

**DRAFT INSTITUTIONAL REPOSITORY POLICY
UNIVERSITY OF PERADENIYA**

Policy Name:	Policy on Institutional Repository
Policy Number:	UOP/LIB/ POL/2024/02
Date of Approval:	##-##-2023 (approved by the ### Council)
Supersedes:	Not relevant
Approving Authority:	The Council, University of Peradeniya
Administrative Responsibility:	Senate Library Committee, The Librarian (approved on 03/01/2024)
Monitoring Responsibility:	Senate Library Committee , University Library

1. Overview

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 members¹. It includes an organization's commitment to the stewardship of digital materials, including long-term preservation where appropriate, as well as organization and access. The IR of the University of Peradeniya was set up in 2011 using the DSpace open-source software by the university library.

The purpose of this policy is to establish a framework within which the university's institutional research repository is managed, in order to ensure that IR reflects and strengthens the University's research excellence. The Institutional Repository Policy provides guidelines for content selection, submission and access for digital assets residing in the University of Peradeniya Institutional Repository (UOPIR).

2. POLICY OBJECTIVES

1. To facilitate the management, accessibility and dissemination of research output generated by the University of Peradeniya (UOP)
2. To provide open access to institutional research output
3. To increase the visibility and promotion of the research output of the University
4. To store and preserve institutional documents including unpublished literature
5. To collect scholarly content in a single location
6. To encourage collaboration and sharing of scholarly content within and outside the country

3. SCOPE

The Library considers both born-digital materials and materials digitized from analog originals to be within the scope of its digital collections, and appropriate for inclusion in the UOPIR. Content may include, but is not limited to, copyright-compliant scholarly and artistic content created by staff and students of the UOP. Research information and any other materials that reflect the University's intellectual output will also be considered for inclusion.

4. CONTENT POLICY

4.1 Contributors to Repository

1. University of Peradeniya researchers and staff
2. University of Peradeniya postgraduate students
3. Researchers who contribute for University of Peradeniya publications

4.2 Scope of Deposited Content

1. UOP repository shall contain scholarly and research outputs of the University of Peradeniya.
2. Contributors must be willing and able to grant the University the non-exclusive rights to both preserve and make their work available in the UOPIR.
3. Ensure commercial contents including licensed software and books are preserved in the repository only if licenses from their publishers permit.
4. UOP repository does not upload full papers published in commercialized journals, which means articles that are not having open access. Only the abstract will be uploaded for these close-access publications to the repository due to copyright issues. In addition to the abstract, the hyperlink to the journal website is also provided in the UOP repository.
5. Ensure that all file formats are accommodated in the system but converted into PDF format for preservation.
6. Uploading works to the UOPIR is the responsibility of the authors and researchers, as advised and supported by the Library. Content must be submitted in digital format.
7. All material deposited in UOPIR is subject to applicable copyright law of Sri Lanka. An author who is no longer the copyright owner will need to have the copyright holder's permission to make their material available in UOPIR.
8. The Library reserves the right to deny access to; or remove the material from the UOPIR.
9. The library reserves the right to alter the format of the deposited work.
10. The Library will retain the right to exclude any item submitted, make minor edits, return items for amendments, determine accessibility based on copyright agreements, convert files to commonly used formats, and add or edit metadata for cataloguing and indexing

4.3 Materials to be included in the UOP repository

The following content types will be accepted:

1. Conference proceedings hosted and/or funded by UOP (Submitted by the editor/coordinator of the conference)
2. Postgraduate theses submitted to UOP– Abstract Only (Submitted by the Heads of the departments through Dean of the faculty, Directors of the postgraduate institutes)
3. Learning Objects (Past papers, teaching modules and presentations).
4. Journals published by UOP(Submitted by the editor of the journal)
5. Journal articles authored by UOP academic members (Where the author doesn't own the copyright, the author should get permission from the publisher to deposit the article in IR).
6. Other academic publications-These may include previously-published articles/chapters, pre-prints and post-prints etc.
7. University publications- UOP Newsletters, Handbooks, Annual Reports etc.
8. Audio and video recordings
9. Patents
10. Other types of materials will be considered on a case-by-case basis, including:
 1. Books and book chapters (non-text books)
 2. Data sets and/or descriptive metadata
 3. Grey literature (technical reports, research reports, working papers, workshop papers and Convocation address etc.)
11. Other materials as the need arise with approval by the Senate and Council of the University.

