OPEN ACCESS AND INSTITUTIONAL REPOSITORY POLICY

Rongo University,

P.O Box 103-40404,

RONGO

E-mail: vc@rongovasity.ac.ke

Fax: 0208029208

Tel: +254716490014

www.rongovarsity.ac.ke

Policy Title: **Open Access and Institutional Repository Policy**

Policy Contact: **……………….............**

Approval Authority: **The Council**

Category: **Library**

Status: **Approved by Council on ……………………….**

                                                    Minute:………………………………………..

Commencement Date   **……………………………………………….**

Signed

                                    ----------------------------------   ------------------
                                    Chairperson of Council   **Date**

                                    ----------------------------------   --------------------
                                    The Vice-Chancellor,   **Date**
                                    Secretary to Council
                                    Prof. Samuel Gudu

Table of Contents

Definition of Terms

1. **Open access (OA)** - refers to online scholarly works that are free of all restrictions on access and use

2. **Institutional Repository** - is an online archive of an institution's scholarly works.

3. **Open access repository (OAR) –** refers to online archive of an institution's scholarly works that is made available to the public without restrictions to access and use.

4. **Copyright -** the exclusive legal right, given to the author to publish, print, or record literary and to authorize others to do the same.

5. **Intellectual Property (IP) -** refers to creations of the mind of scholarly works like literary and artistic works

6. **Nonexclusive permission** – It means others can use the material in the same way as you.

7. **Metadata –** it refers to structured information that describes, explains, locates or otherwise makes it easier to retrieve, use or manage an information resource.

8. **Embargo -** Banning of the full text publication of the document, usually for a defined period of time.

9. **Peer-reviewed journals** - Articles are reviewed by several other experts in the field before the article is published in the journal in order to insure the article's quality.

10. **Repository Deposit Agreement –** A commitment between the repository and the depositor that defines the rights and obligations of both parties with regards to the deposited material.

11. **Rongo University Community** - Students and members of staff of Rongo University or any other person formally admitted into association with the RU;

List of Abbreviations

EIFL – Electronic information for libraries

FOSS - Free Open Source Software

INASP - International network for the availability of scientific publication

IR - Institutional Repository

ISBN – International Standard Book Number

KLISC -Kenya Library and Information Services Consortium

OA - Open Access

OAI - Open Archives Initiative

PLoS – Public Library of Science

RU – Rongo University

URL - Uniform Resource Locator

SHERPA – Securing a Hybrid Environment for Research Preservation and Access

1.1 Preamble

This document sets out guidelines that RU uses in harvesting, organizing and disseminate her scholarly works in an open access repository. The policy states that, to be open access compliant, RU scholarly works should be deposited in an open access institutional repository. Deposited material should be discoverable, and free to read and download, for anyone unless specified. This requirement will apply to works done by authors during the time they are students or staff members at RU. The policy allows RU to respect embargo periods set by publications. Where a publication specifies an embargo period, authors can comply with the policy by making a 'closed' deposit on acceptance. Closed deposits must be discoverable to anyone with an Internet connection before the full text becomes available for read and download (which will occur after the embargo period has elapsed). The policy allows a number of exceptions to the various requirements that will be automatically allowed by the policy. These exceptions cover circumstances where deposit was not possible, or where open access to deposited material could not be achieved within the policy requirements.

Each faculty member, student or an administrative staff who is an author of scholarly works to submit a copy of such work, together with any bibliographic or citation information to the IR. The University Librarian shall be responsible for implementing procedures and resolving questions regarding the administration of the University's repository.

1.2 Vision

To be a world class technology driven University in learning and practice.

1.3 Mission

To provide high quality education through teaching, research, community service and nurturing innovative graduates.

1.4 Core Values

At Rongo University (RU), we are committed to:

    a. Integrity and quality

    b. Professionalism

    c. Innovation and adaptability

    d. Equity

    e. Teamwork

    f. Social responsibility

1.5 Mandate

The University derives its mandate from Rongo University Order 2016, which stipulates the objects and functions as follows:

    i. To provide directly, or in collaboration with other institutions of higher learning, facilities for university education (including technological, scientific and professional education), the integration of teaching, research and effective application of knowledge and skills to the life, work and welfare of the citizens of Kenya.

    ii. To participate in the research, transmission, preservation and enhancement of knowledge and to stimulate the intellect participation of students in the economic, social, cultural, scientific and technological development of Kenya.

    iii. To provide and advance university education and training to appropriately qualified candidates, leading to the conferment of degrees and award of diplomas and certificates and such other qualifications as the Council and the Senate shall from time to time determine and in so doing, contribute to manpower needs.

