UNIVERSITY *of*
RWANDA

UR DIGITAL REPOSITORY POLICY

October 2020

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Contents

1.0 Introduction

The University of Rwanda Digital Repository (URDR) is a University of Rwanda Library Service initiative to capture and disseminate the intellectual output of the University of Rwanda (UR) so as to provide visibility and influence to global audiences. The aim in so doing is to showcase the UR research which shall in turn open avenues for further research, innovation, collaboration and ultimately contribute the UR's mission to becoming a research-led university. To this end, the URDR staff shall identify, acquire, process, make accessible and preserve digital information, which has been created, received by the University of Rwanda or its designated representatives during the course of appointed duties and in support of the University's mission to foster teaching, learning, research, and community engagement. Thus, UR's research output as well as other intellectual assets such as dissertations, theses, teaching and learning materials, presentations, research datasets, artefact reports and audio-visual records shall be uploaded onto URDR.

An institutional repository has been defined as 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 (Lynch 2003). Thus, a digital repository is an electronic archive of the scientific and scholarly output of an institution, which have been stored in a searchable digital format and which can be retrieved for later use internally, nationally, and worldwide. It is a type of content management system that holds the core intellectual assets of a university and enables them to be used in a flexible way to support a variety of business processes. A repository could contain research materials (including data files), teaching materials, and documentation about the institution. The critical function of a repository is the long-term preservation of this information.

It should be noted that growth and development of Digital Repositories was borne out of the need to address problems inherent in the present system of scholarly publishing, such as rising subscription costs that outstrip library budgets, loss of key resources if e-journal and database subscriptions are cancelled by libraries, and lack of capacity to afford key journals. Thus digital repositories are a cost-effective method of providing access to research findings and improving the research impact of an institution.

1.1. Purpose of University of Rwanda Digital Repository (URDR) Policy

The URDR procedural and policy statements are intended to streamline various aspects pertaining to the development and implementation of the URDR.

1.2. Mission Statement

The mission of the URDR is to capture, preserve and showcase the UR's intellectual and historical output to global audiences so as to open avenues for further research, innovation, collaboration.

1.3. Objectives of URDR

The Objectives of URDR are:

i. To capture, digitise and preserve the University of Rwanda's scholarly output and student academic records.

ii. To develop expertise among library staff, Academics, researchers and students in the creation and management of digital collections.

iii. To disseminate UR research output in order to increase its visibility, accessibility, discoverability and impact in policy formulation as well as contribution to providing solutions to societal problems.

1.4. Motivation for the URDR

The motivation of establishing URDR lies in its potential to facilitate scholarly communication, electronic publishing, preservation of digital materials for long-term access, and add to the university's prestige by showcasing its academic research and encourage open access to research as highlighted below:

i. The repository shall enable the University of Rwanda to manage her educational, research and associated assets more effectively and transparently.

ii. The repository shall help University of Rwanda to develop coherent and coordinated approaches to the capture and exploitation of intellectual assets and increase opportunities for improved learning experiences, and encourage more fertile collaboration between the Library, academics and administrative units and between different disciplines and groups nationally, regionally and internationally.

iii. The URDR is compliant with Open archives standards, thus Internet searches shall improve the visibility, usage and impact of research conducted at the UR and raise the profile of UR nationally, regionally and globally.

iv. The URDR shall not only be a medium for promoting awareness of the research outputs but shall also impact positively on the quality of the learning experience as academics may review how they use the stored material to deliver their courses and focus on how to improve the students' learning experience.

v. The URDR shall stimulate the development of a pedagogical environment that is information-rich and fosters student-centred approaches to learning which are key to success in the Information Society.

vi. URDR shall facilitate free sharing of information, encourage collaboration and communicate educational and research activities.

vii. URDR shall be particularly important for the University of Rwanda which is currently characterised by irregular publication, poor distribution, and limited national and international visibility.

viii. URDR shall provide an immediate and valuable complement to the existing publishing model.

ix. URDR shall preserve intellectual output in digital format for years to come, particularly materials that might otherwise be lost or at risk shall be preserved.

x. URDR shall make research and scholarly outputs more readily available and accessible thereby contributing to growth in the recognition of both scholars and the university.

