



UNIVERSITEIT•STELLENBOSCH•UNIVERSITY
jou kennisvenoot • your knowledge partner

Stellenbosch University

SUNScholar Management & Policy Guidelines

Managing SU research output

Compiled by Ina Smith

2014 Version

Contents

About SUNScholar.....	2
SUNScholar Governance	3
Submission of Items.....	3
Communities and Collections	6
Workflow, E-people and Groups.....	6
Metadata.....	9
Digital Curation (incl. Preservation).....	10
Embargoes	13
Licensing, Copyright, Privacy and Intellectual Property Issues.....	14
Inter-library Loan Requests.....	18
SU Open Access Publication Fund.....	19
Rights, Roles and Responsibilities of the Library and Information Service.....	19
Training	20
Marketing and Communication	23
Conclusion.....	24



About SUNScholar

SUNScholar (<http://scholar.sun.ac.za>) is a university-based institutional research repository, which offers a set of services to the members of the Stellenbosch University (SU) research community, for the high level strategic management and widest possible dissemination of SU research output. This set of services includes the collection, storage and preservation in digital format, and retrieval of items submitted to SUNScholar.

The repository uses DSpace (<http://dspace.org/>) open source software, which is a user-friendly system, to organise research output according to faculties and departments. DSpace is OAI-PMH (Open Archives Initiative Protocol for Metadata Harvesting) compliant, thus allowing research output to be easily discovered by web search engines, directory services and indexing tools.

Each item in the repository is assigned a unique identifier, using the CNRI Handle System. The identifiers are resolvable in perpetuity, and will remain valid even if content migrates to a new system. The handle assigned allows items in the repository to be properly and effectively cited in other research.

The management of SUNScholar is aligned with the overall University strategy, mission and vision, including the following SU policies:

- Research Policy
- Policy for Responsible Research Conduct at Stellenbosch University
- SU Policy on Academic Integrity: The prevention and handling of Plagiarism
- Intellectual Property Policy
- SUNScholar Metadata Policy
- SU Mandatory Thesis & Dissertation Submission Policy
- SU Open Access Publication Fund Policy
- *SU Open Access Policy*
- *SU Digitisation Policy*
- *SU Digital Curation Policy*



SUNScholar Governance

The repository manager reports to the Director: Client Services, Library and Information Service, Stellenbosch University.

Issues related to SUNScholar, for which technical input is required, are discussed during the Digitisation and Repositories Committee meetings, once a month. Please refer to the Terms of Reference for this committee:

<https://stbsp01.stb.sun.ac.za/vrr/library/Komitees%20%20Projekte/Terms%20of%20Reference/Digitization%20and%20Repositories%20Working%20Group%20ToR%202014.docx>

Submission of Items

Persons allowed submitting content to SUNScholar

Any SU staff or research member with the necessary SU LDAP authentication logins may submit research output to the repository once the necessary rights have been assigned to that individual. Submission of items are to be conducted in line with the policy of the repository, correct file names have to be assigned, copyright has to be indicated clearly, and the files have to be submitted in an open file format. Applications to become a submitter must be sent to scholar@sun.ac.za.

Content to be submitted

Content of the following nature can be submitted to SUNScholar:

- Peer-reviewed research articles, and examined theses and dissertations by SU researchers, including accompanying material such as data sets, video clips and more. The articles, theses and dissertations include both digitally born and non-digitally born (retrospective) content, after being digitised in line with the Digitisation Policy and in line with best practice.
- Other scholarly/research related material, such as inaugural addresses, conference proceedings, chapters in books, books, speeches.
- Content submitted should be in its final form, ready for 'publication'.
- Research related content for which SU is the copyright owner.
- Content which complies with the South African Bill of Human Rights.



Content not accepted by SUNScholar:

- Content that has not been peer-reviewed.
- Content of discriminatory nature.
- Administrative content.
- Commercial content.
- Content for which copyright has not been cleared.

Digital formats accepted by SUNScholar

Full text files are submitted using open file formats. See

http://en.wikibooks.org/wiki/FOSS_Open_Standards/Comparison_of_File_Formats and

http://wiki.lib.sun.ac.za/index.php/SUNScholar/Digitisation/Digital_Formats/Open

The SUNScholar Bitstream Format Registry provides information about known formats and their support level. Formats marked as 'internal' are hidden from the user, and are used for administrative purposes only.

