agreement, the faculty member may attach an Author Addendum reserving the right to self-archive. The Library Director provides standard author addendum templates and advises on their use. Faculty are not required to use an author addendum but are encouraged to do so where it is consistent with the publisher's policies.
- d. All confirmed indexed publications by AIU-affiliated authors are entered in the Research Output Database by the IR Director, whether or not the full text is deposited in a repository. The Research Output Database is the authoritative record of AIU's scholarly output and is verified against SCOPUS and Web of Science annually.

Article 7: Preprints and Working Papers

Preprints, draft manuscripts posted to a preprint server before or simultaneously with formal peer-reviewed journal submission, have become a significant component of research dissemination in physics, mathematics, computer science, economics, and increasingly in the life sciences and social sciences. The following provisions govern preprint practices at AIU:

- a. Faculty are encouraged to post preprints of their work in established disciplinary preprint servers where this is consistent with disciplinary norms and publisher policies. The posting of a preprint is not a substitute for submission to a peer-reviewed journal but is a complement to it.
- b. Preprints must clearly be labelled as preprints that have not undergone peer review. Faculty must not represent a preprint as a peer-reviewed publication in any AIU reporting, promotion or evaluation context. The Research Output Database distinguishes between preprints and peer-reviewed publications.
- c. Before posting a preprint, the faculty member must confirm that: the content does not include identifiable human participant data without appropriate anonymization or consent (consistent with RES-002); the content does not include IP subject to active patent prosecution or pending disclosure evaluation under RES-004; and the content is consistent with any confidentiality obligations under an external grant (RES-003).
- d. Preprints are reported in the Annual Faculty Research Activity Report under RES-001 as a category of scholarly output, distinct from peer-reviewed publications. They do not count toward the RISE Strategy indexed publication KPI but are recorded as evidence of research activity and community engagement.

Article 8: Research Data Management

Research data management is the practice of planning, organizing, storing, preserving, and, where appropriate, sharing the data that underlies research outputs. Sound data management is a component of research integrity (RES-002), a requirement of many external funders (RES-003), and an increasingly important element of the reproducibility standards that peer-reviewed journals and accreditors expect. The following standards govern research data management at AIU:

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Data Management Standard	Requirement
Data Management Plan (DMP)	All externally funded research projects and AIU Research Fund grants must include a documented Research Data Management Plan approved before data collection commences. The DMP specifies: what data will be collected; how it will be organized and stored during the project; who will have access during the project; where it will be deposited after the project; what data will be made openly available; what data will be restricted and why; and the planned retention period.
Minimum retention period	Research data underlying published outputs must be retained for a minimum of ten years from the date of publication. Research data from projects that did not produce a publication must be retained for a minimum of five years from the conclusion of the project. These minima may be extended by funder requirements or by the terms of a sponsored research agreement under RES-003.
Data sharing — where mandated	Where a research funder, journal, or sponsor requires data sharing as a condition of funding or publication, the researcher must comply with that requirement. Compliance with data sharing requirements is a condition of AIU research support and APC funding. The Director of Research and Grants advises on compliance where the requirements are unclear.
Data sharing — where voluntary	AIU encourages but does not mandate voluntary sharing of research data beyond what funders require, consistent with the principle of research transparency. Where a faculty member wishes to share research data voluntarily, they consult the Director of Research and Grants on the appropriate repository and the applicable data privacy and IP considerations before sharing.
Restrictions on data sharing	Research data that contains identifiable information about human participants may not be shared without appropriate anonymization or the explicit consent of the participants, consistent with RES-002 and ADM-002. Research data subject to IP protection under RES-004, or to confidentiality

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	provisions in a sponsored research agreement under RES-003, may not be shared in ways inconsistent with those protections. AI-generated research data must be labelled as such in any data deposit, consistent with ACA-006.
Data deposit and storage	Research data meeting the sharing criteria is deposited in an approved repository identified by the Director of Research and Grants in coordination with the Library Director. Approved repositories include established disciplinary repositories (such as the UK Data Archive, Figshare, Zenodo, and PANGAEA), funder-designated repositories, and in the medium term AIU's own institutional repository where established. Personal computer drives, personal cloud accounts, and institutional email are not acceptable long-term data repositories.

