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**THE NELSON MANDELA**

**AFRICAN INSTITUTION OF SCIENCE AND TECHNOLOGY (NM-AIST)**



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**INSTITUTIONAL REPOSITORY**

**DECEMBER 2019**

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## List of Abbreviations

DLS	Department of Library Services
DVC-ARI	Deputy Vice Chancellor – Academic, Research and Innovation
DVC-PFA	Deputy Vice Chancellor – Planning, Finance and Administration
FOSS	Free and Open Source Software
IPR	Intellectual Property Rights
IP	Institutional Repository
IRC	Information Resource Centre
NM-AIST	The Nelson Mandela African Institution of Science and Technology
NM-AIST IR	The Nelson Mandela African Institution of Science and Technology Institutional Repository
OA	Open Access
OAI	Open Access Initiative
OPRAS	Open Performance Review and Appraisal System
ROMEO	Rights Metadata for Open Archiving
SETI	Science, Engineering, Technology and Innovation
SHERPA	Securing Hybrid Environment for Research Preservation and Access
SRIC	Senate Research and Innovation Committee
SWOC	Strengths Weaknesses Opportunities and Challenges
TCP/IP	Transmission Control Protocol/Internet Protocol
vc	Vice Chancellor

## **Glossary**

Copyright	Exclusive legal right, held for a certain number of years, to reproduce and control (print, publish, film, perform, record, broadcast, sell) an original literary, musical, artistic or other similar original work, or part of it.
Community	Is an administrative unit that produces research, has a defined lead, has long-term stability, and can assume responsibility for setting Community policies such as school, center etc.
Embargo period	An official decision to prevent access to something for a specified period, for example prevent access to journals for three months or a year.
Grey Literature	Information that is not available through the normal bookselling channels such as interim reports, manuscripts, patents, brochures and pamphlets
Institutional Repository	An online storehouse for collecting, preserving and disseminating - in digital form - the scholarly output of an institution.
NM-AIST IR Community	An NM-AIST IR community constitutes of schools, centres, institutes, departments and research divisions at NM-AIST.
Intellectual Property (IP)	Creations of the mind: inventions, literary and artistic works and symbols, names, images and designs and others.
Metadata	Data about data, describing the properties of a document or multimedia (information) object such as photographs, music files or videos.
Open Access	Unrestricted access via the internet to peer-reviewed scholarly works such as theses, journal articles, scholarly monographs and chapters.
Post-print	Final version of an academic article incorporating revisions made as a result of the peer-review process but not including publisher imprints and pagination.
Pre-print	A version of an academic article submitted by an author for peer review.

Publication	Means accepted and/or peer-reviewed academic documents such as research articles (pre-print, post print, full text), book chapters, books, theses/dissertations and supplementary materials.
Self-archive	Process by which academic authors deposit electronic copies of their peer-reviewed academic publications and their associated metadata in the institutional repository.
SHERPA/Juliet	An online database of open access mandates adopted by academic funding bodies, which is part of the SHERPA suite of services around open access and is run by Joint Information Systems Committee for UK (JISC).



## **STATEMENT OF THE VICE CHANCELLOR**

The NM-AIST aspires to be one of the leading HLIs in Africa, and one of the aims of this institution is to create and sustain an environment in which knowledge can be generated, shared and applied for the benefit of African societies and industries. The institution has already produced a large number of scientific findings and publications from teaching and learning, research and innovation, technology transfer and society transformation.

Generally, Higher Learning Institutions (HLIs) around the world generate a vast amount of knowledge which if disseminated properly, can be harnessed for the greater good for mankind through evidence-based decision making and production of innovative technologies. The recent initiatives to make scholarly publications and data open access are facilitating free access to knowledge and therefore supporting creating of knowledge-driven economies. An increasing number of HLIs worldwide are making unpublished research findings in the form of dissertations, theses and grey literature open, as these contain valuable information.

Hence, NM-AIST has established Institutional Repository (IR) System, which is an open access platform for collection, archiving, preserving, and disseminating our scientific output to guide the IR system operations as well as to achieve its mission and vision that meet the local and international standards.

It is my sincere hope that the NM-AIST community shall endeavor to contribute to this knowledge dissemination initiative under the guidance of this policy. Let all of us at the NM-AIST take advantage of the available and emerging digital resources to make our institution a knowledge pipeline for all and link NM-AIST to the world.

