


**Policy library ID  
LIS: 02**



# **Institutional Repository Policy**

<b>Sponsor division</b>	<b>Academic Affairs and Research</b>
<b>Responsible Department</b>	<b>Library &amp; Information Services</b>
<b>Related WSU policies</b>	
<b>Senate Plagiarism Policy</b>	<b>Senate Research Policy</b>
<b>Senate Research Ethics Policy</b>	<b>Examinations Policy</b>
<b>Intellectual Property Policy</b>	<b>Open Access Policy</b>
<b>Change History</b>	
<b>Approval authority</b>	<b>Council</b>
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 ----- <b>Chairperson of Council</b>	

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## **Key Policy Elements**

### **1. Title**

The title of the policy will be WSU Institutional Repository (IR) Policy

### **2. Preamble**

A university-based institutional repository is a set of services that a university offers to the members of its community for the management, preservation and dissemination of digital materials created by the institution and its stakeholders. It is most essentially an organizational commitment to Open Access and to the stewardship of digital preservation that universities develop these networked digital platforms. At the most basic and fundamental level, an institutional repository is a recognition that knowledge created by the university becomes valuable and beneficial when it is accessible to everyone to contribute to the socio- economic needs of the country. An institutional repository is therefore the means by which universities respond to the National Research Fund statement that calls upon publicly funded research being made visible and accessible online for public good.

### **3. Purpose**

The development of institutional repositories emerged as a new strategy that allows university researchers to establish research partners and identify gaps in the knowledge economy. Thus the main purpose of WSUIR policy is to create an enabling digital infrastructure for open access to scholarship to allow WSU faculty, staff and students to harvest locally produced knowledge. The University community produces research outputs which contribute significantly to the enhancement of scholarly discourse within disciplines, and to the wider scholarly community. In an attempt to establish a more central archive and to make freely accessible such research output, the WSUIR environment on regionally shared VITAL software, will be established to

capture, preserve and provide access to these important, valuable which are currently hidden either in publisher's domain or on library shelves.

The WSU Institutional Repository will host the research output of WSU ranging from electronic theses and dissertations (ETDs) produced by postgraduate students, research papers published in national and international journals, conference papers, professorial inaugural lectures, faculty publications, presentations, research reports, scholarly articles, videos, images, undergraduate research posters, honours research papers, graduate theses, dissertations and open courseware. To ensure that WSU research output is widely and freely accessible, WSU research community will submit electronically to the library all documents that qualify as research output thereby contribute to worldwide graduate education.

In addition to research output the repository will also house previous years' examination papers, special collections, university photographs, selected university archives and museum artefacts, all these will all be assessed individually and included into the repository.

#### **4. Scope of Application**

The policy will apply to the entire WSU community that produces research output these include faculties, departments, units and centres, as well as other persons formally associated with the University.

#### **5. Definitions of Key Words or Concepts**

For the purpose of this policy, the following definitions will apply:

**WSUIR:** Walter Sisulu University Institutional Repository

**VITAL:** VITAL is the digital asset management system used by the South East Academic Library System (SEALS) libraries. SEALS is a consortium of

four member libraries in the Eastern Cape (NMU, Rhodes, Fort Hare and WSU). Content Pro IRX provides an elegant, simple, and affordable way to make digital collections highly accessible to users. Unlike other systems, Content Pro offers a user-friendly interface that provides powerful features while being easy for staff and volunteers to use and for patrons to search and navigate.

**Grey Literature:** Grey literature is a term used variably to refer to a body of materials that cannot be found easily through conventional channels such as publishers, but is frequently original and usually recent. Major suppliers include institutions of higher learning, business organisations and government departments as a means of getting the message across rather than publishing for profit. This literature is not routinely available via booksellers or subscription agents and is therefore difficult to acquire. There are few if any bibliographic controls to it e.g. lack of ISBN or ISSN. This information is not peer reviewed. Examples of grey literature include technical reports from government agencies or scientific research groups, working papers from research groups or committees, white papers, or preprints.

**Open Archives Initiative (OAI)** is a major development aimed at heightening interoperability and providing more targeted access to scholarly electronic full texts. OAI has its roots in the Open Access and Institutional Repository Movements.

**OAI-PMH:** (Open Archives Initiative Protocol for Metadata Harvesting) is a protocol developed by the Open Archives Initiative. It is used to collect the metadata descriptions of the records in an archive so that services can be built using metadata from many archives. The protocol is usually just referred to as the OAI Protocol.