Digitally Born Research Articles, Theses and Dissertations

The above is submitted in open file format (pdf), and OCR (Optical Character Recognition) is applied. Accompanying digital files such as video clips, data sets etc., has to be submitted in an open file format, and the software required to open these files need to be specified as part of the description metadata.

Non-digitally Born Research Articles, Theses and Dissertations

The above is digitised on request, and OCR'ed. It is saved using open file formats. Printed copies are sourced from the open shelf in the library, from the Compactus storage collection in the library, from the department/researcher, or requested via ILL (Inter-library Loan). Where both a printed and SUNScholar copy are available, a link is created from the library catalogue to the persistent URL for that item in SUNScholar.



SUNScholar ETD Loader: Submission of Theses and Dissertations

SU has two graduation periods during which students are required to submit their theses/dissertations to SUNScholar in order to graduate. The dates for graduation and final dates for submission of theses/dissertations are available from www.sun.ac.za >> Dates >> Almanac. During these periods, SUNScholar and the Registrars' Office closely collaborate to make sure that all theses and dissertations are submitted and received in the end. SUNScholar also provides input into the guidelines published in the University yearbook.

New theses/dissertations are not directly submitted into SUNScholar. It is submitted to SUNScholar ETD Loader first (restricted access), and transferred to SUNScholar following graduation (open access). Once transferred and available on SUNScholar, all parties are informed that the documents have been made online available.

Bibliographic Records on SUNScholar

SUNScholar contains a number of bibliographic records, of which the full text still needs to be attached. Once a year the SU Research Development Office collects research output by SU researchers and reports on it to the DHET (Dept. of Higher Education and Training). When completed, the SU Research Development Office makes available these records in a .csv file, for import into SUNScholar. Once the bibliographic records are available via SUNScholar, it becomes more visible and it becomes easier to prioritise in terms of which items to attend to first. This procedure applies to retrospectively published research articles and theses and dissertations prior to 2009. Once the OA (Open Access) Policy is mandated at SU, researchers will directly submit the full bibliographic record with full text (post-print) attached to SUNScholar.

Because of the above, currently there are quite a number of duplicates in SUNScholar. Those are removed when encountered.

Version control

SUNScholar treats any revised versions and the first version of an item as separate records. Every new version is to be submitted as a separate item.



It is foreseen that sometimes it may be necessary to remove items from SUNScholar. A request for the withdrawal of previous versions, or restricting access to available items, may be send to scholar@sun.ac.za. All requests are preserved together with the applicable item, and provenance metadata is included for future reference.

Since any repository item that has existed at some time may have been cited, SUNScholar will always supply a “tombstone” when the item is requested, which will provide a withdrawal statement. These items will be made unavailable for metadata harvesting.

Communities and Collections

Items in SUNScholar are organised according to Top-level Communities (faculties), Sub-communities (departments), and Collections (research articles, theses, dissertations, etc.). This information structure is aligned with the structure of Stellenbosch University.

Items are submitted on Collection level, and each Collection has an e-workflow assigned to it. An example for a faculty structure:

[Faculty of AgriSciences](#) [1127]

- [Department of Animal Sciences](#) [139]
 - [Chapters in Books \(Animal Sciences\)](#) [0]
 - [Conference Proceedings \(Animal Sciences\)](#) [0]
 - [Doctoral Degrees \(Animal Sciences\)](#) [22]
 - [E-Books \(Animal Sciences\)](#) [1]
 - [Inaugural Addresses \(Animal Sciences\)](#) [1]
 - [Masters Degrees \(Animal Sciences\)](#) [94]
 - [Research Articles \(Animal Sciences\)](#) [21]

Workflow, E-people and Groups

Electronic Workflow

SUNScholar has the notion of e-people who have roles in the workflow of a specific Collection. SU LDAP authenticated users are automatically registered with SUNScholar when logging in for the first



time. Once a profile has been created on SUNScholar, the e-person can be assigned certain rights, for example submission rights.

