

EGERTON



UNIVERSITY

**INSTITUTIONAL REPOSITORY AND OPEN ACCESS
POLICY**

AUGUST, 2019

Table of Contents

FOREWORD	iii
LIST OF ABBREVIATIONS.....	iv
DEFINITION OF TERMS	v
1 UNIVERSITY VISION, MISSION, CORE VALUES AND PHILOSOPHY	1
2 EGERTON UNIVERSITY INSTITUTIONAL REPOSITORY.....	2
3 OBJECTIVE AND SCOPE OF THE IR AND OPEN ACCESS POLICY	2
4 ACCESSING THE REPOSITORY	2
6 BENEFITS OF THE EGERTON UNIVERSITY INSTITUTIONAL REPOSITORY	2
7 TRAINING AND CREATING AWARENESS.....	3
8 SUBMISSION OF CONTENT TO THE UNIVERSITY INSTITUTIONAL REPOSITORY 3	
8.1 Eligibility and responsibility of the Depositors	5
8.3 File Formats	5
9 PRESERVATION OF THE INSTITUTIONAL REPOSITORY CONTENT	6
10 WITHDRAWAL OF ITEMS FROM THE UNIVERSITY INSTITUTIONAL REPOSITORY.....	6
11 METADATA	7
12 OPEN ACCESS	7
13 COPYRIGHT AND INTELLECTUAL PROPERTY RIGHTS.....	8
14 ROLES AND RESPONSIBILITIES.....	9
14.1 The University Library and Librarian	9
14.2 The Board of Postgraduate Studies	9

14.3	The Depositors/Contributors	9
14.4	Information Communications Technology Manager	10
14.5	The IR and Knowledge Management Advisory Committee	10
15	QUALITY CONTROL FOR THE REPOSITORY	11
16	DISCLAIMER	11
17	POLICY REVIEW	11
	APPENDICES.....	12
	APPENDIX I: INTENTION TO DEPOSIT FORM	12
	APPENDIX II: DEPOSIT AGREEMENT	14

FOREWORD

Egerton University Institutional Repository (EUIR) is an open access collection of formally organized and managed digital content generated by the Egerton University academic and administrative staff, researchers and students. The collection includes conference proceedings/papers, Theses and Dissertations, books and book chapters, reports, historic events and ceremonies, policies as well as other research outputs from the university community. The EUIR shall be available to the users from Egerton University community and outside the university.

The repository shall provide a platform for providing universal open access to research and scholarly information emanating from the University and hence provide platform for showcase Egerton University's academic and research outputs as well as giving visibility of the university to the outside world. This is in-line with the university's mission to offer exemplary education to society and generate knowledge for national and global development.

This policy has been developed to provide general guidelines on the development, management and access of the EUIR and hence ensure uniformity and accessibility of the digital collection, EUIR adopted the best practice by using the recommended Dublin Core metadata standard for the description of digital objects.

The EUIR policy shall define the scope, repository content and legal obligations necessary for the maintenance of the repository.

LIST OF ABBREVIATIONS

EUIR - Egerton University Institutional Repository

IR -Institutional Repository

OA - Open Access

OAI - Open Access Initiative

URL - Universal Resource Locator

DEFINITION OF TERMS

For the purpose of the implementation of this policy, the following terms shall be used as expressed in the context.

Content: Materials uploaded in a digital repository.

Copyright: Refers to the exclusive right to make copies, license, and otherwise exploit a literary, musical, or artistic work, whether printed, audio, video, etc.: works granted such right by law are protected for the lifetime of the author or creator (Copyright Act CAP 130).

Copyright owner: Refers to the creators of literary, dramatic, musical or artistic works and have exclusive right over them.

Creative Commons (CC) License: The CC licenses provide a simple standardized way for individual creators, companies and institutions to share their work with others on flexible terms without infringing copyright. The licenses allow users to reuse, remix and share the content legally.

Depositor: An employee or a student registered with the University who allows his/her work to be uploaded to the Institutional Repository. The depositor usually retains legal ownership and responsibility of the works uploaded.

