Keys to Success: Repository Policies and Copyright Management

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Overview

- Implementing the QUT Eprint Repository Policy
- Managing Copyright
- OAK Law Project update
- Other relevant copyright-related developments
Implementing the QUT Eprint Repository Policy

- So far at QUT, we have used the policy to gently “lever” authors into action rather than use it as a “big stick”
Implementing the QUT Eprint Repository Policy

• Self-archiving is being embedded into the normal research process
  – Small grant research project reporting
  – PG student training
  – Research supervisor training
  – Office of Research publication data collection
Implementing the QUT Eprint Repository Policy

• Explaining the policy to academics:
  – “The policy shows that self-archiving is highly valued by the University”
  – “It encourages the Executive Deans, Centre Directors and Heads of School to provide RA or admin support for eprint depositing”
  – “It helps to gain the cooperation of the journal publishers”
Managing Copyright Issues

- Unpublished materials
  - Conference papers
  - Reports
  - Working papers

- Published materials
  - Journal articles
  - Conference papers
  - Book & Book chapters
Unpublished Materials

- Unpublished
  - Conference papers
  - Reports
  - Working papers
  - Theses

- Authors could consider using a Creative Commons Licence
Applying a Creative Commons Licence

- Microsoft and Creative Commons have teamed up to create a copyright licensing tool that enables the easy addition of Creative Commons licensing information to works in popular Microsoft® Office applications such as:
  - Word
  - PowerPoint
  - Excel

http://www.microsoft.com/downloads/
For more information on CC licences for eprints, see Roger Clarke’s 2005 papers:

- A proposal for an open content licence for research paper (Pr)ePrints.

- A Standard Copyright Licence for PostPrints
Published Materials

- journal articles
- conference papers
- books
- book chapters
Journal Articles & Conference papers

• Decisions that need to be made:
  – Which version(s) will you encourage authors to deposit?
  – Who will be responsible for checking the publisher’s policy on open access?
Which version(s)?

Publisher copyright policies & self-archiving

Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.

Search

Enter one or more keywords from the publisher's name:

- Any
- All
- Keywords
- Exact phrase

Find:

- Search

Or view all publishers

This information is based on the publishers' listings produced by the ROMEO project.

It is updated by community contributions - please submit any updates using the link provided on the search results pages.

If a publisher is not listed here you may wish to recommend that we include it.

http://www.sherpa.ac.uk/romeo.php

130 publishers (8022 journals) allow at least one version to be self-archived.
Which version(s)?

- 8 publishers currently allow open access to the copy-edited (published) version
- 116 publishers allow open access to the postprint (final corrected draft) version
  - Includes all the major publishers; Elsevier, Blackwell, Springer, Wiley, Taylor & Francis, Sage, OUP
- 6 publishers only allow the preprint to be used
Which version(s)?

• The QUT Eprint Repository Policy requires deposit of:

“refereed research articles and contributions; at the post peer review stage (the accepted draft also referred to as the postprint)”
Which version(s)?

Rationale for requesting the postprint version

• unambiguous instructions for depositors
• ensures that you are have a version that, in most cases, can be made open access
• the Library can generally access the publisher’s PDF later but not the postprint version
Which version(s)?

Acceptable file formats
- PDF, html, Postscript, Word?
- If you want to collect postprint versions, you may need to be prepared to do the file conversion from Word to PDF
Is the postprint version good enough?

• Add a note that this is the “author-version” of the work so there is no confusion.

• Link to the published version

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This is the authors' version of a paper that was later published as:


Full text available as: [PDF (Author-version)](http://www.sciencedirect.com/science/journal/13861425) - Requires Adobe Acrobat Reader or other PDF viewer.

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CRICOS No.00213J
Who will be responsible for checking the publisher’s policy on open access?