**Open Access:** Open Access (OA) is free, immediate, permanent, full-text, online access to digital scientific and scholarly material, primarily research articles published in peer-reviewed journals for any user web-wide. OA

means that any user who has access to the Internet, anywhere, may link, read, download, store, print-out, and use the digital content of that article. An OA article usually has limited copyright and licensing restrictions.

**Metadata:** Metadata is data which describes attributes of a resource. Typically it supports a number of functions: location, discovery, documentation, evaluation, selection and others <sup>1</sup>(Dempsey and Heery 1998).

**CRO:** Central Records Office.

**University Community:** The University community includes all staff and students of Walter Sisulu University.

## **6. Policy Content and Guiding Principles**

### **6.1. Policy Content**

#### **6.1.1 Materials to be housed by WSUIR**

WSUIR will accommodate selected high quality research material, mainly grey literature that is available and accessible within the framework of current copyright legislation. This will include full-text digital doctoral theses and masters dissertations (where the work accounts for at least 50% or up of the final degree qualification). The Master's degree dissertation must have value of between 90 and 120 credits.

Non-degree output such as significant fourth or final year projects, B Tech, honors and other research reports will also be included.

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<sup>1</sup> Dempsey. Heery,L. (1998). "Metadata: a current view of practice and issues", Journal of Documentation, Vol. 54 Iss: 2, pp.145 – 172

Other works that qualify for deposit in WSUIR may also include materials such as chapters of books, working papers, technical reports, journal article preprints or post prints, conference presentations and proceedings, and peer reviewed journal reprints, submitted in copyright compliance as required. Further materials of special significance in custody of faculties, departments or library, not restricted by copyright law or any other legislation may also be included in the repository. Examples of these include learning materials produced by departments, workshop papers and databanks.

WSUIR will give preference to items submitted in digital format (PDF) to ensure greater success with preservation and curation, therefore all submissions must be accompanied by an electronic copy in PDF. The Library staff will assist contributors to have their repository items converted into the metadata format that allows optimal accessibility from online search tools and allows the best preservation standards.

Retrospective manuscripts submitted in hard copy will subject to special request from the Faculty be converted to digital format by the Library. The preferred language of the repository is English, but items submitted in other languages will be considered for inclusion provided they are accompanied by the abstract in English.

A campus committee will recommend to the Academic Advisory committee the inclusion of other materials other than those listed in this policy and related matters. The Academic Advisory committee will approve the inclusion criteria thereof.

## **6.2. Guiding Principles**

### **6.2.1 WSU Faculties**

Walter Sisulu University faculty community is committed to disseminating WSU research and scholarship as widely as possible. In particular, as part of a public university system, the faculty is dedicated to making its scholarship available to the people of South Africa and the world. Furthermore, the Faculty recognizes the benefits that accrue to themselves as individual scholars and to the scholarly enterprise from such wide dissemination, including greater recognition by peers.

Faculties further recognize that by this policy, and with the assistance of the library, there are copyright negotiations that will be pursued especially in dealing with already published work. In cases, where research is not yet published, uploading of the pre-print to the WSUIR will be considered.

### **6.2.2 WSU Libraries**

WSUIR will operate on Library-designated software; VITAL which is a secure platform that supports the Open Archive Initiative's Protocol for Metadata Harvesting.

The WSU library directorate will provide the necessary infrastructure (server, software), procedures and online workflow required for the smooth submission and management of the WSUIR.

### **6.2.3 Copyright Issues**

WSUIR will comply with the requirements of the Copyright Act No. 98 of 1978<sup>2</sup>(as amended), the Promotion of Access to Information Act (No. 2 of 2002)<sup>3</sup>and the relevant institutional policies as listed under related WSU Policies.

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<sup>2</sup> <http://www.wipo.int/wipolex/en/details.jsp?id=4067>



WSUIR will implement the bibliographic software to assist researchers to manage their research work easily by allowing searching of databases, organizing references, and citation whilst writing. WSUIR Manager will employ similarity detection software (Turin it-in) to assist faculties in the identification of incidences of plagiarism to ensure academic integrity of all works to be submitted in the repository. All research reports before submission to the repository must have gone through the scrutiny of the similarity detection software.

In line with the Open Archive access initiative, access to the full text of all items will be unrestricted wherever possible, and material deposited in WSUIR will be freely and publicly accessible via the Web, except where embargoes or special conditions apply. Restricted access may also be password-controlled with only abstract accessible.

