

SOKOINE UNIVERSITY OF AGRICULTURE



INSTITUTIONAL REPOSITORY POLICY

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List of Abbreviations

CC:	Computer Center
CCL:	Creative Commons License
CCIAM:	Climate Change Impacts, Adaptation and Mitigation
DRPGS:	Directorate of Research and Postgraduate Studies
EPINAV:	Enhancing Pro-poor Innovations in Natural Resources and Agricultural Value-chains
FOCAL:	Future Opportunities and Challenges for Agriculture Learning
ICTs:	Information and Communication Technologies
IPR:	Intellectual Property Rights
IR:	Institutional Repository
LAN:	Local Area Network
OA:	Open Access
OAI:	Open Archive Initiative
PANTIL:	Programme for Agricultural and Natural Resources Transformation for Improved Livelihoods
PDF:	Portable Document Format
SNAL:	Sokoine National Agricultural Library
SUA:	Sokoine University of Agriculture
SUA IR:	Sokoine University of Agriculture Institutional repository
TARP II:	Tanzania agricultural Research Project II
URL:	Universal Resource Locator

Definition of Key Terms

Bibliographic information: the term implies details about a publication which are sufficient for its identification and retrieval. Bibliographic information of a document like a book may include: author, title, publisher, place of publication, and year of publication.

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

Creative Commons License: It is one of the public copyright licenses that enables creators or owners of scholarly content to dictate how others may use their work. Contrary to the traditional copyright that restricts usage of scholarly output, this kind a license is more liberal but attaches more weight for users of others' scholarly content to provide credit to creators of such works.

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

Institutional Repository: is an online archive for collecting, preserving, and disseminating [in digital form] the intellectual output of an institution such as a university or any other research institution. An institutional repository can also be explained as a web-based database for collection, long-term preservation and dissemination of scholarly output of a research institution.

Metadata: are data that describes other data or it is data about data. Metadata of a document may include: means of creation of data, purpose of the data, time and date of creation, creator or author of data, location of data. The main purpose of metadata is to facilitate the discovery of data, help in organization of electronic data, assist in digital identification of data, and support archiving and preservation of electronic resources.

Open access: it is a means through which scholarly content is made freely available [without price and copyright limitations] to end users through the Internet. The only condition on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

Scholarly communication: is a term reflecting various processes through which scholars exchange information with each other in the course of knowledge creation. Scholarly communication can be informal – seminar/conference presentations, blogging, e-mailing content

that have not followed for publishing system or can be formal through following publishing protocols such as peer review process.

PREFACE

Research is an important process for knowledge creation to foster human development in any society. This is the reason why research institutions the world over attach great importance on investments in research. It is on a similar ground that since its establishment over the past 30 years, the Sokoine University of Agriculture has been involved in research activities with the main objective of providing leadership in both basic and applied research so as to generate knowledge and innovations that respond to contemporary and emerging needs of farming communities.

Investment in research is only justifiable if the emerging output is widely shared among beneficiaries. Proper documentation of research output and its ultimate dissemination to reach all possible stakeholders is thus of paramount importance. It is on this understanding that universities and other research funders include research output dissemination as a key component in evaluating researchers' performance. In recent years we are also witnessing research output visibility on the Web being used as an important criterion in determining universities' excellence by the Times Higher Education World University Rankings.

Like many other research institutions from the developing world, SUA has been facing challenges in making its generated research output widely visible and accessible. This has partly been attributed by the fact that apart from research output published in international journals, most of the generated research content remains in print format normally housed at the Sokoine National Agricultural Library (SNAL) and other university departments or units. This makes it difficult for a significant portion the University's research output to be visible and accessible beyond the institutional environment. Taking advantage of the emerging information and communication technologies, SNAL has established an online institutional repository for documentation and dissemination of the university's research heritage. With this kind of a facility, it is beyond reasonable doubt that the university is making a very remarkable development to ensure its research output is widely accessible than ever before. This stride is not only making the university to have more impact of its research output but also the repository provides a platform for long-term electronic preservation of the institutional research heritage. This policy provides an operational framework of the SUA IR.

