



INSTITUTIONAL REPOSITORY POLICY	
Document number:	
Document name:	Institutional Repository
Co-ordinating Exec Manager / Document owner:	DVC: Academic
Operational manager/s	Library Director
Contact & tel. no. for support:	Library, 3735260
Status:	Approved Senex 3 August 2009
Approved by:	Approved by Senate
Date approved:	13 November 2013
Date for review/ next review:	
Date of Implementation	01 January 2009
Title of manager responsible for policy review	Director: Library
Title of manager responsible for monitoring implementation of this policy	Manager: Library IT Innovation & Development
Related policies: Intellectual Property Policy; 3 rd stream income policy; Policy on Embargoed and Secret Research; Archives Policy	

1. Introduction

The advent of the Open Access movement in the past years, with various major declarations and statements of support, has resulted in a number of initiatives to promote and support Open Access. One such mechanism is the establishment of Open Access Institutional Repositories where authors can self-archive their research publications, be these pre- or post-prints, conference presentations or theses or dissertations.

Definitions and Acronyms

ETDs	Electronic Theses and Dissertations.
Embargoes	Banning the full text publication of a document, usually for a defined period of time (<i>Oxford Pocket Dictionary of Current English 2008</i>).
Institutional Repository	Digital collections which capture and preserve the intellectual output of a university community (Crow, R. 2002. <i>The case for institutional repositories: a SPARC position paper</i>).
IR	Institutional Repository
JISC	Joint Information Systems Committee. The Joint Information Systems Committee (JISC) is funded by the UK HE funding bodies to provide world-class leadership in the innovative use of ICT to support education and research.
Open Access	Digital, online, free access to scholarly work which is free of most copyright and licensing restrictions (Peter Suber 2007).
Pre-Prints	The version of the article/ paper before peer review by the Publisher.
Post-Prints	The version of the article/ paper after peer review by the Publisher, with revisions having been made.
SHERPA	Securing a Hybrid Environment for Research Preservation and Access. This is a website which shows what publishers' policies are in terms of archiving articles on Institutional Repositories or other Open Access environments.

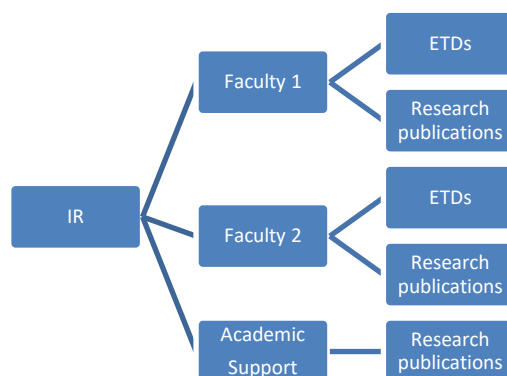
2. Policy

2.1 Purpose of the DUT Institutional Repository

The purpose of the DUT IR is to collect, disseminate and preserve the intellectual effort and research output of staff and students of the institution. This ensures that the University contributes to the global body of knowledge and maximises the exposure of DUT research, thereby raising the profile of the institution.

2.2 Content

The DUT IR will be composed of faculty communities, within which there will be collections relating to various types of content. The two main types of content, each with a collection per faculty, are Electronic Theses & Dissertations (ETDs), and research output (either already published or complete and accepted for publication or works of art, recordings etc.). The work must be in digital form, in *pdf* format.



The community “Academic Support” will include research output from departments/entities such as Centre for Excellence in Teaching and Learning (CELT), Library, etc. (i.e. any department that does not fall specifically within a faculty).

2.3 Submissions

Any currently serving DUT staff member, as well as Masters and Doctoral students, **must** submit items to the repository, as outlined below. Initially, submission will be to the Repository Administrator in the Library. All content must be in digital form. Copyright for all items submitted to the Repository must have been cleared in advance where necessary, and such clearance must be submitted with the item.

2.3.1 ETDs

The G26 (5) rule of the University states that “after approval of the mini-dissertation/ dissertation/thesis by the Higher Degrees Committee the student must submit to the relevant Faculty Office one copy in an electronic pdf format, and one bound copy of the dissertation/thesis duly amended in accordance with the examiners’ reports as approved in writing by the supervisor/ promoter and relevant Head of Department. Additional bound copies may be prescribed by each Faculty”.

Initially, the Library will post ETDs to the IR as part of its normal processing of Theses and Dissertations. Faculty officers thus send their print and electronic copies to the Library for handling and processing. It is expected that at some point in the future, students/supervisors will upload the examined work in a digital form.

Format

The electronic copy should contain one file in *pdf* format. Supporting documentation may be submitted as another single file. Provision for training students in merging files, converting to *pdf* format and uploading documents to the IR will be provided by the Library.

Embargo periods

Embargoes on the full-text of Masters or Doctoral theses/dissertations will be the 'exception rather than the rule'. Supervisors of Masters/Doctoral students are to apply to their relevant Faculty Research Committee (FRC) for an embargo to be placed on an ETD when giving notification of intent to submit for examination. Notification of this approval must accompany the item sent to the library, so that the embargo can be implemented.

Secret research projects should have as short as possible a period of embargo, and a maximum limit of two years is normal (see Policy on Embargoed and Secret Research).

2.3.2 Research Output/Publications

It is mandatory that all publications, articles and conference presentations by any current DUT staff member and/or Masters or Doctoral students, are archived on the DUT repository. For publications, this should occur when the item is accepted for publication. The author's final version should be submitted. Normally, Department of Higher Education & Training subsidies will not be allocated to the relevant individual/s until the item is submitted to the Repository.