There are three possible roles in SUNScholar as part of the workflow process: Submitter, Reviewer and Metadata Editor. An e-mail message is sent to each person at the appropriate step in the workflow, with authorisations set up in advance for each role. Once the Submitter has submitted an item, the Reviewer will verify copyright permission, check the quality of the full text, and verify that it adheres to the SUNScholar policy. If not, the item will be rejected, and the Submitter will receive an e-mail with a message to indicate why it has been rejected, as well as further requests. If approved, the item will go to the Metadata Editor. Once the Metadata Editor has checked the metadata, and has added additional metadata to better describe the item, the item is approved and committed to the archive. Once this is done, the item can be accessed via the Internet. The turn-around time for this process is 2-6 working days from time of submission.

Manual Workflow

SUNScholar follows a manual workflow in addition to the electronic workflow. The purpose of this is to increase the visibility of SU research while awaiting the full text to be attached, the metadata to be edited, or the item to be moved to the primary Collection. The items are labelled 'Work in progress', and are available at <http://scholar.sun.ac.za/handle/10019.1/265>. Different Collections within this sub-community have different purposes, described within each Collection.

Once the full text is attached to a bibliographic record by one of the SUNScholar administrators, the item is moved to the Collection for the Reviewer. Once the Reviewer has reviewed the item, it is moved to the collection for Metadata Editors. Once the Metadata Editors have edited the metadata, the item is moved to the primary departmental Collection. During this process, the item is already accessible for all.

When retrospectively attaching full text to bibliographic records, administrators at the same time identify duplicate entries, and these are removed by the Reviewer.

Urgent items are attended to in the same way as above.



SUNScholar ETD Loader Workflow

The nomination system opens three to five months prior to the last date for the submission of theses and dissertations. The process is as follows:

- Repository Manager creates the necessary Top-level Communities on SUNScholar ETD Loader (<http://etd.sun.ac.za>), before the start of the nomination process.
- Director: IT and Digital Services prepares SUNScholar to generate Collections for the supervisor/graduate on SUNScholar ETD Loader, once the supervisor nominates the graduate for submission.
- Repository Manager e-mails SU community to inform them that SUNScholar ETD Loader is ready to receive nominations, using scholar@lists.lib.sun.ac.za. Also indicate the last date for submission.
- The supervisor nominates the graduate via the staff portal.
- The graduate receives an e-mail notification, and submits the final document in pdf format, with correct file naming.
- The supervisor approves that the correct version was uploaded by the graduate.
- SUNScholar receives an e-mail to indicate that the item was successfully submitted, with an indication of whether open access or restricted access applies.
- SUNScholar verifies that the full text submitted adheres to SU policy guidelines, adds a crest to the title page if none, and add the following header from page two onwards: Stellenbosch University <http://scholar.sun.ac.za>.
- Metadata is checked by SUNScholar, and added where needed.
- Following graduation, the theses and dissertations are transferred to SUNScholar, from where it is immediately accessible. Embargoes are transferred to a restricted access Collection on SUNScholar.
- Metadata Editors attend to the metadata, and move items to primary departmental Collections. This process has to be completed before the start of the next graduation period.
- The SU community is informed via e-mail that all recent theses and dissertations are now available, and they are encouraged to create links from social media profiles, CV's, research profiles, and more to promote their own research as widely possible.



E-people and Groups

The Admin Group in SUNScholar contains a list of e-persons with administrative rights, with the authority to move items, withdraw/delete items, and edit metadata.

The Anonymous Group in SUNScholar includes all other people using SUNScholar, for example Readers.

Collection Groups with e-persons assigned to do certain tasks in that specific SUNScholar Collection are created every time a new Collection is created. A typical Collection with a full e-workflow will have the following user groups associated with it:

[COLLECTION_1007_ADMIN](#)

[COLLECTION_1007_SUBMIT](#)

[COLLECTION_1007_WORKFLOW_STEP_2](#)

[COLLECTION_1007_WORKFLOW_STEP_3](#)

No registration is required in order to view or download open access full text files. Registration is only required should an individual be interested in receiving alerts every time a new item is committed to a specific Collection of interest.

Metadata

When items are submitted to SUNScholar, metadata is collected as complete possible, for the following reasons: to aid in the retrieval process, as a surrogate for the item (for instance, metadata harvesting by another system), and for use in later products (for example in a bibliography).

Metadata Standards

The Qualified Dublin Core Schema (<http://dublincore.org/>), consisting of fifteen elements and the qualifiers for each, is used to collect metadata from an item.