Article 9: Roles and Responsibilities

Role	Open Access and Research Dissemination Responsibilities
Vice President for Academic Affairs (VPAA) and Assistant VP for Research	Institutional accountability for research dissemination standards; approves the annual APC budget allocation; receives the Annual Research Dissemination Report; chairs the annual publication quality review; ensures that the policy's academic freedom protections are maintained, particularly the principle that AIU encourages but does not mandate specific venues for faculty publications
Director, Office of Research and Grants	Manages the APC fund, including receiving applications, assessing journal quality, approving or declining funding, and tracking expenditure; maintains the Approved Repository List; advises faculty on open access routes, rights retention, predatory journal identification, preprint practices, and funder compliance; produces the Annual Research Dissemination Report; manages the Research Output Database in coordination with the IR Director
Library Director	Maintains awareness of open access developments, publisher agreements, and repository options relevant to AIU's research

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	community; advises faculty on the Author Addendum process and rights retention; manages AIU's institutional repository where established; coordinates with the Director of Research and Grants on APC fund management; provides training on open access practices as part of library instruction and faculty development
Faculty Members	Report all scholarly outputs through the Annual Faculty Research Activity Report under RES-001; consult the Director of Research and Grants or Library Director before choosing a publication venue where open access requirements, APC eligibility, or IP rights are relevant; apply for APC funding through the process in Article 4; acknowledge AIU affiliation in all publications; comply with funder open access mandates as a condition of grant award acceptance under RES-003; avoid submitting to or publishing in predatory journals
IR Director	Maintains the Research Output Database as the institutional record of all AIU research outputs; verifies indexed publications against SCOPUS and Web of Science; produces research dissemination indicators for the Annual Institutional Effectiveness Report; tracks progress against the RISE Strategy publication targets
Deans	Support faculty in meeting publication expectations; alert the Director of Research and Grants where faculty publish in journals exhibiting predatory characteristics; advocate for adequate APC budget allocation in the annual budget process; incorporate research dissemination indicators in School-level annual reporting

Article 10: Assessment and Annual Reporting

Research dissemination performance is assessed annually using the following Key Performance Indicators:

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KPI	Measurement	Target
Annual indexed publications	Number of SCOPUS- or Web of Science-indexed publications with at least one AIU author affiliation, verified from the Research Output Database	Positive trend year-on-year; 100+ per year by AY 2029-30 (RISE Strategy target)
Open access rate	Percentage of AIU-affiliated publications in a given year that are available through an open access route (Gold, Hybrid Gold, Green, Diamond, or preprint server)	>=50% of all AIU publications open access by AY 2028-29; >=70% by AY 2030
APC fund utilization and quality compliance	Number of APC funding applications received, approved, and declined per year; percentage of funded journals that are SCOPUS- or WoS-indexed	100% of APC funding directed to SCOPUS- or WoS-indexed journals; fund fully utilized each academic year
Predatory publication rate	Number of AIU-affiliated publications in journals identified by the Director of Research and Grants as exhibiting predatory characteristics, detected through the annual output review	Target: zero predatory publications per year. This KPI measures policy effectiveness.
Research data management plan compliance	Percentage of externally funded and AIU Research Fund grants active in the academic year that have a documented, approved Research Data Management Plan	100% compliance for all funded projects from Year 2 onwards

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AIU affiliation acknowledgement rate	Percentage of publications in the Research Output Database where AIU affiliation is correctly acknowledged in the standard format	>=95% correct acknowledgement; publications without correct AIU affiliation are contacted for correction where possible
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The Director of Research and Grants produces the Annual Research Dissemination Report by 30 November each year, covering the preceding academic year. The Report is submitted to the AVPR and Library Director; the AVPR presents a summary to the President, who reports to the Board Academic Affairs Committee. The IR Director incorporates research dissemination KPIs in the Annual Institutional Effectiveness Report (IE-002). The Annual Research Dissemination Report includes:

