

INSTITUTIONAL REPOSITORIES OF BRAZILIAN EDUCATION AND RESEARCH INSTITUTIONS: MANAGEMENT, COPYRIGHT, AND DIGITIZATION OF PRINTED ACADEMIC WORKS <https://doi.org/10.63330/aurumpub.008-007>**Grasiella Ribeiro Monteiro Pessanha¹, Diego da Silva Sales² and Fabrícia Pires Pimenta³****ABSTRACT**

Institutional Repositories (IRs) play a fundamental role in preserving and disseminating scientific knowledge, ensuring that scholarly output is accessible to the public. In Brazil, numerous educational and research institutions have adopted these platforms, yet they continue to face significant challenges, particularly regarding copyright policies and the digitization of printed academic works in their collections. This study analyzed the perceptions of IR representatives concerning these difficulties. It is a qualitative-quantitative, exploratory, descriptive, bibliographic, and documentary study. Data were collected through an online questionnaire answered by 40 IR representatives during the II Meeting of the Brazilian Network of Digital Repositories. The results indicate progress in the implementation of these platforms, but also highlight considerable challenges, such as the lack of well-defined institutional policies, resistance from some authors to deposit their works, and difficulties in digitizing printed academic works. Furthermore, most respondents assessed authors' knowledge of copyright as ranging from moderate to very low, which may hinder adherence to repositories. In conclusion, it is essential for educational and research institutions to enhance their institutional policies, train managers and researchers, and establish clearer guidelines for IR management.

Keywords: Institutional Repository; Copyright; Policy; Printed Academic Work.

¹ Master's degree in Intellectual Property and Technology Transfer for Innovation

Institution: Instituto Federal Fluminense Campus Campos Guarus

E-mail: grasiella@gmail.com

ORCID: <https://orcid.org/0009-0007-9658-8775>

² PhD in Materials science and engineering

Institution: Instituto Federal Fluminense Campus Campos Guarus

E-mail: dsales@iff.edu.br

ORCID: <https://orcid.org/0000-0002-4462-7150>

³ PhD in Medical Sciences

Institution: Instituto Carlos Chagas - Fundação Oswaldo Cruz, Fiocruz Paraná

E-mail: fabricia.pimenta@fiocruz.br

ORCID: <http://orcid.org/0000-0002-2315-1974>



INTRODUCTION

The advancement of information and communication technologies, combined with the open access movement, has fostered the creation of tools and opportunities that have expanded the dissemination of scientific knowledge, making it accessible to the broader community. With the onset of this movement, Institutional Repositories (IRs) emerged as a tool capable of fulfilling this objective (Almeida; Oliveira; Rosa, 2019; Kyprianos; Lygnou, 2022; Pimenta et al., 2015).

The purpose of repositories is to store, preserve, and disseminate the scientific, artistic, and cultural output of institutions, guided by institutional policies that ensure their organization and operation. IRs are integrated into research exchange networks that are significant within the Brazilian context and contribute to increasing the visibility of the institution, its faculty, and the work produced (Almeida; Oliveira; Rosa, 2019; Trindade; Silva, 2017).

The implementation of repositories in institutions aimed to enhance institutional visibility and recognition, ensure the preservation of physical and digital collections, and enable global access to locally developed research. However, the implementation and management of these repositories still face obstacles, such as the absence of clear copyright policies, resistance from authors, and difficulties in digitizing and making printed academic works available (Kyprianos; Lygnou, 2022; Roy; Biswas; Mukhopadhyay, 2023).

"[...] the process of managing an IR involves, in addition to the use of electronic technologies for building databases and search mechanisms, the establishment of policies that define guidelines regarding the agents and tasks involved in the data entry process, as well as issues related to information organization" (Trindade; Silva, 2017, p. 2).

Given this context, this study seeks to answer the following research question: How are Brazilian educational and research institutions addressing the challenges of implementing and managing institutional repositories, considering copyright policies, and the digitization and availability of printed academic works? To this end, the objective of this study is to analyze the perceptions of IR representatives from these institutions regarding the implementation and management of these platforms, with a focus on the challenges related to copyright policies and the digitization and availability of printed academic collections.