The fields part of the online submission form when submitting an item to SUNScholar, are linked to a specific metadata element and qualifier each time in the SUNScholar Dublin Core Registry. Submitters are required to enter basic metadata, and to provide as complete possible information about the item being submitted, including the copyright position of the item.



A description of each element and qualifier is available through the SUNScholar Dublin Core Registry. To aid Metadata Editors in adding value and editing the metadata, Metadata Guidelines and Dictionaries have been compiled with specific guidelines as it applies to research articles, theses and dissertations. The owner of these guidelines is the Head: Cataloguing, and guidelines are compiled in collaboration with the Repository Manager.

Provenance metadata is crucial for digital preservation purposes, and future reference. Notes are added by the repository administrators to capture the history of an item, embargoes and other information imported for future reference.

Metadata Harvesting

SUNScholar metadata is open for harvesting by directories, indexes and search engines. Harvesting information is available at <http://wiki.lib.sun.ac.za/index.php/SUNScholar/OAI-PMH>

SUNScholar metadata is harvested by Google, Google Scholar, WorldCat, ROAR, OpenDOAR, NETD, OATD to name but a few. These indexes/directories should be regularly visited and checked for currency regarding information that applies to SUNScholar.

Also see: http://wiki.lib.sun.ac.za/index.php/SUNScholar/Audit/Section_4

Digital Curation (incl. Preservation)

The following have been put in place to guarantee access for the future:

File Formats

SUNScholar attempts to support as many possible file formats, and identifies two levels of digital preservation:

Bit preservation ensures that a file remains exactly the same over time and not a single bit is changed while the physical media evolve around it. For each item submitted to SUNScholar, a checksum is generated. This checksum is used to verify the integrity of a full text file over time. Therefore replacement of bitstreams is restricted as far as possible.

Functional preservation: the file does change over time so that the material continues to be immediately usable in the same way it was originally, while the digital formats (and the physical



media) evolve over time. Some file formats can be functionally preserved using straightforward format migration (e.g. TIFF images or XML documents). Other formats are proprietary, or for other reasons are much harder to preserve functionally.

SUNScholar supports most known file formats, listed in the SUNScholar Bitstream format registry. Known formats can be recognised by SUNScholar, but full support cannot be guaranteed. Bit preservation for all known file formats will be done, so that digital archaeologists of the future will have the raw material to work with if the material proves to be worth that effort.

File Names

To guarantee accessibility of files, file names are assigned as follows:

- Use lower case only.
- Use alphabet letters and numbers only.
- Avoid spaces. Indicate spaces using _ or -.
- File names are assigned as: surname_firstwordoftitle_yearofpublication.pdf

File Size

Unlimited file sizes can be uploaded.

Descriptive Metadata (Administrative, Technical, Preservation)

A description of the provenance of a file is captured in SUNScholar. This information can be manually entered. The following data is tracked by SUNScholar:

- Creation of item, collection or community.
- Changes regarding accessibility, format, organizational (per item, per collection and per community).
- Withdrawal of item, collection or community.
- Technical data about the bitstream.



Persistent Identifiers

SUNScholar uses the Handle System from CNRI to assign and resolve persistent identifiers for each and every digital item. Handles are URN-compliant identifiers, and the Handle resolver is an open source system which is used in conjunction with DSpace.

SUNScholar Data Curation Tasks

The goal of the curation system ("CS") is to provide a simple, extensible way to manage routine content operations on SUNScholar. These operations are known to CS as "tasks", and they can operate on any DSpaceObject (i.e. subclasses of DSpaceObject) - which means the entire Site, Communities, Collections, and Items - viz. core data model objects. Tasks may elect to work on only one type of DSpace object - typically an Item - and in this case they may simply ignore other data types (tasks have the ability to "skip" objects for any reason). The DSpace core distribution will provide a number of useful tasks, but the system is designed to encourage local extension - tasks can be written for any purpose, and placed in any java package. This gives SUNScholar the ability to customise the behavior of the repository without having to alter - and therefore manage synchronization with - the DSpace source code.

Some activities appropriate for tasks:

- apply a virus scan to item bitstreams
- profile a collection based on format types - good for identifying format migrations
- ensure a given set of metadata fields are present in every item, or even that they have particular values
- call a network service to enhance/replace/normalize an item's metadata or content
- ensure all item bitstreams are readable and their checksums agree with the ingest values

Since tasks have access to, and can modify, SUNScholar content, performing tasks is considered an administrative function to be available to the system administrator only. No tasks are exposed in the public interfaces.