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Prof. Emmanuel J. Luoga

Vice Chancellor (VC)

December 2019

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Background Information**

The Nelson Mandela African Institution of Science and Technology (NM-AIST) was established in 2009 under the Tanzania's Universities Act, 2005. It is one in a network of Pan-African Institutes of Science and Technology located across the continent. The African Institutes of Science and Technology (AIST) concept was conceived by the former South African President Nelson Mandela as a mechanism to develop the next generation of African scientists, engineers and technologists, who will impact on the continent's development through the application of Science, Engineering, Technology and Innovation (SETI).

#### **1.2 Vision of the NM-AIST**

The vision of the NM-AIST is to become a world-class institution of higher learning dedicated to the pursuit and the promotion of excellence in science and engineering and their application for economic growth and sustainable development in Africa.

#### **1.3 Mission of the NM-AIST**

The mission is to deliver and promote high quality and internationally competitive teaching and learning, research and innovation, and public service in science, engineering and technology leveraging on entrepreneurship for enhanced value addition to people and natural resources, with a view to stimulating, catalysing and promoting economic growth and sustainable development in Tanzania and Sub-Saharan Africa.

#### **1.4 NM-AIST Core Values**

In realizing its Vision and achieving its Mission, NM-AIST will constantly subscribe to the following values:

- a) Integrity, intellectual honesty and ethical behaviour in all endeavours
- b) Excellence and pursuit of the best possible performance in all tasks undertaken
- c) Commitment and institutional pride among staff, students and alumni
- d) Collaboration, partnerships and cooperation to leverage all possible synergies
- e) Solidarity, spirit of service and empathy that result in an unselfish service
- f) Responsibility and sense of urgency in the face of problems and critical situations of society

- g) Appreciation for diversity in relation to academic life and university undertakings
- h) Creativity and innovation in addressing the needs, problems and challenges of the society and local industry
- i) Responsiveness and abhorrence of complacency in pursuit of continuous improvement.

### **1.5 Situational analysis**

The NM-AIST produces a good number of scientific publications which are not visible and accessible to the public. For example, theses/dissertations produced by PhD's and Master's students are stored as hardcopies in the DLS where they are not readily visible and accessible beyond the Institution environment. Also, some research results that have been published in journals or conference proceedings beyond the Institution are not widely accessible to indented users due to access restrictions. As a result, the NM-AIST does not have a comprehensive record of its intellectual property and the outputs cannot be used by community and industry for socio-economic development.

Less visibility and accessibility of the Institution's research output is possibly contributing to the low web ranking of the Institution. It is acknowledged that, among other aspects, visibility and accessibility of research output on the web significantly contributes to rankings of the respective universities. If well utilised, institutional repositories can play a major role in improving the visibility and accessibility of research institutions and thus contributing to high web ranking of such institutions.

Capitalising on new possibilities offered by open access publishing, the Nelson Mandela African Institution of science and technology (NM-AIST) has developed an Institutional Repository (IR). The IR will avail an open access platform to capture, collect, archive, preserve and distribute locally and globally a wide range of scientific outputs produced by staff and students. Moreover, the IR will enhance accessibility to resources in the DLS, research reports and publications to promote the institution's profile by exposing research outputs online. Furthermore, the IR is expected to complement to the traditional research publishing channels, as it will ensure security, stability and long term preservation of information materials in a centralized location and reduces duplications of research as well as plagiarism.

### **1.6 Rationale for the Institutional Repository (IR) Policy**

The Institution established the IR policy for the main aim of ensuring that all published generated by the institutional members are collected, curated, archived and preserved. Absence of this policy and guidelines is noted to pose some challenges to the DLS staff when making decisions about preserving and disseminating electronic copies of research and scholarly works. Thus, the IR policy shall provide a mechanism to ensure that information and

knowledge that is already available or generated at the Institution is easily accessible and utilised by the intended audience. The policy will help improve efficiency and quality of services offered by the DLS and enables the creation of forums to formulate policy on SETI related issues based on research findings.

