**MUHIMBILI UNIVERSITY OF HEALTH AND ALLIED SCIENCES**

**INSTITUTIONAL REPOSITORY POLICY AND GUIDELINES**

**2012**

# Foreword

The digital age is here to be used and harnessed for the greater good and well being of mankind. It is a fast pipeline through which to harvest knowledge for the benefit and socio-economic development of mankind. The vast knowledge being generated by higher learning institutions can now be accessed from anywhere around the world where there is internet connectivity. This not withstanding the vast knowledge being generated around the world can only be reached if all of us are able to and willing to create open digital resources from which everybody can tap the knowledge.

Recent initiatives towards creation of open access resources to facilitate free access to knowledge are a strong contributor to the adoption of knowledge driven economies. However, the major challenges around the world and for higher learning institutions like the Muhimbili University of Health and Allied Sciences (MUHAS) lie with the difficulty to access unpublished information in the form of research reports, dissertations, theses, student projects, and grey literature. These bottlenecks diminish the role of higher learning institutions in informing government policies and therefore their overall contribution to socio-economic development.

MUHAS generates a lot of research information, most of which is available in local, regional and international journals. However, there is also equally important information lying on shelves in the form of research results, research reports, dissertations, theses, and undergraduate reports that may be useful information to inform new researches or even contribute to policy. This information is not easily accessible and thus its use is limited to those who produced the reports and a few stakeholders.

This Institutional Repository Policy is a welcome initiative and bears a lot of hopes for better knowledge management at our University. It is my sincere hope that the MUHAS community members, academic and non-academic, shall endeavor to contribute to this initiative to create, and enrich the Institutional repository. I urge all of us to be ambassadors of good will for this initiative to facilitate access to knowledge to further improve teaching and learning, research, innovation, product development, policy formulation, and health care services delivery.

Let all of us at MUHAS take advantage of the available and emerging digital resources to make our University a knowledge pipeline for all and link MUHAS to the world and the world to MUHAS.

# Acronyms

| | |
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| DICT | Directorate of Information and Communications Technology |
| DLS | Directorate of Library Services |
| DRP | Directorate of Research and Publications |
| DPGS | Directorate of Postgraduate Studies |
| DVC-ARC | Deputy Vice Chancellor – Academic, Research and Consultancy |
| IR | Institutional Repository |
| LAN | Local Area Network |
| MDG | Millenium Development Goals |
| MKUKUTA | Mkakati wa Kukuza Uchumi na Kupunguza Umaskini TAnzania |
| MUHAS | Muhimbili University of Health and Allied Sciences |
| OAI | Open Access Initiative |
| ROMEO | Rights Metadata for Open Archiving |
| SHERPA | Securing a Hybrid Environment for Research Preservation and Access |
| URL | Uniform Resource Locator |
| VC | Vice Chancellor |

# Definition of Terms

i. **Bibliographic data**: uniform representation and description of a specific publication or content item in a bibliographic database (or a library catalog), containing data elements required for its identification and retrieval, as well as additional supporting information, presented in a formalized bibliographic format.

ii. **Copyright**: is a set of exclusive rights granted to the author or creator of an original work, including the right to copy, distribute and adapt the work. Copyright owners have the exclusive statutory right to exercise control over copying and other exploitation of the works for a specific period of time, after which the work is said to enter the public domain.

iii. **Dublin Core**: is a set of metadata elements which provides a small and fundamental group of text elements through which most resources can be described and catalogued. Using only 15 base text fields, a Dublin Core metadata record can describe physical resources such as books, digital materials such as video, sound, image, or text files, and composite media like web pages. Metadata records based on Dublin Core are intended to be used for cross-domain information resource description and have become standard in the fields of library science and computer science.

iv. **Information and Communication Technologies**: refers to the tools and instruments through which information in processed, as well as methods that enable people to access and use ICTs. These ICTs encompasses computers, satellites, wireless one-on-one communications (including mobile phones), the Internet, e-mail, multimedia, telecentres, radio, television (TV), land-line telephones and telegraph.

v. **Institutional Repository**: is an online locus for collecting, preserving, and disseminating - in digital form - the intellectual output of an institution, particularly a research institution

vi. **Internet**: The shared global computing network. A network based on standards including Internet Protocol (IP), Simple Mail Transfer Protocol (SMTP) and the Domain Name System (DNS), which enables global communications between all connected computing devices. It provides the platform for web services and the World Wide Web

vii. **Intellectual Property (IP):** refers to creations of the mind: inventions, literary and artistic works, and symbols, names, images, and designs used in commerce. IP is divided into two categories: Industrial property, which includes inventions (patents), trademarks, industrial designs, and geographic indications of source; and Copyright, which includes literary and artistic works such as novels, poems and plays, films, musical works, artistic works such as drawings, paintings, photographs and sculptures, and architectural designs.