1.5. Administration

URDR shall be administered by the University of Rwanda Library Service (URLS). The URLS shall be responsible for the collection, organisation, preservation, marketing and dissemination of UR intellectual assets locally, regionally and internationally. The University Librarian shall be responsible for the development and implementation of UR Digital Repository while the Chief Information Officer (CIO) shall be responsible for the implementation and maintenance of the infrastructure and software required for the fully functional URDR.

In the development of URDR, the University of Rwanda Library Service shall commit itself to creating a centralised forum for the collection, preservation and dissemination of the intellectual output of the University. The key stakeholders are highlighted in Sub Section 1.6 below:

1.6. Stakeholders

The key stake holders shall include but not limited to the University of Rwanda Principals, Directors of Centres of Excellence, Director of Teaching and Learning Enhancement, Director of Research and Innovation, Director of the Centre for Postgraduate Studies, Deans of schools, Heads of Departments, academic staff, researchers, students the University Registrar and Campus Registrars, University Archivist, Directors of Campus Libraries and Campus Library staff. Table 1 below provides a general overview of the roles of the stakeholders.

Table 1: A general overview of the roles of the stakeholders.

No.	Stakeholder	Responsibility
1.	DVC-AAR	Oversee the development of digitization and implementation of the digital policy.
2.	DVC-SPA	Incorporate the URDR plan into UR plan
3.	DVC-FIN	Provide financial and logistical support to facilitate implementation of activities such as training, publicity and acquisition of digitisation and backup equipment.
4.	Principals	Spearhead the promotion of URDR in the Campus and Colleges
5.	CIO	Provide software and other ICT support
6.	Directors of Centres of Excellence	Fast-tracking quality assurance issues for all materials submitted
7.	Director of Research and Innovation	Fast-tracking UR research uptake at community and national levels
8.	Director of the Centre for Postgraduate Studies and Direct of Teaching and Learning Enhancement	Ensure quality of scholarly works and promote URDR to Postgraduate students and researchers
9.	University Librarian	1. Coordinate all activities related to the development of URDR. 2. Train academic staff and students to submit their scholarly works to the repository
10.	Directors of Campus Library Service and Library staff	Promote the use of the URDR within their Campuses and mobilise staff and students to submit scholarly works
11.	Digital and Academic Library Services Specialist and the University Archivist	Coordinate appraisal and digitisation of scholarly works and academic records respectively

12.	University Registrar and Campus Registrars	Spearhead appraisal and digitisation of academic records
13.	Deans of schools and Heads of Department.	Mobilise staff and students to submit scholarly works, generate and submit scholarly works to URDR
14.	Academic staff, Researchers	Generate and submit scholarly works to URDR
15.	University Legal Division Manager	Provides legal support and advice, particularly on matters of copyright and Intellectual property
16.	Public Relations Division Manager	Advise and support efforts to promote the URDR

1.7 Informative strategy

The URDR does not yet have a high profile at UR and we shall endeavour to align the URDR with the University of Rwanda Strategic goals, particularly, enhancement of quality teaching learning and research. Thus, tools to promote the use of the repository, including lecturers' influence, handouts, slide shows, and online brochures, flyers, graphic videos, bulk emails shall be applied. The strategies to be adopted shall entail taking advantage of every opportunity promote the repository including talking to people about URDR's success stories; targeting each stakeholder differently and talking about the benefits of URDR to them; inviting URDR champions in Campuses, Colleges, Directorates, Centres of Excellence, Departments, Schools. We shall also involve student leaders and motivate them to share the benefits of URDR with other colleagues, and students. In addition, stakeholders shall continuously be updated about the URDR through regular reports about URDR milestones; integrating URDR in the Library website; linking the repository to the Library catalogue; and registering URDR on global Open Access Repositories. The search engines and metadata harvesters shall be linked to the Repository through the Handle system.

1.8 Monitoring and Evaluation

The success of URDR shall be measured by the numbers of communities, numbers of items in each community and numbers of researchers and stakeholders involved as well as the URDR usage statistics.