### **1.7 Objectives for the Institutional Repository (IR) Policy**

- (i) To increase visibility of the institution, accountability and promotion of research outputs.
- (ii) To archive, preserve and showcase the institution's intellectual outputs and special collections entrusted to the institution.
- (iii) Make the archived works available on open access whenever possible.
- (iv) Enhance awareness, use and impact of the institution's intellectual outputs.
- (v) Create a forum to formulate policy on SETI related issues.

### **1.8 Scope for the Institutional Repository (IR) Policy**

The policy applies to all students, academic staff, researchers and non-academic staff of the institution as well as outside persons and institutions who visit the institution.

## **CHAPTER TWO**

### **INSTITUTIONAL REPOSITORY SYSTEM**

#### **2.1 Policy issues**

Digital archiving of publications is essential to ensure long-term preservation, easy retrieval, access and sharing. An Institutional Repository (IR) system can support the NM-AIST to digitally preserve and disseminate all publications and thus enhance the global visibility of the institution's scientific and technological contributions.

#### **2.2 Policy objective**

To have a platform to store and disseminate NM-AIST publications

#### **2.3 Policy statement (s)**

**The NM-AIST shall:**

- (i) Allocate adequate funds for the IR system's operations.
- (ii) Ensure librarians and IRC staff are well equipped with necessary skills on IR operations.
- (iii) Ensure IR promotional strategies are in place.

#### **2.4 Operational procedures**

**The NM-AIST shall:**

- (i) Ensure that all publications including theses and dissertations, research articles (pre-print, post print and full texts), conference and workshop reports, and proceedings are collected and uploaded in the IR system.
- (ii) Ensure that adequate fund for capacity building programs to DLS and IRC staff.
- (iii) Ensure trainings on using IR system are conducted.

## **CHAPTER THREE**

### **COMMUNITY ENGAGEMENT**

#### **3.1 Policy issue**

Lack of awareness among communities within NM-AIST on general operations of the IR such as depositing and accessing publications in the IR, may cause low usage of the repository. Thus, each community needs to be trained on how to access deposited materials from the IR as well as how to deposit their own publications. This kind of training will additionally create awareness among communities on the existence of the repository.

#### **3.2 Policy objective**

To create awareness among community members on IR's operations through trainings and tutorials.

#### **3.3 Policy statements**

**The NM-AIST shall:**

- (i) Conduct face-to-face training with NM-AIST communities on how to use the IR system
- (ii) Provide online tutorials to enhance communities' participation on using the IR.

#### **3.4 Operational Procedures**

**The NM-AIST shall:**

- (i) Ensure that DLS conducts training twice per year for all new staff.
- (ii) Ensure that DLS conducts training to all new staff during library orientation.
- (iii) Ensure that DLS and IRC provide online tutorials via the library website.
- (iv) Ensure the promotion and marketing of IR.

## **CHAPTER FOUR**

### **INTELLECTUAL PROPERTY RIGHTS**

#### **4.1 Policy issue**

The NM-AIST has an Intellectual Property Rights (IPR) policy which sets out the ownership rights on all intellectual output of the institution. Therefore, all intellectual output submitted publications will be guided by the copyright section of the NM-AIST's IPR policy.

#### **4.2 Policy objective**

To ensure all publications deposited in the IR comply with the NM-AIST's IP Policy and guidelines.

#### **4.3 Policy statements**

**The NM-AIST shall:**

Ensure that all publications are archived and disseminated without breaching the NM-AIST's IPR and other existing laws.

#### **4.4 Operational procedures**

**The NM-AIST shall:**

- (i) Ensure that all publications are disseminated without breaching the NM-AIST Intellectual Property Right and other existing copyright laws.
- (ii) Ensure that authors grant the Institution 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.
- (iii) Guarantee a freedom to use the archived publications for teaching and learning purposes.
- (iv) Ensure that the responsibility of all copyright violations shall be entirely borne by the authors.
- (v) Ensure that publications to be commercialized, or which contains confidential information or of which making it publicly known would infringe a legal commitment by the Institution and/or author, should not be submitted in the IR.
- (vi) Ensure submitted work is withdrawn if there is evidence of plagiarism or offensiveness to the public order and morals.

## **CHAPTER FIVE**

### **CATEGORIES OF PUBLICATIONS**

#### **4.1 Policy issue**

Depositing publications which are not fall under the broad scope of research and creative works might lead to provide misleading findings to the community, as well as, destroying the image of the Institution. Publications deposited in IR will include, but not limited to; essays, books, book chapters, research articles (pre-print, post print, full text), theses/dissertations, conference proceedings and reports.