Items may be reproduced, displayed, performed, and given to a researcher as long as this is for personal research, study or education and for non-profit purposes, provided that the material does not have a copyright restriction. This may be done as long as the content is not altered in any way and the author, title and bibliographic details are supplied together with the URL of the original metadata page. Data may be re-used in any medium without the need to seek permission for any not-for-profit as long as the source is identified by acknowledging the Open Archives Initiative identifier or link from the WSUIR.

Use of any material from the repository for commercial purposes, however, must be approved in advance by the WSU Academic Advisory committee. All materials will be preserved in their original formats and only migrated, as technologies change, at the discretion of the University Library.

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<sup>3</sup> <http://www.justice.gov.za/legislation/acts/2000-002.pdf>

Where the work to be deposited in WSUIR has been published in an Open Access journal or on another Open Access platform, compliance is required with open licenses, such as creative commons licenses, where use of the material requires the same license to be perpetuated by all users of that material. Where authors have not assigned their rights to publishers through written agreements, and have only given publishers a non-exclusive 'license to publish', then authors may deposit their publications and attach a Creative Commons license. They may not, however, deposit publishers' versions without permission from rights-owners.

Where permission is required for placing items, the onus will be on authors to obtain written permission from rights-owners (publisher/s), which should then accompany all such items being deposited. A standard letter of request will be available on the repository website to assist authors in obtaining permission from respective publishers. Where requested, the Library will provide advice and assistance to authors in obtaining copyright clearance. Payment of copyright fees will be for the account of authors and not the Library. The University, and in particular the Library and Information Services will not be held responsible or liable for any copyright infringement committed by authors in this regard.

## **7. Statutory structures to review and approve the policy**

On recommendation by the Academic Advisory Committee and faculties the office of the Senior Director: LIS, Research Office and Deputy Vice-Chancellor (Academic Affairs and Research), will be responsible for adjusting and reviewing the policy. The Institutional Senate will be the body to recommend the policy to Council for approval.

## **8. Administration of the Policy**

The Library Directorate, research and faculties will be responsible for implementation of this policy. Although implementation of this policy lies with

the library and faculties, punitive actions such as expulsion of a student, withdrawal of a qualification and dismissal of an academic staff member for substantive violation of this policy will have to be recommended by the Institutional Senate.

### **9. Custodianship of Policy**

The custodianship of the policy, on behalf of the WSU council, vests with the Vice-Chancellor of Walter Sisulu University.

### **10. Effective Date of Policy**

This policy becomes effective after approval by Council.

### **11. Procedure**

A submission template in a form of a flowchart will accompany the policy with faculty guidelines (See annexure A).

### **12. Acknowledgements**

Walter Sisulu University acknowledges the following universities for the development of this policy (Rhodes University, Wits and University of the Western Cape).



ANNEXURE A

**ANNEXURE A: INSTITUTIONAL REPOSITORY SUBMISSION TEMPLATE**

**SUBMISSION FORM OF THESIS, DISSERTATION OR RESEARCH REPORT/PROJECT, CONFERENCE PAPER TO THE WSU LIBRARIES (Print and Electronic Copies)**

**Faculty** \_\_\_\_\_

Department \_\_\_\_\_

*(Note: This form should only be completed at final submission of thesis, dissertation, research report or paper)*

PLEASE WRITE CLEARLY IN BLOCK LETTERS (If completing by hand)

1. Name (in full): \_\_\_\_\_

2. Student/ Staff Number: \_\_\_\_\_ ID \_\_\_\_\_

3. Present mailing address: \_\_\_\_\_

Home address: \_\_\_\_\_

\_\_\_\_\_

Postal code : \_\_\_\_\_  
Fax : \_\_\_\_\_  
E-mail : \_\_\_\_\_  
Cell : \_\_\_\_\_

Home tel. : \_\_\_\_\_

Work tel. : \_\_\_\_\_

4. If you are likely to move in the next 6 – 12 months please provide the mailing address and effective date of a change in address

\_\_\_\_\_  
\_\_\_\_\_

Effective date: \_\_\_\_\_

Contact telephone numbers: \_\_\_\_\_

5. I hereby submit my:

Dissertation    Research project/ report/paper    PhD thesis  
 Conference paper    Other (Please Specify)

6. Number of copies: **Bound.....**                      **Electronic.....**  
*(Please ensure that you have signed and dated all copies)*

"Number of CDs: \_\_\_\_\_ (**Please note:** an electronic version must be supported by a copy on CD for submission onto the Electronic Theses and Dissertation (ETD) System

*(Note: CD's should be clearly labelled with your name, student number and title of thesis. The ETD system supports PDF only*

7. Title of submitted dissertation, research report/paper or thesis:

\_\_\_\_\_

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(Please Note: If, due to unforeseen circumstances, the above title has changed from your previously approved title, no further action can be taken by the Library until the amendment has been approved by the Faculty.)

