

**M A S E N O U N I V E R S I T Y**

**INSTITUTIONAL REPOSITORY POLICY**

**ISO 9001:2008 CERTIFIED**

**VISION**

The University of Excellence in discovery and dissemination of knowledge

**MISSION**

To discover, harness, apply, disseminate and preserve knowledge for good of humanity.

**CORE VALUES**

**Relevance**

The University is committed to ensuring relevance in its programs and activities
**Excellence**
Excellence shall be targeted in outputs of the university
**Equity**
The University shall ensure that there is equity in all the opportunities within its jurisdiction
**Quality**
All outputs and processes of the University shall ensure that quality is maintained
**Integrity**
The University shall ensure integrity in all their undertaking

**QUALITY STATEMENT**

Maseno University is committed to quality through teaching, research and development, providing timely services to foster and develop academic excellence in basic and applied research at all levels of study by training practice oriented manpower, who can contribute effectively to social, intellectual and academic development. The University is internally with its employees, to continually improve its services, products, processes, methods, and work environment to ensure each customer is receiving the highest quality service or product at the committed cost and on time.

Maseno University is committed to quality through teaching, research and development; providing on time services to foster and develop academic excellence in basic and applied research at all levels of study by training practice oriented manpower, who can contribute effectively to social, intellectual and academic development in the community, the nation and the community of nations.

The University is committed to communicating exhaustively with its customers, and internally with its employees, to continually improve its services, products, processes, methods, and work environment to ensure each customer is receiving the highest quality service or product at the committed cost and on time.

In order to realize this commitment the University Management will monitor and review its quality performance from time to time through implementation of an effective quality management system based on ISO 9001:2008 standard.

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**Definitions and Acronyms**

**Authorise others to do the same:** The copyright holder has the sole right to authorise others to exercise rights under Copyright Law, and the right to authorise others to exercise rights. This language transfers the non-exclusive right to MSU to allow others to use the articles in specified ways and contexts, such as other MSU faculty members who want to use an article in teaching.

**Compliance:** Conformity in fulfilling official requirements (Glossary definition).

**Copyright:** A bundle of intangible rights granted by statute to the author or originator of certain literary or artistic productions, whereby, for a limited period, the exclusive privilege is given to that person (or to any party to whom he or she transfers ownership) to make copies of the same for publication and sale.

**Creative Commons License:** Recognises the author’s copyright authority, but allows others to copy and distribute the work, provided they give the author credit and only on the specified conditions.

**Deposit:** A deposit represents a bundle of submitted information. Typically, a deposit consists of descriptive metadata, access conditions and copyright information, and any relevant uploaded files. This entire set of saved information is the deposit record.

**Depositor:** A depositor is the creator of a deposit record, who submits digital items and associated data for review, approval and uploads to the repository.

**Digital Preservation:** The process of ensuring that a digital object is accessible over the long term.

**DOAJ:** Directory of Open Access Journals

**DSpace:** Is an open source software package that Maseno University selected for the Digital Repository

**Dublin Core:** The Dublin Core is an initiative to create a digital ‘Library card Catalog’ for the web. It is made up of a set of 15 standard metadata elements that facilitate indexing and searching of electronic resources in the World Wide Web.

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

**Evaluation:** Systematic and objective assessment of an on-going or completed project/programme or policy in order to determine the relevance and fulfilment of objectives as well as efficiency, effectiveness, impact and sustainability (Glossary definition).

**Final Version of the Article:** The author’s version with any changes made as a result of the peer-review process, but prior to publisher’s copy-editing or formatting.

**Institutional Repository (IR):** Is a set of services that a university offers to the members of its community for the management and dissemination of digital materials created by the institution and its community members. It includes an organisation’s commitment to the stewardship of digital materials, including long-term preservation where appropriate, as well as organization and access.

**Irrevocable License:** The permission granted may not be taken back; there are no fees associated with the permission granted, and the permission applies worldwide.