DSpace: The open source software platform that Egerton University has adopted for the used for IR to manage, preserve and make available the intellectual output of the university in digital formats.

Dublin core Metadata Standards: Is a standard set of 15 interoperable metadata elements designed to facilitate the description and recovery of online resource. The descriptive elements include title, creator, description, publisher, contributor, date, type, format, identifier, source, language, relation, coverage and rights.

Institutional Repository: It is a system for collection, preserving and disseminating, in digital form, the intellectual output of an Institution. In simple terms it may also be referred to as a collection of digital content generated by an Institution.

Intellectual Property Rights (IPRs): Refers to the rights given to persons over the creations of their minds. The IPRs usually give the creator an exclusive right over the use of his/her creation for a certain period of time.

Metadata: Structured information describing information resources/objects uploaded in the Institutional Repository so as to facilitate indexing, discovery, identification, and selection of items.

Open Access: The free, immediate, online availability of research articles coupled with the rights to use these articles fully in the digital environment.

1 UNIVERSITY VISION, MISSION, CORE VALUES AND PHILOSOPHY

1.1 Vision

A world class university for the advancement of humanity

1.2 Mission

To generate knowledge and offer exemplary education and training to society for national and global development

1.3 Core Values

The University's activities and decisions is guided by the following core values:

- i. National unity and social fairness;
- ii. Integrity, Transparency and Accountability;
- iii. Professionalism;
- iv. Internationalism;
- v. Passion for excellence and devotion to duty;
- vi. Team work;
- vii. Passion for environmental conservation;
- viii. Innovativeness and creativity

1.4 Egerton University Philosophy

Egerton University innovatively influences human development through holistic education and generation, acquisition, preservation and dissemination of knowledge and skills, with emphasis on Agriculture and related disciplines. The University provides equal opportunity in producing competitive and hands-on graduates that contribute to national and global development.

2 EGERTON UNIVERSITY INSTITUTIONAL REPOSITORY

Egerton University shall have an Institutional Repository to capture, organize, preserve and disseminate collections of digital content generated by the academic and administrative staff, researchers and students. Through the IR the University shall promote research work and enhance scholarly communication globally. This Institutional Repository shall be published online and will be open to the public.

3 OBJECTIVE AND SCOPE OF THE IR AND OPEN ACCESS POLICY

3.1 Objective of the Policy

The purpose of this policy is to provide guidelines for effective management and accessibility of the EUIR.

3.2 The Scope of the Policy

This policy shall cover the knowledge and information created by the researchers, staff and students of Egerton University.

4 ACCESSING THE REPOSITORY

The university shall provide both full text and partial access to the content of the repository through the URL <http://ir-library.egerton.ac.ke/>. The EUIR link shall be provided through the University website and the library web pages. The content in the repository shall be accessible by simple searches via search engines like Google and Google scholar.

6 BENEFITS OF THE EGERTON UNIVERSITY INSTITUTIONAL REPOSITORY

The benefits of developing and managing an effective IR and open access are numerous. The IR shall;

- i. Ensure that Egerton University research output is accessible to a larger audience since its available within and outside the institutions hence greatly enhancing the public value of research;
- ii. Capture and preserve the intellectual capital of the University;

- iii. Expose the University's intellectual output to researchers around the world who might not be in a position physically visit the institution or access research materials through traditional means;
- iv. Increase University's role as a viable partner in the research enterprise;
- v. Reduce the amount of time taken between discovery and dissemination of research findings;
- vi. Improve ranking of Egerton University hence marketing it worldwide;
- vii. Enhance greater citation hence improving visibility of the university researchers and author;
- viii. Faculty members can self-publish their preprints immediately, with the possibility of receiving immediate feedback.

7 TRAINING AND CREATING AWARENESS

There shall be continuous user training to create awareness so as to increase the level of user access and contribution of content into the IR. The user education shall target all library users and contributors of materials in the repository system. The training topics shall include:

- i. Sensitization on importance of the EUIR;
- ii. Open Access publishing; and
- iii. Copyright and plagiarism issues among others.

