



UNITED REPUBLIC OF TANZANIA

MINISTRY OF EDUCATION, SCIENCE AND TECHNOLOGY

**MOSHI CO-OPERATIVE UNIVERSITY (MoCU)**  
**CHUO KIKUU CHA USHIRIKA MOSHI**



## **INSTITUTIONAL REPOSITORY POLICY AND GUIDELINES**

**OCTOBER, 2019**

## **FOREWORD**

The Moshi Co-operative University, like other Higher Learning Institutions (HLIs) generates a large amount of scholarly materials such as theses and dissertations, conference papers, research papers and articles. Some of these resources are printed and stored in the Library for future use and reference by the academic community while other materials are housed in different University departments and units. Such documents do not have appropriate metadata and open access standards and requirements. Therefore, most of which may not be searchable via a single search engine. In other words, the storage of such materials in hard copies provides a limited visibility and accessibility of a significant portion of the University's research output and other scholarly materials beyond the University environment.

Taking advantage of the growing information and communication technologies, MoCU recognizes the benefits that a well-designed and managed institutional repository brings to the staff, students and the digital community. Thus, the University decided to establish a Institutional Repository for documentation and dissemination of the University's research heritage and other materials. By creating an institutional repository, the University is hoping to archive the intellectual products created by faculties, research staff, and students of the University. These materials will then be made accessible to end users both within and outside the University. The research and scholarly output easily accessible and disseminated through Institutional Repository will benefits and be enjoyed by the academic community, not only in supporting research but also in underpinning learning and teaching. Therefore, it is expected that implementation of this policy will go a long way in promoting the University's research and academic profile among the digital community from different geographically dispersed environment. Hence, support scholarly activity and research undertakings of various authors. This will also assist in increasing citation rates and the overall impact of MoCU research output.

**Prof. Alfred S. Sife**

**VICE CHANCELLOR**

## TABLE OF CONTENTS

<b>FOREWORD</b> .....	i
<b>TABLE OF CONTENTS</b> .....	ii
<b>ABBREVIATIONS AND ACRONYMS</b> .....	iii
<b>DEFINITIONS OF TERMS</b> .....	4
<b>1.0 INTRODUCTION</b> .....	1
1.1 Background Information of the University.....	1
1.2 Vision and Mission Statements.....	1
1.2.1 Vision.....	1
1.2.2 Mission.....	1
1.3 Core Values.....	1
1.4 Motto.....	1
<b>2.0 THE POLICY FRAMEWORK</b> .....	1
2.1 Overview.....	2
2.2 Policy Statement .....	2
2.3 Policy Goals .....	2
2.4 Policy Objectives .....	3
2.5 Scope of the Policy .....	3
2.6 Rationale and Justification.....	3
2.7 Policy Issues.....	3
<b>3.0 POLICY ISSUES, STATEMENTS AND STRATEGIES</b> .....	4
3.1 Repository Content .....	4
3.1.1 Policy statement .....	4
3.1.2 Implementation strategies .....	4
3.2 Submission of Content.....	4
3.2.1 Policy statement .....	5
3.2.2 Implementation strategies .....	5
3.3 Access .....	5
3.3.1 Policy statement .....	5
3.3.2 Implementation strategies .....	5
3.4 Preservation.....	6
3.4.1 Policy Statement .....	6
3.4.2 Implementation Strategies.....	6
3.5 Withdrawal.....	7
3.5.1 Policy Statement .....	7
3.5.2 Implementation Strategies.....	7
3.6 Quality Control .....	7
3.6.1 Policy Statement .....	7
3.6.2 Implementation Strategies.....	7
3.7 Privacy .....	8
3.7.1 Policy Statement .....	8
3.7.2 Implementation Strategies.....	8
3.8 Copyright .....	8
3.8.1 Policy Statement .....	8
3.8.2 Implementation Strategies.....	9
<b>4.0 IMPLEMENTATION, MONITORING AND REVIEW</b> .....	10
4.1 Implementation Framework.....	10
4.2 Monitoring and Evaluation .....	10
4.3 Policy Review .....	10
<b>5.0 COMMENCEMENT DATE</b> .....	10
<b>6.0 AUTHENTICATION</b> .....	10

## **ABBREVIATIONS AND ACRONYMS**

DCLA	: Directorate of Co-operative Library and Archives
DOC	: Document
DVC	: Deputy Vice Chancellor
HLIs	: Higher Learning Institutions
IR	: Institutional Repository
MoCU	: Moshi Co-operative University
MUCCoBS	: Moshi University College of Co-operative and Business Studies
PDF	: Portable Document Format
URLs	: Universal Resource Locators

