

# **UNIVERSITY OF EDUCATION, WINNEBA**

## **REPOSITORY (UEWRep) POLICY**

### **1.0 Introduction**

1.1 There is increasing awareness that universities and research institutions lose valuable digital and print material due to difficulties in accessing them and lack of good preservation practices. As a remedy to the situation, the Open Access and Open Archives Movement has been advocating the establishment of Institutional Repositories (IR).

1.2 An institutional repository is an online locus for collecting, preserving and disseminating in digital form, the intellectual output of an institution. Implicit in the concept of an Institutional Repository, is the commitment to long-term preservation and storage. A repository serves as a permanent, stable home for scholarly works. Items in institutional repositories are easily accessible by community members and others. Works placed in repositories are freely available to anyone with an Internet connection, and can be discovered with search engines like Google. Thus, placing one's work in a repository greatly increases its potential for exposure and impact.

### **2.0 The University of Education, Winneba Institutional Repository (UEWRep)**

2.1 The University of Education, Winneba Repository (**UEWRep**) is a collaborative project being undertaken by the Communities of the University, namely, the Library, Colleges, Schools, Faculties, Institutes, Directorates, and Research Centres.

2.2 Staff and students of the University produce research work as a contribution to their discipline and/or as part of scholarly activity. A significant proportion of these works is intended for publication, recognition and impact. These works

which represent the totality of publicly available research and scholarly output of the University are located in its digital repository, thereby contributing to a growing international corpus of refereed and other research literature available online.

2.3 This policy document serves as a guide for the use, management and operation of the **UEWRep**. As in all collaborative projects, it is important that all stakeholders understand and agree with the policies, guidelines and procedures required to build and support the Repository.

### **3.0 Ownership of the Repository**

The Repository shall be owned by the University of Education, Winneba.

### **4.0 Objectives of the Repository**

The Repository has four main objectives. These are to:

- I. provide open access to the University's research output;
- II. create global visibility for the University's intellectual, professional and creative output;
- III. collect content in a single location for easy identification and retrieval;
- IV. store and preserve the University's digital assets, including unpublished or otherwise easily lost ("grey") literature (e.g. Speeches, reports, public lectures, seminars, etc.).

### **5.0 Administration**

5.1 The day to day running of the **UEWRep** shall be carried out by the University Library under the supervision of a three-member Working Committee comprising the Librarian as Chairperson, the Manager of the Repository, and an official from the Library not below the rank of Assistant Librarian recommended for appointment by the University Librarian.

5.2 The Working Committee shall submit a quarterly report to the Management Committee of the **UEWRep** and copy same to the Library, Bookshop and Educational Resource Committee.

## **6.0 Management of the Repository**

Management of the Repository shall be by a Management Committee

### **6.1 Membership**

- I. Pro Vice-Chancellor - Chairperson
- II. The University Librarian
- III. The Repository Manager
- IV. A representative each from other Campuses of the University
- V. Two representatives from Academic Board
- VI. Head of ICT Directorate of the University
- VII. The Web Master of the University
- VIII. A representative from the School of Research and Graduate Studies
- IX. A Senior Member from the Office of the Registrar - Secretary

### **6.2 Functions**

The functions of the Management Committee shall be as follows:

- I. Determine policies regarding submission and dissemination of content, licensing and copyright issues for approval by the University.
- II. Determine the overall services to be provided as well as standards.
- III. Ensure that decisions on the Repository are consistent with the Strategic Plan of the University
- IV. See to the smooth running of the UEWRep

### **6.3 Meetings**

6.3.1 The Management Committee shall meet quarterly

6.3.2 It shall review, among other things, reports of the Working Committee

6.3.3 It shall submit annual reports to the Vice-Chancellor.

#### **6.4 Manager: Functions and Responsibilities**

- I. Study items to be submitted to the Repository and determine their suitability or otherwise for deposit.
- II. Facilitate access to items in accordance with the Policy.
- III. Supervise preservation of the items using the agreed and standard methods.
- IV. Negotiate terms of agreement with Communities regarding use of Collections.
- V. Move collections to reflect current agreement between **UEWRep** and Communities
- VI. Redistribute or amend metadata of items submitted to the **UEWRep**.
- VII. Assess for long-term archiving suitability of items when Communities cease to exist or when items are twenty five years old in the Repository.
- VIII. Migrate items for more effective preservation if necessary.
- IX. Provide links between Communities and items to guide users
- X. Decide on number of items and size of files that will constitute fair use.