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CHAPTER ONE: BACKGROUND INFORMATION

1.0 INTRODUCTION

The value of research rests on the extent to which the emerging results are shared among the scholarly community members and other beneficiaries in the research value chain. During the print dominated era the main challenge has been the dissemination of scholarly content beyond its place of origin. This challenge has been more pronounced in developing countries as compared to the developed world partly due to differences in the publishing industry development between the two categories of countries. Developments in Information and Communication technologies (ICTs) especially the discovery of World Wide Web in early 1990s has eased ways of research content sharing (Suber, 2006). For example, the ability to digitise information to a common standard has allowed research output to be made available “theoretically to anyone in remote location (s) so long as they have access to a computer linked to the World Wide Web” (Swan and Brown 2004: 5). In response to the current enabling ICTs developments, many academic institutions around the world are establishing open access digital repositories to manage their scholarly assets. This is in attempt to solve problems associated with documenting and sharing of research output in print format. Publications in print format are characterised by low circulation due to limited distribution which further contributes to difficulties in their visibility and accessibility. Open access digital repositories constitute databases with a set of services to capture, store, index, preserve and re-distribute scholarly output in digital formats free of charge to end users. The Sokoine University of Agriculture (SUA) through its National Agricultural Library (SNAL) has established an open access repository to foster the documentation and dissemination of research output emanating from the university. This policy provides a framework for SUA IR development and operational management.

1.1 An Overview of Sokoine National Agricultural Library

1.1.1 Establishment of SNAL

SNAL was established by Act No. 21 of 1991 and was incorporated into the SUA, Act (Cap 195) of R. E. 2002. Under that Revised Act, SNAL was established as both University and National

Agriculture Library. Following repeal of SUA, Act by the Universities Act, No. 7 of 2005, and granting of SUA Charter, 2007 SNAL now operates under the provisions of SUA Charter, 2007.

SNAL has the mandate to carry out coordination and management of agricultural information in the country and also acts as a national bibliographic and documentation centre mainly in agriculture and allied fields. The Library serves both as University Library as well as a National Agricultural Library with specific mandate to:

- (i) supervise, coordinate, advise and offer consultancy and liaison services to all cooperating agricultural libraries in Tanzania for the purpose of improving services to agricultural societies;
- (ii) act as a national bibliographic and documentation centre;
- (iii) collect and maintain records of agricultural research and development projects in progress or completed so as for the library to serve as a national clearing house for agricultural materials.

1.1.2 Objectives of SNAL

The main objective of SNAL is to develop and maintain library and information services in agricultural sciences and related disciplines so as to support core functions of SUA in teaching, research and outreach and consultancy services as well as providing information to other categories of users. Among the specific objectives of SNAL is to act as National bibliographic and documentation center of published and unpublished materials on agriculture and related fields, legal deposit right, indexing, abstracting and compilation of national agricultural bibliography.

1.1.3 SNAL's Vision and Mission Statement

Vision

To become a resourceful centre of excellence in providing library and information services in agriculture and other disciplines.

Mission

To provide and promote most effective library and information services that maintain physical and virtual access to information resources in response to current and future user needs, using appropriately skilled, motivated and creative staff.

1.2 Situation analysis

Sokoine University of Agriculture is a key player in agricultural research in Tanzania. The University is privileged of having close to 500 researchers of whom more than 50% are PhD holders who are involved in various research activities. Over the years for example, various research programmes at SUA especially FOCAL, PANTIL, TARP II, and currently CCIAM and EPINAV have greatly contributed to generation of enormous research output at the university. On average, 400 theses and dissertations, 8 journals and 4 conference proceedings are generated at the University annually and deposited at SNAL. This is on top of an average of 150 journal articles that are published by SUA researchers annually in different journals beyond the University. The University boasts of having the largest agricultural library in the country which is manned by well qualified staff for managing the generated research output.

It should however be noted that most of the research output deposited at SUA is not readily accessible within and beyond the University environment. For example, grey literature including conference proceedings, research reports, extension materials as well as theses and dissertations are generated every year but have always remained on shelves in the library where they are not readily visible and accessible beyond the University environment. Also, some research results that have been published in journals or conference proceedings beyond the University are not necessarily widely accessible to indented users due to access restrictions. Therefore, there is a general problem of documenting, disseminating and sharing research output from SUA. At best, only bibliographic data in digital format is made publicly available through the library's Online Public Access Catalogues (OPAC).