METHODOLOGY

This research can be classified as exploratory, descriptive, bibliographic, and documentary, with a qualitative-quantitative approach. It aims to provide greater familiarity with the topic, investigate the characteristics of a specific population by relating variables, and is based on published materials such as articles, books, reports, legislation, and regulations. Additionally, it seeks to employ statistical methods to

quantify all that is possible, while also highlighting meanings and attitudes that cannot be reduced to variable operations (Gil, 2002; Minayo, 2002; Prodanov; Freitas, 2013).

The data collection instrument used was an online questionnaire composed of 14 questions (nine objective and five open-ended), presented in Table 1. This questionnaire was applied through a public opinion survey on the perception of institutional repository (IR) representatives from Brazilian educational and research institutions regarding copyright policies, and the digitization and availability of printed academic works. To ensure the clarity and effectiveness of the questionnaire, a preliminary test was conducted with a limited sample.

Table 1 – Questionnaire Applied to IR Representative

1	How long has your university's institutional repository been in operation? *	8	If there is a copyright policy for printed academic works: Could you share the link? **
2	How do you evaluate the implementation of copyright policies in your university's repository? *	9	If they were digitized and made available on the intranet: Why were the academic works made available only on the intranet and not deposited in the repository? **
3	Before the implementation of the repository, were printed academic works archived in your university's library? *	10	In your opinion, what are the main challenges in implementing copyright policies in the repository? *
4	Were the printed academic works at your university digitized and deposited in the repository? *	11	How would you classify the authors' level of knowledge about copyright policies in the repository? *
5	If they were digitized and deposited in the repository: How were printed academic works, prior to the repository's implementation, deposited without violating copyright? **	12	In your opinion, what is the general perception of authors regarding their academic works deposited in the repository?
6	If they were digitized and deposited in the repository: Did the authors of the printed academic works authorize the deposit in the repository? *	13	Could you share the link to your university's repository copyright policy? **
7	If they were digitized and deposited in the repository: Does the repository have a specific copyright policy for digitized printed academic works? *	14	Would you like to make any additional comments about copyright policies in the institutional repository or the handling of printed academic works? **

* Objective question / ** Open-ended question

Source: Authors.

The interviews were conducted during the II Meeting of the Brazilian Network of Digital Repositories, held in Rio de Janeiro from August 1 to 2, 2024, in a hybrid format (online and in-person), with the participation of researchers, students, and repository representatives (Fiocruz, 2024). It is important to note that only IR representatives were interviewed. Since it was not possible to determine the exact number of these professionals, a sample of 40 unidentified and randomly selected participants was considered. Some respondents requested to complete the questionnaire later, and therefore responses were accepted until August 31, 2024.



The research was conducted in accordance with the ethical guidelines established by Resolution No. 510, of April 7, 2016, of the National Health Council. According to Articles 1 and 2 of this resolution, public opinion surveys that do not involve participant identification are exempt from registration or evaluation by the Research Ethics Committee (CEP) or the National Research Ethics Commission (CONEP) (Brazil, 2016).

Art. 1 This Resolution establishes the norms applicable to research in the Human and Social Sciences whose methodological procedures involve the use of data directly obtained from participants or identifiable information, or that may pose greater risks than those encountered in daily life, as defined in this Resolution.

Sole Paragraph. The following shall not be registered or evaluated by the CEP/CONEP system: I – public opinion research with unidentified participants; [...]

Art. 2 For the purposes of this Resolution, the following terms and definitions are adopted: [...] XIV – public opinion research: a verbal or written consultation of a specific nature, conducted through a specific methodology, in which the participant is invited to express their preference, evaluation, or the meaning they attribute to topics, the performance of individuals and organizations, or to products and services; without the possibility of identifying the participant; [...]