Back-up's

Back-up's guarantees accessibility to metadata and bitstreams should the system becomes inaccessible.

See: http://wiki.lib.sun.ac.za/index.php/SUNScholar/Guidelines/Step_6 and http://wiki.lib.sun.ac.za/index.php/SUNScholar/Disaster_Recovery and http://wiki.lib.sun.ac.za/index.php/SUNScholar/Repository_Preservation

Further reading: http://wiki.lib.sun.ac.za/index.php/SUNScholar/Guidelines/Step_1

Embargoes

Temporarily Embargoes

Research Articles: SUNScholar adheres to the open access policy of publishers. Should an embargo applies to a research article, the embargo expiry date is included as part of the metadata for that item. The embargo will be automatically lifted by SUNScholar once it expires.

Theses and dissertations: Sometimes supervisors request that a temporarily embargo applies (period of 6 months to two years). The embargo expiry date is included as part of the metadata for that item. The embargo will be automatically lifted by SUNScholar once it expires.

Permanent Embargoes

Should a supervisor – during the nomination process – requests that a permanent embargo applies because of the sensitive nature of a thesis/dissertation, this request has to be directed via the Faculty Secretary, to Senate. A brief motivation has to be provided as part of the request. SUNScholar tries to restrict permanent embargoes to the minimum, and prefer to rather educate researchers on open access. All requests and documentation regarding embargoes are captured as part of the metadata, and any separate communication is attached as files to the item record. Access to communication of this kind is restricted to SUNScholar administrators only.

Embargo theses and dissertations are stored in a collection for embargoes, and when the embargo expires, it is moved to the primary departmental Collection.

More information: http://wiki.lib.sun.ac.za/index.php/SUNScholar/Embargo_Systems



This work is licensed under a [Creative Commons Attribution-NonCommercial-ShareAlike 4.0 International License](https://creativecommons.org/licenses/by-nc-sa/4.0/).
Compiled by Ina Smith 3 August 2014

Should an end-user enquire about the possibility of accessing a restricted access item, SUNScholar can be contacted using the request a copy option. SUNScholar at no time will guarantee that access will be granted, but will do everything possible to negotiate access on behalf of the enquirer.

More information: http://wiki.lib.sun.ac.za/index.php/SUNScholar/Request_a_Copy

Licensing, Copyright, Privacy and Intellectual Property Issues

Copyright: Research Articles

Stellenbosch University encourages researchers to publish as many articles (and manuscripts) possible resulting from their research. The following applies:

- Researchers transfer copyright for all work during their employment/studies, to Stellenbosch University.
- According to the work agreement between employees (researchers) and the employer (Stellenbosch University), copyright for all research as a result of using University resources (time, equipment, facilities, money or any other support), is transferred to the University.
- Deans or representatives and study leaders are to grant permission to students for publishing articles with a specific journal.
- All SU researchers are to publish articles under the name for Stellenbosch University.
- It is the researchers' responsibility to make sure that publishing an article won't impact on his/her right and SU requirements to publish the final dissertation via SUNScholar.
- Researchers cannot sign agreements (incl. signing away copyright) with journal publishers on behalf of the University. An authorised representative from the University has to sign.

The University does everything in its power to encourage its students and staff to publish. The transfer of copyright is prohibited though and the University usually advises its researchers to proceed with caution in these instances and to try and achieve a workable compromise between the rights of the publisher and those of the University. Stellenbosch University as a public research institution wants to disseminate its research as widely as possible - including through its web site, through journal articles, through SUNScholar etc. and it is thus against SU's core principles to permit



the granting of exclusivity to a publisher. The University usually only permits publications if it does not interfere with its primary purpose as a public research institution.

When submitting research articles, SUNScholar adheres to the open access policy of the publishers. Not all publishers allow research institutions to preserve the full text of a research article on an institutional repository. Apart from the publishers' web sites, SUNScholar also verifies the open access policy against the SHERPA/RoMEO database. If no open access policy is available, the publisher is contacted, and all communication between SUNScholar and the publisher is archived.