## DEFINITIONS OF TERMS

- Archives:** An organized collection of noncurrent records of the activities of a business, government, organization, institution, or other corporate body, or the personal papers of one or more individuals, families, or groups, retained permanently (or for a designated or indeterminate period of time) by their originator or a successor for their permanent historical, informational, evidential, legal, administrative, or monetary value, usually in a repository managed and maintained by a trained archivist
- Copyright:** The exclusive legal rights granted by a government to an author, editor, compiler, composer, playwright, publisher, or distributor to publish, produce, sell, or distribute copies of a literary, musical, dramatic, artistic, or other work, within certain limitations
- Deposit:** A deposit represents a bundle of submitted information. Typically, a deposit consists of descriptive metadata, access conditions and copyright information, and any relevant uploaded files. This entire set of saved information is the deposit record.
- Depositor:** A depositor is the creator of a deposit record, who submits digital items and associated data for review, approval and uploads to the repository.
- Dissemination:** The action or fact of spreading something, especially information, widely.
- Institutional Repository (IR):** Is a set of services that a university offers to the members of its community for the management and dissemination of digital materials created by the institution and its community members. It includes an organisation's commitment to the stewardship of digital materials, including long-term preservation where appropriate, as well as organization and access.
- Intellectual Property:** Tangible products of the human mind and intelligence entitled to the legal status of personal property, especially works protected by copyright, inventions that have been patented, and registered trademarks
- Item:** Any scholarly work being deposited including abstract, text, images and related data.
- Metadata:** Data that describes other data. For items in open access repositories, this usually consists of a full bibliographic reference, abstract, keywords and similar information.
- Monitoring:** Continuing function that uses the systematic collection of data on specified indicators to inform management and the stakeholders of an on-

going project/programme of the extent of progress and achievement of the results.

**Open Access:** Information content made freely and universally available via the Internet in easy to read format, usually because the publisher maintains online archives to which access is free or has deposited the information in a widely known open access repository.

**Preservation:** Prolonging the existence of library and archival materials by maintaining them in a condition suitable for use, either in their original format or in a form more durable, through retention under proper environmental conditions or actions taken after a book or collection has been damaged to prevent further deterioration.

**Privacy:** The right of an individual (or group) to keep information about personal and professional life from disclosure, especially to government and commercial enterprises, and to remain free from surveillance except as authorized under provisions of law.

**Publisher:** A person or corporate entity that prepares and issues printed materials for public sale or distribution, normally on the basis of a legal contract in which the publisher is granted certain exclusive rights in exchange for assuming the financial risk of publication and agreeing to compensate the author, usually with a share of the profits.

**Retrieval:** The process of finding and bringing back something

**Scholarly articles:** Faculty's scholarly articles are articles that describe the fruits of their research and that they give to the world for the sake of inquiry and knowledge without expectation of payment. Such articles are typically presented in peer-reviewed scholarly journals and conference proceedings.

**Universal Resource Locator (URL):** This is a pointer to a 'resource' on the World Wide Web; a unique address for a file that is accessible on the internet.

## **1.0 INTRODUCTION**

### **1.1 Background Information of the University**

The history of the Moshi Co-operative University (MoCU) dates back to 5th January 1963 when the then Co-operative College Moshi was established. The College's main responsibility was training of human resource in the co-operative sector and the then Ministry of Co-operative and Community Development. The College was subsequently established through the Co-operative College Act No. 32 (Repealed) of 1964 as an autonomous institution with its own Governing Body. In 2004 the Co-operative College Moshi was transformed into Moshi University College of Co-operative and Business Studies (MUCCoBS) as the Constituent College of Sokoine University of Agriculture through Government Declaration Order No. 22 of 2004.

MoCU came into being as a result of transforming Moshi University College of Co-operative and Business Studies to a full-fledged University in September, 2014. The University is governed by its on Charter, made under the Universities Act No. 7 of 2005 (Cap 346) of Tanzania laws. MoCu was accredited by the Tanzania Commission for Universities (TCU) on 7th November 2018.

### **1.2 Vision and Mission Statements**

#### **1.2.1 Vision**

The vision of the University is "to become a Centre of Excellence in Co-operative Education and Practice".

#### **1.2.2 Mission**

The mission of the University is "to provide quality education, training, research and advisory services to enhance co-operative development".