2.0 The URDR procedural and policy statements

The URDR procedural and policy statements provides guidelines pertaining to the following aspects of managing the URDR:

2.1. Collection development

2.1.1 What can be included in the URDR

The Digital Repository offers Colleges, Centres, Departments, Schools and Units the ability to publish and disseminate their scholarly works. Therefore, URDR accepts a wide range of material formats, including text, artefacts, images, video, and audio files. Materials to be preserved include but are not limited to:

i. Electronic journal and database subscription files
ii. Library materials or teaching materials as determined by existing policies
iii. Working papers
iv. Conference papers
v. Official University records such as minutes, University publications and policies
vi. Campus publications and records.
vii. Planning documents, historic publications and reports
viii. Departmental publications
ix. High quality Master Dissertations and Ph.D. Theses
x. Academic and administrative permanent records
xi. Official student publications
xii. Photographs of the University
xiii. Audio interviews/video interviews
xiv. Academic staff publications:
    o Interviews
    o Open access papers and articles
    o Presentations and special lectures
    o Research findings (final and current research)
    o Data sets (final recommended)
    o Journals
    o Technical Reports
    o White papers
    o Other grey literature
xv. University-related multi-media projects
xvi. Documents / reports / prototypes / innovations from various funded projects by partners of UR, under MoUs, including projects & programs run by NGOs in collaboration with UR.
xvii. Artefacts, records and publications from former institutions.

The following shall not be accepted:
i. Material of administrative or temporary nature such as memos
ii. Work in progress
iii. Items protected by copyright, where permission won't be granted.

2.1.2. Acquisition

The URDR shall acquire digital information from various University channels, including direct submission by participating colleges, schools, departments, and other community members. Acquisitions may additionally be made via gift, donation, and licensing agreements.

2.1.3   Access

Content published within the URDR, shall be made freely available to the general public via the Internet. The UR community and the public shall have the right to download and use the work for personal and non-commercial purposes. All information contained within the URDR is subject to a non-exclusive, open access license agreement, which supports the dissemination of information contained within the repository for educational, and research purposes only.

2.1.4   Content ownership and use

The URDR supports the inherent intellectual property rights and copyright ownership of all participating members. All participating members are required to agree to the terms and conditions of the agreement as specified in the submission form.

2.1.5   Intellectual property matters

2.1.5.1. Copyright

Copyright in the context of this policy and in all cases shall be managed in accordance with the UR Intellectual Property Policy. All content submitted to the URDR is the sole property of the author, unless otherwise sold or assigned by the author, in accordance with the UR Intellectual Property Policy. The University of Rwanda community members who wish to submit content to URDR must possess such right to do so or have obtained such right prior to making their submission. The University of Rwanda shall claim exclusive rights to any content created by University departments or programs. The UR shall not seek claim rights to non-university work submitted to the repository, including theses and dissertations that are produced by UR staff who study abroad, which are claimed to be the property of universities that trained them.

2.1.5.2. Patents, devices and processes

All patents, devices, processes, and the like, described within any of the content submissions contained within the URDR are considered the property of the creator(s).

2.1.5.3 Licensing

Licensing for all intellectual property described within the contents of submissions contained within the URDR is the sole responsibility of the content creator(s). All requests for licensing of described intellectual property should be directed to the content creator (s) or property owner (s) unless otherwise stated by the University.

2.1.5.4 Commercial Use of Works

All commercial use of works (reproduction, re-printing, distributions, etc.) contained within the UR Digital Repository are subject to Copyright, and author approval. The University of Rwanda retains all rights to the University created content. Permission to commercially use such works must be obtained from the author or the University prior to any commercial application or reproduction.

2.1.5.5. Warranties

The UR Library Service must ensure that the use of the work in the repository shall not breach any other person's intellectual property, privacy or other legal rights. Likewise, if a party other than the University sponsored the creation of the work, authors must have complied with requirements imposed by the sponsor's agreement.

As part of the submission process authors shall warrant that their work is not plagiarised and does not contain any false, misleading, defamatory, deceptive or unlawful information.

2.1.5.6 Liability

The URDR explicitly disclaims any responsibility for the accuracy, claims or any damage incurred through the use of the content contained within the repository to the extent permissible by regional, national and international law.

The administrators of the repository reserve the right to withdraw, remove, delete, restrict or suppress any content that is found to be in violation of previously described policies or

applicable law. It is the responsibility of all content submitters, content users and potential users to make themselves aware of these rights and responsibilities, and in utilizing the services provided by this repository and abide by them.