viii. **Metadata**: it stores data about the structure, context and meaning of raw data, and computers use it to help organize and interpret data, turning it into meaningful information

ix. **Open Access**: its free availability of literature on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

x. **Open Access Initiative**: it is an attempt to build a "low-barrier interoperability framework" for archives (institutional repositories) containing digital content (digital libraries). It allows people (Service Providers) to harvest metadata (from Data Providers). This metadata is used to provide "value-added services", often by combining different data sets.

# Contents

# INTRODUCTION

## 1.1 Background

A repository is the work of preserving and disseminating electronic copies of research and scholarly works created by an institution that serves as a gateway to disseminate and reach out to similar resources elsewhere. Development, maintenance and governance of a repository have a number of intricacies that require a guiding policy for implementation. This policy defines the scope, roles and responsibilities, and legal requirements for management and development of a MUHAS Institutional Repository (IR).

Scholarly literature in IR can be accessible to a wider audience thus overcoming the barriers of the subscription model and have potential to increase citation and research impact. Rich repositories ensure a quicker means for sharing research as opposed to the traditional scholarly communication methods. Similarly, repositories are an invaluable resource for research reporting exercises for students and staff alike.

MUHAS has generated a lot of research results that may already be published in journals or conference proceedings but this information is not widely accessible for use by the University or policy makers. Some of this information and data may be pivotal for informing policy but can not be accessed where they are lying on shelves, including grey literature, old publications, and books or in print journals in the Library or elsewhere. Similarly, postgraduate and undergraduate students generate dissertations and theses every year that have always remained on shelves where they are not easily accessible. This Policy shall provide an enforceable mechanism to ensure that information and knowledge that is already available or generated from research is easily accessible and utilized. In the context of accountability, this mechanism will ensure realization of value for funds from donors and government that is spent on research and the purchase of books and journals.

This policy is in line with the aspirations of the National Information and Communication Technologies (ICT) Policy (2003), the National Strategy for Growth and Poverty Reduction (NSGPR) (2005-2010) also known in Swahili as MKUKUTA, Tanzania Vision 2025 and implementation of the Millennium Development Goals (MDGs). It is also in line with the existing policies at MUHAS, which include the E-learning Policy and Procedures (2011), Intellectual Property Rights Policy and Procedures (2011), and Research Policy and Procedures (2011). These policies pave a way for the establishment and implementation of MUHAS IR which aims at increasing the visibility and accessibility of research findings for improving the health practices, reducing poverty and contribute to national development.

## 1.2 Rationale of the Policy

This IR Policy shall serve as a guiding framework to ensure maximum dissemination of research results generated at MUHAS, and harvesting of information from resources elsewhere for local utilization. It will be an institutional mechanism and a tool for bridging knowledge gaps; enhancing harvesting of information for socio-economic development, and increasing institutional visibility and recognition. The repository will avail an open access

platform to capture, store, index, and distribute locally and globally a wide range of research outputs produced by faculty and students.

The repository will enhance accessibility to resources in the Library, research reports and publications, and it is expected to promote the University's profile by exposing research outputs online. This will assist in increasing citation rates and the impact of research conducted at MUHAS. However, the repository is not expected to replace but to complement the traditional research publishing channels. It will also provide secure, stable and long term storage of information materials in a centralized location, with the reduction of duplication of research efforts and plagiarism.

## 1.3 Policy objectives

i. To facilitate accessibility to, management, and dissemination of research results generated by MUHAS faculty and students
ii. To contribute to a growing body of refereed and other research literature available on internet search engines and through the worldwide web.
iii. To increase visibility, accountability and promotion of research outputs
iv. To encourage collaboration and sharing of information, knowledge and innovation among faculty, students, and other stakeholders within and outside MUHAS
v. To create a forum to inform policy on health issues
vi. To increase visibility of the University
vii. To improve efficiency and quality of services offered by the library

## 1.4 Outcomes

i. Creation of an enforceable mechanism for collection, management and dissemination of information for the interest of the wider public and communities
ii. Enhanced dissemination and access to local and international information resources
iii. Enhanced utilization of MUHAS research outputs for policy formulation and socio-economic development
iv. Enhanced MUHAS visibility and international rating
v. Enhanced collaboration and networking within and outside MUHAS
vi. Improved quality of library services

# 2. POLICY STATEMENTS

## 2.1 Administration

The Deputy Vice Chancellor – Academics, Research and Consultancy shall be responsible to oversee the implementation of this policy.