Copyright for all items submitted to the Repository must have been cleared in advance where necessary, and such clearance must be submitted with the item. The Intellectual Property office will assist with all requests for permission to archive any published work. In addition, the SHERPA website can be consulted to determine what publishers' policies are. Where the publisher imposes an embargo period, the abstract is still to be submitted to the Repository.

Format

All research publications and conference presentations must be submitted in pdf format.

2.4 Deposit Policy

Who must deposit?

All submissions by Masters and Doctoral students or current staff members of the Durban University of Technology must meet the criteria outlined in Section 2.3. The work deposited must be relevant to that individual during their time of study/employment at the University. Work done while employed at another institution is not considered for deposit in the DUT IR.

What to deposit?

Theses & Dissertations: any dissertation or thesis which is issued as a Masters or Doctoral qualification of the University. DUT staff members who undertake a Masters/Doctoral qualification while employed at another institution may not deposit such dissertation/thesis in the Repository. An abstract of the work may be placed on DUT IR with a link to the other Institution's Repository.

Post-prints/publications/conference proceedings: Any DUT staff member or student who publishes/presents during his/her time as a DUT student or staff member.

It is the responsibility of the submitter to obtain copyright clearance where necessary, and to familiarise themselves with the self-archiving policies of the various national and international publishers. Policies of many publishers can be found in on the Sherpa/Romeo Project site. See <http://www.sherpa.ac.uk/romeo.php>. The Intellectual Property Office will also be able to assist with copyright clearance.

2.5 Access and retention

2.5.1 Access

Access is available to any user, worldwide, with Internet access. The Durban University of Technology is registered with various Open Access bodies which enable the harvesting of digital resources internationally.

Access to theses/dissertations that have an embargo will be limited to internal (DUT) use only. Embargoed publications will be treated as per the embargo declaration for the stated period; however, the abstract of the embargoed material will be made available on the Repository.

2.5.2 Retention/Withdrawal

It may be necessary to remove items from the Repository. In some instances items will be withdrawn (removed from view) but such transactions will be traced in the form of a note in the relevant MARC field, to avoid loss of the historical record. Such instances would include withdrawal at the request of the author, or at the discretion of the Library, or at the discretion of the University, or by legal order. All requests for withdrawal of items from the IR must be routed to the relevant FRC. Notification of this withdrawal must be communicated to the IR Administrator.

2.6 Distribution License

The following license is applicable for all submitted items:

By submitting content to the Repository, you agree with the non-exclusive distribution license. This means that you (the author/s or copyright owner/s) grant to the Durban University of Technology the non-exclusive right to reproduce and/or distribute your submission (including the abstract) worldwide (unless the work is specifically for DUT access) in electronic format and in any medium, including but not limited to audio or video. You agree that the Durban University of Technology may, without changing the content, translate the submission to any medium or format for the purpose of preservation. You also agree that the Durban University of Technology may keep more than one copy of this submission for purposes of security, back-up and preservation. You represent that the submission is your original work, and that you have the right to grant the rights contained in this license. You also represent that your submission does not, to the best of your knowledge, infringe upon anyone's copyright. If the submission contains material for which you do not hold copyright, you represent that you have obtained the unrestricted permission of the copyright owner to grant the Durban University of Technology the rights required by this license, and that such third-party owned material is clearly identified and acknowledged within the text or content of the submission. If the submission is based upon work that has been sponsored or supported by an agency or organisation other than the Durban University of Technology, you represent that you have fulfilled any right of review or other obligations required by such contract or agreement. The Durban University of Technology will clearly identify your name(s) as the author(s) or owner(s) OR as the submitter of the submission, and will not make any alteration, other than as allowed

by this license, to your submission. All items in the Durban University of Technology institutional repository collection are subject to copyright. Visit the SA Copyright Act No. 98 of 1978 (as amended) for more information, <http://www.buys.co.za/publications/cyberlaw/CopyrightAct.htm>.

3. Ownership

The DUT Institutional Repository is owned by the Durban University of Technology. It is managed on behalf of the institution by the Library, with support from relevant departments such as Research, Postgraduate Development and Support, Information Technology Support Services (ITSS) department, and faculty offices.

4. Quality Control

For theses and dissertations, the structural integrity of the submission is checked against the final print copy.

For research output submissions, it is the responsibility of the submitter to ensure that the correct version of the work is provided.

Software for the purpose of authentication and version control, being produced by JISC, will be utilised when it is available.

5. Preservation

The Library will engage with the National Research Foundation's (NRF) project for a national ETD database, and determine what preservation policies it can link into.

Each item in the repository is assigned a unique identifier (CNRI's handles). These are persistent identifiers which are resolvable in perpetuity, and remain valid if content moves to a different system. The handles' identifiers also allow documents in the collection to be properly and effectively cited by content users.

6. System availability and system backup

The Repository content is backed-up incrementally on a daily basis. System availability is subject to DUT network uptime, controlled by the (ITSS) department.

7. Applicability and compliance

This policy applies to all Masters and Doctoral students of the University, and all staff and researchers. The Durban University of Technology does not tolerate academic fraud or dishonesty, and any submitter found to be in contravention of such principles and this policy will face disciplinary measures.

8. Contact for support: Library Manager: IT Innovation & Development; Institutional Repository Administrator, as designated.

9. Review date: 2015