7.1 Keywords:

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8. Instructions regarding access to thesis

The student or researcher agrees that the above mentioned work be archived in the WSUIR with the following status: (Please tick)

- (a)  Release the entire work immediately for worldwide access  
or  
(b)  Release access of abstract only immediately for worldwide access or  
(c) Allow access after an embargo period of (choose one)

1 year:  2 years:

8.1 Please supply a reason/s why your thesis must be embargoed:

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NOTE: For the embargo option, after the scheduled time has passed the electronic thesis will be released worldwide

9. I acknowledge that:

9.1 My dissertation or research project/ report or thesis may be placed in the archive of electronic theses and dissertations. I acknowledge that it will be made electronically available in its entirety soon after the date of submission into the ETD system unless permission for an embargo has been approved by the relevant Supervisor and communicated in writing by myself to the University Library.

9.2 I acknowledge that I am not entitled to the return of the copies of the dissertation or research project / report or thesis or other work I have submitted for the programme.

10. Did your research involve animal experimentation or the use of human subjects, human tissue or other material, or patient records?

- Yes
- No

If yes, please certify that clearance was obtained from the relevant, approved, University Research ethics committee:

Clearance number(s):

\_\_\_\_\_

11. Name of supervisor:

\_\_\_\_\_

Discipline \_\_\_\_\_

Department \_\_\_\_\_

Signature \_\_\_\_\_

Name of second supervisor if applicable: \_\_\_\_\_

Discipline \_\_\_\_\_

Department \_\_\_\_\_

Signature \_\_\_\_\_

12. I declare that:

- I have checked all copies of my dissertation, research project/ report or thesis and no pages are missing or poorly reproduced;
- All revisions have been completed in accordance with the recommendations of the examiners;
- The electronic copy is identical to the printed copy approved by the faculty;
- Where any document of which I am not the owner is included in my work, I have obtained and attach hereto the written consent of the holder of the intellectual property rights in such a document.
- In the event of copyright permission not being obtainable for visual images or other works, I will not include the full work(s) in my online thesis/dissertation on the ETD system, but undertake to provide the URL only for such work(s);
- I have properly acknowledged all sources; and
- I have noted the rules relating to intellectual property and acknowledgement of the award of the programme as shown in the General Rules of the University. Insofar as I hold intellectual property rights in my dissertation, research project, report or thesis, and to that extent only, I agree that the University and its agents may archive and make accessible to the public, upon such conditions as the University may determine, my dissertation or research/project report or thesis in its entirety in all forms of media, now or hereafter known.

13. Signature of candidate:

\_\_\_\_\_

Date: \_\_\_\_\_



## FOR FACULTY OFFICE USE

- Retain one final bound copy
- Field of study and biographical information confirmed
  
- Two bound final, corrected copies, as well as final, corrected copy in electronic format, of dissertation or research/project report or thesis submitted and forwarded to the Examinations department
  
- An electronic copy of the dissertation abstract or research report or thesis and receipt for the ETD payment submitted and forwarded to Central Records Office
- Signed formal declaration submitted and included as part of dissertation or research/project report or thesis.
  
- A written consent of holder of intellectual property rights included in the work attached
  
- Embargo notification attached and signed by the student and supervisor– *if applicable*
  
- Research Ethics Committee clearance number indicated - *if applicable*
  
- Original confirmation for completion of the dissertation or research project, report or thesis from the candidate's supervisor(s) and Head of Department attached

Faculty Officer: \_\_\_\_\_

Date: \_\_\_\_\_

## FOR EXAMINATIONS DEPARTMENT USE

- One bound final, corrected hard copy of dissertation, research project, report or thesis forwarded to Library
  
- Final corrected copy in electronic format forwarded to Library

- Copy of this submission form included with dissertation, research project / report or thesis forwarded to Library

Central Records Office: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR LIBRARY USE**

- Electronic version of dissertation or research project / report or thesis abstract uploaded on the ETD platform
- The library submitting on a quarterly basis the top ten (10) ETD and IR article usage statistics ( Hits, Number of downloads per Country)

**Africana & Special Collections Librarian:** \_\_\_\_\_

**Repository Manager:** \_\_\_\_\_

**Date:**