8 SUBMISSION OF CONTENT TO THE UNIVERSITY INSTITUTIONAL REPOSITORY

In order to enrich the content of EUIR, variety of information materials shall be collected from Egerton University community. The staff researchers and students shall be encouraged to

voluntarily contribute content to the IR. Materials to be included or accepted for submission shall comprise of the following:

- i. Journal articles;
- ii. Conference papers – refereed, non-refereed, accepted abstracts, poster sessions and Power Point presentations;
- iii. Books and book chapters from commercial and non-commercial publishers
- iv. Theses and Dissertations - at PhD and Masters’ level;
- v. Project reports for Masters’ level;
- vi. Research reports forming a substantial part of an undergraduate degree;
- vii. Other University research related materials such as working papers, discussion papers, government submissions, research report and inaugural lectures;
- viii. Creative works and innovations;
- ix. Research materials such as data sets, statistics and surveys;
- x. Administrative reports, such as the University annual report, committee papers or similar materials which are collected in the official administrative archives;
- xi. Publications that are considered to be of commercial, confidential and sensitive shall not be uploaded or made open access; and
- xii. Posterity content such as graduation speeches, University’s special events such inaugural speeches, University statutes and policy documents.

8.1 Eligibility and responsibility of the Depositors

Contributors to the EUIR shall be bonafide staff, researchers and students of the university. Where the content to be deposited has multiple authors then;

- a. At least one author must be a member of Egerton University; and
- b. The submitting author must seek the permission of co-authors.

In addition, for the items to be accepted for uploading into the EUIR the following guidelines shall be adhered to:

- i. The validity, accuracy and authenticity of the content is the sole responsibility of the depositor.
- ii. Eligible depositors shall also deposit metadata for all their publications.
- iii. When content has already been published in a journal, agreement with the journal publisher must be established.
- iv. Members of the Egerton University community are allowed to do self archive, deposit their scholarly work into EUIR on their own.
- v. Works submitted by students must have been approved by relevant department.

8.3 File Formats

The following acceptable file formats shall be used on documents uploaded to EUIR:

- i. Hypertext Markup Language (HTML)
- ii. Portable Document Format (PDF)
- iii. Microsoft Word
- iv. Microsoft Office Excel
- v. Joint Photographic Expert Group (JPEG)

- vi. Portable Network Graphics (PNG)
- vii. Moving Picture Experts Group (MPEG, MP4)

9 PRESERVATION OF THE INSTITUTIONAL REPOSITORY CONTENT

All items in the Egerton University Repository shall be retained permanently unless there is acceptable reason for withdrawal.

- i. Egerton University Repository shall ensure continued readability and accessibility where appropriate measures for warrant shall be stipulated.
- ii. File in the Repository shall be provided with backups as per the current best practices.
- iii. Items deposited in previous systems shall be migrated to newer formats so long as they are compatible.

10 WITHDRAWAL OF ITEMS FROM THE UNIVERSITY INSTITUTIONAL REPOSITORY

Items shall only be withdrawn from the repository if there are concerns raised by a user, author or any other stake holder. Reasons for withdrawal may include but not limited to:

- i. Proven copyright violation or plagiarism;
- ii. Legal requirements and proven violations;
- iii. National Security;
- iv. Falsified research;
- v. Queries from co-authors;
- vi. Ethical or moral concerns;
- vii. After periodic review;

- viii. Have a virus or other technical problem;
- ix. Request by the author to replace with a newer version; etc

NOTE:

- i. Withdrawn items are not deleted from the IR but are removed from public view.
- ii. The metadata of withdrawn items shall not be searchable.
- iii. Withdrawn items' identifiers (e.g. DOIs/URLs) shall be retained indefinitely.

11 METADATA

Egerton University Institutional Repository shall be based on the Dublin Core Standard as the guiding factor in facilitating the entire description of items.