2.2 Content Organization and Submission

The organization of content and associated submission guidelines lay the foundation for the expansion and growth of the repository and its various content packages. Each of the guidelines address a specific aspect of the organization and/or the submission of content to the repository.

2.2.1 Repository organizational guidelines

The URDR shall be organized hierarchically based on the archival principle of provenance. The repository administrators shall create communities, sub-communities and collections based on systematic grouping of materials that best reflect the groupings of the content contained therein. All decisions on the organization of content shall be made by the Digital Repository staff in consultation with content creators.

2.2.2 Submission

Materials shall be collected and submitted to the repository by designated members of both Library staff and other authorized submitters within UR Campuses. In order to manage submissions efficiently, we recommend that each College or Centre or Directorate designates administrative contacts (e.g. Administrative Assistants, or Research Assistants) who shall collaborate with the Library in submitting materials to the repository. The online submission form shall be used to upload files. All submissions shall be reviewed by the library staff and shall be uploaded as soon as the review process is completed.

The University of Rwanda Library Services staff shall provide training for designated submitters and/or administrators within Colleges and/or Centres. The designated submitters and /or administrators within Colleges and/or Centres shall disseminate all relevant documents and communication regarding procedures, policies for the repository.

2.2.3 Membership and Contributors

The URDR shall accept physical and digital works for inclusion in the repository from researchers, departments, research units, and Centres of Excellence as well as members of the Rwandan community and beyond. The content shall remain and be preserved in perpetuity

beyond the community members' departure from University service. Members departing service for other institutions, who wish to continue their submissions may do so after separation of service from the University.

2.2.4 Embargo

The URDR shall support the use of content embargoes in support of publishing, patent and trademark applications. Embargoed works/content may be removed from public viewing for a period of time not exceeding three calendar years; after which time, unless otherwise requested, the items/collections shall be made freely accessible to the public and the world.

2.2.5 Content removal

Requests for removal of content must be forwarded to the University Librarian and shall be acted upon on a case-by-case basis.

2.2.6 Short term content deposit

The URDR shall not accept short term deposit of materials or content as this contravenes its commitment to document, preserve and make accessible the intellectual output of its community for the benefit of future generations.

2.2.7 Content versioning

The URDR supports the educational and research endeavours of its community by providing a stable and accurate record of the intellectual output of the University. In keeping with this principle, the URDR administration team shall not replace older content with newer or different versions of works. All new versions of prior submissions to the repository shall, therefore, be catalogued and preserved as unique content, and distinct from prior submissions. Contributors shall be encouraged to submit the final version of all work to be archived.

2.2.8 File format

The URDR runs on DSpace Repository System with the capability of maintaining digital information in a variety of file formats. Thus, all content submitted for inclusion in the repository, regardless of format shall be accepted. However, we shall require that all text-based submissions to the repository be converted to Adobe PDF file format. Additionally, it should be

noted that all graphical representations within any digital file should be embedded within the PDF file whenever possible. In the event that such a file conversion would dramatically affect the informational nature of a submission, the object shall be submitted in its original, born digital format.

2.2.9. File naming conventions

The URDR shall be representative of the scope and breadth of the University itself, and shall contain the variety of work and research being conducted at the UR. In line with this policy, the URDR administrators shall request that all individual submissions to the repository follow an established naming convention created to assist the submission process as well as cataloguing or preservation purposes. The URDR requires the submitters to name their PDF file, to include their Centre, College, School, Department, name, year, date, and the first word of the work's title as file name. The following file formats are recommended for different types of materials:

- Text: pdf, RTFtxt;
- Images: jpg, tif;
- Audio/video: wav, mpeg shall be supported over lesser-known and proprietary formats.

2.2.10. Metadata and Cataloguing

The URDR shall utilize the original Dublin Core elements to describe the repository contents within the standard Anglo American Cataloguing Rules (AACR2) formatting structure. The creation of metadata shall allow the holdings to be discovered. The main elements to be used in describing contents are as follows:

1. Title
2. Creator
3. Host (College, Centre, Department, School or unit)
4. Subject
5. Description
6. Publisher
7. Contributor
8. Date
9. Type
10. Format
11. Identifier
12. Language

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13. Relation
14. Coverage
15. Rights

2.2.11 Quality assurance and enhancement

The URDR staff shall ensure quality control of all information contained within the repository through the use and application of current accepted AACR2/MARC structure standards in the creation of all metadata. To ensure that such practices are being followed standardized Dublin Core/MARC shall be used to ensure the appropriate application and use of metadata elements in the description of items contained within the repository. These practices shall further be ensured by periodic review of all metadata on an item-by-item level. Those items found to be incomplete or requiring additional descriptive structure shall be addressed, and the related or additional system records updated.