2.0 INTRODUCTION

Traditionally, research institutions would collect and preserve print copies of research projects. The usage of such collection is localized and expensive to preserve and store. The use of ICTs has enabled easy collection of works in electronic formats, organization, preservation and sharing through institutional repositories. Despite the ability of the internet to share knowledge fast, the restrictive licenses, attitude, unhealthy completion among others continued to inhibit the sharing of knowledge. This led to several open access initiatives and campaigns. The open access advocates for free access of scholarly works. It aims to disseminate knowledge and materials broadly and freely across the internet, and in doing so remove most of the traditional access restrictions to these materials, such as cost and geographical barriers. Open access enhances accessibility, usability and visibility of content in institutional repositories. Today, many research institutions are embracing Open access repositories to enable harvest and share their findings as fast as possible. Rongo University through this policy would like to join these growing likeminded institutions.

2.1 Importance of Open Access Institutional Repository to RU

The open access institution repository will assist Rongo university achieve the following;

i. Increase the institution's general visibility and academic reputation by demonstrating the quality and relevance of the research output produced by members of the institution;

ii. Enables staff and other subscribers have easy and wider access to scholarly works generated by RU and other institutions worldwide when RU repository forms part of a global system of interoperable repositories. Broader access to information aids more rapid scientific development, which benefits the community at large.

iii. Facilitates greater citation of deposited articles, thereby increasing the profile of contributing authors by enabling authors to track their research record via open access repositories. This increases potential for collaborations at various levels (local, regional, national and international).

iv. Provide long-term archiving of research output thereby preserving it for the future;

v. It gives authors, greater control and flexibility over their intellectual property, by negotiating balanced copyright agreements with publishers.

This policy is a commitment that scholarly works in RU institutional repository are intended to be freely accessible via the Repository's web. Wherever possible, the full text of the material will be made freely available subject to copyright law and license agreements. In those cases where full text can't be made available, the Repository will provide detailed metadata and location information.

3.0 RU OPEN ACCESS POLICY

3.1 Policy Objectives

i. To provide open access to RU scholarly works.

ii. To establish the scope of materials that may be deposited into the repository, and the conditions on which they can be accessed and used;

iii. To provide long-term preservation of the University research outputs

iv. To increase the visibility and impact of the University research outputs

v. To enhance collaborations between RU community with the global research community

3.2 RU Open Access Policy

In keeping with that commitment, the Rongo University adopts the following policy:

1. Each RU academic staff/ researcher shall grant RU permission to deposit a copy of full text of his or her scholarly works in RU institution repository subject to copyright law and license agreements. In those cases where full text can't be made available, the academic staff/ researcher shall provide detailed metadata and location scholarly works.

2. RU is granted a nonexclusive and irrevocable permission to exercise all rights under copyright relating to deposited scholarly works provided that the scholarly works are not sold for a profit.

3. The policy will apply to all scholarly works authored or co-authored while the person is a member of the RU. The policy will not apply to scholarly works completed before and for which the RU member entered into an incompatible licensing or assignment agreement before its adoption.

4. RU will waive application of the policy to a particular scholarly works upon request by a RU member. The Deputy Vice-Chancellor Academics and Student Affairs or his/her designate will waive application of the policy to a particular article upon written request by a Faculty member explaining the need.

5. RU will make the scholarly works available to the public in an open access repository.

6. RU reserves the right to accept or reject any scholarly works presented for repository to open access

7. The Office of The Deputy Vice-Chancellor Academics and Student Affairs will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the RU from time to time.

4.0 RU INSTITUTION REPOSITORY POLICY

4.1 Criteria of the repository contents

This policy applies to scholarly works that meet the following criteria:

1. The work is authored or co-authored by an academic staff/ researcher/ student/ administrative staff member while employed at RU;

2. The work is not subject to an incompatible publication agreement, license, or assignment entered into before the adoption of this resolution; and

3. The work is in a digital format and of a type that may be included in RU institutional repository.

4.2 Types of scholarly works that can be deposited

The RU repository shall accept submissions of the following types of scholarly:

1. Master's and doctoral theses

2. Selected Degree Research projects

3. Journal articles (reviewed and non-reviewed);

4. Books , Book chapters and book reviews

5. Conference /workshop proceedings and publications

6. Refereed designs

7. Creative, performance-based and visual arts outputs that have research components

8. Unpublished scholarly work

9. Learning Objects (past papers, teaching modules and presentations).

10. Technical reports, commissioned reports, working papers, government submissions,

11. Research reports, inaugural lectures

12. Newsletters of significant research groups

13. Other materials produced by academic/research staff and approved by the library management committee

4.3 Types of scholarly works that can't be deposited in RU repository

The following types of scholarly works shall NOT be deposited in the RU Repository:

1. Scholarly works intended for commercial purposes
2. Scholarly works containing confidential or proprietary information
3. Scholarly works restricted due to cultural sensitivity
4. Scholarly works that would infringe a legal obligation of the university and/or the author(s) or creator(s), or the legal rights of a third party
5. Any research which includes a confidential report for a sponsor, i.e.,
6. Company/commercial third party, will not be included, or will have restricted access unless otherwise agreed by the sponsor.
7. Administrative reports such as minutes, committee reports, individual royalty payments
8. Plagiarized works and libelous resources, access should be suppressed and expunged.