- Total publications by AIU-affiliated authors: count by School, by output type (journal article, book chapter, conference paper, monograph), and by open access status
- SCOPUS and Web of Science indexed publications: verified count and year-on-year trend
- APC fund: total budget, applications received, applications approved and declined, total expenditure, and distribution by route (Gold, Hybrid, Diamond)
- Predatory publications identified through the annual output review: count and follow-up actions taken
- Repository deposits: count of outputs deposited in approved repositories during the year
- Research data management: percentage of active funded projects with an approved DMP
- Assessment of AIU's research dissemination trajectory relative to the RISE Strategy 2030 targets and priorities for the following year

Procedures

APC Funding Application

1. Faculty member receives an acceptance notification from a peer-reviewed journal and identifies an open access publication option. Faculty member consults the Approved Repository List and journal listings to confirm the journal's quality status (SCOPUS/WoS indexing, DOAJ listing, absence from the Caution List).
2. Faculty member completes the APC Funding Application Form, available from the Office of Research and Grants, including: the journal name and ISSN; confirmation of SCOPUS or WoS indexing; the APC amount and currency; the publication title; co-authors and their affiliations; the funding source for the research (internal grant, external grant, or unfunded); and a statement that the publication acknowledges AIU affiliation in the standard format.
3. Faculty member submits the completed Form to the Director of Research and Grants. The Director reviews the application within five working days for: journal quality compliance with Article 5; eligibility of the applicant; priority ranking under Article 4.2; and availability of APC fund budget for

 AMERICAN INTERNATIONAL UNIVERSITY الجامعة الأمريكية الدولية	Policy Main Title	Open Access and Research Dissemination Policy	Effective Date	14/06/2026
	Policy Subject	Research	Last Review date	
	Policy Number	RES-005	Next Review date	14/06/2029
	Responsible Entity	Assistant VP Research	Approved By	President

the current year. The Director issues a written decision (approval, conditional approval, or decline with reasons) within ten working days of receipt of a complete application.

- Where approved, the Director of Research and Grants coordinates payment of the APC directly to the publisher (preferred) or reimburses the faculty member against an original invoice. Payment records are filed in the APC fund register. The faculty member provides the Director with a copy of the final published article confirming open access status.
- The Director of Research and Grants logs the publication in the Research Output Database and tracks the APC expenditure against the annual APC budget. Where APC fund budget is exhausted before the year-end, the Director notifies the AVPR and develops a recommendation for the following year's budget allocation.

Green OA Self-Archiving

- Faculty member publishes an article in a subscription journal and wishes to self-archive the accepted author manuscript in an approved repository. Faculty member consults the SHERPA/RoMEO database (available at sherpa.ac.uk) or contacts the Library Director to determine the journal's self-archiving policy, including any embargo period.
- Where self-archiving is permitted immediately or after an embargo period, the faculty member deposits the accepted author manuscript (the peer-reviewed, author-corrected version before publisher typesetting) in an approved repository. The deposit metadata includes: the publication title; the journal name and ISSN; the year and DOI of the final published version (once available); the AIU affiliation of the corresponding author; and a note that this is the accepted author manuscript and not the final published version.
- Faculty member notifies the Director of Research and Grants of the repository deposit. The Director updates the Research Output Database to reflect the open access status of the publication and records the repository URL as a persistent link to the open access version.
- Where the publisher's policy does not permit immediate or embargoed self-archiving, the Library Director advises on alternative rights retention approaches, including the use of an author addendum. Where no self-archiving route is available, the publication is recorded in the Research Output Database as subscription-access only, and the Director of Research and Grants notes this as context for the APC fund priority assessment for the faculty member's future publications.

President Signature

Signature: _____ Date: _____