

 NAZARBAYEV UNIVERSITY	Autonomous organization of education Nazarbayev University		
	Approving body:	Academic Council	
Open Access Policy			
Date of approval:	20.03.2019	Date of entering into force	<i>20.03.2019</i>
Decision/Minutes No.:	No. 23		
Bylaw classification:	3.1. Intellectual property protection		
Initiator:	T. Jangulova Head of Department		
Related documents	no related documents		

1. Introduction

1. This document sets out Nazarbayev University's framework (further – the “University”) for ensuring that publications authored by University researchers, faculty members, students and staff, are made Open Access* (further – the “OA”), where applicable (further – the “Policy”).

2. As a leading research institution, the University places a high value on the research conducted under its auspices, whether this is produced alone or in collaboration with others. The University recognizes that the different types of output resulting from this research are key assets and should be recorded, managed, and disseminated by the University in a way that brings the most benefit for its individual researchers, for the University itself and for the global community in accordance with the mission in the Nazarbayev University Charter. Thus, the University is committed to making research outputs openly accessible via the Nazarbayev University Repository* (further – the “Institutional repository”) at the earliest opportunity to maximize the visibility and impact of research, recognizing that there will be instances where ethical, copyright or contractual restrictions apply.

Definitions

Definitions for terms, outlined below, are marked with an asterisk * in the Policy.

Author – is a university member (researcher, faculty member, student (postgraduate, graduate and undergraduate) and staff affiliated with the Nazarbayev University, which submits scholarly materials to the Institutional repository



Open Access - the free, immediate, online availability of research materials coupled with the rights to use these materials fully in the digital environment. OA ensures that anyone can access and use these results to turn ideas into industries and breakthroughs into better lives.

Nazarbayev University Repository – an institutional electronic archive for accumulation, long-term storage, and provision of open access* to scientific research results produced by the academic community of the University.

Green OA - self-archiving in an institutional or disciplinary repository.

Gold OA - freely available in a journal (paid and unpaid), e.g. publishing in an open access journal, paying or not paying.

Postprint - an article which has undergone peer-review and been revised accordingly. Also known as the accepted author manuscript.

Preprint - the Author's* original manuscript, which has been submitted to a journal. It has not been peer-reviewed, copy-edited, or formatted with page numbers or branded by the journal.

Research data - any information that has been collected, observed, generated or created to validate original research findings.

Request a Copy Feature - a mechanism in the Nazarbayev University Repository* whereby if an item is not freely available to a reader they can send a request to the Author* via the Nazarbayev University Repository for a copy of the work held in the repository.

2. Functions of the University

3. The University requires that all outputs are made available with appropriate licenses for reuse and that this Policy maximizes the reuse of the output where it is possible to do so.

4. The University has adopted the Creative Commons license and License Agreement.

5. The University supports Green OA* and Gold OA* as sustainable and effective means of providing access to research outputs.

6. Nazarbayev University Library and IT Services (further – Library) will provide with the information system through which the Author* can publish research materials in OA that may help them comply with funders' OA policies. However, the Author must bear some of the responsibility for complying with these policies, as well as with publishers' copyright policies.

3. Scope

7. This Policy applies to all Authors* affiliated with the University.

8. The following research outputs should be deposited and made publicly available in the institutional repository:

1) The publisher's version of articles if not restricted by copyright policy of the publisher;



- 2) Postprint* or preprint* articles in case the publisher's version is restricted to deposit;
- 3) Dissertations, theses, capstone projects;
- 4) Books, book chapters, monographs, reports and working papers;
- 5) Conference proceedings;
- 6) Image, video and audio representations of creative works;
- 7) The bibliographic metadata of all forms of published output;
- 8) Other scholarly outputs (i.e. creative writings, published essays, newspaper articles, etc.);
- 9) Other forms of intellectual creations (i.e. works of art, musical compositions, poems, novels, etc.).

4. Responsibility for Deposit and Reporting on Research Outputs

9. Responsibilities of the University Research Administration:

- 1) To confirm funding agencies' OA requirements for depositing publications in Institutional repositories.

10. Responsibilities of the Library:

- 1) To provide the institutional repository system for collecting, preserving and disseminating University research outputs.
- 2) To organize presentations and training sessions for the Author*, as well as provide system user guides to assist in using the Institutional repository.
- 3) To provide an assisted-archiving, if necessary, for the Author* who experience difficulties when uploading materials or have other valid reasons restricting the use of the institutional repository system.
- 4) To ensure the long-term preservation of publications in the Institutional repository and maintain the institutional repository system accordingly.
- 5) To provide timely reports of deposited and published outputs in an annual library reports for the University Administration.
- 6) To facilitate the 'request a copy' feature* in the Institutional repository for papers that cannot be made freely available due to copyright or other restrictions.

11. Responsibilities of the Authors*:

- 1) To follow the principles of this Policy in order to maximize the accuracy, timeliness, and quality of research outputs.
- 2) To deposit all appropriate research outputs (see Clause 7) to the Institutional repository in accordance with funders' requirements and respecting the copyright terms and conditions of publishers. The deposit should take place via <http://nur.nu.edu.kz/>.
- 3) As part of depositing process, Authors* should sign a License Agreement granting permission to publish their research output in the Institutional repository, either hard or electronic copy.
- 4) In case Authors* have valid reasons not to publish their work in the Institutional repository, they are allowed to set an embargo on the research material



for some period. Once the imposed embargo expires the research material will automatically be visible and available for download to the general public.

5) To ensure that they have cleared the rights that any third parties may hold in a work (e.g. copyright of co-authors), before depositing that work or allowing another person to deposit that work on their behalf, in the Institutional repository.

6) To ensure their papers are published with the correct license according to their funders' requirements and publisher's policy.

7) To make their best effort to reply to any 'request a copy' communications and keep their contact details up to date with the Library, especially if one of their outputs is archived in the Institutional repository but not freely available.

5. Grant of Rights on Deposit

12. To meet these Policy objectives, the Author* agrees to grant to the University a non-exclusive, worldwide, royalty-free right to use their research outputs upon depositing or authorizing the deposit of works in the Institutional repository in accordance with the terms of Creative Commons License and License Agreement.

Types of licenses:

Creative Commons license - one of the existing copyright licensing systems that enable the free distribution of an otherwise copyrighted work. Authors* choose a set of the following conditions they wish to apply to their work:

BY (Attribution)

Licensees may copy, distribute, display and perform the work and make derivative works and remixes based on it only if they give the Author* or licensor the credits.

SA (Share Alike)

Licensees may distribute derivative works only under a license identical ("not more restrictive") to the license that governs the original work.

NC (Non-Commercial)

Licensees may copy, distribute, display, perform, (unless you have chosen No Derivatives) modify and use the work for any purpose other than commercially unless they get the Author's* permission first.

ND (No Derivatives)

Licensees may copy, distribute, display and perform only original copies of the work. If they want to modify the work, they must get the author's permission first.

License Agreement - agreement between University and the Author*, where the Author* grants to the University the rights to use and publish research outputs in Institutional repository in OA, if it is applicable.

6. Monitoring Compliance and Review

This Policy will be reviewed at least every two years or as appropriate to respond to changes in relevant legislation or national guidance.

