



MASINDE MULIRO UNIVERSITY OF SCIENCE AND TECHNOLOGY OPEN ACCESS  
INSTITUTIONAL REPOSITORY POLICY

**The University of Choice**



**MMUST is ISO 9001:2008 Certified**

**2018**

# **Vision**

**To be the Premier University in Science, Technology  
and Innovation**

# **Mission**

**To provide excellent university education, training  
and research through integrating science, technology  
and innovation into quality programmes to suit the  
needs of a dynamic world.**

# **Core Values**

**Accountability**

**Collegiality**

**Customer focus**

**Equity**

**Excellence**

**Innovativeness**

**Professionalism**

## TABLE OF CONTENTS

<b>Contents</b>	<b>Page</b>
Vision.....	1
Mission.....	1
Core Values.....	1
FORWARD.....	2
TABLE OF CONTENTS.....	4
DEFINITION OF TERMS.....	5
INTRODUCTION.....	7
1.0 Benefits of a Repository.....	7
2.0 Open Access Policy Statement.....	7
3.0 Content Policy.....	8
4.0 Submission Policy.....	8
5.0 Metadata Policy.....	9
6.0 Data Policy for full-text and other full data items.....	9
7.0 Selection, Retention, Replacement and Withdrawal.....	10
7.1 Selection and Retention.....	10
7.2 Replacement.....	10
7.3 Withdrawal.....	10
8.0. INTELLECTUAL PROPERTY RIGHTS POLICY.....	11
9.0 Quality Control.....	11
10.0 Preservation Policy.....	12
11.0 Compliance and Monitoring.....	12
13.0 Compliance with Publisher and Research Funder Policies.....	13
14.0 Policy Review.....	13
APPENDIX I: LICENCE.....	14

## DEFINITION OF TERMS AND ACRONYMS

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

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

**Creative Commons License:** Recognizes 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.

**DSpace:** Is an open source software package that MMUST 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 fulfillment 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 organization's commitment to the stewardship of digital materials, including long-term preservation where appropriate, as well as organization and access.

**IR:** Institutional Repository

**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).

**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:** MMUST 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 MMUST.

**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.

**MMUST** – Masinde Muliro University of Science and Technology

**URL** - Uniform Resource Locator

**PDF** - Portable Document Format

**OAI** - Open Archives Initiative

**MARC** - Machine-Readable Catalogue Records

**CC** - Creative Commons

**IR** - Institutional Repository

**ICT** - Information Communication Technology

## INTRODUCTION

MMUST's vision is to be a premier university in Science and Technology. This is made possible through several pillars and services which include teaching and research. The University's Institutional Repository is housed in the library whose quality objective is to facilitate the teaching, learning and research functions of MMUST through acquisition, organization & dissemination of information resources.

The digital Institutional repository is meant to compliment the traditional Theses, Dissertations, Workshop proceedings, researches and other documents that are in the library. It further moves to assure all our users and the rest of the world of free access to the uploaded materials besides providing a better platform of preserving these materials

This policy document therefore guides deeply on which materials to be submitted, how the materials will be submitted, their retention, replacement and withdrawal.

### 1.0 Benefits of a Repository

- i. It will open up the outputs of the university to the world
- ii. Maximizes the visibility and impact of these outputs as a result
- iii. Showcases the University to interested individual(s) – prospective staff, prospective students and other stakeholders
- iv. Collects, Collates and preserves digital outputs
- v. Organizes, disseminates and measures research, innovations and teaching activities
- vi. Provides a workspace for work-in-progress, and for collaborative or large-scale projects
- vii. Enables and encourages interdisciplinary approaches to research
- viii. Facilitates the development and sharing of digital teaching materials and aids
- ix. Supports student endeavours, providing access to theses and dissertations and a location for the development of e-portfolios

### 2.0 Open Access Policy Statement

MMUST holds a quality objective *“To contribute qualitatively and quantitatively towards sustainable and equitable scientific, socio-economic and technological development in Kenya and beyond.”*