Options available for SU researchers to make sure their research articles will always be accessible and digitally preserved:

- When entering into an agreement with a publisher, assign a Creative Commons license to the work or add a copyright addendum.
- Include a clause in the letter of agreement with the publisher - e.g. add the SPARC Authors' Addendum - that allows the author to archive a copy of the item on SUNScholar. Negotiate in advance, and obtain a digital copy of the final version from the publisher/ copyright owner. Submit this digital copy to SUNScholar for long-term digital preservation and access.
- Check the publisher's policy for self-archiving within an institutional repository on SHERPA/RoMEO Publisher Copyright Policies & Self-Archiving. Encourage publishers to post their policies at Suggest a Publisher.
- Visit the publisher's web page for policies on self-archiving within SUNScholar (an institutional repository).
- Obtain permission for archiving the item on SUNScholar from the copyright owner/ publisher by contacting them directly. A copy of each letter of consent will be archived on SUNScholar.
- Publish in open access journals. See the Directory of Open Access Journals (DOAJ).
- If authors know who the copyright holder is, they are requested to input it in the submission from when submitting the article.
- If authors do not know who the copyright holder is, leave open. SUNScholar will verify that the correct copy is uploaded before making it publicly available on SUNScholar.



Research article versions preferred:

The following versions are allowed:

- **Publishers' version:** Final version as published by publisher, with publisher branding included.
- **Post-print version:** The version of the article after peer-review, with revisions having been made. No publisher branding or formatting on the article.

Submitters can also upload more than one of the above versions if in doubt. SUNScholar will do the necessary clearance. The version uploaded is clearly indicated as part of the metadata, and users are requested to cite the primary source, and not the institutional repository version, although research was conducted accessing the repository version. This not only benefits end-users, but it also benefits the journal title in terms of numbers of citations and possible impact factor.

Copyright: Theses and Dissertations

When enrolling as a postgraduate student at SU, copyright for all research during the study period, as well as copyright on theses and dissertations, are transferred to SU. This is also clearly indicated on all digital items.

From time to time graduates are approached by publishers to publish manuscripts or articles from the original research.

The response from SUNScholar and Innovus: It is not usually necessary to transfer all the rights within a manuscript exclusively to a publisher and also unreasonable of a publisher to expect exclusivity. Not only is it restrictive to sign away IP (copyright) when the researcher is possibly still in the process of completing and submitting the thesis or dissertation, but according to SU's IP policy, students of SU make use of its infrastructure, do their work in the course of their studies to obtain a qualification, and their work is supported and guided by staff of SU. All IP that may emanate from work conducted by students in the course of their studies will thus be deemed to arise in the context of SU's publicly financed research and as such will vest in SU by law. These include, *inter alia*, all presentations, assignments, test and examination scripts, papers, dissertations, theses, sound



recordings, video recordings, software, databases, designs and models developed by students in the course of their studies. In this regard, the requirements of the SU yearbook regarding the insertion of copyright notices and authorship declarations into academic materials, such as dissertations and theses, must be complied with. The assignment of IP to SU takes place pursuant to and as part of the registration process. Thus, SU is the owner of the IP of a student's thesis. SU is entitled to decide in certain cases to assign ownership of the whole or part of the copyright to the student, or may authorise him or her otherwise to utilise the work commercially or otherwise. For any form of publication of a thesis or dissertation (electronic or print format) permission must first be obtained from the dean concerned or his alternate, acting on the recommendation of the departmental chairperson and the supervisor.

If a student has unwittingly assigned the copyright to a publisher, SU could be argued to be breaching the publisher's copyright should any form of publication take place - electronically or digitally. The primary purpose of any research is for inclusion in a thesis and subsequent publication thereof and publication can only be permitted if it does not interfere with SU's primary purpose which as a public research institution, SU wants to disseminate its research as widely as possible - including through its web site (SUNScholar), through journal articles etc. It is against SU's core principles to permit the granting of exclusivity to a publisher and we usually advise that copyright conditions should be negotiated with publishers prior to the manuscript or material being accepted for publication. The researcher/student can suggest a clause in the publisher's contract to include that the author/copyright holder retains the right to post the material on SU's SUNScholar and the right to prepare derivative works from the original material.

Where a student is enrolled with more than one university at the same time, of which one university is SU: Intellectual property, except the copyright on material written by the student(s), will be owned equally and jointly by both institutions and administered in good faith by the lead institution.

