

STORRE: Stirling Online Research Repository

Policy for eTheses

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Content and Collection Policies

Definition of Repository Structure

- **Description of Dspace and the Community/Collection Structure**
DSpace is an Open Source digital library system that captures, stores, indexes, preserves and redistributes the intellectual output of a University's research in digital format.

Each DSpace service is comprised of Communities – groups that contribute content to DSpace – and Communities in turn each have Collections, which contain the content items, or files.

Within the University of Stirling repository Communities relate to University Departments and each Collection is based around a different publication type e.g. eTheses, journal articles, conference papers, working papers, etc. This structure allows for any possible growth of the eTheses Repository, so that if desired it can be used for other types of University research publications.

- **Constitution of a Collection**
A Collection is a subset of a Community and is a set of publications of the same type e.g. research theses.
- **Authorisation of Submitters**
The administrator of the Repository will determine and authorise submitters.
- **Contingency plans for the Cessation of a Community**
Community Structure will (as far as possible) match the historical record for departments. Departmental information will be given on the Community home page, including relevant departmental name changes, splits, mergers, etc. Documents themselves will remain in their Community of origin, but wherever possible helpful references to related departments will also be given on the Community home page e.g. the Department of Environmental Science merged with Biology on 1st August 2003 to

form the new School of Biological and Environmental Sciences (with a link to the appropriate community).

Content Guidelines

- **Type of Publications**

The Repository will accept University of Stirling research theses as outlined in paragraph 1 of the University Regulations for Higher Degrees by Research (currently Master of Philosophy and Doctor of Philosophy), plus those outlined in paragraph 1 of the University Regulations for Professional Higher Degrees by Research. Degree of Master (by research) theses are also accepted.

The Repository is designed in such a way that if the University wishes to expand the types of acceptable publications, to include other research publications, this will be possible.

- **Permitted Submitters**

Submitters must be current or previous members of the University, either staff or student, who have completed a University of Stirling research thesis for submission, or a person, granted authority to submit on their behalf.

- **Form of Content**

Theses must be in digital format.

- **State of Publications**

Theses must be a verbatim copy of the final paper version.

- **Granting of Rights for Preservation and Distribution**

The author of the thesis must grant to the Repository the right to preserve and distribute the thesis. Rights granted to the Repository are as follows:

University of Stirling may electronically store, copy or translate the Work to any medium or format for the purpose of future preservation and accessibility. The University of Stirling is not under any obligation to reproduce or display the Work in the same formats or resolutions in which it was originally deposited.

The thesis deposited in the research repository will be accessible to a wide variety of people and institutions - including automated agents - via the World Wide Web.

Rights granted to the research repository through this agreement are entirely non-exclusive. The depositor is free to publish the thesis in its present version or future versions elsewhere.

- **Permitted Document Types**

Permitted Document Types are as follows:

- Text
- Images
- Audio
- Video

However, the Repository is under no obligation to accept all these types of document. Since it may not always be possible, within technical and resource constraints, to mount different document types acceptance will be on a "best endeavours" basis.

- **Permitted Document Formats**

The electronic version must be submitted in adobe acrobat portable document format (pdf), or alternative format as agreed with the Repository administrator. It should be

understood that it may not always be possible to find an acceptable alternative.

Best endeavours will be made as regards the preservation of documents, but the Repository does not guarantee preservation.

Submission Process

- **Approval Process for Submissions**

There is an approval process in place for submissions.

Prior to submission to the Repository the thesis will have met the following conditions as set out in the University Rules and Regulations:

Where a candidate seeks to include in the thesis material which may be the subject of commercial or other confidentiality restrictions, the prior approval of the Faculty Board must be obtained. (University Regulations for Higher Degree by Research, Number 27).