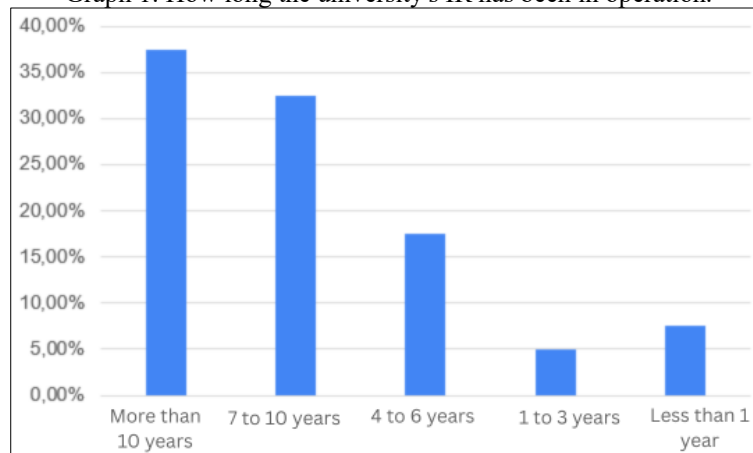
RESULTS AND DISCUSSION

This study interviewed 40 representatives of Institutional Repositories (IRs) from Brazilian educational and research institutions to understand how these professionals perceive the implementation of copyright policies. Data were collected through a public opinion survey, with participants remaining anonymous, and were randomly selected during the II Meeting of the Brazilian Network of Digital Repositories, held in Rio de Janeiro on August 1–2, 2024 (Fiocruz, 2024).

The Brazilian Network of Digital Repositories, established in 2021, brings together the Regional Networks of Digital Repositories from the North, Northeast, Central-West, Southeast, and South regions, under the guidance of the Brazilian Institute of Information in Science and Technology (IBICT). In addition to disseminating the scientific output of its member institutions, the network aims to foster knowledge sharing among its members. Thus, the event proved to be a qualified venue for this research, as it gathered IR managers from public and private educational and research institutions across Brazil (Fiocruz, 2024).

Regarding the operational duration of the IRs, results showed that 37.5% of respondents indicated their repositories had been in operation for over 10 years. Another 32.5% reported a period between 7 and 10 years, 17.5% between 4 and 6 years, 7.5% less than one year, and 5% between 1 and 3 years. This indicates that the majority of institutions (70%) have maintained their repositories for more than seven years.

Graph 1: How long the university's IR has been in operation.

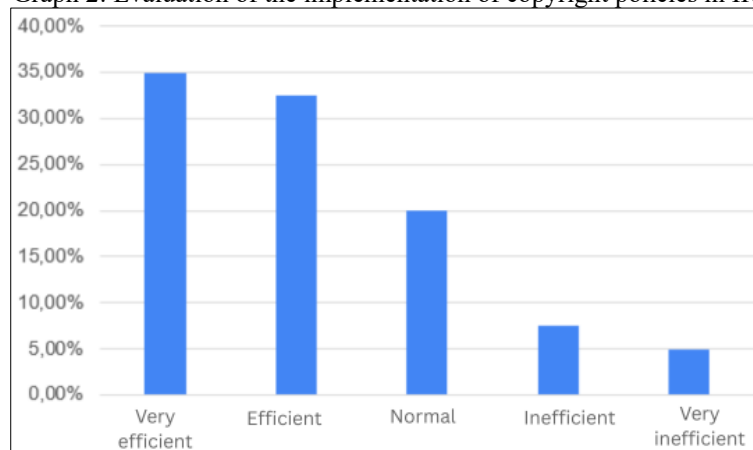


Source: Authors.

The presence of 7.5% of IRs created within the past year suggests that, although the adoption of these platforms is well-established in many Brazilian institutions, new initiatives continue to emerge. In other countries, this process has been slower. For example, a study by Oberhiri-Orumah and Baro (2023) in Nigeria analyzed 170 universities and found that only 25 had IRs. The authors highlighted challenges such as lack of resources, absence of clear policies, and difficulties related to copyright and digital preservation.

When asked to evaluate the implementation of copyright policies in their IRs, 35% of respondents rated it as very efficient, 32.5% as efficient, 20% as average, and 12.5% as inefficient or very inefficient. Thus, a positive perception predominates (67.5%).

Graph 2: Evaluation of the implementation of copyright policies in IR.



Source: Authors.

This positive assessment suggests that the policies adopted by institutions are well-structured—an essential factor for the success of repositories. According to Imoro and Saurombe (2024), clear policies ensure the preservation of knowledge and public access to scientific data. However, Roy, Biswas, and



Mukhopadhyay (2023), in their analysis of 66 repositories listed in OpenDOAR, ROAR, and ROARMAP, emphasized that the lack of guidelines on content submission, access, and licensing can hinder researcher engagement.

When asked about the fate of printed academic works prior to the implementation of the repositories, 92.5% of respondents stated that these documents were archived in the university library, while 7.5% reported that there was no specific storage location. Regarding the digitization and deposit of these works, 65% indicated they had not digitized them, 25% had digitized and deposited them in the repository, and 10% had only digitized them.