Meta data from the IR shall be accessible and may be re-used without prior permission so long as it's not for commercial reasons.

12 OPEN ACCESS

Egerton University IR shall provide access to the published research output of the University provided that:

- i. Anyone may access full items free of charge.
- ii. Copies of full items can be:
 - a) Reproduced, and displayed or performed in any format or medium
 - b) For personal research or study, educational, or not-for-profit purposes without prior permission or charge.
- iii. Full items must not be sold commercially in any format or medium without formal permission of the copyright holders.

13 COPYRIGHT AND INTELLECTUAL PROPERTY RIGHTS

Egerton University Institutional Repository shall be guided by the Egerton University Intellectual Property Rights Policy, Universities Act and Egerton University Statutes, Regulations and the Kenyan Copyright Laws.

- i. The copyright owners shall retain the copyright for their materials submitted in the repository.
- ii. All owners of the content deposited in the repository shall agree to a non-exclusive Egerton University deposit agreement (Appendix 2) to give authority for works to be submitted in the repository and provide access and preservation of the content.
- iii. Based on the Copyright Act, the EUIR Policy shall grant the rights holder exclusive moral rights to be identified as the author.
- iv. All end users accessing content in the repository should adhere to the original copyright of the work granted by the depositor on behalf of the university.
- v. The Creative Common end-user license shall apply to copyright of a work deposited in the Egerton University Institutional Repository by a member of the University community.
- vi. Any copyright violations are entirely the responsibility of the authors/depositors.
- vii. The full text material cannot be added to the Open Access Repository if copyright restrictions exist. In such cases only citation and abstract shall be added.
- viii. Intellectual Property Rights are owned by the University in the case of material produced under its auspices.

14 ROLES AND RESPONSIBILITIES

To ensure quality and easy access to the EUIR, various stakeholders shall play specific roles as indicated in the following section.

14.1 The University Library and Librarian

The University Librarian shall ensure:

- i. Coordination in the collection and all research output to be deposited in the IR;
- ii. Support with regard to manpower to organize and upload content;
- iii. Develop Policies and necessary guidelines regarding issues that affect EUIR;
- iv. Compliance with copyright rules and other requirements mandated by the University;
- v. Development of appropriate IR structure;
- ix. The smooth running of EUIR services including continual maintenance and back-ups; and
- x. Create awareness and sensitize staff and students on EUIR issues and the policy.
- xi. The IR is registered with the relevant bodies

14.2 The Board of Postgraduate Studies

The Board of Postgraduate studies shall ensure that:

- i. Students shall submit the soft copy of the final version of theses and dissertations for uploading to EUIR.
- ii. Shall submit copies of theses/dissertations received to University Librarian.
- iii. Students sign deposit agreement (see Appendix I).

14.3 The Depositors/Contributors

The depositors shall ensure that:

- i. They submit a soft copy of content to be uploaded in a prescribed format;
- ii. Their work is original and not a product of plagiarism;
- iii. They sign the deposit agreement.

14.4 Information Communications Technology Manager

The ICT department shall ensure:

- i. The required hardware such as scanner, digital camera and appropriate server is available.
- ii. The IR is accessible all the time.
- iii. Backups are maintained on regular basis.

14.5 The IR and Knowledge Management Advisory Committee

The Library and Bookshop Advisory Committee shall play an advisory role in the running of EUIR. This Committee shall work closely with the University Knowledge Management Committee to offer guidance on management of the university created knowledge. The Advisory Committee shall ensure that:

- i. Any disputes arising from the access of information in the EUIR are effectively resolved;
- ii. The university generated knowledge is well harnessed, processed, preserved and disseminated for effective utilization;
- iii. That the IR and Knowledge Management Policies are well implemented;
- iv. Enhancement of the institutional capacity in IR and knowledge management; and
- v. The progress of the EUIR is monitored and evaluated.