Quality of thesis, dissertations and other scholarly works shall be maintained by ensuring that all scholarly works submitted have been signed off by supervisors and the College or Centre of Excellence, subjected to plagiarism check and bear a report generated by the plagiarism checker.

2.3. Information Management software

The URDR infrastructure shall be built using Open Source software: DSpaceTM (http://www.dspace.org). The proposal to use DSpaceTM is based on the following:

i. The software complies with the University of Rwanda functional requirements.
ii. DSpaceTM interface provides for easy decentralised self-archiving by academic staff and organises the documents in logical and easily retrievable manner.

iii. MIT designed the system in collaboration with the Hewlett-Packard Community, it can therefore be regarded as highly reputable.
iv. The key aim of DSpaceTM was and still is the long-term preservation of the intellectual output of researchers, which perfectly addresses the UR's preservation needs.
v. It is easy to retrieve digital objects that have been submitted to DSpaceTM.
vi. Regarding scalability – DSpaceTM can handle large volumes of data.
vii. It also supports full text searching.
viii. There is a good separation between data and metadata.
ix. DSpaceTM supports the Open Archives Initiative.
x. The code is available to any programmer to change or adapt as he/she wishes.
xi. DSpaceTM allows for easy integration into the existing University of Rwanda Portal.
xii. It has a well-defined workflow, automatically generates e-mails and forward tasks to different role players in the workflow process.

xiii. The structure of communities and collections within Dspace supports the participation of colleges, schools, departments, research centres and other units.

xiv. When accessing DSpaceTM via the portal the user gets authenticated using his/her login credentials or e-mail address to verify and allow the user to submit items (after being registered as a Submitter for a specific Collection).

xv. Browsing is open to the rest of the WWW Community, and a user does not need to be authenticated to browse a Collection, except where access has been restricted to a selected group for reasons such as embargoes, confidentiality and patents.

xvi. It is a suitable platform for academic digital objects.

xvii. Quality control allows for review, editing and metadata editing of submitted items.

xviii. Supports important metadata standards, e.g. Dublin Core.

xix. Java programming language is used.

xx. Operating system used is Ubuntu 10.04.

xxi. Security can be defined on various levels.

xxii. DSpaceTM has the largest active community of users and developers worldwide, making it the most popular platform for preserving digital materials.

xxiii. Each item in the repository is assigned a unique persistent identifier, using the Corporation for National Research Initiatives (CNRI) Handle System.

xxiv. DSpaceTM Technical support is available at DSpaceTM Wiki and Web Page (http://www.dspace.org/)

xxv. DSpace is a Free, open source software that can be downloaded at http://sourceforge.net/projects/dspace/

2.3.1 Back-up

The URDR shall follow a standardized digital information back-up procedure as established and supported by the University. Contents of the repository shall be maintained and supported through the use of on-line and off-line periodic duplication of the repository's contents, and the continued monitoring of said contents and associated information.

2.3.2 Preservation

The URDR is dedicated to the long-term preservation of all custodial assets. The UR Library Committee under the coordination of the University Librarian shall be responsible for planning, implementation, maintenance and long-range availability of the digital objects and associated information contained within the repository. To meet these responsibilities, the repository infrastructure shall be maintained using current, accepted standards for the preservation of digital information, including but not limited to:

i. Utilization of preservation metadata to describe objects within the repository.

ii. Maintenance of both hardware and software systems in support of the repository.

iii. Provision of technical assistance where requested and required.

iv. Allocation of a persistent identifier that shall always point to the object and/or its metadata

v. Provision secure storage and backup.

vi. Execution of routine fixity checks using proven checksum methods.

vii. Maintenance of provenance records and other preservation metadata to support accessibility and management over time.

viii. Implementation of periodic refreshment to new storage media

ix. Implementation of digital preservation strategies in furtherance of the repository's mission.