This is a non-exhaustive list. Contributors are welcome to deposit content that can be characterized as "scholarly, creative, research-related, or teaching resources" and to contact the Librarian with any questions about materials.

4.4 Acceptable Formats

1. Acceptable formats include but are not limited to PDF, DOC, DOCX, TXT, CSV, XML, HTML, PPT, JPEG, JP2, TIFF, WAV, AIFF, MP3, MP4, and MOV.
2. UOPIR will display most text-based documents as PDFs, in which case certain elements may change in appearance or completeness, and will utilize its viewers for images, books, and audio-visual materials.
3. PowerPoint and HTML web pages should be converted to PDF before submission to the UOPIR.
4. Depositors/contributors should consider reformatting large files into smaller, more accessible formats, such as MP3 for audio and compressed MP4 for video.

5. Exclusion policy

1. Any document which includes confidential information, administrative reports such as minutes, undergraduate dissertations, blacklisted articles and items of which the copyright is not owned by UOP are not included in the UOPIR.
2. Predatory journals and predatory conferences will be considered for exclusion unless otherwise it is not indexed in reputed journals or databases such as Scopus, Web of Science. Coverage years of particular journals etc. in indexed databases along with the article published date will be checked and excluded if it is not within the index coverage years.
3. If there is any query on uploaded article/s, after an evaluation, the IR administrator has the full authority to remove the article permanently from the UOPIR. Then it will be informed to the author/s of the article.

6. Access Policy

The items in the repository are freely accessible via websites & indexed in most common search engines such as Google/Google scholar.

7. Submission Policy

1. Authors who are depositors shall only submit their own work for archiving.
2. Where an item has multiple authors :
3. a) At least one author must be a member of staff or a student of UOP, and
4. b) The submitting author shall obtain the permission of the co-authors
5. The UOPIR administrator will only be eligible for depositing valid layout & format & metadata
6. The validity & authenticity of the content of any submission is the responsibility of the depositing author
7. If the author does not own the copyright, the author should get permission from the publishers to deposit the article in the IR
8. Conference proceedings and Journal articles should be sent as a finalized document and
9. Library staff will separate the items and deposited them in UOP repository.
10. When submitting the university publications such as conference proceedings, journals, etc. the editors/ coordinators are responsible to submit the finalize documents as a searchable e-version.
11. University publications need to be sent as a complete document and should submit within one calendar year.

8. Metadata Policy

For information describing items in the University of Peradeniya Institutional Repository:

1. The metadata schema used is principally based on Dublin Core
2. Anyone may access the metadata free of charge
3. The metadata may be re-used in any medium without prior permission for not-for-profit purposes
4. The metadata must not be re-used in any medium for commercial purposes without formal permission

9. Data Policy

1. Anyone may access items in the repository for personal research or study, educational, or not-for-profit purposes without prior permission or charge, provided that:
 1. The authors, title and full bibliographic details is credited, where available, and,
 2. Not may alter, transform, or build upon this work
 3. A hyperlink and/or Universal Resource Locator (URL) are given for the original metadata page, and the content is not changed in any way.
2. Full items shall not be sold commercially in any format or medium without formal permission of the copyright holders.
3. All users will be expected to use materials in the repository within the copyright limits.
4. UOP Library will therefore not be liable for any copyright violation arising from use of items in the repository.

10. Quality assurance

1. The Library is responsible for ensuring quality and compliance of submissions. All submissions will be assessed before they are made available. The Library also ensures compliance of submission with established metadata and cataloguing standards within the UOPIR.
2. Materials in the collection will have a bearing on the reputation of the University, therefore the collection will contain material that satisfies certain criteria determined by the Library.

