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Copyright Transfer Agreements in an Interdisciplinary Repository

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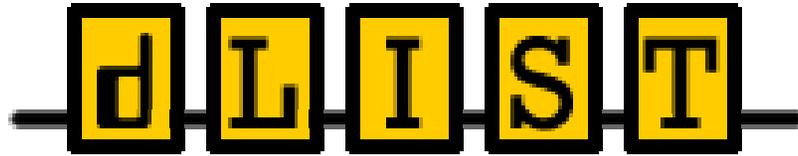
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Shawn Nelson, *University of Arizona*



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



Copyright Transfer Agreements in an Interdisciplinary Repository

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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)

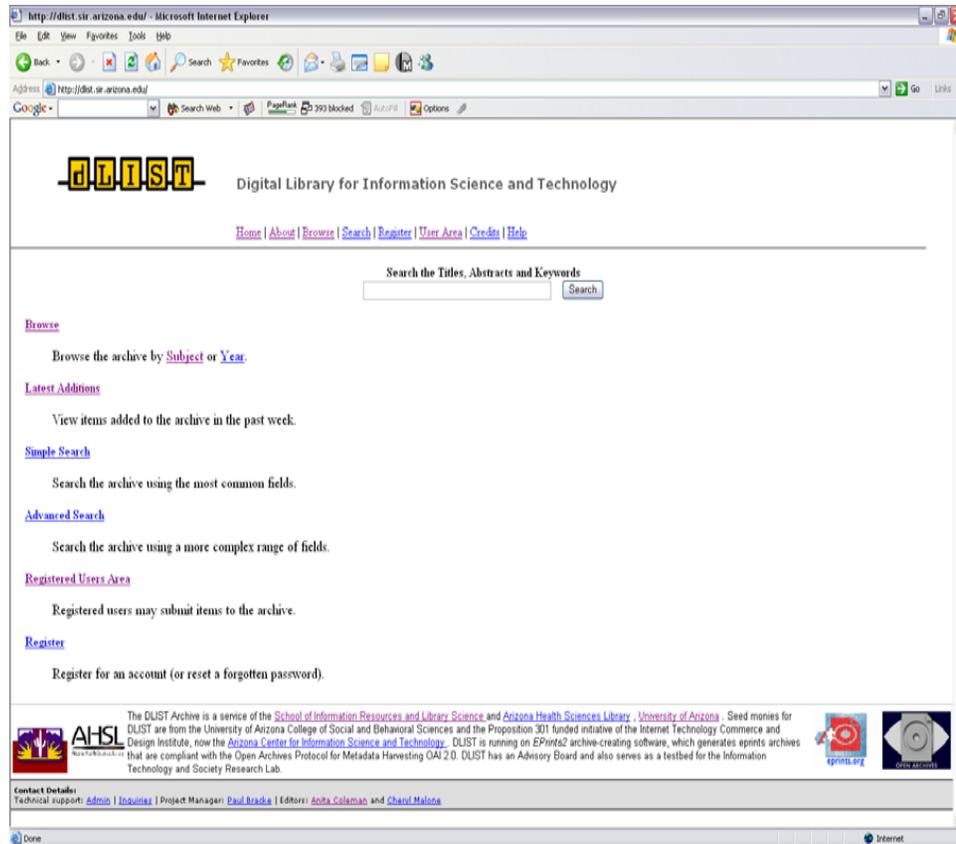
Next steps (2nd phase)

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/>



The screenshot shows the home page of the Digital Library for Information Science and Technology (DLIST) in a Microsoft Internet Explorer browser window. The address bar displays <http://dlist.sir.arizona.edu/>. The page features the DLIST logo, which consists of the letters 'd', 'l', 'i', 's', 't' in a stylized, blocky font. Below the logo is the text "Digital Library for Information Science and Technology". A navigation menu includes links for [Home](#), [About](#), [Browse](#), [Search](#), [Register](#), [User Area](#), [Credits](#), and [Help](#). A search box is present with the placeholder text "Search the Titles, Abstracts and Keywords" and a "Search" button. The page is organized into several sections: "Browse" with sub-links for "Subject" and "Year"; "Latest Additions" with a description of items added in the past week; "Simple Search" for common fields; "Advanced Search" for more complex queries; and "Registered Users Area" for submitting items. A "Register" link is provided for account creation. The footer contains the AHSL logo and a detailed description of the archive's funding and software, along with contact information for technical support, project managers, and editors.

DLIST Digital Library for Information Science and Technology

[Home](#) | [About](#) | [Browse](#) | [Search](#) | [Register](#) | [User Area](#) | [Credits](#) | [Help](#)

Search the Titles, Abstracts and Keywords

[Browse](#)

Browse the archive by [Subject](#) or [Year](#).

[Latest Additions](#)

View items added to the archive in the past week.

[Simple Search](#)

Search the archive using the most common fields.

[Advanced Search](#)

Search the archive using a more complex range of fields.

[Registered Users Area](#)

Registered users may submit items to the archive.

[Register](#)

Register for an account (or reset a forgotten password).

The DLIST Archive is a service of the [School of Information Resources and Library Science](#) and [Arizona Health Sciences Library](#), [University of Arizona](#). Seed monies for DLIST are from the University of Arizona College of Social and Behavioral Sciences and the Proposition 301 funded initiative of the Internet Technology Commerce and Design Institute, now the [Arizona Center for Information Science and Technology](#). DLIST is running on [EPrints2](#) archive-creating software, which generates eprints archives that are compliant with the Open Archives Protocol for Metadata Harvesting OAI 2.0. DLIST has an Advisory Board and also serves as a testbed for the Information Technology and Society Research Lab.

AHSL Arizona Health Sciences Library

Contact Details:
Technical support: [admin](#) | [Inquiries](#) | Project Manager: [Paul Brada](#) | Editors: [Anna Coleman](#) and [Cheryl Malone](#)

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>
- ROMEIO studies.
<http://www.lboro.ac.uk/departments/ls/disresearch/romeio/>
- 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.

D L I S T

Digital Library of Information Science & Technology