



**D U R B A N**  
**UNIVERSITY of**  
**TECHNOLOGY**

<b>INSTITUTIONAL REPOSITORY POLICY</b>	
<b>Document number:</b>	
<b>Document name:</b>	Institutional Repository
<b>Co-ordinating Exec Manager / Document owner:</b>	DVC: Academic
<b>Operational manager/s</b>	Library Manager: IT Innovation & Development
<b>Contact &amp; tel. no. for support:</b>	Library, 3735140
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<b>Approved by:</b>	SENEX
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<b>Title of manager responsible for policy review :</b>	Director: Library
<b>Title of manager responsible for monitoring implementation of this policy</b>	Director: CQPA
<b>Related policies:</b> Intellectual Property Policy; 3 <sup>rd</sup> stream income policy; Policy on Proprietary Research	

## 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

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> ).
Embargoes	Banning the full text publication of a document, usually for a defined period of time ( <i>Oxford Pocket Dictionary of Current English</i> 2008).
Holding period	The period of time in which the full text is not made available electronically to enable author to publish, or have accepted for publication, an article from the body of research conducted. The abstract of the thesis/dissertation is made available electronically during the holding period.
IR	Institutional Repository.
Open Access	Digital, online, free access to scholarly work which is free of most copyright and licensing restrictions (Peter Suber 2007).
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.
ETDs	Electronic Theses and Dissertations.
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.

## 2. Policy

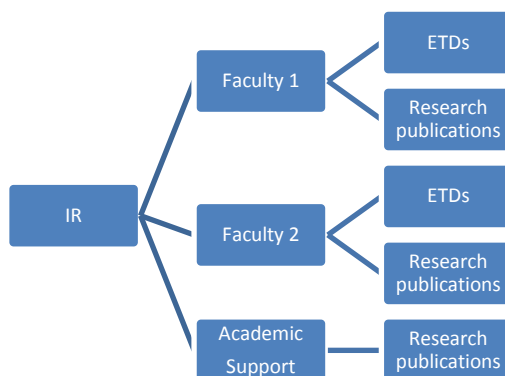
### 2.1 Purpose of the DUT Institutional Repository

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, may 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

It is a General Rule of the University – G26(6) - that all Masters and Doctoral students are to submit two print copies and one electronic copy of their dissertation/thesis. 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 to the IR directly.

### 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.

### Embargoes and holding periods

To allow for the publication of articles from the Masters/Doctoral research, a holding period of up to three years will be allowed, before the full text is made available on the Institutional Repository. The abstract of the thesis/dissertation will be available on the repository as soon as the work is made available to the Library.

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 Proprietary Research). The required period is requested by the student and the supervisor, and approved by the relevant Faculty Research Committee. Requests for extension of the period of an embargo are taken to the relevant Faculty Research Committee for approval and to the Higher Degrees Committee for ratification.

### **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. Department of Education 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 Copyright 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 can deposit?**

All Masters or Doctoral students or current staff members of the Durban University of Technology may submit work which meets 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 at another institution is not considered for deposit in the DUT IR.

### **What can be deposited?**

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 at another institution may not deposit such dissertation/thesis in the Repository.

Pre-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 Romeo Project site. See <http://www.sherpa.ac.uk/romeo.php>. The Copyright Office will also be able to assist.

## **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.

At point of submission, the submitter and the individual designated to administer the Repository may determine to limit access 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.

### **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 Capacity Development, Postgraduate Development and Support Directorate, the 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 (ICT) 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**

2012