#### **6.5 University: Functions and Responsibilities**

The UEW as an institution shall:

- I. Provide support with regard to staffing, hardware, funding and training.
- II. Set policy regarding issues that affect the **UEWRep**, e g copyright, image requirements, mandated archiving, etc.
- III. support functions authorized by existing Policies

#### **6.6 ICT Directorate: Functions and Responsibilities**

The ICT Directorate shall

- I. Provide software support for the following:
  - Software installation and upgrading
  - Projects: Roll-out of Software, Networking and Hardware
- II. Supplement or augment in-house technical skills, network administration, project management.

- III. Interpret the Strategic Plan of the University and that of the Library in order to ensure that the necessary IT infrastructure and programmes are available in time to realize the objectives.

## **7.0 Content Policy for Type of Documents Held**

The University of Education, Winneba Repository shall hold the following types of material:

- i. Theses/Dissertation/Project Works etc. of postgraduate students of UEW
- ii. Refereed research articles and contributions at the pre-print and post-print stage of publication.
- iii. Grey literature

The above material are referred to in this document as Items.

## **8.0 Metadata Policy**

Metadata refers to bibliographic information about the item being described. These include, but are not limited to, the author, title, date of publication and abstract.

- 8.1 Anyone may access the metadata free of charge.
- 8.2 The metadata may be re-used in any medium without prior permission for not-for-profit purposes provided the Open Archives Initiative Identifier or a link to the original metadata record is given.
- 8.3 The metadata shall not be re-used in any medium for commercial purposes without formal permission.

## **9.0 Data Policy for Full-text Articles**

- 9.1 Anyone may access full text items free of charge.
- 9.2 Copies of full text items generally may be reproduced, displayed or performed, given to third parties, and stored in any format or medium
- 9.3 Copies of full text items may be used for personal research or study, educational or not-for-profit purposes without prior permission, provided that:

- i. the author, title and full bibliographic details are given
  - ii. a hyperlink and/or URL are given for the original metadata page
  - iii. the content is not changed in any way.
- 9.4 Full text items shall not be sold in any format or medium without formal permission of the copyright holder.

## **10.0 Submission Policy**

- 10.1 Items may be deposited by only accredited members of UEW, or their delegated agents.
- 10.2 Authors may only submit their own work for archiving.
- 10.3 Eligible depositors shall deposit metadata for all their publications.
- 10.4 The Manager shall vet items for the eligibility of authors/depositors, relevance to the scope of **UEW Rep**, valid layout & format, and **NOT** the content.
- 10.5 The validity and authenticity of the content of submissions is the sole responsibility of the author.
- 10.6 Items may be deposited at any time, but shall not be made publicly visible until the publisher's or funder's embargo period has expired.
- 10.7 Copyright violations are entirely the responsibility of the author.
- 10.8 Items shall be submitted in digital form in one of the following file formats:
  - i. DOC (Word document)
  - ii. PDF document
  - iii. Open Office document.
- 10.9 The author/owner shall grant UEW the right to preserve and distribute the work via the Repository.
- 10.10 If the work is part of a series, other works in that series shall also be contributed so that UEWRep can offer as full a set as possible.

## **11.0 Preservation Policy**

- 11.1 Items shall be retained indefinitely.
- 11.2 The Repository shall endeavour to ensure continued readability and accessibility

- i. Items may be migrated to new file formats where necessary.
  - ii. Where possible, software emulations shall be provided to access un-migrated formats.
- 11.3 The Repository shall regularly back up its files according to current best practices.
- 11.4 URLs shall continue to point to 'old' citations, to avoid broken links and to retain item histories.
- 11.5 Changes to deposited items shall not be permitted.
- 11.6 Errata/corrigenda may be included with the original record if required.
- 11.7 If necessary, an updated version may be deposited.
- 11.8 In the event of the Repository being closed down, the University shall endeavour to transfer the database to another appropriate archive.