**Item:** Any scholarly work being deposited including abstract, text, images and related data**.**

**Metadata:** Data that describes other data. For items in open access repositories, this usually consists of a full bibliographic reference, abstract, keywords and similar information.

**Monitoring:** Continuing function that uses the systematic collection of data on specified indicators to inform management and the stakeholders of an on-going project/program of the extent of progress and achievement of the results (Glossary definition).

**MSU:** Maseno University

**Non-exclusive rights**: After an author grants non-exclusive rights, he/she still retains ownership and complete control of the copyright in their writings, subject only to this prior license. The author can exercise copyright in any way he/she deems fit, including transferring them to a publisher as desired.

**Not sold for a profit**: MSU will not generate a profit from exercising the rights granted, but could recover costs for a service related to the articles, such as printed course packs.

**Open Archives Initiative (OAI):** The Open Archives Initiative develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content. OAI has its roots in the open access and institutional repository movements.

**Open-access repository:** Journal articles stored and made available on the internet, permitting any user 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, non-commercial purpose, without financial, legal or technical barriers other than those inseparable from gaining access to the internet itself.

**Scholarly articles:** Faculty’s scholarly articles are articles that describe the fruits of their research and that they give to the world for the sake of inquiry and knowledge without expectation of payment. Such articles are typically presented in peer-reviewed scholarly journals and conference proceedings.

**Staff:** Any person who is employed by Maseno University.

**Universal Resource Locator (URL):** This is a pointer to a ‘resource’ on the World Wide Web; a unique address for a file that is accessible on the internet.

1. **Introduction**

This document describes in detail MSU Institutional Repository Policy on materials that can be submitted to and stored in the digital repository, criteria for eligibility to deposit material along with the policy on long term preservation of material and quality control. The policy document also highlights the selection, retention and withdrawal procedures relating to research material held in the MSU Institutional Repository.

The Repository is an initiative of the University library and ICT. It contributes to the commitment of the university to support research activities. It provides an open access platform to capture, store, index, and distribute globally a wide range of research outputs, including masters and doctoral theses, produced by the university’s researchers and postgraduate students. The aim of the Repository is to promote the University’s research profile by exposing MSU research outputs online. This will assist in increasing citation rates and the impact of MSU research.

The repository is a complement to traditional research publishing channels, not a replacement. It provides University researchers and postgraduate students secure, stable and long term storage of their materials in a centralised location.

The Institutional Repository will:

1. Provide free, searchable access to this output and make possible its long‐term archiving and preservation.
2. Provide a permanent record of the intellectual output of MSU.
3. Operate as a non‐profit, non‐commerci al, open access, institution‐wide repository with the aim of preserving

 and disseminating the scholarly output and other selected outputs of the University.

**2. Benefits of a Repository**

***To Individual Researchers:***

By contributing research work to a repository, the authors will be:

1. Making their research more visible on the web.
2. Reaching a wider readership via free access to their research.
3. Achieving higher citation rates and impact.
4. Contributing to open access to research.
5. Provided with long-term preservation.
6. Given permanent identifiers for each deposited paper (these links will never change and will guide your readers to your research even 20 years down the line).

***To MSU and the Global Community:***

At the institutional level, the institutional repository will benefit MSU in the following ways:

1. Showcasing the University’s scholarly footprint.
2. Increasing the visibility, reputation and prestige of the university.
3. Demonstrating the scientific, social and economic relevance of the institution’s research activities.
4. Enhancing opportunities for communication and collaboration between individual researchers, and research teams; individual creative artists and groups.
5. Acting as a route for the institution to take part in providing open access to scholarly works.
6. Providing long-term preservation to research outputs.
7. Acting as an effective marketing tool.