Where a member of staff or student seeks to incorporate in his/her published work, teaching materials or assigned work material produced by others, responsibility will rest with the member of staff or student to establish and acknowledge the ownership of copyright of the material incorporated. The member of staff or student shall be responsible for ensuring that any such incorporation from whatever source does not breach law and that appropriate Copyright Licensing Agency or other licences are not infringed. Such sources shall include but are not restricted to paper material, Internet and electronic mail sources, distance learning and other computer based materials, and graphical, musical and artistic material. (University Intellectual Property Regulations for Staff and Students, Copyright Infringement, Number 10)

Copyright in a thesis and in work submitted will remain with a candidate except where the candidate is, or has been, employed by the University to undertake a specific piece of research, the results of which are embodied in the thesis, in which case the ownership of the copyright rests with the University. The appropriate Faculty Board should consider, in advance of the work being undertaken, whether the author should be directed to assign the copyright to the University. Where the copyright remains with the student, the University reserves the right to make and keep electronic copies of students' works for administrative and archiving purposes and may make these available for consultation by others. (University Intellectual Property Regulations for Staff and Students, Number 8)

There is a further approval process for Submission to the Repository

- The submitter first needs to register to submit to the Repository, this is done via the Repository web interface.
- The Repository administrator receives the request, and checks that the submitter is registered at Stirling University for a PhD or Masters by Research, before completing the registration.
- Permission to register is granted.
- The thesis is submitted. During the submission process the submitter must agree to the Deposit Agreement as outlined in Permissions and Licences.
- Library staff contact the thesis supervisor via email, and will not proceed further if the supervisor indicates that the submission should not be accepted. For example, the supervisor may know of legal or commercial restrictions that apply that prevent worldwide distribution.

- Submission rejected upon Supervisor objection, or continues through submission process.
- Library Staff check basic metadata, and correct any errors e.g. typos, etc.
- Standard subject schema classification headings are assigned.
- Submission is accepted and added to the Repository.
- **Notification of Submission Process**
The submitter will be notified of the progress of their submission by email.

Their initial submission will be acknowledged. If the submission is refused they will be notified, with a brief explanation of its failure to meet the approval process. If the submission is approved and accepted the submitter will be informed, and given the persistent URL for its location.

- **Size limits for Documents**
According to University regulations the following limits apply to theses:

A thesis for the degree of Doctor of Philosophy shall be no longer than 80,000 words, excluding footnotes and bibliographies, except with prior permission of the Faculty Board. A thesis for the degree of Master of Philosophy shall normally be no longer than 40,000 words, excluding footnotes and bibliographies, except with the prior permission of the Faculty Board.

In normal circumstances size restrictions need not be applied by the Repository, submissions will be accepted as University resources permit.

Copyright and Licenses

- **Copyright Ownership of Theses**
The copyright position of theses at the University is as set out in the University Calendar Rules and Regulations and is as follows:

Copyright in a thesis and in work submitted will remain with a candidate except where the candidate is, or has been, employed by the University to undertake a specific piece of research, the results of which are embodied in the thesis, in which case the ownership of the copyright rests with the University. The appropriate Faculty Board should consider, in advance of the work being undertaken, whether the author should be directed to assign the copyright to the University. Where the copyright remains with the student, the University reserves the right to make and keep electronic copies of students' works for administrative and archiving purposes and may make these available for consultation by others. (University Intellectual Property Regulations for Staff and Students, Number 8)

The Repository does not alter the copyright status of theses. No copyright transfer is required, instead the non-exclusive right to distribute the work is granted.

- **Submitters' Ownership of Copyright**
The submitter of a thesis to the Repository must be the copyright holder (normally the thesis author), or have permission to submit granted to them by the copyright holder.
- **Permissions and Licences**
When a thesis is submitted to the Repository, the submitter must agree to the **Deposit Agreement**.

- **Responsibility for Compliance with Copyright Issues**

University Rules and Regulations set out the responsibility for compliance with copyright issues in a thesis.

Where a candidate seeks to include in the thesis material which may be the subject of commercial or other confidentiality restrictions, the prior approval of the Faculty Board must be obtained. (University Regulations for Higher Degree by Research, Number 27)

Where a member of staff or student seeks to incorporate in his/her published work, teaching materials or assigned work material produced by others, responsibility will rest with the member of staff or student to establish and acknowledge the ownership of copyright of the material incorporated. The member of staff or student shall be responsible for ensuring that any such incorporation from whatever source does not breach law and that appropriate Copyright Licensing Agency or other licences are not infringed. Such sources shall include but are not restricted to paper material, Internet and electronic mail sources, distance learning and other computer based materials, and graphical, musical and artistic material. (University Intellectual Property Regulations for Staff and Students, Number 10)

Upon submission to the Repository, by agreeing to the Deposit Agreement, the submitter takes upon themselves the responsibility of ensuring suitable copyright compliance.