According to Baro and Nwabueze-Echedom (2023), the lack of financial resources and technological instability hinders the conversion of physical collections to digital formats, especially in developing countries. Furthermore, Baro, Godfrey, and Eze (2014) emphasize that many students are concerned about the misuse of their works when made available online. Nevertheless, digitization offers advantages such as space savings, long-term preservation, and greater accessibility to scientific output.

Among the respondents who had digitized and deposited printed academic works in IRs (25%), half reported that they requested the signing of an authorization form. Others adopted different strategies, including:

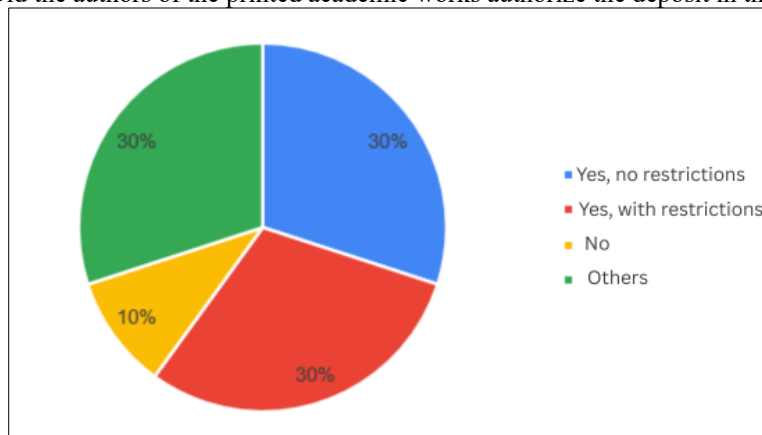
- “Works without permission for open access were made available with restricted access notes.”
- “The academic works were considered university property; therefore, students ceded rights to the library.”
- “A process was created with support from the institutional legal office to support the decision.”
- “Loopholes were identified in the interpretation of the Copyright Law (Law No. 9610/1998, Art. 7 § 3),” which protects only the literary and artistic form, not the technical and scientific content (Brazil, 1998).

Additionally, one respondent cited Ordinance No. 360/2022 from the Ministry of Education (MEC), which mandates the digital availability of academic collections (Brazil, 2022). The respondent also explained that authors may request an embargo if the work contains confidential data or is subject to a patent application..

Regarding the authorization of authors for the deposit of printed academic works in the repository, 30% of respondents stated that authors authorized the deposit without restrictions, another 30% with restrictions, and 10% did not authorize it. Additionally, 30% selected the “Other” option, reporting:

- “Since the works are old, they were left in the library with a declaration of authorization.”
- “Some works were deposited with restrictions, so they are embargoed, but most were authorized.”

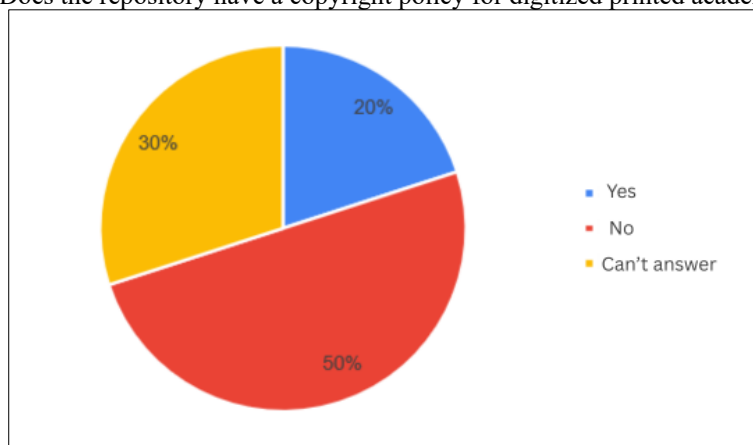
Gráfico 3: Did the authors of the printed academic works authorize the deposit in the repository?



Source: Authors.

As for the existence of specific copyright policies for digitized printed academic works in IRs, only 25% of respondents answered this question. Of these, 50% stated that no specific policy exists, 30% were unsure, and 20% indicated that a dedicated policy was in place.

Graph 4: Does the repository have a copyright policy for digitized printed academic works?



Source: Authors.

