

6-1-2010

A Survey of Copyright Workflows for Institutional Repositories (poster session)

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Presented at the Annual Conference of the American Library Association, Washington, D.C., June 2010

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ASKING FOR PERMISSION:

Introduction

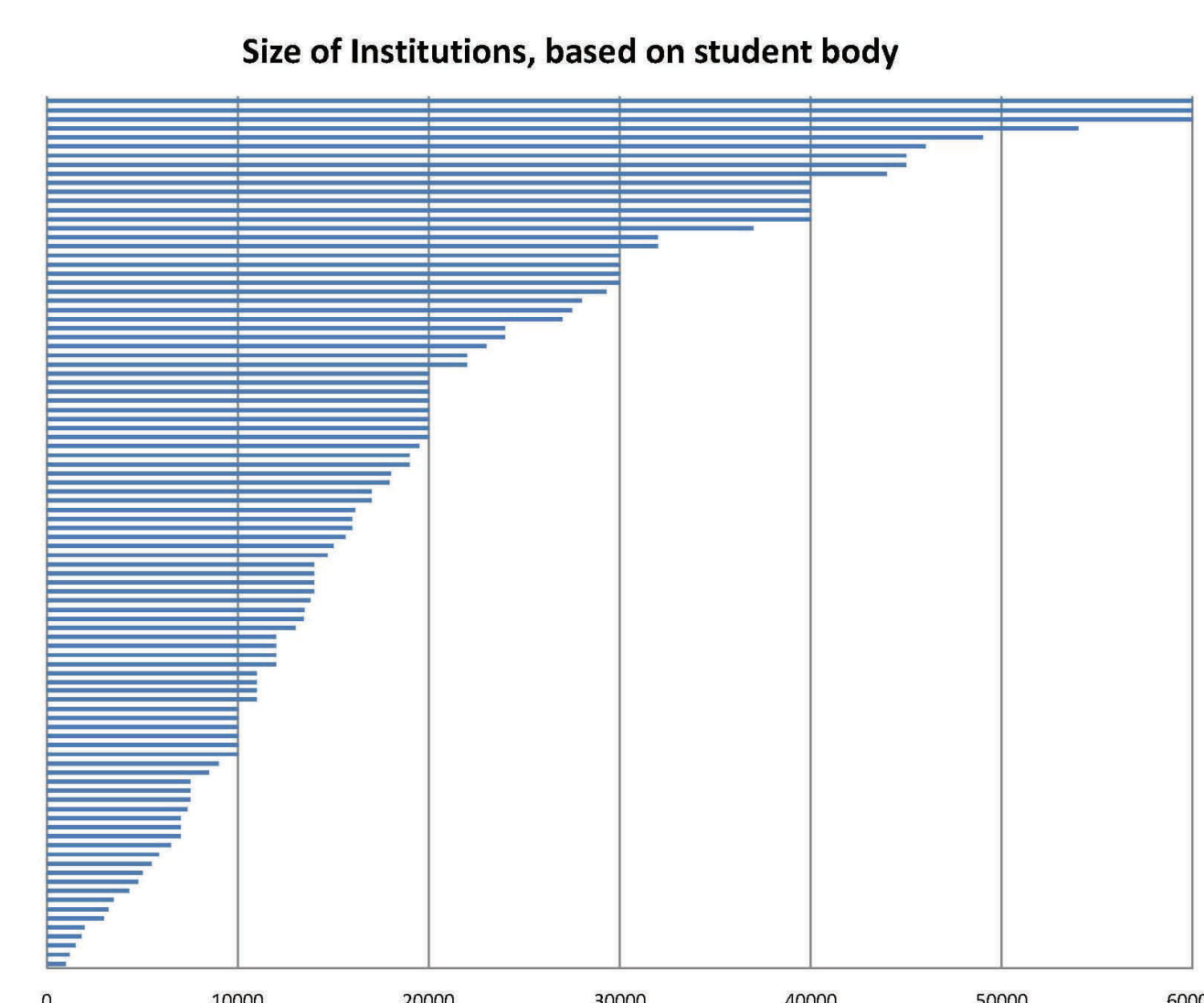
Many institutional repositories (IRs) provide open access to published work. The authors of those works typically transfer copyright or exclusive distribution rights for their work to their publisher. This means the author cannot themselves grant permission for deposit in the IR; rather permissions must be secured from the publisher.