## **12.0 Withdrawal Policy**

- 12.1 Items shall not normally be removed from the Repository.
- 12.2 Withdrawn items shall not be deleted from the Repository, but shall be removed from public view.
- 12.3 The identifiers or URLs of any withdrawn items shall be retained indefinitely.
- 12.4 The metadata of withdrawn items shall not be searchable.
- 12.5 **UEWRep** may choose to restrict access to works, whether in part or in full. Acceptable reasons for suppressing access (remove from view) include:
  - i. Request by the author subject to management of **UEWRep's** approval
  - ii. Discretion of the Working Committee
  - iii. Legal order
  - iv. Proven copyright violation
  - v. Proven plagiarism
  - vi. Threat to national security
  - vii. Falsified research
  - viii. Request by the medium in which the paper is formally published

### 13.0 Copyright and Use Notice

13.1 Items deposited in the Repository retain **all** original Intellectual Property Rights.

13.2.0 Depositing an item in the Repository shall be by non-exclusive agreement and the author shall be free to publish any version of the work elsewhere.

13.2.1 Copyright is originally owned by the person who created the work.

13.2.2 Copyright in a work created in the normal course of employment belongs to UEW unless there is an agreement which states otherwise.

13.2.3 Theses/Dissertation/Project Works etc. are subject to the rules and regulations in the Thesis Deposit Agreement and Access Restriction Document in **Appendixes A, B and C**

13.2.4 When an item is submitted to the Repository, the author grants non-exclusive dissemination rights to the University. This does not prevent the author from publishing it in any other form elsewhere because he/she still holds copyright of the item.

13.2.5 Where copyright has been assigned to a publisher, a licence shall be required from the publisher permitting the work to be available in the Repository.<sup>1</sup>

13.2.6 The author shall seek copyright clearance, if necessary, from a publisher before submitting the item to the Repository.

13.2.7 The author shall be familiar with the copyright policy of the publisher of the item.

13.2.8 The author shall search for the publisher's self-archiving policy or "OA policy". Online in the SHERPA/RoMEO database at <http://www.sherpa.ac.uk/romeo.php> or in the Australian OAKList database at <http://www.oaklist.qut.edu.au>.<sup>2</sup>

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<sup>1</sup> Many publishers have Open Access Policies that state what they allow to be deposited and any conditions imposed on that deposit.

a. <sup>2</sup> The SHERPA/RoMEO database and the OAKList provide information on whether the publisher listed permits pre-print and/or post-print archiving and any conditions attached to the permission. The database also provides information on whether the publisher's policy complies with funders' mandates.



- 13.2.9 If a publisher cannot be found on this site, the publisher shall be contacted directly.
- 13.2.10 If an item is submitted but a restriction is placed on it for a period, only the abstract shall be made public while the full text is blocked until the expiration of the embargo period.
- 13.2.11 Before submitting an item the author shall be required to sign an agreement stated in **Appendix D:**

#### **COMMITTEE MEMBERS**

- |                              |                  |
|------------------------------|------------------|
| 1. Mrs. Valentina Bannerman, | Chairperson      |
| 2. Prof. Francis Joppa       | Member           |
| 3. Ms. Joyce Mensah          | Member           |
| 4. Mr. Emmanuel Kutorglo     | Member           |
| 5. Mr. Justice Appoh         | Member/Secretary |

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b. Additionally, links are provided to the publisher's copyright policy where it is available online.

## Appendix A

## E-Thesis Deposit Agreement

Student's name	
Student's index number	
Thesis title	
Department	
Name of supervisor	

Students should be aware that theses/dissertations deposited in the UEW Repository will not be made publicly available online without the permission of their authors. Such online availability ensures maximum visibility and access to UEW theses/dissertations. However, there may be circumstances where it is not possible to give permission for online access or where it is necessary to restrict access for a temporary period, for instance for reasons of commercial confidentiality or conditions imposed by sponsors. For further information on restricting access to theses, please see **Appendix B**

Students who wish to restrict access to their theses should be aware that UEW is subject to the Freedom of Information Bill which gives a general right of access to all information held by UEW, including theses/dissertations, unless an exemption applies. Accordingly, students who wish to restrict access to their theses/dissertations are requested to indicate which of the exemptions provided for by Freedom of Information Bill applies to them. Please identify the exemption in the section 'Access Restrictions'.