On this ground, it is the University's aim that all research output should be deposited, subject to the submission procedure, with MMUST Digital Institutional Repository in an electronic format in order to provide online open access. Through open access repository, MMUST will be contributing to a growing international body of refereed and other research literature harvested by internet search engines and available through the World Wide Web. In keeping with that commitment, the University adopts the following policy:

- i. Each University member shall grant to MMUST permission to make available his or her scholarly works and to exercise the copyright in these works. More specifically, each faculty member grants to the University a non-exclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly works, in any medium, and to authorize others to do the same, provided that these works are not sold for a profit. The policy will apply to all scholarly works authored or co-authored while the person is a member of the University except for any works completed before the adoption of this policy and any works for which the faculty member entered into an incompatible licensing or assignment agreement

before the adoption of this policy. The University Librarian on behalf of the University may waive application of the policy to a particular scholarly work upon written request by the faculty member explaining the need.

- ii. Each Faculty member shall provide an electronic copy of the final version of his/her scholarly work at no charge to the Library in an appropriate format (Such as PDF) not later than the date of its publication. The library may make the work available to the public in an open access repository. .

The Office of the University Librarian shall be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the University from time to time.

### **3.0 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 students and approved by Deputy Vice Chancellor (Planning, Research and Innovation), Directors of Schools/Deans of Faculties or Heads of Departments.

The following types of scholarly works are NOT included in the Repository:

- i. Scholarly works intended for commercial purposes
- ii. Scholarly works containing confidential or proprietary information
- iii. Scholarly works restricted due to cultural sensitivity
- iv. Scholarly works that would infringe a legal obligation of the university

### **4.0 Submission Policy**

Concerning depositors, quality & copyright

- i. Items may only be deposited by accredited members, academic staff, registered students, and employees of the institution, or their delegated agents.
- ii. Authors may only submit their own work for archiving.
- iii. Eligible depositors must deposit bibliographic metadata for all their publications.
- iv. Eligible depositors must deposit full texts of all their publications, although they may delay making them publicly visible to comply with publishers' embargos.
- v. The library only vets items for the eligibility of authors/depositors, relevance to the scope of the repository, valid layout & format, and the exclusion of spam
- vi. The validity and authenticity of the content of submissions is checked by internal subject specialists.
- vii. No embargo policy defined.

If the repository receives proof of copyright violation, the relevant item will be removed immediately.

## **5.0 Metadata Policy**

- 5.1 The metadata schema used throughout by MMUST Digital Repository will be principally based on Dublin Core.
- 5.2 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.
- 5.3 Anyone may access the metadata free of charge.
- 5.4 The metadata may be reused in any medium without prior permission for nonprofit 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 MMUST Digital Repository.
- 5.5 The metadata shall not be re-used in any medium for commercial purposes without formal permission.

## **6.0 Data Policy for full-text and other full data items**

1. Anyone may access full items free of charge.
2. Single copies of full items can be:
  - reproduced, given to third parties, and stored in a database
  - for personal research or study, educational, not-for-profit, or commercial purposes without prior permission or charge.

Provided:

- the authors, title and full bibliographic details are given
  - a hyperlink and/or URL are given for the original metadata page
  - the original copyright statement is given
  - the original rights permission statement is given
  - the content is not changed in any way
3. Full items must not be harvested by robots except transiently for citation analysis
  4. Full items must not be sold commercially in any format or medium without formal permission of the copyright holders.
  5. Some full items are individually tagged with different rights permissions and conditions.
  6. This repository is **not** the publisher; it is merely an online archive.
  7. Mention of the repository is appreciated but not mandatory

## **7.0 Selection, Retention, Replacement and Withdrawal**

### **7.1 Selection and Retention**

- 7.1.1 Items produced as a result of research activity at MMUST and deposited by an eligible depositor will be accepted and retained indefinitely in the MMUST Repository unless:
- i. The item infringes on copyright or other rights.
  - ii. The item is proven to include falsified research.
  - iii. The item fails to meet legal requirements.
  - iv. The item is in a format which cannot be stored or displayed satisfactorily.
- 7.1.2. If a depositor leaves the employment at MMUST, their items shall be retained in the MMUST Repository unless the depositor seeks to exercise their rights and obligations under the highlighted clause below

### **7.2 Replacement**

- 7.2.1. 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 unpublished version on the repository.
- 7.2.2. The replacement item may use the same record as the original.