Less visibility and accessibility of the SUA's research output is possibly contributing to the web ranking of the University as it is acknowledged that among other aspects, institutional research output visibility and accessibility on the web significantly contributes to rankings of respective universities (Abrizah, Noorhidawati and Kiran, 2010; Nisson and Kuluthuramayer, 2012). 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 Sokoine National Agricultural Library (SNAL) has developed an Institutional Repository (IR) so as to

enhance the documentation and sharing of research outputs and knowledge generated from various research initiatives at SUA.

1.3 Rationale of the Institutional Repository

The Institutional Repository (IR) is intended to provide a platform for capturing, storing and dissemination of agricultural and allied disciplines' research output at the University. The established repository conform to SUA's Corporate Strategic Plan (2011-2020) in which the establishment IR is emphasized to enhance the visibility of research output generated at the university. The SNAL Collection Development Policy (2011) also emphasizes the need for establishment of an institutional repository for preservation and perpetual access of university research output. SUA IR will provide an avenue for harvesting and depositing all kinds of research output (unpublished and published) emanating from SUA for improving the visibility as well as accessibility of such scholarly content. This will increase citation rates of research output and hence contribute to raising institutional research impact. Moreover, the repository will provide a secure, stable and long-term preservation of institutional scholarly output at a centralized locality contributing to reduction in duplication of research efforts. This Policy shall provide a mechanism to ensure that information and knowledge that is already available or generated at the university is easily accessible and utilised by the ended audience.

1.4 Policy Objectives

- i. To facilitate the management, accessibility to and dissemination of research output generated by SUA staff, students and other research collaborators
- ii. To contribute to literature available over the Internet
- iii. To increase the visibility of the University globally
- iv. To increase the visibility and promotion of research output of the University
- v. To encourage collaboration and sharing of scholarly content among members of academic staff and students within and outside the country

1.5 Policy Implementation Outcomes

- i. Enhanced mechanism for collection, management and dissemination of SUA's research output

- ii. Enhanced utilization of research output by agricultural stakeholders for informed policy decision making and socioeconomic development
- iii. Increased research impact of the University
- iv. Enhanced institutional visibility and international ranking of the University
- v. Enhanced collaboration and networking within and outside SUA
- vi. Improved library and information services

CHAPTER TWO: POLICY STATEMENTS AND IMPLEMENTATION GUIDELINES

2.1 Content

The SUA IR collection will focus on deposits of electronic scholarly content and selected administrative documents generated at the university.

2.1.1 Policy statement:

All materials deposited in the repository shall contain bibliographic details following the Dublin Core Metadata standard and the University shall strive to control quality of the deposited metadata.

Strategies:

- i. All materials in the repository will contain bibliographic details in accordance to established international standards.
- ii. The validity and authenticity of the content of submissions shall be the sole responsibility of the depositors
- iii. SNAL shall review all metadata records before they are allowed for public view

2.1.2 Policy statement

The SUA IR will host collections of different types of documents generated from respective communities that are deemed useful to the university and beyond.

Strategies:

- i. Collect and deposit a variety of scholarly content and administrative documents of institutional historical value including the following:
 - a. Journal articles (refereed, non-refereed, editorials, book reviews, letters etc.)
 - b. Conference papers (refereed, non-refereed, accepted abstracts, poster sessions and power point presentations).
 - c. University research project reports, dissertations, theses and dissertations, books, book chapters, technical reports, working papers and inaugural lectures.
 - d. Other materials as the need arise with an approval by the University SENATE and COUNCIL.

- ii. Ensure commercial contents including licensed software and books are preserved in the repository only if licenses from their publishers permit.
- iii. Ensure that all file formats are accommodated in the system but converted into PDF format for preservation.

2.2 Submission

It is mandatory for all SUA staff and registered Postgraduate students to immediately submit their peer reviewed research output into the repository. Copyright clearance is necessary for all the documents to be submitted in the repository before such content is made publicly accessible. Only the metadata will be made public for items with pending copyright clearance.

2.2.1 Policy statement

It is mandatory that all publications, articles and conference presentations by any SUA staff and/or Masters or Doctoral students are archived on SUA IR.

Strategies:

- i. Permission to deposit content into SUA IR shall be granted to members of the university community [staff or students].
- ii. All SUA staff shall be obliged to ensure their publications are submitted and deposited in the SUA IR
- iii. Students shall be obliged to submit the final copies of their theses or dissertations in electronic format to the DRPGS for inclusion at the repository
- iv. Online registration by depositors shall be mandatory they are permitted to deposit content into the repository.
- v. Quality control shall be enforced to ensure only acceptable content is submitted into the repository
- vi. Articles from journals published/hosted at SUA shall be deposited into SUA IR immediately upon publication or after six months or one year depending on editorial board decision.