### **1.3 Core Values**

In fulfilling the vision and mission, the University will be guided by the following core values: cooperation, objectivity, pursuit of excellence in service delivery, integrity and accountability, courtesy to all, and social responsibility.

### **1.4 Motto**

The motto of the University is '*Ushirika ni Biashara*'

## **2.0 THE POLICY FRAMEWORK**

## **2.1 Overview**

This policy describes in details issues influencing Institutional Repository. It focuses on the materials that can be submitted to and stored in the institutional repository, criteria for eligibility to deposit materials, preservation of materials and quality control. Also, this policy document highlights the issues on access, privacy, copyright and withdrawal procedures of the materials held in the Institutional Repository.

The University among other duties collects all theses, dissertations, research reports and other scholarly outputs produced by members of its community for references and future use. The general public has the right to have access to these materials. Thus, the University decided to establish the Institutional Repository (IR). The IR is an electronic platform of which materials, work of intellects and/or research outputs in a digital form produced by the University community are collected, preserved and disseminated. The University expects its staff and other members of the University including postgraduate students to submit electronic copies of their thesis, dissertations, research reports and other works to be kept by the Library in the IR. Thus, all research and scholarly outputs of the University shall be located in the IR and managed in accordance with this Policy. The Institutional Repository Policy is an initiative to contribute to the University commitment to support research and teaching activities.

## **2.2 Policy Statement**

The Moshi Co-operative University is committed to provide permanent records of all research outputs and other scholarly works, and maximise their visibility, usage and impact through global access.

## **2.3 Policy Goals**

The goals of this Policy are to:

- (a) provide open access to scholarly outputs resulting from academic activities undertaken at the University;
- (b) promote high standards in the management of research outputs;
- (c) provide long-term preservation of the University's research outputs;
- (d) increase the visibility and impact of the University's research outputs;
- (e) prohibit plagiarism; and
- (f) enhance collaboration with the global research community.

## **2.4 Policy Objectives**

The Institutional Repository Policy intends to:

- (a) collect all University-wide scholarly outputs in a single location for easy identification, access and retrieval;
- (b) store and preserve the University's research and other outputs;
- (c) facilitate the management, accessibility to and dissemination of research output generated by staff, students and other research collaborators;
- (d) provide accessibility and dissemination of the University's research outputs;
- (e) create global visibility for the University's intellectual, professional and creative outputs; and
- (f) encourage collaboration and sharing of scholarly materials among members of academic staff and students within and outside the country.

## **2.5 Scope of the Policy**

This Policy applies to all University community, academic and non-academic staff (visiting staff, students and research collaborators).

## **2.6 Rationale and Justification**

The IR is intended to provide a platform for gathering, indexing, preserving, archiving, and dissemination of different materials. For the IR to function properly there must be a policy to guide the operation. The establishment of the IR conforms to the MoCU Three Year Corporate Strategic Plan (2019/20 – 2012/22) which among other things, emphasizes the need to enhance global visibility of the University and its research outputs. In addition, the Library Policy (2010) also emphasizes the need to provide access to electronic resources and services. This Policy shall provide a mechanism to ensure all kinds of scholarly and creative outputs (both published and unpublished) are easily accessible and utilised by national and international audience.

Institutional Repository will increase citation rates of research output and contribute to raising institutional research impact by providing a secure, stable and long-term preservation of scholarly outputs at a centralised locality. Furthermore, the IR will contribute to the efforts on the reduction of plagiarism among authors while ensuring that information and knowledge that is already available or generated at the University is easily accessible and utilised.

## **2.7 Policy Issues**

The policy will capture the following issues:

- (a) Repository Content
- (b) Submission of Content
- (c) Access
- (d) Preservation
- (e) Withdrawal
- (f) Quality Control
- (g) Privacy
- (h) Intellectual Property

### **3.0 POLICY ISSUES, STATEMENTS AND STRATEGIES**

#### **3.1 Repository Content**

The IR collection shall deposit electronic scholarly, educational, administrative and research based materials which are worth of being preserved and stored for long-term use.

##### **3.1.1 Policy statement**

The University shall strive to host collections of different types of scholarly content and administrative documents generated from respective communities that are considered useful or of institutional historical value.

