Institutional Repository
Policy

AKENTEN
APPIAH-MENKA
UNIVERSITY
of Skills Training *and* Entrepreneurial
Development

AKENTEN APPIAH-MENKA UNIVERSITY OF SKILLS TRAINING AND ENTREPRENEURIAL DEVELOPMENT

INSTITUTIONAL REPOSITORY POLICY

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Foreword by the Vice-Chancellor

In advancing the mission of AAMUSTED to foster knowledge dissemination and preservation, this Institutional Repository Policy marks a significant step. It not only embodies our commitment to academic excellence but also underscores our dedication to making scholarly works accessible, thus contributing to global educational progress. I commend the collaborative efforts of the AAMUSTED Library Board and all stakeholders in developing this comprehensive policy, which will undoubtedly enhance the visibility and impact of our intellectual prowess.

Signed

PROF. FREDERICK KWAKU SARFO
VICE CHANCELLOR

Executive Summary

The AAMUSTED Institutional Repository Policy establishes a structured framework for the collection, preservation, and dissemination of the university's intellectual outputs. Reflecting our commitment to the Open Access Movement, it aims to address challenges related to the accessibility and preservation of digital and print materials. The policy outlines clear guidelines for the ownership, management, submission, and preservation of materials within the AAMUSTED Knowledge Manager, ensuring that the scholarly works of staff and students are globally visible and easily retrievable. This policy serves as a vital tool for enhancing academic integrity, facilitating research, and extending the reach of our university's contributions to the global knowledge community.

INSTITUTIONAL REPOSITORY POLICY

1.0   Introduction

1.1   There is increasing awareness that universities and research institutions lose valuable digital and print materials due to difficulties in accessing them, and lack of good preservation practices. As a remedy to the situation, the Open Movement advocates the establishment of Institutional Repositories (IR) in knowledge and research institutions such as universities.

1.2   An Institutional Repository is an online location 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 location 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 intellectual work in a repository greatly increases its potential for exposure and impact.

2.0   Principles Underlying the Policy

2.1   The Akenten Appiah-Menka University of Skills Training and Entrepreneurial Development *Institutional Repository* (referred to in this Policy as "**AAMUSTED Knowledge Manager**") is a collaborative project by the Communities of the University, namely, the University Library, Colleges, Schools, Faculties, Institutes, Directorates, and Research Centres.

2.2   Staff and students of the University produce research works as contributions to their discipline and/or as part of scholarly activity. A significant proportion of these works is intended for publication, recognition and impact. Copies of these intellectual works which represent the totality of publicly available research and scholarly output of the University are to be deposited in the AAMUSTED Knowledge Manager thereby contributing to a growing international corpus of

refereed and other research literature credited to AAMUSTED.

2.3 All **Staff Publications** shall, subject to relevant copyright policies, therefore, be deposited in the repository prior to an application for promotion to enhance assessors' access to Staff Publications.

2.4 This policy document serves as a guide for the use, management and operation of the **AAMUSTED Knowledge Manager**. 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 AAMUSTED Knowledge Manager

AAMUSTED Knowledge Manager shall be owned by the Akenten Appiah-Menka University of Skills Training and Entrepreneurial Development.

4.0 Objectives of the AAMUSTED Knowledge Manager

AAMUSTED Knowledge Manager has four main objectives. These are to:

a) provide open access to the University's research output;

b) create global visibility for the University's intellectual, professional and creative output;

c) collect content in a single location for easy identification and retrieval;

d) 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 Management of the AAMUSTED Knowledge Manager

5.1 The day-to-day management of the AAMUSTED Knowledge Manager 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 who shall be the Systems Librarian and an official from the Library not below the rank of Assistant Librarian.