2.3 Intellectual Property Rights

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

2.3.1 Policy statement

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

Strategies:

The depositors shall:

- i. Grant the University a non-exclusive right to reproduce, publish, communicate, and distribute the material for the purpose of making it available to end-users and to exercise the copyright in such work via its IR
- ii. Ensure that submitted work does not contain any illegal component or pose threat to national security.
- iii. Ensure that material to be commercialized, or which contains confidential information or of which making it publicly known would infringe a legal commitment by the University and/or author, should not be included in the repository
- iv. Avoid signing any copyright transfer agreement with publishers that is against the SUA Intellectual Property Rights policy or deny subsequent inclusion of their research output in SUA IR
- v. Strive to publish in open access journals first before a consideration of commercial journals

SNAL shall:

- i. Ensure that guidance on copyright arrangements and publishers' policies are available at the repository web site
- ii. Make every endeavour to ensure that no conditions of copyright are contravened by depositing items into the repository.
- iii. Check kinds of limitations, if any, attached to the article in accordance with the publisher's terms.
- iv. Ensure submitted work is withdrawn if there is evidence of plagiarism or offensiveness to the public order and morals.

- vi. Ensure that IR content is only made publicly available upon certifying copyright clearance by publishers.

2.4 Access

The University is committed to provide unlimited access to content in the repository. However, this applies only to material housed on servers maintained directly or under contract by the University. SUA shall, where required, apply restrictions to access content in accordance with the University policies and publishers' requirements.

2.4.1 Policy Statement

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

Strategies:

- i. All content in the repository shall contain metadata which will be made freely available for harvesting by most common search engines.
- ii. Permission shall be granted for re-use of metadata in any medium for not-for-profit purposes provided the OAI identifier or a link to the original metadata record is given.
- iii. The metadata shall not be re-used in any medium for commercial purposes without prior formal permission from copyright holders.

2.4.2 Policy Statement

The University shall ensure unlimited access to full text scholarly content through its institutional repository so long as such content have copyright clearance and not used for commercial purpose.

Strategies:

- i. The material in the repository shall be made freely accessible for non-commercial purposes via the repository's web site and most common search engines.
- ii. The repository shall maintain three types of user access levels; administrative restricted access level, SUA community restricted access level and unrestricted (global) access level.
- iii. The Vice Chancellor shall waive application of the policy for particular content (e.g. pending application for patents) upon written notification by the author.

- iv. Research outputs shall be accessed free of charge through the IR web interface or internet based search engines.
- v. Commercial deposits including licensed software and books shall be granted different access levels depending on the licensing and distribution requirements by their respective publishers.
- vi. SNAL and CC shall ensure that the repository is continuously accessible and readable through routine maintenance of the IR system and the LAN.

2.4.3 Policy Statement

The University shall ensure restricted access to documents that are not meant for the public.

Strategies:

- i. Administrative documents that are not meant for the public shall be given restricted access at administrative level and shall be accessed only by users at the University management level identified and registered by SNAL.
- ii. Some of the administrative documents including policies and guidelines, speeches and committee reports shall be given a restricted access at the University community level and shall be accessed by authorized members only.

2.5 Preservation

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

2.5.1 Policy Statement

The University shall be committed to long term preservation of its research outputs for institutional heritage.

Strategies:

- i. SUA IR shall preserve each scholarly deposit in the form of metadata and the actual data (contents).
- ii. New versions shall be deposited as new items while hiding old versions from the public view.
- iii. SNAL and CC shall ensure continued readability and accessibility by converting or migrating file formats, developing and implementing software emulations for old file formats, and maintaining a full archive backup.

2.6 Withdrawal

The policy shall accommodate provisions for withdrawal of the submitted repository content. This can be due to policy breach or legal requirements or to accommodate complaints received from a third party. In such circumstances, good practice is to immediately embargo the content, investigate the issue and restore public access to content once all parties have been informed and the issues resolved.

2.6.1 Policy Statement

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

Strategies:

- i. Metadata for withdrawn items shall be retained in the IR while the contents will be hidden from public view or permanently deleted from the repository if there is a legal requirement to do so.
- ii. Any changes to the deposited item shall not be permitted, but an updated version may be deposited and the earlier version withdrawn from public view on request.