### 2.1.1 Policy Statement

The University shall facilitate the establishment and management of an IR with the aim of enhancing access to and sharing of scholarly information within and outside MUHAS

**Guidelines**

The Directorate of Library Services shall be responsible for:
   i. Coordinating all activities related to MUHAS Institutional Repository. All IR committees shall be under the coordination of the DLS
   ii. Collecting scholarly information (e.g. theses, conference papers), faculty profiles and administrative documents (University annual report, selected meeting minutes, committee papers and/ or similar material, curricular, policies, legal documents) from schools, directorates and institutes,
   iii. Digitize and deposit information to the IR
   iv. Assisting faculty and students to deposit their materials
   v. Verifying online submissions, validating and enhancing associated metadata and ensuring research outputs are accurately displayed online.
   vi. Day to day management and maintenance of IR including copyright compliance, software support and Open Access Initiative (OAI) or internet harvesting protocols compliance.
   vii. Creating staff profiles in the MUHAS IR system, as well as making possible links in the repository with the published research outputs in collaboration with DICT
   viii. Creating awareness and conducting training to MUHAS faculty and students on the use of the IR system in collaboration with DICT

**The Directorate of Information and Communication Technologies** shall be responsible for:
   i. Managing and maintaining software, hardware and network infrastructure of the repository
   ii. Routine backup of the Repository

**The Directorate of Research and Publications (DRP)** shall be responsible for:

i. Ensuring respective faculty are aware of their obligations to submit research outputs to the MUHAS IR

**The Directorates of Higher Degrees** shall be responsible for:

i.     Ensuring that postgraduate students submit the electronic copies of their dissertations and theses to the established IR.

**All Deans/ Directors** shall be responsible for:

ii.    Ensuring that all undergraduate students submit the electronic copies of their research reports to the established IR.

## 2.2 Communities

All schools/ directorates/ institutes of the University are named as **MUHAS-IR** Communities.

### 2.2.1 Policy statement

The repository shall have communities which will constitute all schools, institutes, directorates and their academic units

**Guidelines**

i.     All Schools/ institutes/ directorates shall be responsible for appointing IR committees

**IR Committees shall be responsible for**

i.     Coordinating IR activities within their schools, institutes and directorates
ii.    Creating / merging/ withdrawing a sub-community as and when required.
iii.   Notifying DLS and DICT of organizational changes affecting submission
iv.   Observing University policies relevant to MUHAS-IR, and educate community submitters regarding these policies
v.    Assisting DLS in the management and maintenance of IR including copyright compliance
vi.   Ensuring credibility of the deposited information into the IR

## 2.3 Content

The collection will focus on deposits of electronic scholarly information and administrative documents by MUHAS communities.

### 2.3.1 Policy statement

All materials in the Repository shall contain bibliographic details (Metadata), and the University shall strive to control quality of the deposited metadata

**Guidelines**

i.     All materials in the Repository will contain bibliographic details (Metadata) such as author, title etc which is made freely available for harvesting by most common search engines.
ii.    The validity and authenticity of the content of submissions is the sole responsibility of the depositors.

iii. The Directorate of Library Services (DLS) shall review all metadata records before they are allowed for public view

## 2.3.2 Policy Statement

The University repository shall contain scholarly information, administrative documents and software to increase access and visibility of information

### Guidelines

i. The MUHAS IR will contain data in different standard formats including text, multimedia (audio, video and image) and executable file formats in digital form. These include
   a) Journal articles (refereed, non-refereed, editorials, book reviews, letters etc.)
   b) Conference papers (refereed, non-refereed, accepted abstracts, poster sessions and power point presentations).
   c) University research project reports, dissertations, theses and undergraduate final year projects, books, book chapters, technical reports, working papers, government submissions, inaugural lectures, newspaper clippings and manuscripts.
   d) Auxiliary research materials such as data sets and statistics
   e) Commercial and open source software.
   f) Visualizations, simulations and other models.
   g) Creative works.
   h) University administrative documents including University annual reports, speeches, meeting minutes, policies and guidelines, legal documents, committee reports, drawings of MUHAS buildings and other infrastructures.
ii. Commercial contents including licensed software and books shall only be preserved in the repository only if licenses from their publishers permit.
iii. The Directorate of Library Services (DLS) shall ensure that all file formats are accommodated in the system, but will convert submitted text based materials to PDF format.