5.1.1 The Working Committee shall submit quarterly reports to the Library Board.

5.2   Functions and Responsibilities of the Manager of the Repository

The functions and responsibilities of the Manager of the Repository are to:

a)   Examine items to be submitted to the Repository and determine their suitability or otherwise for deposit.

b)   Facilitate access to items in accordance with the Policy.

c)   Supervise the preservation of the items using the agreed and standard methods.

d)   Negotiate terms of agreement with Communities regarding the use of Collections.

e)   Move collections to reflect the current agreement between AAMUSTED Knowledge Manager and Communities.

f)   Redistribute or amend metadata of items submitted to the AAMUSTED Knowledge Manager.

g)   Assess for long-term archiving suitability of items when Communities cease to exist or when items are twenty-five years old in the Repository.

h)   Migrate items for more effective preservation if necessary.

i)   Provide links between Communities and items to guide users.

j)   Decide on the number of items and size of files that will constitute fair use.

6.0   Types of Documents to be Held in the AAMUSTED Knowledge Manager

The Akenten Appiah-Menka University of Skills Training and Entrepreneurial Development AAMUSTED Knowledge Manager shall hold the following types of material but not limited to:

a)   Theses/Dissertation/Project Works etc. of postgraduate students and staff

b) Refereed research articles and contributions at the pre-print and post-print stages of publication.

c) Administrative publications including position papers, memoranda, and reports

d) Grey literature

e) Conference Proceedings

f) Seminar and workshop texts

g) Technical notes

h) Project reports

i) Government reports

j) Books

k) Book chapters

l) Book reviews

m) Patent documents

n) Past Questions

o) Audio and visual materials

p) Educational documents

q) Classroom notes

r) Student papers

The above materials are referred to in this policy as *Items*.

7.0   Metadata Guidelines

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.

7.1   Anyone may access the metadata free of charge.

7.2   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.

7.3   The metadata shall not be re-used in any medium for commercial purposes without formal permission.

8.0   Data Guidelines for Full-text Contents

The following guidelines shall regulate content use on the AAMUSTED Knowledge Manager:

8.1   Anyone may access full-text items free of charge.

8.2   Copies of full-text items generally may be reproduced, displayed or performed, given to third parties, and stored in any format or medium

8.3   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.

8.4   Full-text items shall not be sold in any format or medium without formal permission of the copyright holder, AAMUSTED.

9.0   Item Submission Guidelines

The following policy shall guide the submission of items to the AAMUSTED Knowledge Manager:

9.1   Items may be deposited by only accredited members of AAMUSTED, or their delegated agents.

9.2   Authors may only submit their own works for archiving.

9.3   Eligible depositors shall deposit metadata for all their publications.

9.4   The Manager shall vet items for the eligibility of authors/depositors, relevance to the scope of AAMUSTED Knowledge Manager, valid layout and format, and NOT the content.

9.5   The validity and authenticity of the content of submissions is the sole responsibility of the author.

9.6   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.

9.7   Copyright violations are entirely the responsibility of the author.

9.8   Items shall be submitted in digital form in one of the following file formats:

    a)   DOC (Word document)

b) PDF document

c) Open Office document.

9.9   The author(s)/owner(s) shall grant AAMUSTED the right to preserve and distribute the work via the Repository.

9.10   If the work is part of a series, other works in that series shall also be contributed so that AAMUSTED Knowledge Manager can offer as full a set as possible.

10.0   Item Preservation Guidelines

The following guidelines shall regulate the preservation of items on the AAMUSTED Knowledge Manager:

10.1   Items shall be retained indefinitely.

10.2   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.

10.3   The Repository shall regularly back up its files according to current best practices.

10.4   URLs shall continue to point to 'old' citations, to avoid broken links and to retain item histories.

10.5   Changes to deposited items shall not be permitted.

10.6   Errata/corrigenda may be included with the original record if required.

10.7   If necessary, an updated version may be deposited.

10.8   In the event of the Repository being closed down, the University shall endeavour to transfer the database to another appropriate archive.