2.7 Funding and Sustainability of SUA IR

Sokoine University of Agriculture shall remain committed to funding the IR activities for perpetual growth and accessibility.

2.7.1 Policy statement

SUA IR activities shall be mainstreamed within SNAL mandate for sustainability purpose.

Strategies:

- i. The repository activities shall be streamlined in normal library services for sustainability purpose
- ii. The University shall provide financial support in terms of infrastructure, human resources and other operational costs for SUA IR.

2.8 Disclaimer

The University shall remain committed to disseminating the fruits of its research and findings as widely as possible via its institutional repository. The University seeks to ensure the quality of the bibliographic records of the research outputs such as metadata, while the content shall remain the sole responsibility of the author. Thus, SUA shall bear no liability for the damage of using its deposited works in the repository.

2.8.1 Policy statement

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

Strategies:

- i. All depositors must agree to policy and guidelines of the IR before depositing their content.
- ii. The authenticity of the content deposited to this IR shall be the responsibility of the authors
- iii. Repository administrators shall check all items for authors' eligibility, relevance to the repository content policy, valid layout and the exclusion of spam.

CHAPTER 3: IMPLEMENTATION FRAMEWORK, MONITORING AND EVALUATION

3.1. Implementation framework

The implementation of SUA IR Policy will be institutionalized within the organization structure of SUA. The policy will be coordinated by SNAL Board which shall be headed by the library Director, assisted by the Deputy Director. The Director shall report to the SNAL board on all IR policy matters. The Senate shall be requested to approve any changes that may be made to the policy before endorsement by the University Council. The following shall be responsibilities of various parties across the university:

3.1.1 SNAL Director

The SNAL director shall take day to day responsibility of the IR. The following are important IR operational activities of SNAL:

- i. Coordinating all activities related to SUA IR management
- ii. Collecting scholarly content such as theses and dissertation, research reports, conference papers from faculties/directorates/institutes of the university and other agricultural research centres
- iii. Digitize and deposit collected content into the IR
- iv. Assist Members of academic staff, students and other content depositors into the IR
- v. Day to day management and maintenance of IR including copyright compliance, software support and Open Access Initiative (OAI) or internet harvesting protocols compliance
- vi. Creating staff profiles in the SUA IR system, as well as making possible links in the repository with the published research outputs in collaboration with the Computer Centre (CC)
- vii. Verifying online submissions, validating and enhancing associated metadata and ensuring research outputs are accurately displayed online.
- viii. Creating awareness and conducting training to SUA Members of academic staff and students on the use of the IR system in collaboration with the Computer Centre
- ix. Report IR management developments to the SENATE research and publications committee

3.1.2 The Computer Center (CC) and SNAL shall jointly be responsible in:

- i. Managing and maintaining software, hardware and network infrastructure of the repository
- ii. Routine backup of the Repository.

3.1.3 The Directorate of Research, Publications and Postgraduate Studies (DRPGS) shall be responsible to:

- i. Ensuring respective members of academic staff are aware of their obligations to submit research outputs to the SUA IR
- ii. Ensuring that postgraduate students submit the electronic copies of their dissertations and theses to the established IR.

3.1.4 All Deans/ Directors/Heads of departments shall be responsible to:

- i. Ensuring that all members of staff submit their research output be in print or electronic version to the IR
- ii. Ensuring that all postgraduate students submit the electronic copies of their research reports to the established IR.

3.1.5 Communities

All University Faculties/Directorates/Institutes/Centres shall be named as SUA – IR communities. Each community shall form IR committee comprised of members of research and publications committee of the respective members of academic staff/Directorate/Institute/Centre.

Community IR Committees shall have the following responsibilities:

- i. Coordinating IR activities within their faculties, directorates, institutes and centres
- ii. Notifying SNAL of organizational changes affecting submission
- iii. Observing University policies relevant to SUA-IR, and educate community submitters regarding these policies
- iv. Ensuring credibility of the deposited information into the IR

3.2 Monitoring and evaluation

Monitoring and Evaluation (M&E) mechanisms shall be part and parcel of the SUA IR implementation. SNAL Board will work together with other stakeholders in the M&E of the policy activities. The Library Board will develop indicators to be used for M&E of the policy.

3.3 Policy review

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

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