### **7.3 Withdrawal**

- 7.3.1. Items will only be deleted from MMUST 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. 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. MMUST Repository shall retain the right to remove the work(s) for professional or administrative reasons.
- 7.3.2. 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.
- 7.3.3. Acceptable reasons for withdrawal include:
- i. Proven copyright violation or plagiarism.
  - ii. Legal requirements and proven violations.
  - iii. National security.
  - iv. Falsified research.
- 7.3.4. A metadata record(s) indicating the work(s) was/were stored in the repository will remain in perpetuity.
- 7.3.5. 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 MMUST Repository and stored as a closed access item. The final decision remains at the discretion of the University.

## **8.0. INTELLECTUAL PROPERTY RIGHTS POLICY**

- The Repository is managed in accordance with MMUST Intellectual Property Policy and Kenyan Copyright Law.
- Copyright owners retain the copyright for their material stored in the Repository. The University makes every endeavour to observe and abide by current publishers' policies and Kenyan Copyright Law in relation to open access institutional repositories

8.1 MMUST 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, MMUST Repository is guided by MMUST Intellectual Property Policy

8.2 All depositors will be required to agree to a nonexclusive MMUST Repository deposit agreement (Appendix I) in order to give permission for their work to be held in MMUST Repository, to provide for the distribution of their work, and to allow ongoing preservation of both their work and/or the related metadata.

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

8.4 Where MMUST, student or member of staff owns the copyright to the work placed in the MMUST Repository, the MMUST open access policy will be applied. Where the author is not affiliated to MMUST, 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/> (Kenya currently does not have CC licenses)

8.5. Where research is generated as a result of collaboration between multiple authors, MMUST Digital Repository will accept an author undertaking on behalf of his/her coauthors 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.

## **9.0 Quality Control**

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

- 9.1 The Repository staff will review and assess all submissions before making them available via MMUST University Digital Repository for:
- i. Eligibility of the depositor/author.
  - ii. Valid metadata.
- 9.2 The validity and authenticity of the submission (full text or equivalent) is the responsibility of the depositor.
- 9.3 Any submissions not meeting the submission criteria will be returned to the depositor together with reasons for refusal.

## 10.0 Preservation Policy

- 10.1 Items Will Be Retained Within MMUST Digital Repository Indefinitely.
- 10.2 MMUST Will Endeavour To Provide Continued Readability and Accessibility of All Items Deposited in the Repository.
- 10.3 Withdrawn Items Are Not Deleted *Per Se*, But Are Removed From Public View and Their Identifiers/URLS Are Retained Indefinitely.
- 10.4 URLS Will Continue To Point to “Tombstone” Citations, To Avoid Broken Links And To Retain Item Histories.
- 10.5 In the Event of MMUST Digital Repository Being Closed Down, the University Will make all reasonable endeavors’ to transfer the Database to another appropriate archive subject to approval by the University Senate.

## 11.0 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:
  - a) Verifying online submissions, validating and enhancing associated metadata and ensuring research outputs are accurately displayed online.
  - b) Organizing copyright clearances to facilitate open access to research outputs wherever possible.
  - c) Initiating and maintaining internet harvesting protocols for the university’s research and scholarly output.
- The MMUST Digital Institutional Repository (IR) 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 committee shall be composed of;
  - DVC Planning, Research and Innovation.
  - Dean, School of Graduate Studies.
  - Director Research and Extension.
  - University Librarian
  - IR Administrator
  - Systems Administrator (ICT Directorate)
  - and any other members found useful to the committee.
- The DVC (Academic and Student Affairs) will be the OVERALL overseer. University Librarian, 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 MMUST 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.
- Besides the formal review, there will be a content review to ensure the quality of works being deposited. This content review will be the responsibility of the director research

