



UNIVERSITY OF NAIROBI

Library & Information Services

OPEN ACCESS POLICY

2012

Approved by

Director, Library & Information Services

Signed  Date 6/12/2012



**UNIVERSITY OF NAIROBI**

**UNIVERSITY OF NAIROBI OPEN ACCESS POLICY**

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## **VISION, MISSION AND CORE VALUES**

### **VISION**

A world-class university committed to scholarly excellence

### **MISSION**

To provide quality university education and training and to embody the aspirations of the Kenyan people and the global community through creation, preservation, integration, transmission and utilization of knowledge

### **CORE VALUES**

- Freedom of thought and expression
- Innovativeness and creativity
- Good corporate governance
- Team spirit and teamwork
- Professionalism
- Quality customer service
- Responsible corporate citizenship and strong social responsibility
- Respect for and conservation of the environment.

## **FOREWORD**

The University of Nairobi is the oldest and largest university in Kenya with a student population of 61,000, 1,500 teaching staff and 3,400 non-teaching staff as at December 2012. It has the largest number of professors and academic staff in Kenya. The University offers over 400 academic programmes spread over six colleges, twenty six faculties, schools and institutes.

The University of Nairobi is committed to scholarly excellence, providing quality University education and training. The University values information and has taken practical steps to preserve and disseminate knowledge through the provision of conducive environment for conducting quality education and research. Towards this end, the University is committed to capture and preserve the intellectual output of the institution and its community. The University has signed the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities as evidence of its commitment to the global Open Access initiative.

The Open Access policy will provide our scholars the opportunity and platform to promote their academic work by enhancing access to research outputs. Further, the policy will enhance the visibility and impact of our research output and archiving of our scholarly materials.

The Open Access policy will anchor the University in its rightful place in the national, regional and international arena and open up the University for more global visibility.

**Professor George A.O. Magoha**

**Vice-Chancellor**

**December 2012**

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## DEFINITION OF TERMS AND ACRONYMS

### 1) TERMS

In this policy, unless the context otherwise requires, the following terms shall have the meanings assigned to them:

**Copyright:** An original work of authorship which has been fixed in any tangible medium of expression from which it can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device, such as books, articles, journals, software, computer programs, musical works, dramatic works, videos, multimedia products, sound recordings, paintings, pictorial, sculpture or graphical works.

**Creative Commons End User License:** It allows an author to retain their copyright while allowing others to copy and distribute the work provided they give the author credit and on the specified conditions.

**DSpace Open Source Software:** Is a Free Open Source Software (FOSS) that helps to preserve and enable easy and open access to all types of digital content including text, images, moving images, mpegs and data sets.

**Depositor:** Creator of a deposited record who submits digital items and associated metadata for uploading to the repository.

**Dublin Core Metadata Initiative:** The Dublin Core Metadata Initiative provides core metadata vocabularies in support of interoperable solutions for discovering and managing resources. The Dublin Core metadata terms are a set of vocabulary terms which can be used to describe resources for the purposes of discovery. The terms can be used to describe a full range of web resources like video, images, web pages and physical resources such as books and objects like artworks.

**Green route:** Open Access initiative achieved by depositing items (journal articles, peer-reviewed conference papers, theses etc) in an open access repository, a process

known as 'self-archiving' for the purpose of maximizing accessibility, usage and citation impact.

**Intellectual Property:** Any new original or useful process, machine, composition of matter, life form article of manufacture, software, literary, artistic, musical work, or tangible property including new or improved devices, circuits, chemical compounds, drugs, genetically engineered biological organisms, data sets, software, musical processes, or unique or innovative uses of existing inventions that may or may not be patentable, copyrightable, trade markable or protectable under any other form of intellectual property.

**Metadata:** Metadata is structured information that describes, explains, locates or otherwise makes it easier to retrieve, use or manage an information resource. Metadata is often referred to as data about data or information about information.

**Non-exclusive rights:** With a non-exclusive license, a creator is free to license their work to multiple parties. It is a license in which the same rights to an intellectual property are granted to several licensees within the same scope or field, consecutively or simultaneously.