11.0   Item Withdrawal Guidelines

The following guidelines shall regulate the withdrawal of items on the AAMUSTED Knowledge Manager:

11.1   Items shall not normally be removed from the AAMUSTED Knowledge Manager.

11.2   Withdrawn items shall not be deleted from the AAMUSTED Knowledge Manager, but shall be removed from public view.

11.3 The identifiers or URLs of any withdrawn items shall be retained indefinitely.

11.4 The metadata of withdrawn items shall not be searchable.

11.5 AAMUSTED Knowledge Manager may choose to restrict access to works, whether in part or in full. Acceptable reasons for suppressing access (remove from view) include:

    a. Request by the author subject to the management of AAMUSTED Knowledge Manager's approval.

    b. Legal order

    c. Proven copyright violation

    d. Proven plagiarism

    e. Threat to national security

    f. Falsified research

    g. Request by the medium in which the paper is formally published

12.0 Copyright and Use Guidelines

The following guidelines shall regulate the copyright of items on the AAMUSTED Knowledge Manager:

12.1 Items deposited in the AAMUSTED Knowledge Manager retain all original Intellectual Property Rights.

12.1.1 Depositing an item in the AAMUSTED Knowledge Manager shall be by non-exclusive agreement and the author shall be free to publish any version of the work elsewhere.

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

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

12.1.3 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.

12.1.4 When an item is submitted to the AAMUSTED Knowledge Manager, the author(s) grant(s) 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 the copyright of the item.

12.1.5 Where copyright has been assigned to a publisher, a license shall be required from the publisher permitting the work to be available in the Repository.

12.1.6 The author(s) shall seek copyright clearance, if necessary, from a publisher before submitting the item to the AAMUSTED Knowledge Manager.

12.1.7 The author(s) shall be familiar with the copyright policy of the publisher of the item.

12.1.8 The author(s) 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.

12.1.9 If a publisher cannot be found on this site, the publisher shall be contacted directly.

12.1.10 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.

12.1.11 Before submitting an item the author shall be required to sign an agreement stated in Appendix D:

13. Monitoring and Review

The Institutional Repository Policy is intended to serve as a statement of the Guidelines for the Management of the Institutional Repository and related matters at the Akenten Appiah-Menka University of Skills Training and Entrepreneurial Development. The Policy may be reviewed every five (5) years by the Academic Board to reflect best practices.

References

University of Education, Winneba (n.d.). Institutional Repository Policy.

University of Cape Coast, Sam Jonah Library (n.d.). Library Policy.
https://library.ucc.edu.gh/aboutus/library-policies

AAMUSTED KNOWLEDGE MANAGER

(INSTITUTIONAL REPOSITORY)

E-Thesis Deposit Agreement

Student's name (Last name; other Names)	
Student's Index Number	
Thesis title	
Department	
Name of supervisor(s)	

Students/Staff should be aware that theses/dissertations deposited in the AAMUSTED Knowledge Manager will not be made publicly available online without the permission of their authors. Such online availability ensures maximum visibility and access to AAMUSTED 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/Staff who wish to restrict access to their theses should be aware that AAMUSTED is subject to the Right to Information Act which gives a general right of access to all information held by AAMUSTED, 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 the Right to Information Act applies to them. Please identify the exemption in the section 'Access Restrictions'.

Access Permissions and Transfer of Non-Exclusive Rights

By giving permission, students/staff 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

AAMUSTED KNOWLEDGE MANAGER, and by giving permission to AAMUSTED to make my thesis/dissertation publicly available agree to the following:

I agree that the AAMUSTED Librarians or any third party with whom the AAMUSTED KNOWLEDGE MANAGER 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 AAMUSTED KNOWLEDGE MANAGER 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 AAMUSTED to makes your thesis available online)

I give AAMUSTED permission to make my thesis publicly available online   YES □   NO □

Access Restrictions

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	
6 months	
9 months	

1 year	
2 years	
3 years	

Mark here if you wish to place a perpetual embargo on

your thesis   □

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 AAMUSTED 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 Right to Information Act. 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

Guidelines on including copyrighted 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 the copyright for all material included shall refer to Appendix B Restricting Access and follow the 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 AAMUSTED'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 use the copyrighted material.

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

Declaration form

"By submitting this item,

a) I …………………………………………………………………..(name of author) grant to AAMUSTED 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 AAMUSTED 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 AAMUSTED Knowledge Manager, 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 AAMUSTED Knowledge Manager 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 deposit.

ACKNOWLEDGEMENT

Members of the Library Board

Date Approved by Academic Board: **Thursday, August 15, 2024**