Among those who indicated having a policy, only one shared an access link, corresponding to Resolution CEPE nº 90/2015 of the Federal University of Lavras (UFLA), which in its article 1 authorizes the availability of the existing collection of theses and dissertations in RIUFLA without the need for prior authorization from the authors (UFLA, 2015, p. 2):

Authorize the availability of the retrospective collection of theses and dissertations in digital format and online access, in the Institutional Repository of UFLA (RIUFLA), without prior consent from the authors..

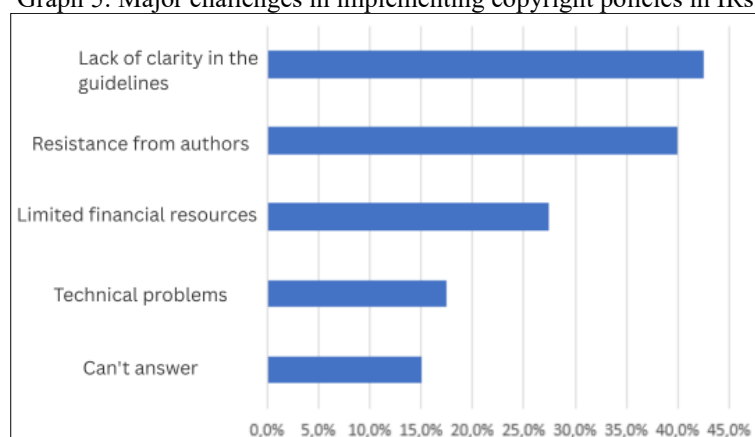
However, the Resolution also provides for restrictions at the request of authors or advisors, as stated in the sole paragraph of article 4 (UFLA, 2015, p. 2):

Art. 4 The application of the provisions in this Resolution must observe the requirements imposed by Laws nº 9.610/98, 10.973/04, 9.456/97, 9.609/98, and 9.279/96, as well as other relevant legal norms.

Sole Paragraph. It is the responsibility of the author or advisor to request restrictions regarding the dissemination of theses and dissertations that are subject to patent applications or any similar embargo.

Regarding the main challenges in implementing copyright policies in Institutional Repositories (IRs), the most frequently cited issues were: lack of clarity in guidelines (42.5%), resistance from authors (40%), limited financial resources (27.5%), technical problems (17.5%). These findings are illustrated in Graph 5.

Graph 5: Major challenges in implementing copyright policies in IRs.



Source: Authors.

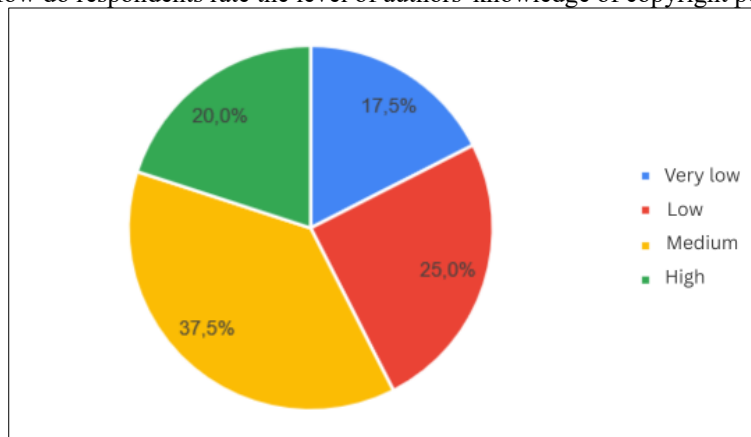
In addition to these, respondents mentioned other difficulties, such as:

- “Lack of discussion within the academic community on the topic.”
- “Lack of training for the team to carry out the activities.”
- “Lack of a team knowledgeable in copyright to draft the policy.”
- “Lack of knowledge of the law.”
- “The Copyright Law is too restrictive.”
- “A period is needed to engage the academic community and raise awareness of the benefits.”
- “Lack of understanding of what constitutes public goods.”

These challenges align with findings from Baro and Nwabueze-Echedom (2023) and Oberhiri-Orumah and Baro (2023), who identified barriers such as lack of funding, internet instability, shortage of qualified personnel, and faculty resistance to making their work available in IRs.

As for the authors’ knowledge of copyright policies, 37.5% of respondents rated it as moderate, 25% as low, 20% as high, and 17.5% as very low. Notably, no respondent rated it as very high, which may negatively impact the sustainability of repositories.

Graph 6: How do respondents rate the level of authors' knowledge of copyright policies in RI?