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

**Open Access Journals:** Open-access journals are scholarly journals that are available online to the reader without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself.

**Scholarly Works:** Research, literary, performed, and fictional works in various formats produced by academics.

**Staff:** Shall mean any person employed by University of Nairobi on contract or on permanent and pensionable terms;

**Student:** Bona fide student of the University of Nairobi;

**University Community:** Students and members of staff of the University or any other person formally admitted into association with the University;

**University of Nairobi Digital Repository:** A digital, open access, content-neutral collection of the University of Nairobi that captures and preserves the intellectual output of the institution and its community members.

## 2) ACRONYMS

<b>DVC (RPE)</b>	-	Deputy Vice-Chancellor (Research, Production and Extension)
<b>HTML</b>	-	Hypertext Markup Language
<b>IP</b>	-	Intellectual Property
<b>IR</b>	-	Institutional Repository
<b>OA</b>	-	Open Access
<b>OAC</b>	-	Open Access Committee
<b>OAP</b>	-	Open Access Policy
<b>OP</b>	-	Open Policy
<b>UON</b>	-	The University of Nairobi
<b>URL</b>	-	Uniform Resource Locator



## **1.0 INTRODUCTION**

The growth of Information and Communication Technologies has fundamentally changed the way scientific knowledge is distributed. The internet has emerged as a powerful instrument for global exchange and distribution of human knowledge. Through digitization and the use of the internet, it has become possible to share/distribute information widely. New and efficient modes of knowledge dissemination have emerged, prominent among these being the Open Access (OA) initiative.

At the heart of OA is the need to provide universal access to information and knowledge. Open Access is the provision of free and unrestricted access to peer reviewed, scholarly and research information to all. As an academic and research institution, the University of Nairobi is not only a contributor to global knowledge through its core activities of research, teaching, learning and consultancy, but also a consumer of such information. To stimulate the growth of innovations and creation of new knowledge, the University's aim is to be a vibrant and dynamic participant in the global creation, exchange and application of knowledge. Access to and sharing of research outputs will therefore be at the centre of this transition. The University has identified the Open Access Initiative as one of the principal routes that will assist it in this transition. Consequently, the University has developed an open access policy as a guide in its commitment to disseminate its scholarly outputs as widely as possible.

The University has established the UON digital repository as the "green route" that will provide long-term preservation and showcase its scholarly output. This will enhance its visibility in the global knowledge society and in the process enable its community to engage with others collaboratively in the production, transmission and utilization of knowledge.

## **2.0 POLICY STATEMENT**

### **2.1 Policy Goals**

- (i) To provide open access to scholarly output resulting from academic activities undertaken at the University
- (ii) Promote high standards in the management of research outputs
- (iii) Provide long-term preservation of the University's research outputs
- (iv) Increase the visibility and impact of the University's research outputs
- (v) Enhance collaboration with the global research community

### **2.2 Policy Declaration**

The University of Nairobi is committed to free and open access to scholarship for all and takes responsibility for the dissemination of its own research outputs. This commitment is rooted in the University Mission and is undergirded by its core values of innovativeness, professionalism and corporate social responsibility.

In keeping with this commitment, the University adopts the following policy:

- (i) All members of the University Community will be required to submit their scholarly output to the University of Nairobi Digital Repository.
- (ii) The Digital Repository will operate as a non-profit, non-commercial, open access facility.
- (iii) Each member of the University Community grants to the University of Nairobi a non-exclusive, irrevocable, world-wide license to exercise any and all rights under copyright relating to their scholarly articles in any medium, provided that the articles are not sold for a profit, and to authorize others to do the same.
- (iv) The University of Nairobi requires its members to comply with the policies of research funders with regard to open access archiving in line with University of Nairobi relevant and related Policies.