15 QUALITY CONTROL FOR THE REPOSITORY

Egerton University adheres to quality assurance of products and services generated. All items submitted to the repository shall undergo a thorough quality control where:

- i. The repository administrators shall ensure eligibility of the depositor;
- ii. Items being submitted to EUIR shall be subjected to anti plagiarism check by authors to ensure there is no infringement of copyright;
- iii. Repository administrators shall be skilled and competent;
- iv. Only valid metadata shall be used; and
- v. Items not meeting the requirements shall be returned to the depositor and reasons for rejection given.

16 DISCLAIMER

EUIR is an online digital platform for archiving the university's intellectual assets and NOT a publisher. The Policy shall protect the rights of the depositors/author(s) of the submitted items. Authors/depositors of items to the repository are required to adhere to the Egerton University Institutional Repository deposit agreement. Neither Egerton University nor the depositor shall guarantee warrants for any statements contained within the items submitted in the repository or errors therein. Egerton University shall not be held responsible for any outcome that shall arise on use of content in the Institutional Repository.

17 POLICY REVIEW

This policy shall be reviewed after every 3 years or when need arise.

This policy was approved by the University Management Board on 28th October 2019.

APPENDICES

**APPENDIX I: INTENTION TO DEPOSIT FORM
Intention to Submit Content for IR**

I would like to deposit my work to Egerton University Institutional Repository.

Surname: _____ **Firstname:** _____

Student number/Payroll No.: _____

Department: _____ **Faculty:** _____

Title of the Paper: _____

I declare that:

1. This is to certify that I/we am/are responsible for the work submitted in this work, that they are original work except as specified in acknowledgements.
2. The licence rights granted to Egerton University Institutional Repository through this agreement are entirely non-exclusive and royalty free. I am free to publish the Work in its present version or future versions elsewhere.
3. That Egerton University Institutional Repository administrators or any third party with whom Egerton University Institutional Repository has an agreement to do so may, without changing content, convert the Work to any medium or format for the purpose of future preservation and accessibility.
4. I understand that open access work deposited in Egerton University Institutional Repository shall be accessible via the World Wide Web. I understand that once the Work is deposited, a citation to the Work shall always remain visible.
5. That I have exercised reasonable care to ensure that the Work is original, and does not to the best of my knowledge break any Kenyan law or infringe any third party's copyright or other Intellectual Property Right.

6. The administrators of Egerton University Institutional Repository do not hold 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.
7. This thesis/paper does not contain confidential information which should not be divulged to any third party without written consent

Signature: _____ Date: _____

Approved by:

Name: _____ Designation: _____

Date: _____

APPENDIX II: DEPOSIT AGREEMENT

The Egerton University Institutional Repository has its major mandate of archiving, preserving and providing limitless access to all the digital intellectual assets generated by faculty, students, researchers or other members of the university community. To accomplish this mandate the repository staff needs authority to collect, manipulate and store the content. Guiding factors and standards should also be in place to ensure consistency and coordinated content submission. The Egerton University Institutional Repository administrators also need exclusive rights towards this end. The agreement is non-exclusive.

By agreeing and accepting this license, I/we _____

(Author(s), copyright owner or nominated agent)

Agree to the conditions as stated below, for the deposit of the item:

Title:

in the institutional repository maintained by Egerton University or any other repository authorized by Egerton University.

By depositing my/our item(s) in Egerton University institutional repository I/We agree to the following;

- i). That I am/We are the author(s) or have the authority of the authors to make this agreement and do hereby give Egerton University the right to make the work/item available in the way described above
- ii). that I am/ we are free to publish the work in its presence or future versions elsewhere
- iii). 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/item 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 including that of Egerton University

iv) 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/item as necessary to ensure that it can be read by computer systems in the future.

I/We understand that Egerton University Institutional repository;

i) May distribute copies of the item/work (including the abstract) globally, 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 item/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 any 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 item/work in the same format in the material deposited.

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

While every care shall be taken to preserve the physical integrity of the item/ work, Egerton University shall incur no liability, either expressed or implicit, for the work or for loss or damage to any of the work or associated data.