#### **4.2 Policy objective**

To ensure the categories of publications submitted to IR are restricted to the works that fall within the broad scope of research and creative works.

#### **4.3 Policy statement**

##### **The NM-AIST shall**

Store collections of different types of publications generated from respective communities that are deemed useful to the Institution and beyond.

#### **4.4 Operational procedures**

##### **The NM-AIST shall**

- (i) Ensure that all publications submitted to the IR fall under the categories established.
- (ii) Ensure that publications submitted to IR are adhered to format of IR format (Appendix 2).
- (iii) Ensure commercial contents including licensed software and books are preserved in the repository only if licenses from their publishers permit.



## **CHAPTER SIX**

### **SUBMISSION OF PUBLICATIONS TO THE REPOSITORY**

#### **6.1 Policy issue**

The NM-AIST produces a number of scholarly publications each year through students whom are required to publish journal articles, and thesis/dissertation as a prerequisite for graduation. On other hand staffs are required to produce a number of scholarly publications. However, only printed theses/dissertations are stored to the DLS and making inconvenience for accessibility. Thus, there is a need for a system for soliciting and submitting digital copies of all scholarly publications from the institutions.

#### **6.2 Policy objective**

To ensure that all publications are submitted in the IR with error free notification.

#### **6.3 Policy statements**

**The NM-AIST shall:**

It is mandatory for all NM-AIST staff and registered students to immediately submit their copies of their publications to the IR.

#### **6.4 Operational procedures**

**The NM-AIST shall:**

- (i) Ensure that all submitters are NM-AIST staff or students at time of publication submission.
- (ii) Ensure that students are submitting only final copies of their theses/dissertation in the electronic format (Appendix 2) to the Academic Department for inclusion at the repository.
- (iii) Ensure that external visitors such as researchers, adjunct professors and post-doc students are allowed to submit their publications if they are co-authoring with NM-AIST's authors or they are affiliated with the institution at the time of publication submission.
- (iv) Ensure that submitted publications of graduates and employees who complete their contract or leave their employment at NM-AIST remain in the IR
- (v) Ensure that an abstract for publications with embargos should be submitted to the IR, and full text will be hidden until embargos end.

- (vi) Ensure that the requests for full-text publications with embargos should be linked direct to the author or to the publisher.
- (vii) Ensure that an online submission form on the DLS website is made available for depositing of the accepted publications.
- (viii) Provide submitters with submission guidance on the specific metadata (Appendix 1) to be used
- (ix) The DLS check to SHERPA/RoMEO site (<http://sherpa.ac.uk/romeo.php>) or any other related site for further details regarding the publisher's copyright agreement before submitting publications to the IR.
- (x) Ensure all materials in the IR will contain bibliographic details (Metadata) such as author, title etc. which is made freely available for harvesting by most common search engines.

## **CHAPTER SEVEN**

### **ACCESSIBILITY OF PUBLICATIONS**

#### **7.1 Policy issue**

Making research publications open access is part of promoting open science initiatives. Thus, in order for NM-AIST to be aligned with the global scientific community and to gain the benefits of increased visibility and impact of its scientific contributions, it is essential that the institution embraces open access and sharing of contents.

#### **7.2 Policy objective**

To ensure free access to publications in the IR

#### **7.3 Policy statements**

**The NM-AIST shall:**

- (i) Guarantee continued readability and accessibility to full text publications through its IR.
- (ii) Ensure conversion or migration on file formats, developing and implementing software emulations for old file formats.
- (iii) Ensure real time backup of its IR.

#### **7.4 Operational procedures**

**The NM-AIST shall:**

- (i) Ensure that all publications in the IR contain freely available access via the institution and DLS websites.
- (ii) Ensure that all deposit publications in different access remains mandatory, but the access will be restricted until publisher embargo elapses or the patent is granted.
- (iii) Ensure that publications are accessed free of charge through the IR web interface or internet based search engines.
- (iv) Ensure the access of 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.
- (v) Ensure that full items, including metadata (Appendix 1) must not be sold commercially in any format (Appendix 2) or medium without prior formal permission from copyright holders.