**3. Open Access Policy Statement**

**3.1 Repository Contents**

The repository will contain research outputs and masters and doctoral theses from members of the University in digital format. The following types of scholarly works shall form part of the repository:

1. Journal articles
2. Books
3. Book chapters
4. Conference publications
5. Refereed designs
6. Creative, performance-based and visual arts outputs that have research components
7. Masters and doctoral theses
8. Unpublished scholarly work

The following types of scholarly works are NOT included in the 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

**3.2 Access**

The material in the Repository is intended to be freely accessible via the Repository's web site and most common search engines such as Google Scholar, DOAJ and OAIster.

All material in the Repository contains bibliographic details (Metadata) such as author, title etc. which is made available for harvesting by most common search engines. Wherever possible, the full text of the material is made freely available subject to copyright law and license agreements. In those cases where full text can't be made available, the Repository provides detailed metadata and location information.

**4. Content Policy**

The repository shall accept submissions of the following types of materials:

i. Journal articles

ii. Theses and Dissertations.

iii. Learning Objects (past papers, lecture notes and presentations). iv. Conference and Workshop Proceedings.

v. Books and book chapters.

vi. Technical reports, commissioned reports, and other un‐refereed research outputs.

vii. Newsletters of significant research groups.

viii. Other materials produced by academic/research staff and approved by Deputy Vice Chancellor (Research, Publications and Innovation), Directors of Schools/Deans of Faculties or Heads of Departments.

Any research which includes a confidential report for a sponsor, i.e., company/commercial third party, will not be included, or will have restricted access unless otherwise agreed by the sponsor.

**5. Submission Policy**

**5.1** Items shall only be deposited by accredited members of the University, or their delegated agents.

**5.2** Authors who are depositors shall only submit their own work for archiving.

**5.3** Where an item has multiple authors:

1. At least one author must be a member of staff or a student of MSU, and
2. The submitting author shall obtain the permission of the co-authors.

**5.4** MSU Institutional Repository is not an exclusive repository. Authors may also deposit their work in other repositories as desired or required.

**5.5** 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.

**5.6** The MSU Institutional Repository Administrator will only assess items for the eligibility of authors/depositors, relevance to the scope of MSU Institutional Repository, valid layout and format, correct metadata and the exclusion of spam.

**5.7** The validity and authenticity of the content of any submissions is the sole responsibility of the depositing author.

**6. Metadata Policy**

**6.1** The metadata schema used throughout by MSU Institutional Repository will be principally based on Dublin Core.

**6.2** Where necessary, to facilitate the full description of a resource, other elements and element

refinement as defined by the Dublin Core Metadata Initiative will be used.

**6.3** Anyone may access the metadata free of charge.

**6.4** The metadata may be reused in any medium without prior permission for not‐for‐profit purposes provided the Open Archives Initiative (OAI) identifier or a link to the original metadata record is given, and the repository is mentioned and should be cited as MSU Institutional Repository.

**6.5** The metadata shall not be re-used in any medium for commercial purposes without formal permission.

**7. Data Policy**

**7.1** Anyone may access items in the repository for personal research or study, educational, or not‐for‐profit purposes without prior permission or charge, provided:

i. The authors, title and full bibliographic details is credited, where available, and,

ii. A hyperlink and/or Universal Resource Locator (URL) are given for the original metadata page, and the content is not changed in any way.

**7.2** Full items shall not be sold commercially in any format or medium without formal permission of the copyright holders.

**7.3** All users will be expected to use materials in the repository within the copyright limits.

MSU library will therefore not be liable for any copyright violation arising from use of items in the repository.

**7.4** Some full items are individually tagged with different rights permissions and conditions.

**7.5** In most cases, the repository is **not** a publisher. It is merely an online archive.

**8. Selection, Retention, Replacement and Withdrawal**

**8.1 Selection and Retention**

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

1. The item infringes on copyright or other rights.
2. The item is proven to include falsified research.
3. The item fails to meet legal requirements.
4. The item is in a format which cannot be stored or displayed satisfactorily.

8.1.2 If a depositor leaves the employment at MSU, their items shall be retained in the

MSU Institutional Repository.

**8.2 Replacement**

8.2.1 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 un- published version on the repository.