### Access Permissions and Transfer of Non-Exclusive Rights

By giving permission, students understand that their theses/dissertations will be accessible to a wide variety of persons and institutions - including automated agents - via the World Wide

Web and that an electronic copy of the theses/dissertations may also be included in the DATAD.

“I ..... (name) understand that the thesis listed on this form will be deposited in the **UEWRep**, and by giving permission to UEW to make my thesis/dissertation publicly available agree to the following:

I agree that the UEW administrators or any third party with whom the **UEWRep** has an agreement to do so may, without changing content, translate the Work to any medium or format for the purpose of future preservation and accessibility.

I understand that the rights granted to the **UEWRep** through this agreement are entirely non-exclusive and royalty free and that I am free to publish the Work in its present version or future versions elsewhere.

*(Please tick **one** box to indicate if you wish UEW to makes your thesis available online)*

I give UEW permission to make my thesis publicly available online	YES	<input type="checkbox"/>	NO
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*Only complete this section if you wish to restrict access to your thesis.*

I wish to delay access to my thesis for the following length of time\* *(Please tick one box):*

3 months	<input type="checkbox"/>	1 year	<input type="checkbox"/>
6 months	<input type="checkbox"/>	2 years	<input type="checkbox"/>
9 months	<input type="checkbox"/>	3 years	<input type="checkbox"/>

Access is not normally restricted for more than 3 years, although the embargo period can be renewed upon request. If you wish to restrict access for more than 3 years please state the length required and your reasons here:

Please indicate below the reasons for an embargo or restrictions on access to your thesis. *(Tick the most appropriate reason below)*

Thesis is due for publication, either as a series of articles or as monograph	
Thesis contains commercially sensitive information, the release of which might prejudice the commercial interests of any person, including the author, the University or an external company	
Thesis includes material that was obtained under a promise of confidentiality	
Release of the thesis might endanger the physical or mental health or the safety of an individual	
Publication would cause you or third parties mentioned in the text to be open to legal challenge or racial, ethnic, political or other persecution	
Other – Please give details below:	

### **Inclusion of Copyright Material**

*To be completed for all submissions*

If your thesis contains material where the copyright is owned by someone other than yourself (third party copyright material) you will need to obtain permission from the copyright holder before it can be made publicly available in the **UEWRep**. (*Please, see Appendix C*)

If you cannot obtain the necessary permissions you can either:

- Deposit two versions of your thesis, one being the full version with all third party copyright material retained, and a second edited version with this material removed. The edited electronic version will be made publicly available; the full version will not.

OR

- Deposit only the full version with third party copyright material retained in cases where removal would compromise the thesis. The full version will not be made publicly available

Please indicate below which situation applies (*Please tick one box*)

I am depositing a single electronic version of my thesis that is the same in all respects as the print copy. There are no copyright reasons for restricting access to it.	
I am depositing a single electronic version of my thesis that is the same in all respects as the print copy. Because of copyright reasons access to it is restricted.	

I am depositing two electronic versions of my thesis. One that is the same in all respects as the print copy but which for copyright reasons cannot be made available and one version with third party copyright material removed which can be made available.	
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**Warranties**

I agree as follows:

- That I am the author/co-author of the work and have the authority on behalf of the author or authors to make this agreement and to hereby give the **UEWRep** administrators the right to make available the thesis in the way described above.
- That I have exercised reasonable care to ensure that the Work is original, and does not to the best of my knowledge break any law in Ghana or infringe any third party’s copyright or other Intellectual Property Right.

**Note:** The administrators of the **UEWRep** 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.

Signed (Author):
Permanent Address:
E-mail address:
Phone:
Date:

**Please return this form with the final copies of your thesis to your department**

## Appendix B

### Restricting access to theses/dissertations

There may be a valid reason why students need to restrict access to their thesis/dissertation, either to both paper and electronic versions or just to the e-thesis. This is often referred to as an embargo on publication. An embargo is usually granted for a limited period of time but can be considered for renewal on request. The student will have to sign a Deposit Agreement if an embargo is needed.