## **CHAPTER EIGHT**

### **PRESERVATION OF PUBLICATIONS IN IR**

#### **8.1 Policy issue**

Digital materials are more at risk than analogue considering their shorter lifespan. The growing pervasiveness of digital media brings with a number of preservation challenges due to the fact that, the main aim of the IR is to ensure that these publications are stored in digital format which will continue to be accessed to ensure long time preservation. There is a lack of guarantee on long term preservation of publications in the repository. Preserving digital materials is not just a matter of preserving files, but also providing access to the material and ensuring that the infrastructure that renders the file is preserved or replicated in some way.

#### **8.2 Policy objective**

To ensure long term preservation of publications in the IR

#### **8.3 Policy statement**

**The NM-AIST shall:**

- (i) Ensure that all publications are preserved permanently in the IR.

#### **8.4 Operational procedures**

**NM-AIST shall:**

- (i) Ensure that publications are deposited as per standard formats established (Appendix 2).
- (ii) Ensure that the IR is preserving each publications deposited in the form of metadata and the actual data (contents).
- (iii) Ensure migration of items to new file format for continuing readability and accessibility.
- (iv) Ensure real time back up is regularly created.

## **CHAPTER NINE**

### **WITHDRAWAL OF PUBLICATIONS**

#### **9.1 Policy issue**

The existence of publication that breach legal requirements may tarnish the image of the NM-AIST. Therefore, institution shall retain the right to withdraw the deposited works under circumstances of breaching the contract, legal requirements or receiving complaints from third party. Considering fairness the deposited publication will be restricted from view for investigation purposes and once the complaints are settled, the publication will be removed if found breaching beyond reasonable doubt or restored in case the issue is resolved and complaints are settled.

#### **9.2 Policy objective**

To withdraw any publication found to breach institutional IP policy and any other legal requirements.

#### **9.3 Policy statement**

##### **The NM-AIST shall:**

Ensure the removal from view (withdraw) any publication breach institutional the IR policy and any other legal requirement.

#### **9.4 Operational procedures**

##### **The NM-AIST shall:**

- (i) Suppress access to publications in the following circumstances:
  - a. If the publisher requested to do so.
  - b. If the work proves insulting, plagiarized, is defamatory or breaches copyright.
  - c. If the publication breaches the Tanzanian laws.
- (ii) Hide from public view any publication that is reported to breach any institutional policy or legal requirements for verification.
- (iii) Withdraw any publication which is proven to breach any institutional policy or legal requirements for verification.
- (iv) Ensure that an item that breach legal requirement may be withdrawn from the IR when its authors/copyright holders have forwarded the requests in paper form and approved by the DLS.

- (v) Write a letter to inform a responsible person on a reason of hide or permanently deleted the publication from the IR.
- (vi) 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.

## **CHAPTER TEN**

### **DISCLAIMER**

#### **10.1 Policy issue**

Depositors and NM-AIST should have mutual consent on Terms and Conditions of IR. In order to avoid conflicts that may arise, depositors should agree with Terms and Condition of the IR Policy prior to submission of publications. Thus, NM-AIST shall bear no liability for any damage caused by use of its deposited works in the IR.

#### **10.2 Policy objective**

To avoid ambiguity if happened in the case of violation of legal requirements regarding the use of the IR

#### **10.3 Policy statement**

**The NM-AIST shall:**

Not be regarded as a publisher but rather an online archive and bears no liability for any damage upon using publications in the IR.

#### **10.4 Operational procedures**

**The NM-AIST shall**

- (i) The DLS approves publications to be achieved after an author's sign deposit license agreement form (See Appendix 3).
- (ii) The authenticity of the content deposited to the IR shall be the responsibility of the authors.
- (iii) Neither warrants any statements contained within the IR; nor does it accept any responsibility or liability for any possible mistakes or misrepresentation contained herein.
- (iv) Check all items for authors' eligibility, relevance to the repository content policy, valid layout and the exclusion of spams.

## **CHAPTER ELEVEN**

### **FUNDING AND SUSTAINABILITY OF IR**

#### **11.1 Policy issue**

The IR policy recognizes that financial sustainability is a key for continued offering of quality services and sustaining the IR operations. Thus, efforts has to be made by the DLS to establish various means that will ensure the sustainability of the IR system and IR policy that will ensure sustainability of its operation by generating income that will lead to self-sufficiency.