11. Copyright Policy

1. The deposit of a work into the UOPIR does not transfer copyright to the University of Peradeniya. Copyright owners retain the copyright for all content posted in the repository. UOPIR specifies a nonexclusive right to use where copyright owner is free to reuse the content elsewhere.
2. Authors are encouraged to retain a copyright in their work where possible, and where a publisher insists on a transfer of copyright, to assert their right to deposit their work in the UOPIR. An author who is no longer the copyright owner will need to have the copyright holder's permission to make their material available in the UOPIR.

3. The validity and authenticity of the content of the work is the sole responsibility of the author. Responsibility for complying with the University's copyright policies and procedures; any third party contract; copyright law and publishers' right rest with the author and researcher.
4. The Library may assist in checking copyright and determining the copyright conditions on a case by case basis.
5. Copyright permission determines the availability of the version in the repository. The order of preference is for published, followed by post print (accepted version), and thereafter, metadata only.

12. Preservation Policy

1. Items will be retained indefinitely.
2. UOPIR will try to ensure continued readability and accessibility.
3. No file preservation policy is defined.
4. Items may not normally be removed from the UOPIR.
5. In the event of the UOPIR being closed down, the database will be transferred to another appropriate archive.

13. Selection, Retention, Replacement & Withdrawal Policy

13.1. Selection & Retention

13.1.1. Items produced by UOP & submitted by an eligible author will be accepted unless;

1. The item infringes on the copyright or other rights
2. The item is proven to include falsified research
3. The item fails to meet the legal requirement

13.1.2. If the depositor leaves the employment at UOP, their items shall be retained in the UOPIR

13.2. Replacement

13.2.1. The author may request that an item be replaced by another version if an error is discovered on the content

13.2.2. The replacement item may use the same record as the original

13.3. Withdrawal

13.3.1. Items shall only be deleted from the UOPIR if there are legal or University Intellectual Right issues or other exceptional circumstances

13.3.2. Items may be withdrawn from open access places in a closed access archive

13.3.3. UOPIR shall retain the rights to remove the work for professional or administrative reasons

13.3.4. Acceptable reasons for Withdrawal as per the following;

1. Copyright violation
2. Legal requirement
3. Security at the national level
4. Falsified research
5. Duplicates

The final decisions will be taken by the Subcommittee appointed by the Librarian. The sole authority of the UOPIR is with the Librarian.

14. Disclaimers

1. In administering the UOPIR, the Library reserves the right to alter the format and/or file type of the deposited work to improve access or for preservation purposes.
2. The University reserves the right to accept or reject any scholarly works presented for the UOPIR.
3. The University does not accept liability for any losses or damage arising directly or indirectly from reliance on the information contained within the UOPIR.

15. Updating the policy

The Policy shall be regularly reviewed and updated at least once in three/ five years [or as decided by the University authorities].

Definitions

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.

DSpace: Is an open-source software package used for the institutional repository.

Deposit: A deposit represents a bundle of the 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.

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.

Open-access repository: Scholarly articles stored and made available on the public internet, permitting any users 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, noncommercial purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself.

Communities: All scholars attached to the University of Peradeniya would be considered as communities. As such Academic staff members, Academic support staff members, Non-academic members, Post Graduate Students and Scholars who are publishing in university journals and proceedings of conferences held by the University may be the communities of the digital library.

Collections: A Collection consists of Research Abstracts or scholarly works published by the University of Peradeniya or any scholarly work produced by a member of the university in an outside publication is given that the publication right is granted by the original publisher.

Metadata: Structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource.

Pre-print: The version of a paper or other proposed academic publication before peer review.

Post-print: The finalized version of a paper or other proposed academic publication is accepted for, but before, publication.

References

1. Clifford A. Lynch and Joan K. Lippincott (2005) Institutional Repository Deployment in the United States of Early 2005, *D-Lib Magazine*, 11, (9): Available online at <http://www.dlib.org/dlib/september05/lynch/09lynch.html>
2. When drafting this policy, it has been referred to the IR and Digital Library policies of local and foreign university libraries and the National Library of Sri Lanka.