- (v) The University encourages members of its community to publish their scholarly work in peer-reviewed Open Access journals. A member of the University Community who publishes in an Open Access Journal shall not be disadvantaged during promotion and tenure considerations.
- (vi) Peer reviewed articles for uploading to the repository shall be deposited at the time of acceptance for publication or no later than the date of publication.
- (vii) This policy applies to all scholarly works completed before and after the adoption of the policy.
- (viii) The University will constitute a University Open Access Committee. The Committee will inter alia be responsible to Senate and the Vice-Chancellor for vetting the content, interpreting the policy, determining embargo issues and dealing with disputes.
- (ix) The University of Nairobi Digital Repository shall be coordinated and managed by the Repository Administrator under the supervision of the University Librarian with the participation of stakeholders in liaison with the Office of the Vice-Chancellor.
- (x) The right to amend this policy shall vest with the Council of the University of Nairobi on advice from the Senate.

### **3.0 SCOPE**

This policy applies to all University of Nairobi community, visiting staff and students.

### **4.0 LEGAL AND POLICY FRAMEWORK**

The Open Access policy shall be interpreted in accordance with the following;

- (i) The Constitution of Kenya 2010;
- (ii) The Universities Act, 2012;

- (iii) The Anti-Corruption and Economic Crimes Act, 2003;
- (iv) The Public officer Ethics Act, 2003;
- (v) The Proceeds of Crime and Anti-Money Laundering Act;
- (vi) The Public Universities Code of Conduct;
- (vii) Rules Governing the Conduct and Discipline of Students;
- (viii) Books and Newspapers Act;
- (ix) Copyright Act;
- (x) Stage and Plays Act;
- (xi) Industrial Property Act;
- (xii) Information and Communications Act ;
- (xiii) Science and Technology Act;
- (xiv) Trade Marks Act;
- (xv) University of Nairobi Intellectual Property Policy;
- (xvi) University of Nairobi Research Policy;
- (xvii) University of Nairobi statutes and;
- (xviii) All laws passed and applicable in the Republic of Kenya.

## **5.0 REVIEW OF THE POLICY**

- (i) The Repository Administrator shall monitor and evaluate the implementation of this policy quarterly with a view to forming a basis for review.
- (ii) The Open Access Policy shall be reviewed from time to time unless otherwise directed by the Vice-Chancellor.

## **6.0 THE UNIVERSITY OF NAIROBI DIGITAL REPOSITORY GUIDELINES**

The University of Nairobi Open Access policy seeks to promote the highest standards in the management of research outputs as fundamental to both high quality research and academic integrity. The repository will initially be an Open Access research archive and will accept published, peer-reviewed research output. It will also accept articles that have been accepted for publication in peer-reviewed journals but not yet published. The UON repository will further diversify to include other materials such as "grey" literature (conference proceedings etc); students' work (PhD theses/Masters' dissertations);

lecture notes; speeches; digital images of socio-cultural heritage collections, multimedia among others."

The University of Nairobi shall operate a Digital Repository to be known as the *University of Nairobi Digital Repository* - <http://erepository.uonbi.ac.ke>

The primary aim of the University of Nairobi Digital Repository is to provide unfettered, searchable, access to the University scholarly output, increase the University's general internet visibility and the impact of the University's research, as well as to enhance the feedback loop to University researchers, the University, and other stakeholders.

The Digital Repository shall be the means for the long-term archiving, preservation and retrieval of materials deposited within it and otherwise provides a permanent record of the University's scholarly activity by employing the latest technology to aid that objective.

## **6.1 TYPES OF ELIGIBLE CONTENT**

The following types of materials shall be accepted into the Repository:

- (i) Theses and dissertations/research projects
- (ii) Scholarly Research articles (published peer reviewed and pre-prints)
- (iii) Open lectures
- (iv) Conference/workshop Proceedings
- (v) Books, monographs, chapters
- (vi) Image collections (paintings, pictures, drawings, illustrations, etc).
- (vii) Audio and audio-visual materials
- (viii) Technical reports and working papers
- (ix) Inaugural lectures, distinguished lectures, speeches
- (x) Datasets
- (xi) Admissions lists
- (xii) Graduation lists
- (xiii) University policies
- (xiv) Events programs

- (xv) Valedictory presentations
- (xvi) University calendars
- (xvii) University magazines
- (xviii) Forms
- (xix) Newsletters
- (xx) Literary publications
- (xxi) Journalism student media content
- (xxii) Other materials as maybe approved by the Senate and the Vice-Chancellor

## **6.2 FILE FORMATS**

- (i) Only digital or digitized items will be accepted into the repository
- (ii) File formats that are platform-independent, vendor-independent, non-proprietary, stable, widely supported are recommended
- (iii) The Repository will not accept executable binary files if alternatives are available
- (iv) UON Digital Repository staff may convert to more appropriate formats any content that is in obscure or little-used formats for compatibility reasons.