#### **11.2 Policy objective**

To ensure funding for sustainability of the IR for perpetual growth and accessibility

#### **11.3 Policy statement**

**The NM-AIST shall:**

Provide financial support in terms of infrastructure, human resources and other operational costs for IR.

#### **11.4 Operational procedures**

**The NM-AIST shall:**

- (i) Ensure the DLS annual budget and plan indicates clearly the IR income generation activities.
- (ii) Ensure quarterly reporting to the library Board, Senate Research and Innovation and Senate (SRIC) for monitoring purpose of IR activities.
- (iii) Ensure institutional approved fees structure of various IR Services offered by DLS.
- (iv) Ensure there are short courses approved by Library Board related to repository operations.
- (v) The DLS shall have capacity building strategy addressing IR resources sustainability at NM-AIST.



## **CHAPTER TWELVE**

### **GOVERNANCE OF THE INSTITUTIONAL REPOSITORY POLICY AND OPERATIONAL PROCEDURES**

#### **12.1 Policy issue**

NM-AIST promotes accountability, transparency, and stewardship within its community. Thus, each directorate, department, unit are custodian for governing and implementing operational procedures for the IR policy.

#### **12.2 Policy objective**

To mandate key stakeholders for accountability for IR policy implementation.

#### **12.3 Policy statement**

NM-AIST shall:

Identify categories of stakeholders for implementing the IR policy and specify roles and responsibilities of each category of stakeholders.

#### **12.4 Operational procedures**

**NM-AIST shall**

- (i)** Identify key stakeholders as follows: Council, Senate Research and Innovation Committee (SRIC), Vice Chancellor (VC), Deputy Vice Chancellor-Academic, Research and Innovation (DVC-ARI), Library Board, Deputy Vice Chancellor - Planning, Finance and Administration (DVC-PFA), Deputy Vice Chancellor Research and Innovation (DVC-ARI), Deans, Heads of Departments (HoDs), Department of Library Services (DLS), Information and Communication Technologies Resource Centre (IRC), staff, students, and academic department. Each of these stakeholders has a specific role to play in the successful implementation of the policy as defined hereunder.
- (ii)** Specific roles and responsibilities of each category of stakeholder (Table 1)

**Table 1: Roles of stakeholders within the Institution**

<b>SN</b>	<b>Stakeholders</b>	<b>Roles and responsibilities</b>
1	Council/Senate	(i) To approve the Policy (ii) To oversee the implementation of the Policy (iii) To deliberate on recommendations from the SRIC
2	SRIC	To receive and deliberate on recommendations from the Library Board on issues requiring attention of the Senate/Council.
3	VC	To oversee overall implementation of the IR Policy and operational procedures
4	Library Board	To receive and deliberate on recommendations from stakeholders on issues relating to the implementation of the IR Policy and operational procedures
5	DVC-ARI	To coordinate IR Policy and operational procedures implementation.
6	DVC-PFA	To ensure financial support is provided for the implementation of IR Policy and operational procedures.
7	Deans	(i) To support and facilitate implementation of the IR Policy and operational procedures on issues related to their respective schools/departments/units. (ii) To identify and forward schools/departments/units needs to the DLS for consideration.

8	HoDs	<p>(i) To support and facilitate implementation of the IR Policy and operational procedures on issues related to their respective units.</p> <p>(ii) To identify and forward units needs to the DLS for consideration.</p>
9	DLS	To plan, budget, organize, coordinate and implement IR Policy and operational procedures.
10	IRC	To provide technical advice and support on ICT matters related the implementation of IR Policy and operational procedures.
11	Staff	Use, advice and provide feedback to the DLS on matters relating IR services delivery.
12	Students	Use, advice and provide feedback to the DLS on matters relating to IR service delivery.
	Academic department	Submit signed copies of their patent and dissertations/theses to the DLS to be submitted to the IR.

### **12.5 Policy review**

The head of the DLS with the consultation to DVC-ARI shall propose the review of this policy in every three years.