- **Authors / depositors?**
  - Authors *should* know what rights they have retained (but most don’t)
  - Concerns about copyright and the time/effort required to check the policy are major disincentives to potential depositors

- **Repository staff?**
  - Requires extra work but there are economies of scale
  - It is also likely that repository staff would confirm the publisher’s policy so why check twice?
Managing the checking process

• Locate journal website & identify the publisher
• Consult list(s) of publisher policies (eg Sherpa)
• Restrict access to the full-text file where:
  • an embargo period applies
  • the publisher does not support self-archiving
  • publisher’s PDF deposited and open access to this version not supported
  • the publisher’s policy is unknown
• Move eprint record to public site
What if publisher’s policy is unknown?

• Create a generic email query seeking “confirmation that authors retain the right to self-archive their own version of the work”

Most academic journal publishers, now routinely allow their authors to self-archive the final draft of their articles (not the publisher's pdf) even though they have transferred copyright in the article to the publisher. This includes Elsevier, Blackwell, Sage, IEEE, Wiley, Springer, Taylor & Francis and many others. See: [http://romeo.eprints.org/publishers.html](http://romeo.eprints.org/publishers.html) In a minority of cases, the publisher may request a post-publication embargo of between 6-12 months before the fulltext author-version of the paper is openly accessible.

I could not find any information on your web-site indicating the rights retained by your authors. Could you please clarify the situation?

Q1. Do your authors retain the right to self archive their final draft version to their institutional eprint server?

Q2. Are there any conditions that must be observed (eg embargo periods) or notices to be included?

Please advise
Books & Book Chapters

- Commercially published books
  - Treat same as restricted access journal articles
  - Restrict access to the full-text but allow open access to the metadata
  - Link to the publisher’s website
Books & Book Chapters

- Non-commercial, Government or University publications
  - Treat same as unknown publisher policies, send email permission request
  - Restrict access until permission received
Managing the restricted items

For all restricted items
- Link to published version *and* refer to the author’s contact details

For embargoed items:
- Create a system that will prompt you to adjust the access level when the release date arrives
On the horizon…….
The DEST-funded OAK Law Project Aims to facilitate open access to publicly funded research by producing:

- Legal protocols that can be used to facilitate open access to copyright material
- Legal solutions in the form of guidelines on best practice models for managing copyright issues in open access environments

http://www.oaklaw.qut.edu.au/
• Gathering information about rights retained by authors from publishers that are not listed on SHERPA (collaborating with the Sherpa Team)
  – If the existing publishing agreement is restrictive, a dialogue will be established
  – A searchable database of information about publishing agreements / policies will be created

• Developing a clear set of guidelines and protocols for managing the copyright issues that relate to digital theses.
Development of a web-based copyright ‘toolkit’ for authors, publishers and repository managers

- Model publishing agreements
- checklists
- Model licences (e.g. repository deposit licences)
- Procedures for dealing with infringement claims
Other developments:

- Academic authors are becoming increasingly reluctant to sign away all their rights

Esther Hoorn & Maurits van der Graaf (2006)

http://www.dlib.org/dlib/february06/vandergraaf/02vandergraaf.html
• There is a growing interest in alternative options such as:
  – publication agreement addenda
  – “Licence to Publish” as alternative to copyright transfer
Science Commons Author Addenda

- **The OpenAccess-CreativeCommons**
  - post the published version immediately
  - grant others a Creative Commons "Attribution Non-Commercial" license to use the article.

- **The OpenAccess-Publish**
  - post the published version immediately

- **The OpenAccess-Delay**
  - post the author’s final manuscript version immediately
  - post the published version six months after publication

http://sciencecommons.org/literature/scholars_copyright
Development of a “common” Licence to Publish

• Development of a “common” Licence to Publish that has the backing of major funding bodies and research institutions

• General Principles:
  – Academic re-use
  – Author retains copyright
  – Optional embargo period of up to 6 months on access to the published version of the work

• Advantages:
  – Provides protection against publishers backing away from support for self-archiving
  – Commercial services could be applied to repository content
Summary

• The keys to success, in terms of implementing a repository policy
  – embed deposit to IR into the research process
  – simplify the deposit process
  – ask senior staff to reward and provide support

• The keys to success, in terms of managing copyright
  – provide help with the rights checking / permission seeking
  – provide support and encouragement to authors who wish to retain some of their rights