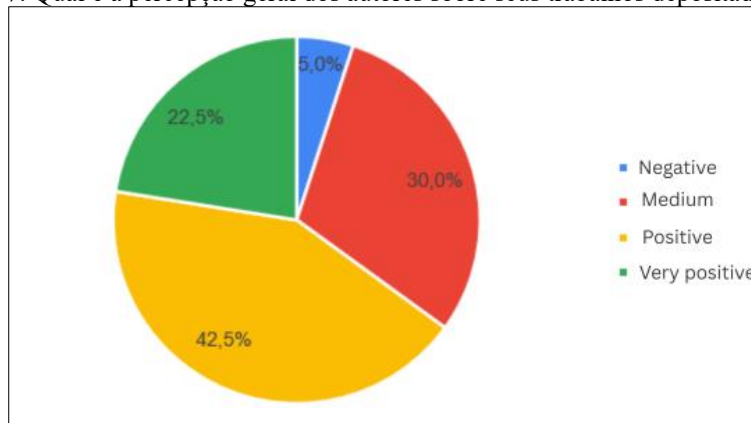


Source: Authors.

These results support the conclusions of Baro and Nwabueze-Echedom (2023), Oberhiri-Orumah and Baro (2023), and Posigha and Osievo (2022), who noted that faculty resistance to depositing their work in IRs often stems from a lack of information about repository policies.

Regarding the authors' overall perception of having their work deposited in IRs, 42.5% of respondents said authors viewed it positively, 30% as neutral, and 22.5% as very positive. This indicates that 65% of authors have a favorable view of the availability of their work in repositories.

Gráfico 7: Qual é a percepção geral dos autores sobre seus trabalhos depositados no RI?



Source: Authors.

Another point investigated was the availability of the copyright policy link of the IR by the institutions. Only 28% of respondents provided links, as listed in Table 2. However, when analyzing these links individually, it was found that only 13% actually corresponded to repository policies, while the remaining 15% referred only to authorization terms.

Table 2: Links to repositories and authorization terms.

Links	Tipo
https://ufape.edu.br/deposito-trabalhos-academicos-artigos-dissertacoes-eso-monografias	Authorization term
https://repositorio.ufra.edu.br/jspui/Termo_Autorizacao_RIUFR-2023.pdf	Authorization term
http://ufvjm.edu.br/biblioteca/repositorioinstitucional.html	Authorization term
https://repositorio.utfpr.edu.br/jspui/sobre/Termo_Autorizacao_Publicacao_Externa.pdf	Authorization term
https://www2.ifal.edu.br/o-ifal/pesquisa-pos-graduacao-e-inovacao/repositorio-institucional/politica-do-repositorio	Authorization term
https://www.repositorio.ufop.br/server/documents/termo_autorizacao_autor.docx	Authorization term
https://ri.ufrb.edu.br/regulamentacao.jsp	Repository policy and authorization term
https://pantheon.ufrj.br/terms/terms.jsp	Repository policy
https://docs.uft.edu.br/share/s/GNW8QdQ7SKKCM4VAN05wSQ	Repository policy
https://bibliotecas.ufs.br/uploads/page_attach/path/18972/ResolucaoCONEPE162023.pdf	Repository policy
https://portal.fiocruz.br/sites/portal.fiocruz.br/files/documentos/portaria_-_politica_de_acesso_aberto_ao_conhecimento_na_fiocruz.pdf	Repository policy

Source: Authors.

The analysis revealed that 72% of respondents stated that their institutions still do not have a formalized copyright policy for IRs. The reports highlighted different approaches adopted by the institutions:

- “We do not have a specific policy established for copyright. Although authorization terms are collected by the libraries, in the case of mediated deposits, and at the time of self-deposit of some types directly into the repository.”
- “We have a deposit authorization form for the authors of the work, but not a specific policy.”
- “The Copyright Law and the non-exclusive distribution license are adopted as the basis for publication.”
- “The document is not ready; for now, there is only a form that authorizes or not the disclosure of the dissertation/thesis by the student.”
- “The RIIFPE's copyright policy will be developed. Currently, it is based only on the Creative Commons license and the Copyright Law.”
- “We do not have a link. Upon completion of the work, the student receives a document to fill out, assigning the rights and determining from which date the object will be accessible.”
- “There is still no institutionalized copyright policy; it is under development. We adopt legal guidelines and the Creative Commons License.
- “We do not have a policy; we have a publication authorization form for the RI and we provide the link to the Creative Commons licenses in the RI.”