## 2.4 Submission

The policy requires immediate deposit to ensure that all the required research outputs are gathered into the repository at the earliest possible time. However, if the manuscript is submitted to a journal with an embargo then the policy permits access to be opened only at the end of the embargo period. During that period, however, the article's metadata shall be fully open access at all times.

## 2.4.1 Policy statement

The University shall oblige faculty and students to immediately deposit the peer reviewed scholarly literature with immediate or deferred access depending on the copyright conditions of the published literature

**Guidelines**

i. The depositors must be faculty or students of MUHAS at time of publication, submission or reporting
ii. Students shall be obliged to submit the final copies of their theses or dissertations in electronic format to the DPGS for inclusion at the repository
iii. The researchers external to the University shall be allowed to deposit their contents if they are co-authoring with MUHAS authors or they are affiliated with the University at the time of publication
iv. Authors who are depositors shall submit only their own work for archiving.
v. The depositors shall agree to and comply with this policy and associated procedures.
vi. Staff and students can deposit their work themselves or library staff can conduct it on their behalf. Library can change format of submitted material
vii. The depositors are required to deposit peer reviewed final accepted version of a research and none peer reviewed research output subject to approval by IR committees.
viii. All submissions shall be done electronically and will be accessible free of charge. Print documents may also be allowed pending to digitization process by the library
ix. All depositors shall check whether it is possible to deposit their work into the repository and to determine what format they should take before submitting their work to MUHAS IR

## 2.5 Intellectual Property Rights

The Repository will be managed in accordance with the MUHAS Intellectual Property Policy and Guidelines.

### 2.5.1 Policy statement

The University shall ensure that research outputs are disseminated without breaching copyright laws

**Guidelines**

i. The MUHAS Intellectual property policy and guidelines shall govern the copyright issues regarding the MUHAS IR contents

**The depositors** shall:
i. Grant the University a non-exclusive right to reproduce, publish, communicate, and distribute the material for the purpose of making it available to end-users and to exercise the copyright in such work via its IR
ii. Guarantee that all necessary copyright clearances have been obtained for any third party material used in their work
iii. Ensure that submitted work does not contain any illegal component or pose threat to national security.
iv. Comply with the MUHAS Intellectual Property Policy before submitting their research outputs.

v.   Ensure that material to be commercialized, or which contains confidential information or of which promulgation would infringe a legal commitment by the University and/author, should not be included in the repository

vi.   Check the SHERPA/RoMEO site (http://www.sherpa.ac.uk/romeo.php) or any other related site for further details regarding the publisher's copyright agreement before submitting their work to MUHAS IR. If the journal publisher is not included on RoMEO, authors can check with the copyright agreement they signed on publication.

**The Directorate of Library Services** shall:

i.   Ensure that guidance on copyright arrangements and publishers policies are available at the repository web site

ii.   Make every endeavor to determine that no conditions of copyright are contravened by depositing items into the repository. However, any copyright violations are entirely the sole responsibility of the depositors.

iii.   Check kinds of limitations, if any, attached to the article in accordance with the publisher's terms and decide whether and when to place the document in the MUHAS IR (an embargo of 6, 12 or 24 months may apply)

iv.   Adhere to the Intellectual Property Rights policy before signing any copyright transfer agreement

v.   Withdraw the submission of the work if there is  evidence of plagiarism or offensive to the public order and morals

## 2.6 Access

The University is committed to provide unlimited access to content in the repository, but this applies only to material housed on servers maintained directly or under contract by the University. Links and access to content of any format referenced outside the repository cannot be guaranteed. MUHAS will, where required, apply restrictions to access in accordance with the University policies and publishers' and funding agencies' requirements.

## 2.6.1 Policy Statement

The University shall ensure free access to all metadata of scholarly content through its institutional repository

**Guidelines**

i.   All scholarly materials in the Repository shall contain metadata which will be made freely available for harvesting by most common search engines.

ii.   The metadata may be re-used in any medium without prior permission for not-for-profit purposes provided the OAI Identifier or a link to the original metadata record is given.

iii.   The metadata must not be re-used in any medium for commercial purposes without prior formal permission from copyright holders.