3.0 Policy Review

To accommodate changes in legislation, technologies, programs and resources available to the University, this policy shall be reviewed after every five years or earlier if deemed necessary. The results of such reviews and any recommendations arising therefrom shall be reported to the UR Library Services Committee, Senior Management Council, Senate and the Board of Governors for approval.

4.0 Implementation of the University of Rwanda Digital Repository (URDR) Policy

The implementation of the URDR Policy shall be spearheaded by the key stakeholders identified in section 1.6 of this policy in conjunction with the existing Campus Library Committees within Campuses and the UR Library Committee at the level of the University of Rwanda Headquarters.

The URDR Policy implementation plan that highlights the strategic foci, performance indicators, targets, required resources as well as responsible persons in relation to each objective is presented in Appendix1.

Signed:

Prof. Philip Cotton
Vice Chancellor

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Appendix 1: URDR POLICY IMPLEMENTATION PLAN

Strategic focus	Key performance Indicator	Baseline 2019/2020	Target 2021/2022 Year 1	Target 2022/2023 Year 2	Target 2023/2024 Year 3	Target 2025 Year 4	Budget (RWF)	Responsible person
Objective 1: Capture, digitise and preserve UR's scholarly output and student's academic records.								
1.1 Develop digitization policy which defines the scope, priorities, metadata and other standards, for the URDR	Digitization policy approved, and implemented	Under review	Implement the digitization policy	Implement the digitization policy	Implement the digitization policy	Implement the digitization policy	0	DCVAAR, University Librarian and all stakeholders
	Digitization implementation plan and budget included in the UR Ordinary budget	NIL	URDR budget execution	URDR budget execution	URDR budget execution	URDR budget execution	0	DCVAAR, DVC-SPA and University Librarian
1.2 Acquire and install digitization equipment, software licenses (such as Image control, workflow OCR , 3D V2.0 and scanning software) and back-up Servers	Number of digitization equipment acquired and installed	NIL	0	0	1	1	80,000,000	CIO, DVCFIN University Librarian,
	Number of software licenses acquired and installed	NIL	0	0	3	0	18,000,000	CIO, DVCFIN University Librarian,
	Number of Back-up servers acquired and installed	NIL	1	0	0	0	33,000,000	CIO, DVCFIN University Librarian,
1.3. Recruit the University Archivist and two Archives and Records officers to digitise student's	University Archivist recruited	NIL	1	0	0	0	Salary of archivists and University archivist to be determined by	DVC-AAR, DVC-SPA, University Librarian, University Registrar
	Number of Archives and Records officers recruited		1	1	0	0		

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Activity	Indicator	Baseline	Year 1	Year 2	Year 3	Year 4	Budget (DVC-SPA)	Responsible
academic records and also organise and preserve content using accepted metadata and preservation techniques)	Number of student's Academic records digitised and uploaded on the digital repository and accessible online	NIL	5000	10000	20000	300000	DVC-SPA	and University Archivist

Objective 2: To develop expertise among library staff, Academics, researchers and students in the creation and management of digital collections.

Activity	Indicator	Baseline	Year 1	Year 2	Year 3	Year 4	Budget	Responsible
2.1. Train library staff in the creation and management of digital collections	Number of Library staff trained in creation and management of digital collections	2	18	18	18	18	2.500,000 (per year)	DVCAAR and University Librarian
2.2. Train academic staff and students to submit their scholarly works to the repository	Number of academic staff and students trained to submit scholarly works to the repository	225	500	1000	1500	2000	6.500,000 (per year)	Principals, Directors of Centres of Excellence, DVCAAR, University Librarian, Digital and Academic Services specialist, Deans of schools, Head of departments

Objective 3: To disseminate UR research output in order to increase its visibility, accessibility, discoverability and impact in policy formulation as well as contribution to providing solutions to societal problems.

Activity	Indicator	Baseline	Year 1	Year 2	Year 3	Year 4	Budget	Responsible
3.1. Upload UR scholarly works onto URDR	Number of scholarly works submitted to the repository	784	1240	2480	4960	9920	0	Digital and Academic Services specialist, Deans, Heads of departments, Librarians and students

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