##### **3.1.2 Implementation strategies**

The content accepted for inclusion in the IR shall be:

- (a) Journal articles (refereed, non-refereed, editorials, and book reviews);
- (b) Conference papers (refereed, non-refereed, accepted abstracts, poster sessions and power point presentations);
- (c) University research project reports, dissertations, theses and dissertations, books, book chapters, technical reports, working papers and inaugural lectures;
- (d) Administrative documents such as University policies; and
- (e) Other materials which are NOT for commercial purposes, or confidential restricted due to cultural sensitivity.

#### **3.2 Submission of Content**

Repository materials will only be deposited by university staff, researchers, students and employees of the University or their delegated agents. It is obligatory for all members of University staff and postgraduate students to deposit their research outputs into the IR.

### **3.2.1 Policy statement**

The University shall strive to ensure that materials are only deposited by members of the University or their delegated and designated agents.

### **3.2.2 Implementation strategies**

Submission of content will be implemented based on the following strategies:

- (a) All University community (academic and non-academic staff) shall be permitted to deposit materials in the IR;
- (b) Postgraduate students shall be obliged to submit the final copies of their theses or dissertations in electronic format to the IR before they are cleared for graduation;
- (c) All materials shall be submitted in digital which may be in form of word document (DOC), PDF document or Open Office document;
- (d) Authors may only submit their own work or work which they have contributed to and to which they may be attributed;
- (e) The work of institutional authors such as MoCU or any of its specialised departments shall be accepted;
- (f) The validity and authenticity of the content of submissions is the sole responsibility of the depositing author(s);
- (g) Online registration by depositors shall be mandatory before they are permitted to deposit content into the IR; and
- (h) Any copyright violations are entirely the responsibility of the authors.

## **3.3 Access**

Materials deposited in the IR are intended to be freely accessible via the Website and search engines including Google Scholar.

### **3.3.1 Policy statement**

The University is committed to ensure free access to all materials of scholarly content through the IR.

### **3.3.2 Implementation strategies**

The following strategies shall be adopted in accessing depository materials:

- (a) All content in the IR shall contain bibliographic details (metadata such as author and title) which will be made freely available for harvesting by most common search engines;
- (b) The metadata shall not be re-used in any medium for commercial purposes without prior formal permission from copyright holders;
- (c) Wherever possible, the full text of the material will be made freely available subject to copyright law and license agreements;
- (d) Full text items shall not be sold in any format or medium without formal permission of the copyright holder; and
- (e) All users will be expected to use materials in the repository within the copyright limits.

### **3.4 Preservation**

Materials deposited by an eligible depositor shall be accepted and retained indefinitely in the IR unless it is stated otherwise. This is meant to maximise the exposure and impact of research outputs. Works shall be migrated to new file formats where necessary to ensure continued readability and accessibility.

#### **3.4.1 Policy Statement**

The University shall endeavour to ensure sustainable management and provide continued readability and accessibility of such items in the IR.

#### **3.4.2 Implementation Strategies**

The implementation of the preservation policy shall adopt the following strategies:

- (a) Materials will be retained within the University IR indefinitely;
- (b) Deposited items may be migrated to new file formats where necessary;
- (c) New versions shall be deposited as new items while hiding old versions from the public view;
- (d) Regular backing up of repository contents will be done according to best practices;
- (e) Errata and corrigenda lists may be included with the original record if required and where necessary; an updated version may be deposited and the earlier version withdrawn from public view; and
- (f) In the event of the IR being closed down, the University shall endeavour to transfer the database to another appropriate archive.

### **3.5 Withdrawal**

Once submissions have been approved and posted in the IR they cannot be removed as they constitute permanent records of the scholarly outputs of the University, except for the reasons such as their being found to violate the legal rights of a third party, national security and MoCU Institutional Repository.

#### **3.5.1 Policy Statement**

The University shall strive to withdraw any deposited content found to breach any policy or legal requirement or other exceptional circumstances.

#### **3.5.2 Implementation Strategies**

The following strategies will guide the implementation:

- (a) The IR shall retain the right to remove the works for professional or administrative nature;
- (b) Acceptable reasons for withdrawal will include proven copyright violation or plagiarism; legal requirements and proven violations; threat to national security; falsified research; and request by the author or medium in which the paper is formally published;
- (c) Metadata for withdrawn items shall be retained in the IR while the contents may be hidden from public view or permanently deleted from the repository;
- (d) 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; and
- (e) The identifiers or URLs of any withdrawn items shall be retained indefinitely.

### **3.6 Quality Control**

Since materials in IR will have a bearing on the reputation of the University, all submissions shall be subjected to quality control. The repository staff shall review and assess all submissions before making them available to the public.