In Fall 2009, the authors conducted a survey of institutional repository managers to gain a clearer understanding of the staffing, resources, activities and tools employed to clear copyright for published work, with the intent to deposit into an IR.

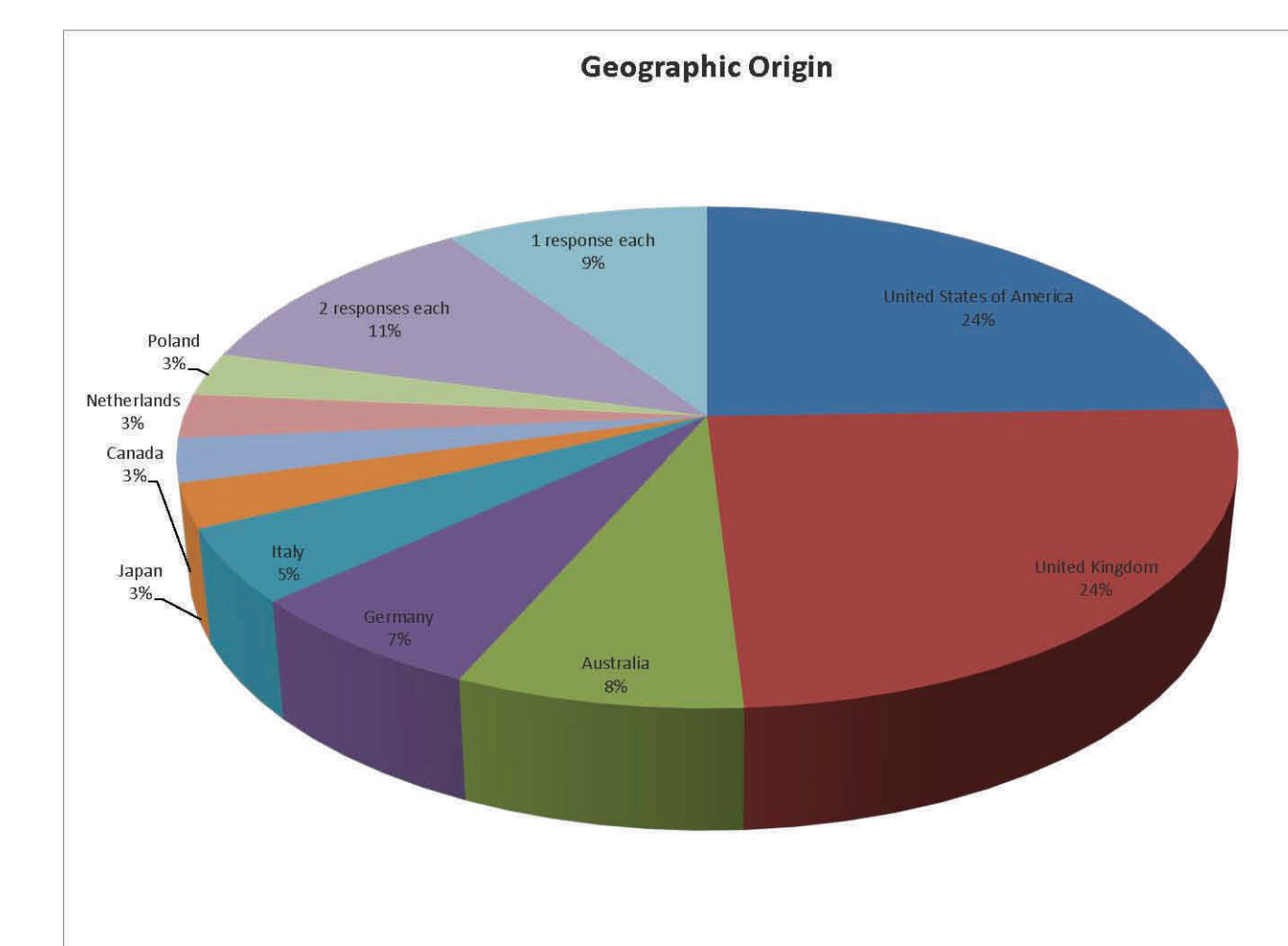
methodology

- Survey invitations were emailed to 778 IR managers via the OpenDOAR email service
- Repositories contacted met the OpenDOAR parameters of content type = articles and repository type = institution
- 121 completed survey responses from 25 countries were collected on a secure website from October 12 - November 12, 2009