SUNScholar Submission License

When submitting an item to SUNScholar, the submitter grants non-exclusive distribution rights to Stellenbosch University. Therefore, self-submission by authors/copyright owners is preferred. This non-exclusive distribution rights in no way prevents an author/s or copyright owner from publishing



the work in a scholarly journal or distributing it in any other fashion. Where an item is submitted on behalf of the author, the submitter acts on behalf of the author.

Privacy

Stellenbosch University, including SUNScholar, is committed to preserving privacy. The personal information received through SUNScholar is used solely for purposes of the functioning of the system, and for specific purposes such as electronic workflow. It will not be used for any commercial or philanthropic purpose not directly connected with or approved by Stellenbosch University. SUNScholar collects personal information from submitters and subscribers to the SUNScholar alerting service.

SUNScholar does not disclose information about individual visits, or personal information such as a name, address, e-mail address, telephone number, etc. to any outside parties except when in good faith that the law requires it, or that disclosure is necessary to protect the rights and property of SUNScholar users.

When contact details are requested from users outside SU, the enquiries are referred to the supervisor or department.

Inter-library Loan Requests

Although SU research output is openly accessible via SUNScholar, from time to time requests are received from organisations for permission to print out and reproduce items available on SUNScholar. Since it is important to track usage statistics for items available through SUNScholar, these organisations are requested to create links from online platforms to individual items available through SUNScholar, and requested to avoid printing out and shelve copies for example in their libraries.

Should another library requests a copy of a SU thesis/dissertation/article available in print only, ILL will request SUNScholar to make the printed copy available via SUNScholar. ILL will then notify the other library/end-user by e-mailing the item's URL.



SU Open Access Publication Fund

The SU Open Access Publication Fund is administered by the Head: Acquisitions. Researchers apply for funding through the library web. Funding is approved based on the SU Open Access Publication Fund Policy. Once an article for which funding has been approved is published, the following manual workflow is followed:

- Head: Division for Acquisitions e-mails details for published article to SUNScholar administrator.
- SUNScholar administrator submits article to SUNScholar.
- Article metadata is edited by Metadata Editor, and the item moved to the primary departmental Collection.

SU Open Access Publication Fund on the web (incl. a link to all OA funded articles up to date):

<http://library.sun.ac.za/English/services/oa/Pages/su-oafund.aspx>.

Rights, Roles and Responsibilities of the Library and Information Service

At Stellenbosch University, the Library and Information Service Open Scholarship Office, in collaboration with the library IT division, take responsibility for the following:

- Manage, retain and maintain content submitted to SUNScholar.
- Disseminate content as widely possible.
- Preserve content using accepted preservation techniques.
- Provide permanent storage, including appropriate back-up and recovery procedures.
- Budget for unexpected issues that might arise.
- Communicate with the user community.
- Provide training and other support.
- Submit some content.
- Review all content submitted.
- Clear copyright, and verify that files submitted adhere to the copyright policy of copyright owners.
- Edit metadata of submitted content.
- Provide a search interface.



- Maintain, upgrade, administer and enhance the system regularly. The platform system version used will always be the most stable version, prior to the most recent version.
- Customise the system in accordance with the needs of the research community.
- Guarantee the availability of the system at all times.

SUNScholar roles are the following:

Director: Client Services	Owner (strategic)
Repository Manager	Manager (strategic and operational). Oversees all processes.
Repository Administrator 1 (Reviewer)	Assistant primarily responsible for reviewing all items submitted to SUNScholar. Also responsible for submission of articles, and preparing files to be submission ready. Review theses and dissertations following nomination and approval by supervisors.
Repository Administrator 2	Digitise files and submit to SUNScholar.
Repository Administrator 3	Remove duplicates, correct file names and submit items.
Other Administrators	Individuals assisting with finding retrospectively published research articles, preparing files for submission, and uploading files.
Metadata Editors	Evaluate, edit and enhance metadata.
Submitters	Submit items to SUNScholar.
Systems Administrator	System maintenance, upgrades, system monitoring, bug fixes, recovery, back-up's, etc.