#### **3.6.1 Policy Statement**

The University shall strive to ensure that its reputation is safeguarded by accepting depository of items that comply with quality standards set.

#### **3.6.2 Implementation Strategies**

The University shall ensure that:

- (a) The repository staff review and assess all submissions before making them available via the University IR for eligibility of the author or depositor;

- (b) The validity and authenticity of the submission (full text or equivalent) is the responsibility of the depositor; and
- (c) Any submissions not meeting the submission criteria will be returned to the depositor together with reasons for refusal.

### **3.7 Privacy**

It is the responsibility of the University to preserve the depositor's privacy. Any personal information collected in the process of operating the IR shall be protected.

#### **3.7.1 Policy Statement**

The University is committed to preserving depositor's privacy.

#### **3.7.2 Implementation Strategies**

Privacy shall be achieved through the following strategies:

- (a) Personal information collected by the University will not be used for any commercial or philanthropic purposes;
- (b) Information related to individual visits to the site, or personal information provided to the University such as name, address, email address, and telephone number will not be disclosed to any outside parties except when it is believed to be in good faith that the law requires it, or that disclosure is necessary to protect the rights and property of users; and
- (c) Any records used in a publicly accessible forum will be scrubbed of specific references to real people and personal information.

### **3.8 Copyright**

The author submitting material(s) to the IR bears the sole responsibility for obtaining copyright clearance from all authors, publishers, and any other copyright holders or originators whose work constitutes any part of the submitted work. If the IR receives proof of copyright violation, such content will be removed immediately.

#### **3.8.1 Policy Statement**

The University shall endeavour to ensure that all scholarly works and other outputs are deposited and disseminated through the IR without breaching any of the existing copyright laws.

### **3.8.2 Implementation Strategies**

Intellectual property shall be enforced through the following strategies:

- (a) The administrator of IR shall ensure that submitted works do not contain any illegal component or pose threat to national security;
- (b) The author shall seek copyright clearance, if necessary, from a publisher before submitting the item to the IR;
- (c) The author shall be familiar with the copyright policy of the publisher of the item;
- (d) Copyright owners shall retain the copyright for their material stored in the IR;
- (e) The University IR shall respect the author's or creator's copyright for the deposited contents and will at all times adhere to the Copyright Law;
- (f) Depositing an item in the IR shall be by non-exclusive agreement and the author shall be free to publish any version of the work elsewhere;
- (g) Copyright in a work created in the normal course of employment belongs to the University unless there is an agreement which states otherwise; and
- (h) Where copyright has been assigned to a publisher, a licence shall be required from the publisher permitting the work to be available in the IR.

## **4.0 IMPLEMENTATION, MONITORING AND REVIEW**

### **4.1 Implementation Framework**

To implement the IR Policy, the University has in place key infrastructure (such as computers, Servers, software and Internet connectivity). The University management has an obligation and responsibility to establish the supporting structures to ensure the implementation of the policy. The Directorate of Co-operative Library and Archives (DCLA) shall be responsible for management of the IR. Its responsibilities, among others, will be to:

- (a) verify online submissions, validate and enhance associated metadata and ensure research outputs are accurately displayed online;
- (b) organising copyright clearances to facilitate open access to research outputs wherever possible;
- (c) initiate and maintain internet harvesting protocols for the University's research and scholarly output;
- (d) ensure that the IR activities are coordinated by an IR administrator, who will carry out the day to day functions of the repository; and
- (e) the Director of Co-operative Library and Archives, Faculty Deans, and Directors will be responsible for ensuring that academic staff and students are aware of their obligations to submit their scholarly and research outputs to IR.

### **4.2 Monitoring and Evaluation**

There shall be instituted a mechanism for monitoring and evaluation of the IR. The mechanism shall be part and parcel of the IR implementation. The Directorate of Co-operative Library and Archives will work together with other stakeholders in the monitoring and evaluation of the policy activities. Performance indicators shall be developed and used in monitoring and evaluation of the Policy.

### **4.3 Policy Review**

In keeping with the dynamic nature of information communication in the scholarly environment, the University management shall facilitate the review of this policy when need arises. This shall ensure that it remains relevant and addresses the needs of the university community.

## **5.0 COMMENCEMENT DATE**

This policy shall commence after the approval by the University Council.

## **6.0 AUTHENTICATION**

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**Council Chairperson**

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**Date**

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**Council Secretary**

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**Date**