- **End User Licence**

An **End User Licence Agreement** is important to clearly define what rights end users have to downloaded material, for example reproduction and access, and to remind end users of restrictions placed on the item, thereby giving depositing authors and the University some protection against plagiarism or changes to the content.

Metadata

- **Metadata Standards in the Repository**

The eTheses Repository will use the Dublin Core element set of the ["UK Metadata Core Set for ETDs"](#) (Electronic Theses and Dissertations).

This Core Set was created and recommended as a result of collaboration between UK institutions which had been involved in developmental work associated with electronic theses.

- **Authorised Metadata Entry**

There are a number of individuals authorised to enter metadata of different types.

Upon submission, the submitter will enter the initial metadata concerning their thesis, along with the thesis itself in digital format.

The submitter is authorised to submit the following metadata: thesis title and author name (as required fields) and supervisor name, abstract, awarding body (in addition to the University of Stirling), and keywords.

Bibliographic Services and the Liaison and Training Team, within Information Services, are authorised to add metadata which has not been completed by the submitter, and add any additional metadata as set out in the UK Metadata Core Set for ETDs.

- **Quality of Metadata Standards**

Bibliographic Services within Information Services are responsible for the quality of the Metadata Standards.

- **Correction of Metadata**
Bibliographic Services staff are authorised to correct metadata. Since the metadata is submitted along with the thesis itself, most errors can be identified and corrected during the overall Approval Process for Submissions as outlined above.
- **Approval Process for Metadata**
The metadata approval process is part of the overall Approval Process for Submissions as outlined above.
- **Metadata Use**
Upon submission to the Repository, by agreeing to the Deposit Agreement, the depositor agrees to the following:

Once the Work is deposited, metadata will be incorporated into public access catalogues. This citation to the Work will always remain visible, although the author retains the right to update the Work. Removal of the item can be made after discussion with the research repository administrators.

Privacy Policies

- **Privacy Policy**
The Repository maintains information on all registered users, including users involved in submitting, users involved in the workflow, and users subscribed to the Dspace alerting service. This information is used solely for the purposes of the functioning of the system, and will not be used for any commercial or philanthropic purpose not directly connected with or approved by the University of Stirling.

Information about individual visits to the Repository, or personal information, will not be disclosed to any outside parties except when we believe in good faith (i) that the law requires it, or (ii) that disclosure is necessary to protect the rights and property of DSpace users.
- **Authentication of Submitters**
It will not be possible to submit documents to the Repository without first registering, and receiving authentication details. After Registering submitters will only have access to the submission process for the appropriate collection(s) upon entering their authentication details.
- **Restricted Access**
University Rules and Regulations determine when a thesis should have restricted access.

Where a candidate seeks to include in the thesis material which may be the subject of commercial or other confidentiality restrictions, the prior approval of the Faculty Board must be obtained. (University Regulations for Higher Degree by Research, Number 27)

The copy of the thesis deposited in the University library becomes the property of the library and will be available for individual or interlibrary loan (and possible microfilming or photocopying in whole or part) unless, with the permission of the appropriate Faculty Board, the author wishes to restrict access. ... (University Rules for the Form and Presentation of Theses for Higher Degrees, Number 7)

The Repository Policy on restricted access will meet, as a minimum requirement, the University Regulations on restricted access to theses. It will be the responsibility of the submitter to conform to University Regulations on restricted access.

The eTheses Repository allows worldwide distribution of theses via the world wide web,

so on occasion, consideration of access restrictions may need extra care. Where it is in the best interests of the University, documents may not be accepted, or retained, by the Repository even though they meet University Regulations on access restrictions.

Additional Service Policies

Preservation Formats

- **Supported Formats for Preservation**

Best endeavours will be made as regards the preservation of documents within the Repository, but the Repository does not guarantee preservation.

The Repository is not a replacement for the traditional preservation of theses in paper form, but instead, is as an additional form of storage which may enhance the possibility of long term preservation.

DSpace identifies two levels of digital preservation: bit preservation, and functional preservation.

Bit preservation ensures that a file remains exactly the same over time - not a single bit is changed - while the physical media evolve around it.

Functional preservation goes further: 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 physical media) evolve over time.