## **CHAPTER THIRTEEN**

### **MONITORING AND EVALUATION (M& E)**

#### **13.1 Monitoring and Evaluation (M&E)**

For successful implementation of the IR Policy and operational procedures, there must be inherent internal and external M& E mechanism. The institution shall establish a mechanism for monitoring and evaluation of the implementation of IR Policy and operational procedures.

Monitoring and Evaluation shall involve: -

- (i) Establishment of mechanisms of accountability for monitoring and evaluating the implementation of the IR Policy and operational procedures.
- (ii) Establishment of framework that will provide basis for monitoring and evaluating the Policy implementation.
- (iii) Establishment of sound institutional framework for translating the goals, objectives and strategies.

## Appendixes

### Appendix 1: Metadata list

Metadata Element	Element Description	Policy
Creator	Main author. An entity primarily responsible for making the content of the resource e.g. a person, an organization or a service.	Mandatory (Unknown if not available)
Contributor	An entity responsible for making contributions to the content of the resource.	Not required
Coverage	The extent or scope of the content of the resource. Spatial/temporal characteristics of the intellectual content of a resource.	Not required
Date	A date of an event in the lifecycle of the resource, associated with the creation, availability or lifecycle of the resource.	System supplied if not provided by user
Description	An account of the content and provenance of the resource, e.g. an abstract, table of contents, origin. All available information on the item not provided for elsewhere.	Encouraged
Format	The physical or digital manifestation of the resource	System supplied
Identifier	An unambiguous reference to the resource within a given context	System supplied
Language	A language of the intellectual content of the resource	Mandatory
Publisher	An entity responsible for making the resource available, responsible for publication, distribution or imprint	Not necessary

Relation	A reference to a related resource.	Required if available
Rights	Information about right held in and over the resource	Mandatory (indicate if no right apply)
Source	A reference to a resource from which the present resource is derived	Not required
Subject (Unqualified)	The topic of the content of the resource. Free language terms	Mandatory
Title (unqualified)	A name given to the resource. The title will be the name by which the resource is formally known.	Mandatory
Type	The nature or genre of the content of the resource.	Mandatory

## Appendix 2: File formats

MIME type	Description	Extensions	Levels
Application/marc	MARC	Marc,mrc	Supported
Application/mathematica	Mathematica	ma	Known
Application/msword	Microsoft Word	Doc	Known
Application/octet-stream	Unknown	(anything not listed)	Unsupported
Application/pdf	Adobe PDF	pdf	Supported
Application/postscript	Postscript	ps, eps, ai	Supported
Application/sgml	SGML	sgm, sgml	Known
Application/vnd.ms-excel	Microsoft Excel	xls	Known
Application/vnd.ms-powerpoint	Microsoft Powerpoint	ppt	Known
Application/vnd.ms-project	Microsoft Project	mpp, mpx, mpd	Known
Application/vnd.visio	Microsoft Visio	Vsd	Known
Application/wordperfect5.1	WordPerfect	wpd	Known
Application/x-dvi	TeXdvi	dvi	Known
Application/x-filemaker	FMP3	fm	Known
Application/x-latex	LateX	latex	Known
Application/x-photoshop	Photoshop	psd, pdd	Known
Application/x-tex	TeX	tex	Known
audio/x-aiff	AIFF	aiff, aif, aifc	Supported
audio/basic	audio/basic	au, snd	Known
audio/x-mpeg	MPEG Audio	mpa, abs, mpeg	Known
audio/x-pn-realaudio	RealAudio	Ra, ram	Known
audio/x-wav	WAV	wav	Known
image/gif	GIF	gif	Supported
image/jpeg	JPEG	jpeg, jpg	Supported
image/png	PNG	png	Supported
image/tiff	TIFF	tiff, tif	Supported
image/x-ms-bmp	BMP	bmp	Known
image/x-photo-cd	Photo CD	pcd	Known
text/html	HTML	html, htm	Supported
text/plain	Text	txt	Supported
text/richtext	Rich Text Format	rtf	Supported
text/xml	XML	xml	Supported
video/mpeg	MPEG	mpeg, mpg, mpe	Known
video/quicktime	Video Quicktime	mov, qt	Known

### **Appendix 3: NM-AIST IR Deposit Licence Agreement**

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**APPROVED BY THE COUNCIL**

.....

Prof. Lughano Kusiluka

**Chairman of the NM-AIST Council**

.....

Date