San Jose State University

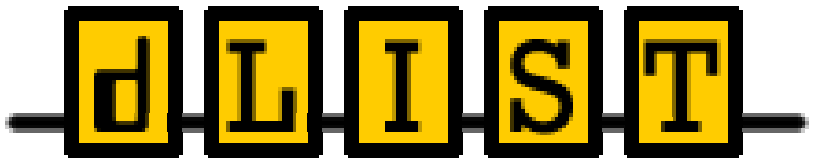
From the SelectedWorks of Anita S. Coleman

January, 2005

Copyright Transfer Agreements in an Interdisciplinary Repository

Anita S. Coleman, *University of Arizona*
Cheryl K. Malone, *University of Arizona*
Jingfeng Xia, *University of Arizona*
Shawn Nelson, *University of Arizona*

Available at: https://works.bepress.com/anita-coleman/88/



Copyright Transfer Agreements in an Interdisciplinary Repository

Cheryl Knott Malone, Anita Coleman, Jingfeng Xia, & Shawn Nelson

School of Information Resources & Library Science

University of Arizona, Tucson, AZ, USA

Email: dlist@email.arizona.edu

Poster Presented at ALISE 2005 Annual Conference, Boston, Mass. USA

Abstract

- Intellectual property concerns present a barrier to researchers' willingness to deposit their publications in institutional and cross-institutional interdisciplinary repositories. Researchers may avoid depositing because they are unsure of the terms of the Copyright Transfer Agreement (CTA) they signed and they may not have ready access to the signed paper copy to check it. One possible solution to the problem is to make CTAs available as digital objects within the repository so that researchers can quickly locate and read them on a just-in-time basis. This is the approach the Digital Library of Information Science and Technology (DLIST) recommends (Hornbaker, 2003; ROMEO; SHERPA). In trying to build this repository of CTAs for LIS (an interdisciplinary field) questions have come up regarding the harvesting of CTAs; the need for metadata indicating when different versions of each publisher's agreements were in force; and the meaning of CTA terms and clauses for the layman. This poster presents the efforts being made to include in the DLIST repository a collection of journal CTAs that researchers can quickly check on for accurate rights information as they are making the final decision to deposit their work.
- Publisher copyright policies with regard to self-archiving were first collected by the UK project ROMEO (Rights Metadata for Open archiving) and are now maintained by SHERPA (Securing a Hybrid Environment for Research Preservation and Access). Their statistics note that 35% of the 100 or so publishers considered do not formally support self-archiving while 45 % support pre- and post-print archiving. As the poster will indicate, our work builds upon but also differs from that of SHERPA and ROMEO.

Contextual Background

1. Scholarly Communication: Intellectual Property concerns, primarily copyright, have been identified as a barrier to self-archiving. Copyright Transfer Agreements (CTA) are a rich source of rights information related to archiving.
2. Digital Repositories: Digital Library of Information Science and Technology, an Open Access Archive (OAA) for Library and Information Science and Technology; a cross-institutional disciplinary repository for the Information Sciences that focus on cultural heritage institutions such as Archives, Libraries, and Museums and across disciplines.

Methods Used (1st phase)

Focus on publishers

1. Collected CTAs from approx. 150 Library & Information Science journals.
2. Analyzed the CTAs for the rights allowed to authors for self-archiving; noted distinctions among distribution rights and types of archiving allowed; identified challenges.
3. Developed a proof-of-concept web-accessible database of CTAs for further, longitudinal analysis.

Sample Rights statement from a CTA

“Publisher hereby grants Author a royalty-free, limited license for the following purposes, provided the Work is always identified as having first been published by Publisher…”

CTA Repository Metadata

Journal title: The Acquisition Librarian

Publisher: The Haworth Press, Inc.

Full-text CTA URL: -

Year Downloaded: 2004

Last Update: Unknown

Intellectual Property Rights this journal allows authors:

See Section 1. (c) - "Author retains pre-prints rights ..."

Above: Sample database record for LIS-CTA repository

Challenges and Questions

1. What metadata should be included to indicate when different versions of each publisher's agreements were in force?
2. How should CTA terms and clauses, including those that allow self-archiving in institutional repositories, be interpreted and by whom?
3. Are CTA themselves copyrighted works?

CTA Analysis – Self-archiving

Four basic archiving positions appear to exist regarding an author's ability to self-archive:

1. *Author cannot archive by Publisher rule*
2. *Author can archive pre-print and post-print*
3. *Author can archive pre-print (ie pre-refereeing)*
4. *Author can archive post-print (ie final draft post-refereeing)*

Preliminary Conclusions – About Self-archiving

1) *Not only what can be self-archived – where it can be self-archived is important but often neglected;*

   For example, posting on personal website is considered self-archiving. For the LIS domain which has improving "access" as a core disciplinary value, the self-archiving behavior is itself important to cultivate. That is, self-archiving in an open access archive subject or institutional and not just on an unstructured webpage.