DSpace carries out bit-level preservation for all deposited formats, so that "digital archaeologists" of the future will have the raw material to work with if the material proves to be worth that effort.

Along with bit-level preservation, there is also functional preservation for PDF format files. For this reason, the electronic version of a thesis should normally be submitted to the Repository in adobe acrobat portable document format (pdf).

Removal of Items from the Repository

- **Withdrawal of items**

In normal circumstances, the Repository will retain, and make publicly available, all items that have undergone the submission process and been accepted into the Repository. It is only in exceptional circumstances that items can be withdrawn.

It is foreseen that there may be times when it is necessary to remove items from the repository. Under some circumstances items will be withdrawn from view, but to avoid loss of the historical record, all such transactions will be traced in the form of a note in the <Description.provenance> field of the Dublin Core record. The content of the note will be one of the following:

- "removed from view at request of the author"
- "removed from view at University of Stirling's discretion"
- "removed from view at University of Stirling Information Services' discretion"
- "removed from view by legal order"

Since any DSpace item that has existed at some time may have been cited, we will supply a "tombstone" when the item is requested, which will include the original metadata (for verification) plus one of the above withdrawal statements in place of the link to the object. The metadata should be visible, but not searchable. These items will also be made unavailable for metadata harvesting.

Although items may be withdrawn from the Repository for any of the reasons set out above, a request for withdrawal may be refused, the final decision on withdrawals rests with the University.

- **Deletion of items**

Items will be deleted from the repository if there is a legal requirement to do so, or if it is deemed by the University to be in its best interests.

Deletion of items will mean removal of the item itself, plus any metadata pertaining to the item, in this instance, there will be no “tombstone” marker as is the case with withdrawn items.

Appendix

Deposit Agreement

When a thesis is submitted to STORRE: Stirling Online Research Repository the submitter must accept the following Site Licence:

Covered work

I would like to deposit my material in the University of Stirling digital repository. Research referred to below as "Work" is covered by this agreement and when I deposit my Work, whether personally or through an assistant or other agent, I agree to the following:

Non-Exclusive Rights

Rights granted to the digital repository through this agreement are entirely non-exclusive. I am free to publish the Work in its present version or future versions elsewhere.

I agree that University of Stirling may electronically store, copy or translate the Work to any medium or format for the purpose of future preservation and accessibility. The University of Stirling is not under any obligation to reproduce or display the Work in the same formats or resolutions in which it was originally deposited.

Deposit in University of Stirling Digital Repository

I understand that work deposited in the digital repository will be accessible to a wide variety of people and institutions - including automated agents - via the World Wide Web. An electronic copy of my thesis may also be included in the British Library Electronic Theses On-line System (EThOS).

I understand that once the Work is deposited, metadata will be incorporated into public access catalogues. This citation to the Work will always remain visible, although the author retains the right to update the Work. Removal of the item can be made after discussion with the digital repository administrators.

I agree as follows:

That I have the authority of the authors to make this agreement and to hereby give University of Stirling the right to make available the Work in the way described above.

That I have exercised reasonable care to ensure that the Work is original, and to the best of my knowledge does not breach any laws including defamation, libel and copyright.

University of Stirling does not hold any obligation to take legal action on behalf of the Depositor, or other rights holders, in the event of breach of intellectual property rights, or any other right, in the material deposited.

End User Licence Agreement

An End User Licence Agreement is important to clearly define what rights end users have to downloaded material in the University Repository, for example reproduction and access, and to remind end users of restrictions placed on the item, thereby giving depositing authors and the University some protection against plagiarism or changes to the content.

Human Readable: End User Licence Agreement

This work is licensed under the Creative Commons

Attribution-NonCommercial-ShareAlike Licence.

You are free:

- to copy, distribute, display, and perform the work
- to make derivative works

Under the following conditions:

Attribution

You must give the original author credit.

Non Commercial

You may not use this work for commercial purposes.

Share Alike

If you alter, transform, or build upon this work, you may distribute the resulting work only under a licence identical to this one.

For any reuse or distribution, you must make clear to others the licence terms of this work. Any of these conditions can be waived if you receive permission from the author. Your fair dealings and other rights are in no way affected by the above.

To view the full text of this licence visit:

<http://creativecommons.org/licenses/> and view the "Attribution-Noncommercial-Share Alike" licence.