4.4 Submission Policy

1. Items can be deposited online through self-archiving module or through the University Librarian's office.
2. Where an item has multiple authors; At least one author must be a member of staff or a student of RU, and the submitting author shall obtain the permission of the co-authors.
3. Deposit of full items will be encouraged at the earliest possible opportunity, but where a depositing author has assigned copyright, the full item will not be made publicly visible until any publishers' or other embargo periods have expired.
4. Any submitted works shall be subjected to a plagiarism check
5. RU Institutional Repository is not an exclusive repository. Authors may also deposit their work in other repositories as desired or required.

4.5 Data Policy

1. Anyone may access items in the RU repository for personal research or study, educational, or not for profit purposes without prior permission or charge, provided they use the materials in the repository within the copyright limits.
2. RU library will therefore not be liable for any copyright violation arising from use of items in the repository.

4.6 Retention

Items produced as a result of research activity at RU and deposited by an eligible depositor will be accepted and retained indefinitely in the Repository unless:

    i.   The item infringes on copyright or other rights

    ii.   The item is proven to include falsified research.

    iii.   The item fails to meet legal requirements.

    iv.   The item is in a format which cannot be stored or displayed satisfactorily.

If a depositor leaves the employment at RU, their items shall be retained in the RU Repository unless the depositor seeks to withdraw.

4.7 Replacement

1. A depositor may request that an item be replaced by another version if:
    i. An error is discovered in the content, or,
    ii. A published version of the item becomes available and needs to replace the unpublished version on the repository.
2. The replacement item may use the same record as the original.

4.8 Withdrawal

1. Items will only be deleted from RU Repository if there are legal or Intellectual Property Rights issues or other exceptional circumstances.
2. Acceptable reasons for withdrawal include:
    i. Proven copyright violation or plagiarism.
    ii. Legal requirements and proven violations.
    iii. National security.
    iv. Falsified research.
3. With the request of the author or RU, Items may be withdrawn from open access if necessary and placed in a closed access archive.
4. RU shall retain the right to remove the work(s) for professional or administrative reasons.
5. Items removed from view will be traced by a note in the (Description. Provenance) field of the Dublin Core record. The content of the note should be one of the following:
    i. Removed from view at request of the author.
    ii. Removed from view at the University's discretion.

iii. Removed from view by legal order.

6. A metadata record(s) indicating the work(s) was/were stored in the repository will remain in perpetuity.

7. The depositor may request the work(s) is/are removed at any point in the future and can request that their own items are withdrawn from open access view in RU Repository and stored as a closed access item. The final decision remains at the discretion of the RU.

4.9 Administration and implementation of the policy

1. The eligible author (s) or co-author of a scholarly works shall submit to the institutional repository a copy of such work, together with any bibliographic or citation information. The author shall grant Rongo University a nonexclusive, royalty-free, worldwide license to exercise any and all rights under copyright relating to all such works, created after adoption of this policy.

2. The DVC (ASA) or his or her designate shall be responsible for resolving questions arising within the unit concerning the interpretation and application of the policy.

3. The University Librarian or his or her designate shall be responsible for implementing procedures and resolving questions regarding the administration of the University's repository. Each of these persons may act through a designated delegate.

REFERENCES

Kenyatta University (2012) Kenyatta University Institutional repository Policy.

Pappalardo, K. *et al* (2007) A guide to developing open Access through your digital repository.

Brisbane: Queensland University of Technology. ISBN 978-0-9802988-4-0

Url: http://www.oaklaw.qut.edu.au/node/32

The University of Nairobi (2012) University of Nairobi Open Access Policy. Accessed on 20th

May 2015 from www.library.uon.ac.ke

APPENDIX 1: RU Deposit Agreement

To efficiently administer the RU 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 RU 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 Rongo University Repository, I/we agree to the following:

1. This submission does not, to the best of my/our knowledge, infringe on anyone's copyright or other intellectual property rights.

2. 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

3. The submitted material does not contain any confidential information, proprietary information of others or export controlled information

4. There are no restrictions or required publication delays on the distribution of the submitted material by the University

5. Once the submission is deposited in the repository, it remains there in perpetuity

6. The information I/we provide about the submitted material is accurate

7. 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 Rongo University Repository:

1. 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

2. 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

3. 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

4. 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

5. 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

6. May share usage statistics giving details of numbers of downloads and other statistics with RU staff. While every care will be taken to preserve the submitted work, RU 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(s): ……………………………………………………………………………………

Depositor's Declaration

I/we

…………………………………………………………………………………….hereby

grant to the Rongo University Institutional Repository, a non-exclusive license on the terms outlined above.

Name……………………………………………………………………………………

School ………………………………………………………………………………….

Department ………………………………………………………………………………….

Sign……………………………………………………………………………………..

Date…………………………………………