8.2.2 The replacement item may use the same record as the original.

**8.3 Withdrawal**

8.3.1 Items will only be deleted from MSU Institutional Repository if there are legal or University Intellectual Property Rights issues or other exceptional circumstances. Items may be withdrawn from open access if necessary and placed in a closed access archive.

i. Records of items will only be withdrawn from view for reasons such as their being found to violate the legal rights of a third party.

ii. MSU Institutional Repository shall retain the right to remove the work(s) for professional or administrative reasons.

8.3.2 Items removed from view will be traced (but to avoid loss of the historical record) in the form of 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.

8.3.3 Acceptable reasons for withdrawal include:

i. Proven copyright violation or plagiarism.

ii. Legal requirements and proven violations.

iii. National security.

iv. Falsified research.

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

8.3.5 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 MSU Institutional Repository and stored as a closed access item. The final decision remains at the discretion of the University.

**9. Intellectual Property/Copyright**

9.1 MSU Institutional Repository respects the author’s/creator’s copyright for the deposited contents and will at all times adhere to the Copyright Law. If the Repository receives proof of copyright violation, the relevant item will be removed immediately. Furthermore, MSU Institutional Repository is guided by MSU Intellectual Property Policy and Kenya copyright law.

9.2 All depositors will be required to agree to a non‐exclusive MSU Institutional repository deposit agreement **(Appendix I)** in order to give permission for their work to be held in MSU Repository, to provide for the distribution of their work, and to allow ongoing preservation of both their work and/or the related metadata.

9.3 Every time scholarly work is accessed online via MSU Institutional Repository, the end user agrees to respect the original copyright of the work, which a depositor has granted access to.

9.4 Where MSU, student or member of staff owns the copyright to the work placed in the MSU Institutional Repository, the Creative Commons end-user license will be applied. The Creative Commons license may be viewed at <http://creativecommons.org/licenses/by-nc-nd/2.0/uk/>

9.5 Where research is generated as a result of collaboration between multiple authors, MSU Institutional Repository will accept an author undertaking on behalf of his/her co- authors provided the author has the co-authors’ authority to enter into the agreement on their behalf. Should there be an objection raised, the material in question will be withdrawn subject to further investigation of the complaint.

**10. Quality Control**

As the materials in MSU Institutional Repository will have a bearing on the reputation of the University, all submissions will be subject to the following quality control criteria:

10.1 The Repository staff will review and assess all submissions before making them available via the institutional repository for:

1. Eligibility of the depositor/author.
2. Valid metadata.

10.2 The validity and authenticity of the submission (full text or equivalent) is the responsibility of the depositor.

10.3 Any submissions not meeting the submission criteria will be returned to the depositor together with reasons for refusal.

**11. Preservation Policy**

11.1 Items will be retained within MSU Institutional repository indefinitely.

11.2 MSU will endeavour to provide continued readability and accessibility of all items deposited in the Institutional Repository.

11.3 Withdrawn items are not deleted *per se*, but are removed from public view and their identifiers/URLs are retained indefinitely.

11.4 URLs will continue to point to “tombstone” citations, to avoid broken links and to retain item histories.

11.5 In the event of MSU Institutional Repository being closed down, University will make all reasonable endeavors’ to transfer the database to another appropriate archive subject to approval by the University Senate.

**12. Compliance and Monitoring**

The success of this policy depends on commitment of the university to implement and actualize it. In this regard, the University Management has an obligation and responsibility to establish the supporting structures to ensure the implementation of the policy.

The **University Library** shall manage the repository and will be responsible for:

i. Verifying online submissions, validating and enhancing associated metadata and ensuring research outputs are accurately displayed online.

ii. Organizing copyright clearances to facilitate open access to research outputs wherever possible.

iii. Initiating and maintaining internet harvesting protocols for the university’s research and scholarly output.