2) *CTAs are being adapted rapidly; new conditions and restrictions emerging related to the what and where*

Other Rights

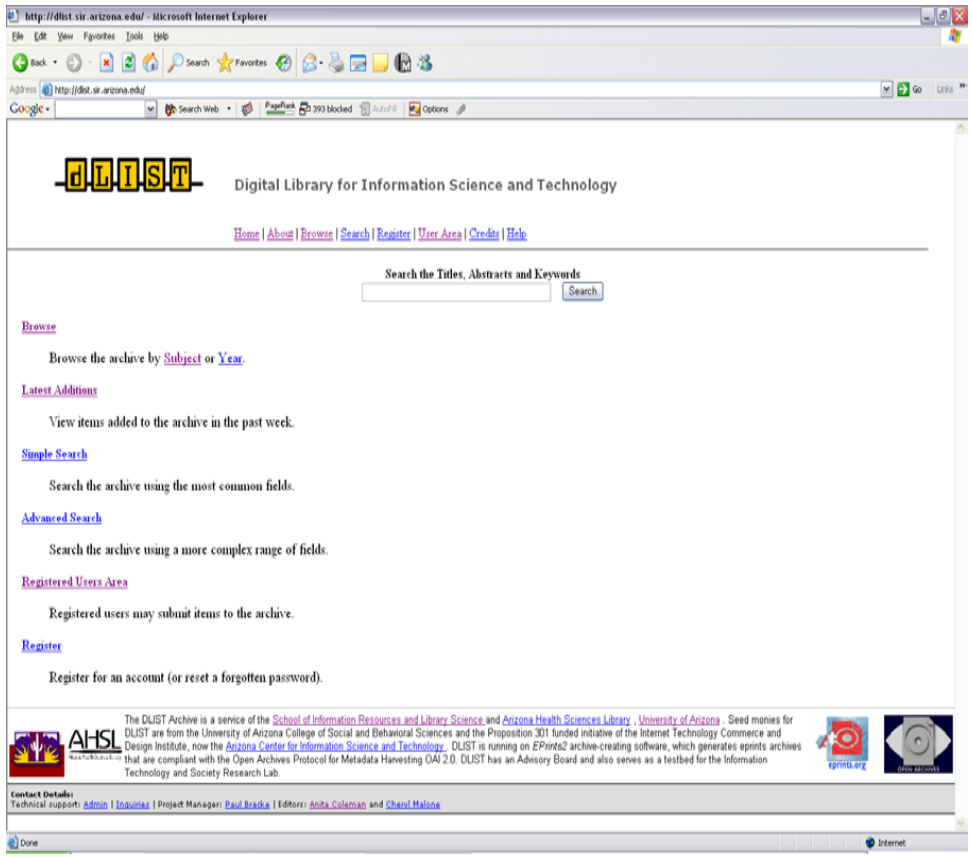
- Studies and writers in the area reveal that authors/scholars care about the following rights:
  - Re-Use (freely re-use their own work for teaching – I.e. seek no permissions or pay)
  - Distribution (free re-distribute their work to colleagues/the few who are aware want their works available openly on WWW; and others are specific about availability in an OAA)
  - Moral (are worried about “mis-use” or use in a manner they don’t approve)

Next steps (2nd phase) Focus on authors

- Survey of LIS academics current practices, behaviors, and experiences (fall 2005)
- Complete CTA development and analysis (fall 2005)
  - Seeking an LIS or other IS publisher sponsor; learned/professional society publisher or commercial publisher - ongoing
  - Expand the list of LIS journals to ensure that all ISI-ranked publications in the Library Science and Information Science categories are included in our CTA database; include peer-reviewed open access journals in LIS – spring 2005
  - Refining the RoMEO "green" categories to reflect both the *what* and *where of self-archiving for LIS journals*

DLIST – And Interdisciplinary repository

Below: Home page of DLIST (cross-institutional repository) for LIS and IT – http://dlist.sir.arizona.edu/



References

- DLIST. http://dlist.sir.arizona.edu/
- Hornbaker, W. (2003). Author Agreements in LIS Journals, DLIST IP Internship documents. http://dlist.sir.arizona.edu/pubs/bill/agree1a.html
- ROMEO studies. http://www.lboro.ac.uk/departments/ls/disresearch/romeo/
- SHERPA publisher policies (from RoMEO). http://www.sherpa.ac.uk/.
- Swan, A & Brown, S. Journal Authors Survey. 2004.

URL: http://www.jisc.ac.uk/uploaded_documents/JISCOAReport1.pdf

Notes

- Eprints Self-archiving FAQ. http://eprints.org/self-archiving/
- RoMEO studies 4. http://dlist.sir.arizona.edu/646/
- Publisher Copyright Policies and Self-archiving: SHERPA. http://www.sherpa.ac.uk/romeo.php
- DLIST CTA prototype. Email the lead author.

dLIST
Digital Library of Information Science & Technology