#### Reasons for restricting access

1. If the thesis/dissertation has been commercially sponsored, the students may have signed an agreement with the sponsor which does not permit them to make it publicly available, whether for a limited period of time or in perpetuity. A student in this position should indicate this on the Deposit Agreement Form. The student will still be required to supply an electronic copy of the thesis but UEW will undertake not to make it publicly online in accordance with the terms of the agreement.
2. If students need to include third party copyright material in their thesis/dissertation and are unable to obtain permission or are asked to pay to do this, they will not be able to make the full version of the thesis publicly available online. There are two choices:
  - a. Deposit two electronic copies - one the full version with all third party copyright material retained and a second edited version with this material removed. The edited electronic version will be made publicly available; the full version will not.
  - b. Deposit only the full version with third party copyright material retained. This will not be made publicly available.
3. Apart from the above conditions there is a range of reasons why it may be necessary to restrict access to the students' thesis/dissertation. These reasons usually refer to one of the exemptions to public access to information provided by the Freedom of Information Bill. The most common exemptions are:
  - Thesis is due for publication, either as a series of articles or as monograph;
  - Thesis contains commercially sensitive information, the release of which might prejudice the commercial interests of any person including the author, the University or an external company;
  - Thesis includes material that was obtained under a promise of confidentiality;

- The release of thesis might endanger the physical or mental health or the safety of an individual;
  - Publication may cause the author or third parties mentioned in the text to be open to legal challenge or racial, ethnic, political or other persecution.
4. Students should talk to their supervisors when establishing if there is a need to restrict access to their thesis/dissertations.

## Appendix C

### Including copyright material in theses/dissertations

#### Introduction

Theses may contain material protected by copyright. This could be extracts from publications such as books or journals, or illustrations such as images, maps, photographs, tables etc.

Traditionally it has been accepted that copyright material can be included in the print version of a thesis without the permission of the rights holder. However, this is not the case if the thesis is going to be made available online.

Students need to seek permission if they want to include any third party copyright material such as extracts from books, journals or other publications, or illustrations such as images, maps, photographs, tables, etc.

Students will not be penalised if it is not possible to clear copyright either because permissions are not granted or because it would either be too onerous or too expensive to obtain permissions. This will not affect the outcome of their examination in any way.

A student who cannot clear copyright for all material included shall refer to **Appendix B *Restricting Access*** and follow directions provided.

#### Seeking permission

A student who needs to use copyright material shall contact the rights holder: this may be the author of a work, a publisher, an illustrator etc. In the case of material from books and journals the first course of action shall be to contact the publisher. Many publishers give details on their website of how to seek permission and who to contact: Information on rights/permissions/copyright clearance section is the appropriate place to check. If the publisher does not hold the rights to the work they should forward the enquiry to whoever does.

When the contact is identified the student shall then send a letter or e-mail to the rights holder asking permission to include the material in the electronic version of your thesis. (Please see below for template):



“I am contacting you to seek permission to include the following material within the electronic version of my PhD/MSc/MPhil (insert relevant level) thesis:  
[Provide full details of the material you intend to include]  
If you are not the rights holder for this material I would be grateful if you would advise me on who to contact.  
The thesis will be accessible through UEW’s online repository (<http://www...>). The Repository is non-commercial and openly available to all”

Students should note that a lack of response does not imply permission to go ahead.

**If permission is granted**

If a copyright holder indicates that permission has been granted this should be indicated at the appropriate point in the thesis, e.g. "*Permission to reproduce this... has been granted by...*". A copy of any letters or e-mails received from rights holders should be kept.

**If permission is not granted**

Students who need to include third party copyright material in their thesis and are unable to obtain permission or are asked to pay to do this will not be able to make the full version of the thesis publicly available online. This will not affect the outcome of their examination in any way. (Please see **Appendix B** for further information).

## Appendix D

“By submitting this item,

- a) I ..... (name of author) grant to UEW the non-exclusive right to reproduce, translate, disseminate the abstract and full text of the item worldwide in any format and in any medium.
- b) I agree that UEW can translate the item but without changing the content, to any format or medium to ensure its preservation, and keep more than one copy for back-up, preservation and security.
- c) I confirm that the item is my own work and I have the right to grant its use to **UEWRep**, and that I am not infringing on any person’s or company’s copyright.
- d) I also agree that I have secured all necessary copyright clearance to enable **UEWRep** to use it, including any organizations that sponsored the work.
- e) My identity, that is, my name shall be attached to the item as it is exactly indicated when the item is submitted for