### **13.0 Compliance with Publisher and Research Funder Policies**

1. MMUST policy is compatible with publishers' copyright agreements as follows:
  - For all submitted items the Repository Administrator will check the Publisher's policy. Most policies are documented via the SHERPA/ROMEEO database (<http://www.sherpa.ac.uk/romeo.php>) and Information Services will use this as a major support tool.
  - Many publishers will allow the peer reviewed final draft to be self archived, often specifying that a specific acknowledgement be used along with the self archived item. The Repository Administrator will ensure any such acknowledgements are included in the Repository.
  - Occasionally publishers allow their own final pdf version to be self archived, in these instances the Repository Administrator will contact the submitter to ask for the appropriate item version.
  - Occasionally publishers will not allow either the author's own final, post refereed version or the publisher's version to be self- archived. In these instances the Repository Administrator will contact the submitter to inform them, and, if appropriate, recommend that the author's preprint version (prereferred version) can be submitted instead if desired by the author.
2. For all submitted items, where Research Funder information is supplied, the Repository Administrator will check the Research Funder's policies as regards ensuring Open Access to research results and publications arising from their funding. Policies are documented via the SHERPA/JULIET data base (Research Funders Archiving Mandates and Guidelines <http://www.sherpa.ac.uk/juliet/index.html>) and Information Services will use this as a major support tool. Where possible, the Repository Administrator will fulfill any archiving requirements on behalf of the submitting author, or alternatively inform them of what they need to do to fulfill the conditions of funding.
3. MMUST does not require deposit of the full text of books or research monographs.

### **14.0 Policy Review**

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

## APPENDIX I: LICENCE

### DEPOSIT AGREEMENT

By signing and submitting this license, you (the author(s) or copyright

owner) \_\_\_\_\_ grants to Masinde Muliro University of Science and Technology (MMUST) the non-exclusive right to reproduce, translate (as defined below), and/or distribute your submission (including the abstract) Titled \_\_\_\_\_ worldwide in print and electronic format and in any medium, including but not limited to audio or video. You agree that MMUST may, without changing the content, translate the submission to any medium or format for the purpose of preservation. You also agree that MMUST 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 MMUST 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 ORGANIZATION OTHER THAN MMUST, YOU REPRESENT THAT YOU HAVE FULFILLED ANY RIGHT OF REVIEW OR OTHER OBLIGATIONS REQUIRED BY SUCH CONTRACT OR AGREEMENT. MMUST will clearly identify your name(s) as the author(s) or owner(s) of the submission, and will not make any alteration, other than as allowed by this license, to your submission.

#### Depositor's Declaration:

I/ We \_\_\_\_\_ (the author(s) hereby grant to MMUST Digital Repository 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:

- i. Adobe® PDF (.pdf)
- ii. Audio and video file formats (.aiff, .aif, .aifc, .tiff, .jpeg, .gif)
- iii. Microsoft Office Excel® (.xls)
- iv. Machine-Readable Catalogue Records - MARC
- v. Microsoft Office Excel® ( .xls)
- vi. Microsoft Office Powerpoint® (.ppt)
- vii. Microsoft Office Word® (.doc, .docx)
- viii. Moving Picture Experts Group (.mpeg, .mpg)
- ix. 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 MMUST Digital Repository. Files may be converted to more common /current formats by MMUST repository staff for compatibility.

**PREPARED BY:**

**LIBRARY SUB-COMMITTEE ON IR**

**CHAIRMAN:** .....

**SIGNATURE** .....

**DATE.** .....

**APPROVED BY:**

**DVC (ASA)** .....

**(CHAIRPERSON LIBRARY PUBLISHING AND BOOKSHOP COMMITTEE)**

**SIGNATURE:** .....

**DATE:** .....