### 2.6.2 Policy Statement

The University shall ensure free access to full text scholarly content through its institutional repository

**Guidelines**

    i.    The material in the repository shall be freely accessible via the repository's web site and most common search engines such as Google Scholar and OAIster subject to copyright law and license agreements. In those cases where full text can't be made available, the repository shall provide detailed metadata and location information.

    ii.    The repository will maintain three types of user access levels; administrative restricted access level, MUHAS community restricted access level and unrestricted (global) access level.

    iii.    The VC shall waive application of the policy for a particular article (e.g. pending application for patents) upon written notification by the author

    iv.    Research outputs shall be accessed free of charge through the IR web interface or internet based search engines.

    v.    Access to commercial deposits including licensed software and books shall be granted different access levels depending on the licensing and distribution requirements by their respective publishers.

    vi.    Scholarly contents can be reproduced and displayed or used in any format or medium for any non-commercial purpose without prior permission or charge provided that the authors, title and full bibliographic details are given while the contents are not changed in any way.

    vii.    Full items must not be sold commercially in any format or medium without prior formal permission from copyright holders.

    viii.    DICT will ensure that the repository is continuously accessible and readable through routine maintenance of the IR system and the LAN.

    ix.    MUHAS shall suppress access to material in the following circumstances:
   a. If the publisher requires it
   b. If the work proves scurrilous, plagiarized, is libelous or breaches copyright
   c. If the content breaches the Tanzanian laws

### 2.6.3 Policy Statement

The University shall ensure restricted access to administrative documents and software through its institutional repository

**Guidelines**

    i.    Administrative documents for University management will be given restricted access at administrative level and shall be accessed only by users at the University management level identified and registered by DLS.

    ii.    Some of the administrative documents including policies and guidelines, speeches and some of committee reports shall be given a restricted access at the University community level and shall be accessed by any member of the University community.

## 2.7 Preservation

To maximize the exposure and impact of research outputs, items will be retained indefinitely in the repository. Items will be migrated to new file formats where necessary to ensure continuing readability and accessibility.

### 2.7.1 Policy Statement

The University shall be committed to long term preservation of its research outputs and to make them freely available over the internet.

**Guidelines**

     i.    The MUHAS IR will deposit items in different standard formats as per standard data formats outlined by DLS.

    ii.    MUHAS IR will preserve each scholarly deposit in the form of metadata and the actual data (contents). The metadata will be collected, where applicable, using standard metadata schema such as Dublin Core Schema requirements.

  iii.    Each item will be preserved permanently in the IR.

  iv.    The DICT will ensure that the repository back up is regularly created.

    v.    New versions will be deposited as new items while hiding old versions from the public view.

## 2.8 Withdrawal

The policy will accommodate situations where submitted content is subsequently found to breach some other policy or legal requirements. Equally this is required to accommodate complaints received from a third party. In such circumstances good practice is to immediately embargo the content, investigate the issue and restore public access to content once all parties have been informed and the issues resolved.

### 2.8.1 Policy Statement

The University shall, upon recommendation by DLS, withdraw any content found to breach any policy or legal requirement.

**Guidelines**

     i.    Upon withdraw of a specific item its metadata will be retained in the IR while the contents will be hidden from public view or permanently deleted from the repository if there is a legal requirement to do so. A note giving a reason for withdraw shall be attached to an item link.

    ii.    An item may be withdrawn from the repository only when its authors/copyright holders have forwarded the requests in paper form and approved by the DLS.

  iii.    Withdrawn items' URLs will continue to point to the citation, to avoid broken links and retain item histories, with:

          a.  A link to the replacement version, where available.

          b.  A note explaining the reason for withdrawal.

      iv.     Any changes to the deposited item shall not be permitted, but an updated version may be deposited and the earlier version withdrawn from public view on request.

## 2.9 Disclaimer

The University is committed to disseminating the fruits of its research and scholarship as wide as possible via its institutional repository. Thus, the MUHAS IR shall not be regarded as a publisher but rather an online archive. The University seeks to ensure the quality of the bibliographic records of the research outputs such as metadata, while the content shall remain the sole responsibility of the author. Thus, MUHAS shall bear no liability for the damage of using its deposited works in the repository.

### 2.9.1 Policy statement

MUHAS IR shall not be regarded as a publisher but rather an online archive and bears no liability for any damage upon using contents of the repository

## Guidelines

      i.     All depositors must agree to the deposit agreement.

      ii.     The authenticity of the content deposited to this IR shall be the responsibility of the authors

      iii.     MUHAS neither warrants any statements contained within the repository; nor does it accept any responsibility or liability for any possible mistakes or misrepresentation contained herein

      iv.     The repository administrators shall check all items for authors' eligibility, relevance to the repository content policy, valid layout and the exclusion of spam.

      v.     Links to other sites on the repository pages are for information purposes only, the MUHAS IR administrators are not responsible for the content or availability of these sites.

      vi.     The repository shall ensure continued readability and accessibility by converting or migrating file formats, developing and implementing software emulations for old file formats , and maintaining a full archive backup

## 2.10 Policy review

This policy shall be reviewed after every three years or as dictated by prevailing circumstances.

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