Also see: http://wiki.lib.sun.ac.za/index.php/SUNScholar/Capacity_Building

Training

SUNScholar is of the opinion that as little possible training should be required to use the system. Items should be easily retrievable via Google and Google Scholar, and the submission interface should be as basic possible. We do however acknowledge that some kind of training might be required from time to time, and therefore make provision for the following:



Online (self-help) training

- SUNScholar ETD Loader Web: <http://library.sun.ac.za/English/howdoi/Pages/Submit-my-thesis-online.aspx>
- SUNScholar Help Wiki: <http://wiki.lib.sun.ac.za/index.php/SUNScholar>

Face-to-Face training (eClassroom)

- Training on request for individuals or individual departments.
- Also see the library training schedule:
<http://library.sun.ac.za/English/aboutus/news/events/Pages/training-postgrads.aspx>
- PowerPoint presentations as well as live demonstrations are used. These sessions are interactive.

Virtual training

- BigBlueButton webinar software is used to do real-time training via the Internet.
- Also see the library training schedule:
<http://library.sun.ac.za/English/aboutus/news/events/Pages/training-postgrads.aspx>
- PowerPoint presentations are used.

Printed pamphlets/brochures

- Training pamphlets are available at: Sharepoint >> Documents >> Publications >> Brochures >> SUNScholar.
- The following pamphlets/brochures are available:
 - About SUNScholar
 - Submitting items to SUNScholar
 - Searching in SUNScholar
 - Submitting of theses/dissertations to SUNScholar ETD Loader



Ranking and Visibility

The purpose of SUNScholar is to digitally preserve the most important asset of SU, namely its research output. At the same time, SUNScholar tries to make SU research output highly visible and accessible. Higher visibility and accessibility in turn leads to bigger impact and a higher research profile for the University and its researchers. It is important to put certain measures in place to guarantee that research is highly visible, and also some measures to demonstrate the impact of research output.

Registration with harvesters

SUNScholar is OAI-PMH compliant, and harvesters harvest the metadata by means of the base URL. SUNScholar has been registered with various search engines, harvesters and directories.

More information: <http://wiki.lib.sun.ac.za/index.php/SUNScholar/OAI-PMH>

Statistics

SUNScholar can give a number count for the views and full text downloads for any item at any point in time. It also lists the top ten items downloaded at any given point in time. Researchers are encouraged to use these statistics for performance evaluations and to demonstrate impact of research.

In addition to the SUNScholar (DSpace) statistical tool, Piwik is used. Access Piwik:

<http://piwik.sun.ac.za>

Researchers are encouraged to create ORCID ID's and Google Scholar Citation Profiles in order to receive alerts when cited and to track citations to research openly accessible.

Ranking

Webometrics (<http://repositories.webometrics.info/en>) is used to monitor the visibility of SU research output, and to benchmark against other institutions in terms of visibility and impact. Webometrics reports are released twice a year – during January and during July. Currently



SUNScholar is listed as the second most visible repository on the African continent, and number 146 from a total of 1 983 repositories globally.

More information is available at: <http://wiki.lib.sun.ac.za/index.php/SUNScholar/Ranking> and http://wiki.lib.sun.ac.za/index.php/SUNScholar/Audit/Section_4

Marketing and Communication

SUNScholar contact details

E-mail: scholar@sun.ac.za

Tel.: 021 808 9046/4641

Management Passwords

Passwords are available from the Intranet wiki >> Open Scholarship.

Marketing events and tools

Every and any opportunity is used to make researchers aware of the benefits of open access to research, Creative Commons licenses, the open access services offered by Stellenbosch University, and potential benefits.

SUNScholar makes use of a variety of events and tools to promote the services:

- Events: Library Week, Open Access Week, Research Week, Digital Fair, presentations at conferences, workshops, etc.
- Library plasma screen slides.
- Pamphlets.
- Mailing List: <http://lists.lib.sun.ac.za/mailman/listinfo/scholar>.
- SUNScholar News Blog: <http://blogs.sun.ac.za/sunscholar/>.
- Media (Boschtelegram, Postgraduate Portal).
- Social media (facebook, twitter, University news blog).
- Other.



Conclusion

This document is merely a guideline for managing SUNScholar in a consistent manner. It is by no means perfect, and it should be regularly revised to make provision for changes and new developments. The owner of this document is the Repository Manager, but input from all stakeholders is required to guarantee that the repository remains sustainable, and succeeds in its endeavor to increase the visibility of SU research output and digitally preserve SU research output for years to come.

End of document.

Compiled by Ina Smith

3 August 2014