- “The information about copyright is in the Acknowledgment and Authorization Form.”

These statements indicate that several institutions still use only authorization terms instead of structured policies, which may create gaps in copyright protection and in the regulation of the use of works. Some institutions are in the process of drafting their policies, while others adopt the Creative Commons License and the Copyright Law as the basis for their guidelines.

The formalization of clear copyright policies in IRs is essential to ensure the preservation and dissemination of scientific knowledge in a sustainable manner. Studies such as those by Baro and Nwabueze-Echedom (2023), Imoro and Saurombe (2024), and Roy, Biswas and Mukhopadhyay (2023) highlight that well-defined guidelines strengthen repositories, ensuring compliance with legislation and encouraging researcher engagement.

The participants of the research had the opportunity to leave additional comments about the copyright policies in the IR and about the printed academic works. Although not all of them expressed themselves, the following statements summarize important perceptions:

- “Institutional repositories play an important role in promoting academic integrity and preventing plagiarism. They are digital platforms where institutions store and make available the intellectual output of their members, such as theses, dissertations, articles, and other academic works. By complying with copyright legislation, these repositories help ensure that works are properly credited and protected.”
- “We will still act on this process in the future, sending the authorization form to students and requesting that they send it back to us, in case they want it to be made available in the RI/UFVJM.”
- “We are drafting the copyright policy of our IR. Before RIUFAL, there was the BDTD (created in 2006), and all BDTD publications were migrated to the repository. Works prior to that date (2006) were not required to be on a digital platform and are on the library shelves. We are studying the best destination for the printed works, whether it would be better to make a public call to the authors so we can digitize them. Everything is being discussed and evaluated in the copyright policy.”
- “I believe that publication in the Repository is an additional guarantee that the author has of their textual production. Once the work is left only on the shelf, it becomes very difficult to identify plagiarism in case of misuse by another researcher. Many refuse or request embargoes on their research, but do not realize the increased risk they run with this stance.”
- “The digitization of the retrospective collection of theses/dissertations is done on demand, and then we request the author's authorization.”



- “With the implementation of the repository, it was decided that no library should, under any circumstances, store printed undergraduate and specialization final papers. The libraries and academic offices that stored these productions were given the option of final destination – digitization and hosting only in the repository or disposal. After Ordinance 360/2022, not even dissertations and theses are stored in printed form, and we are already digitizing the entire printed collection so that it can be hosted in the repository.”

These statements show that institutions face significant challenges in digitizing and making available printed academic works that were produced before the implementation of the IRs. Among the main obstacles cited are the need for author authorization, the adaptation of institutional policies, and decisions about the destination of physical documents.

Furthermore, MEC Ordinance nº 360/2022, mentioned by one of the respondents, has been a determining factor for these changes. As of August 1, 2022, Higher Education Institutions (HEIs) belonging to the federal education system can no longer require the submission of physical documents.

Thus, the results show that, although the implementation of IRs has advanced, there are still challenges to be overcome, especially in defining copyright policies and raising awareness within the academic community about the benefits of making academic works available online.

CONCLUSION

This study analyzed the perceptions of representatives of institutional repositories (IRs) from Brazilian educational and research institutions regarding the implementation and management of these platforms. The results indicate that, despite progress in the implementation of these repositories, significant challenges remain, such as the absence of well-defined copyright policies, resistance from some authors to deposit their works, and issues related to the need for author authorization to make printed academic works available.

The level of knowledge among authors regarding copyright policies ranged from moderate to very low, standing out as a point of concern, as it may directly affect adherence to IRs and the preservation of scientific output. Furthermore, the resistance of authors to deposit their works in repositories may be related to a lack of clear information and concerns about copyright violations.

Given this scenario, it is essential that educational and research institutions improve their policies, promote training on copyright, and establish clearer guidelines for the sustainable implementation and management of repositories. Ordinance MEC No. 360/2022 represents a regulatory milestone for federal network higher education institutions, promoting digitization and demanding new strategies for IR management.



Finally, for future work, it is recommended to investigate the impacts of these policies on researchers' adherence to repositories. Additionally, analyzing best practices adopted by institutions with more consolidated policies may contribute to the development of a more efficient and sustainable model for IR management in Brazil.

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