The Institutional Repository activities will be coordinated by an IR administrator, who will carry out the day to day functions of the repository. The Vice Chancellor shall appoint a repository committee to help and oversee the implementation of the repository.

The DVC (Academic) will be the OVERALL overseer. University Librarian, the deans of faculties and directors of schools, Institutes and the Board of Postgraduate Studies will be responsible for ensuring that academic staff and students are aware of their obligations to submit their scholarly and research outputs to MSU Institutional repository to aid the University in exposing its research to the wider global community and thereby enhancing its visibility.

The ICT Directorate will be responsible for the data interchange and the maintenance of the systems and supporting infrastructure.

**13.0 Policy Review**

In keeping with the dynamic nature of information communication in the scholarly environment, the university management shall facilitate the review of this policy from time to time, but not later than five (5) years from the review of this policy. This shall ensure that it remains relevant and addresses the needs of the university community.

**14.0 Disclaimer**

MSU Institutional Repository is an online archive not a publisher. The repository administration checks all submissions for format, authors’ eligibility and adherence to the repository content policy. Depositors must agree to the MSU Deposit Agreement. Neither Maseno University nor the repository guarantees or warrants any statements contained within items in the repository. Additionally, neither party will accept any responsibility or liability for any possible mistakes contained therein.

**Appendix I**



**MASENO UNIVERSITY**

**Deposit Agreement**

The Maseno University institutional repository supports the long- term preservation of, and free access to research materials produced by members of the University. To undertake this role, the repository staff needs permission to store, copy and manipulate the materials in order to ensure that it can be preserved and made available in the future. This Deposit Agreement is designed to give MSU Institutional Repository administrators the right to do this and to confirm that the depositor has the right to submit the material to the repository. The Agreement is non‐exclusive, and the depositor does not give away any of their rights to MSU Institutional Repository.

By agreeing with and accepting this license, I/we (the author/(s), copyright owner or nominated agent) agree to the conditions as stated below, for the deposit of the item (Title: ),(also referred to as the Work) in the institutional repository maintained by MSU, or any other repository authorized for use by MSU.

By depositing my/our work in MSU Institutional Repository I/we agree to the following:

1. That I am/we are free to publish this work in its present or future versions elsewhere.
2. I/we confirm that:

a. I am/we are the copyright owner(s) and/or have the right to make this agreement with you.

b. The work is original and to the best of my/our knowledge does not infringe anyone’s copyright.

c. The work does not violate or infringe any intellectual property law.

 iii. I/we agree to:

a. Add the work to the repository so that it is freely available online for the lifetime of the repository.

b. Convert the work as necessary to ensure that it can be read by computer systems in the future.

iv. That removal of the item can only be made after discussion with the repository administrators.

I/we understand that MSU Institutional Repository:

i. May distribute copies of the work (including the abstract) worldwide, in electronic format via any medium for the lifetime of the repository for the purpose of open access.

ii. May electronically store, convert or copy the work to any medium or format for the purpose of future preservation and accessibility.

iii. May incorporate metadata or documentation into public access catalogues for the work.

iv. Shall retain the right to remove the work for professional or administrative reasons, or if it is found to violate the legal rights of any party.

v. Shall not be under obligation to take legal action on behalf of the depositor or other rights holders in the event of infringement of intellectual property rights or any other right in the material deposited.

vi. Shall not be under obligation to reproduce, transmit, or display the work in the same format or software as that in which it was originally deposited.

Additionally, I/we also understand that if, as a result of my/our having knowingly or recklessly given a false statement and the University suffers loss, I/we will make good that loss and indemnify MSU for all actions, suits, proceedings, claims, demands and costs occasioned by the University in consequence of my/our false statement.

While every care will be taken to preserve the physical integrity of the work, MSUshall incur no liability,

either expressed or implicit, for the work or for loss of or damage to any of the work or associated data.