## **6.3 SUBMISSION GUIDELINES**

- (i) Items may only be deposited by bona-fide members of the University of Nairobi.
- (ii) Authors may only submit their own work for archiving or work which they have contributed to and to which they may be attributed.
- (iii) The Digital Repository may accept deposit from institutional authors such as the University of Nairobi or any of its specialized departments.
- (iv) The Institutional Repository Administrator only vets items for the eligibility of authors/depositors, relevance to the scope of University of Nairobi policy, valid layout and format, and the exclusion of spam.
- (v) The validity and authenticity of the content of submissions is the sole responsibility of the depositor.
- (vi) Items can be deposited at any time, but will not be made publicly accessible until any publishers' or funders' embargo period has expired.
- (vii) Any copyright violations are entirely the responsibility of the authors/depositors.

- (viii) The UON Digital Repository is not an exclusive repository. Authors may also deposit their work in other repositories.
- (ix) If University of Nairobi receives any claims of intellectual property violation, the relevant item will be removed from the repository immediately pending the outcome of investigations.
- (x) Any submission not meeting the submission criteria will be returned to the depositor together with reasons for refusal.

## **6.4 METADATA GUIDELINES**

### **6.4.1. Access to Metadata**

- (i) The metadata is freely accessible
- (ii) The Metadata must not be re-used in any medium for commercial purposes without formal permission.

### **6.4.2. Data Guidelines**

- (i) Copies of full items may be reproduced, displayed or performed, and given to third parties in any format or medium for personal research, study or education, provided:
  - a. The authors, title and full bibliographic details are provided and a hyperlink and/or URL are given for the original metadata page.
  - b. The content is not changed in any way.
- (ii) Full text items shall not be sold commercially in any format or medium without formal permission of the copyright holders.
- (iii) Some full items are individually tagged with different rights permissions and conditions.
- (iv) This repository is not the publisher; it is merely an online archive. Mention of University of Nairobi Digital Repository is mandatory.

## **6.5 REPLACEMENT**

A depositor may request that an item is replaced by another version if an error is discovered in the content. The replacement item may use the same record as the original.

## **6.6 INTELLECTUAL PROPERTY/COPYRIGHT**

- (i) If the University receives proof of copyright violation, the relevant item will be removed immediately
- (ii) All depositors will be required to sign the **University of Nairobi Digital Repository Deposit Agreement** in order to give permission for their work to be held in the Repository, to provide for the distribution of their work and to allow ongoing preservation of both their work and/or the related metadata
- (iii) It is the responsibility of the depositing author to alert the UON Digital repository administrator if an item has not been peer reviewed and may contain any useful intellectual property
- (iv) Every time an item is accessed from the UON Digital repository, the end user agrees to respect the original copyright of the work to which access has been granted by the depositor
- (v) Where the copyright to a work deposited in the UON Digital Repository is owned by a member of University of Nairobi community, the Creative Commons end-user license will apply
- (vi) Where research is generated as a result of collaboration between multiple authors, UON Digital Repository will accept an author signature on behalf of his/her co-author/s in good faith. Should there be an objection raised, the material in question will be withdrawn subject to further investigation of the complaint

## **6.7 PRESERVATION**

The UON repository will retain Items indefinitely, and ensure continued readability and accessibility and take appropriate measures as warranted.



- (i) The University is committed to responsible and sustainable management of works deposited in the University Digital Repository and to ensuring long-term access to those works
- (ii) Deposited items will be assigned a persistent identifier and a persistent web address (URL)
- (iii) The University will endeavor to provide continued readability and accessibility of deposited items
- (iv) Submission in the recommended file format (see 6.2 above) is strongly encouraged in order to facilitate long term preservation
- (v) Deposited items will be migrated to new file formats when necessary
- (vi) Regular backing up of repository contents will be done according to best practice
- (vii) Errata and corrigenda lists may be included with the original record if required.
- (viii) Where necessary, an updated version shall be deposited

## **6.9 WITHDRAWAL**

- (i) Items will be preserved indefinitely. Items may only be removed from the repository due to:
  - Proven copyright violation or plagiarism
  - Legal requirements and proven violations
  - National Security
  - Falsified research
  - Request by author
- (ii) Withdrawn items will not be deleted but will be removed from public view
- (iii) Withdrawn items' identifiers/URLs will be retained indefinitely
- (iv) URLs will continue to point to 'tombstone' citations, to avoid broken links and to retain item histories

## **6.10 PRIVACY**

University of Nairobi is committed to preserving depositor's privacy. Any personal information collected in the process of operating the Digital Repository shall be protected.

## **7.0 QUALITY CONTROL**

All submissions will be subject to quality control. The Repository staff and Quality Assurance Officers will review and assess all submissions before making them available.

## **APPENDIX 1**

### **UNIVERSITY OF NAIROBI DIGITAL REPOSITORY DEPOSIT AGREEMENT**

To efficiently administer the University of Nairobi Digital Repository and preserve its contents for long-term use, the University requires certain permissions and warrants from a depositor or copyright owner. By accepting this agreement, a copyright owner still retains copyright to their work and does not give up the right to submit the work to publishers or other repositories. If one is not a copyright owner, they represent that the copyright owner has given them permission to deposit the work.

By accepting this agreement, a depositor/copyright owner grants to the University the non-exclusive right to reproduce, translate and distribute the submission, including the descriptive information (metadata) and abstract , in any format or medium worldwide and royalty free, including, but not limited to, publication over the internet except as provided for by an addendum to this agreement.

**By depositing my/our work in the University of Nairobi Digital Repository, I/we agree to the following:**

- (i) This submission does not, to the best of my/our knowledge, infringe on anyone's copyright or other intellectual property rights.
- (ii) If the submission contains material for which I/we do not hold copyright and that exceeds fair use, I/we have obtained the unrestricted permission of the copyright owner to grant the University the rights required by this agreement and that such third-party owned material is clearly identified and acknowledged within the text or content of the submission
- (iii) The submitted material does not contain any confidential information, proprietary information of others or export controlled information
- (iv) There are no restrictions or required publication delays on the distribution of the submitted material by the University
- (v) Once the submission is deposited in the repository, it remains there in perpetuity
- (vi) The information I/we provide about the submitted material is accurate

- (vii) That if copyright terms for, or ownership of, the submitted material changes, it is my/our responsibility to notify the University of these changes

**I/we understand that the University of Nairobi Digital Repository:**

- (i) May make copies of the submitted work available world-wide, in electronic format via any medium for the lifetime of the repository, or as negotiated with the repository administrator, for the purpose of open access
- (ii) May electronically store, translate, copy or re-arrange the submitted works to ensure its future preservation and accessibility within the lifetime of the repository unless notified by the depositor that specific restrictions apply
- (iii) May incorporate metadata or documentation into public access catalogues for the submitted works. A citation/s to the work will always remain visible in the repository during its lifetime
- (iv) Shall not be under any obligation to take legal action on behalf of the depositor or other rights holders in the event of breach of intellectual property rights or any other right in the material deposited
- (v) Shall not be under any obligation to reproduce, transmit, broadcast, or display the submitted works in the same format or software as that in which it was originally created
- (vi) May share usage statistics giving details of numbers of downloads and other statistics with University of Nairobi staff

While every care will be taken to preserve the submitted work, the University of Nairobi is not liable for loss or damage to the work(s) or associated data while it is stored within the digital repository.

**Work(s) to be deposited:**

Title: .....

Author: .....

**Depositor's Declaration**

I/we .....

hereby grant to the University of Nairobi Digital Repository, a non-exclusive license on the terms outlined above.

Name.....

College.....

Sign.....

Date.....