**Depositor's Declaration:**

I/ We (the author(s) hereby grant to MSU Institutional Repository (Maseno University) a non‐exclusive license on the terms outlined. I declare that:

i. I am/we are the owner(s) of the copyright for the whole work (including content & layout), or am duly authorized by the owner(s) or other holder of these rights and I am competent to grant under this agreement, a license to hold and disseminate copies of the material.

ii. The work is not and shall be in no way a violation or infringement of any copyright, trademark, patent, or other rights whatsoever of any person.

iii. That if the work has been commissioned, sponsored or supported by any organization, I/we

declare that I/we have fulfilled all of the obligations required by such contract or agreement.

Name: …………………………………………… Faculty/School/Department: ……………………………………….. Sign: ………………………………………… Date: ………………………………………

Signed: …………………………………… Date: …………………………………

(University Librarian)

**Appendix II**

**File Formats**

The following file types and formats will be considered for acceptance:

1. Adobe® PDF (.pdf)
2. Audio and video file formats (.aiff, .aif, .aifc, .tiff, .jpeg, .gif)
3. Machine-Readable Catalogue Records – MARC
4. Microsoft Office Excel® ( .xls)
5. Microsoft Office Powerpoint® (.ppt)
6. Microsoft Office Word® (.doc, .docx)
7. Moving Picture Experts Group (.mpeg, .mpg)
8. Text file Formats (HTML, TXT (text), DAT (data: ASCII data), RTF (rich text format), and XML].

Only digital items will be accepted. In exceptional circumstances printed formats will be accepted for subsequent digitization by MSU Institutional Repository. Files may be converted to more common /current formats by MSU repository staff for compatibility.

**Appendix III**

**Systems Requirements**

For implementation of Institutional Repository, there is need for proper technical infrastructure and other requirements, some of which are already in place. As MSU has an adequate network facility with sufficient devices like cables, bridges, hubs, switches, routers and internet protocol ranges; however, the following facilities will be needed for implementation.

|  |  |  |
| --- | --- | --- |
| **Requirements** | **Description** | **Cost** |
| *Hardware system* |  Two dedicated servers, one for production and another for backup. Servers must have the highest and latestconfiguration – higher processor. It must have high- configured primary memory, high cache memory. RAM capacity should be adequate to store graphic data. One high-speed face-up book scanner with Optical character Recognition (OCR) software to digitize print documents. MPEG card to convert video-recorded documents into digital form | Ksh. 1.2M Ksh. 1.0M |
| *Software systems* |  D-Space ( latest stable version preferred)o Java 1.5.0o Apache Ant 1.7.0o Tomcato PostgreSQL Operating Systems ( Windows 2003 Servers/Linux Server PDF maker software ( i.e. Acrobat Writer) to convert documents or images to Adobe PDFThese software packages need to be installed. D-Space has in- build features for customization and administration. | Open Source Software |
| *Annual Operations and**Maintenance* |  Installation and customization Upgrades and migration Advocacy , user support and training Digitization and preservation processes Staff training and skills development | Ksh. 0.8 M |
| *Human Resources* | For a full-fledged implementation of the Institutional Repository the following will be required:* **One IR Administrator/Systems Librarian**
* **One systems administrator**
* **One Copyright Officer**
 |  |

**NB:**

**Two staff** – possessing some additional skills sets needed for different activities such as uploading of files, scanning, digitization and other activities involved with D-Space.

**One Staff from ICT department**, who shall be dedicated to IR project full time for technological support

In order to maintain quality systems and services, continuous skills development for every staff member in the team is critical. Attending of workshops, seminars and tutorials shall help the team to apply new strategies and modern methods for collection, preserving and retrieval of digital resources.

**PREPARED BY:**

**LIBRARY SUB-COMMITTEE ON IR**

**CHAIRMAN: ………………………………………………………..**

**SIGNATURE …………………………………………**

**DATE……………………………………………………**

**APPROVED BY:**

**DVC (AA) ……………………………………………… (CHAIRMAN, LIBRARY COMMITTEE)**

**SIGNATURE:……………………………………**

**DATE: ……………………………………………**