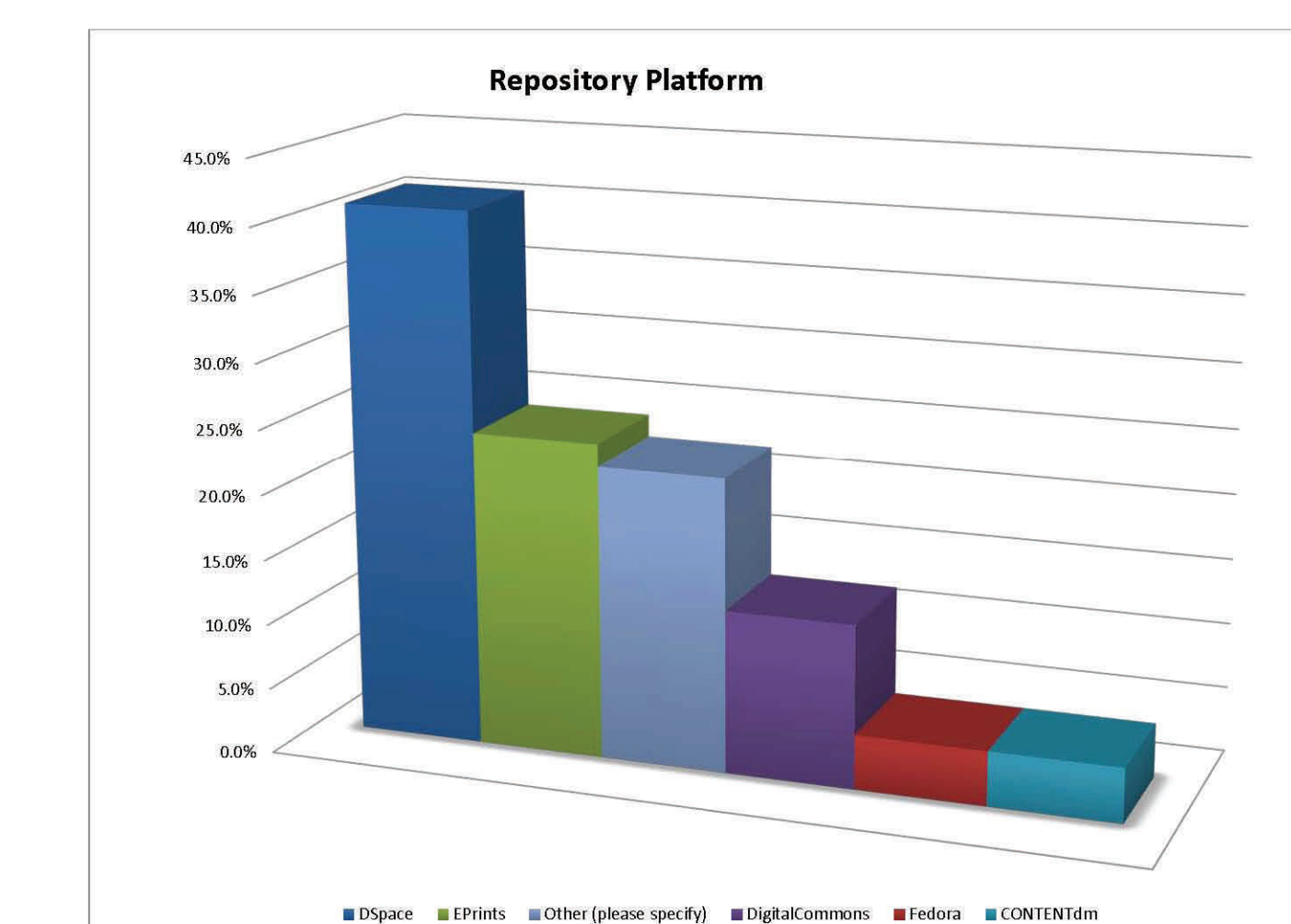
demographics



The enrollment of the institutions surveyed ranged from several hundred students to several thousand students, as demonstrated above.



Almost half of all respondents were from institutions in the U.S.A. or the U.K. Only 8 respondents were from institutions in Asia and one from Africa (South Africa).



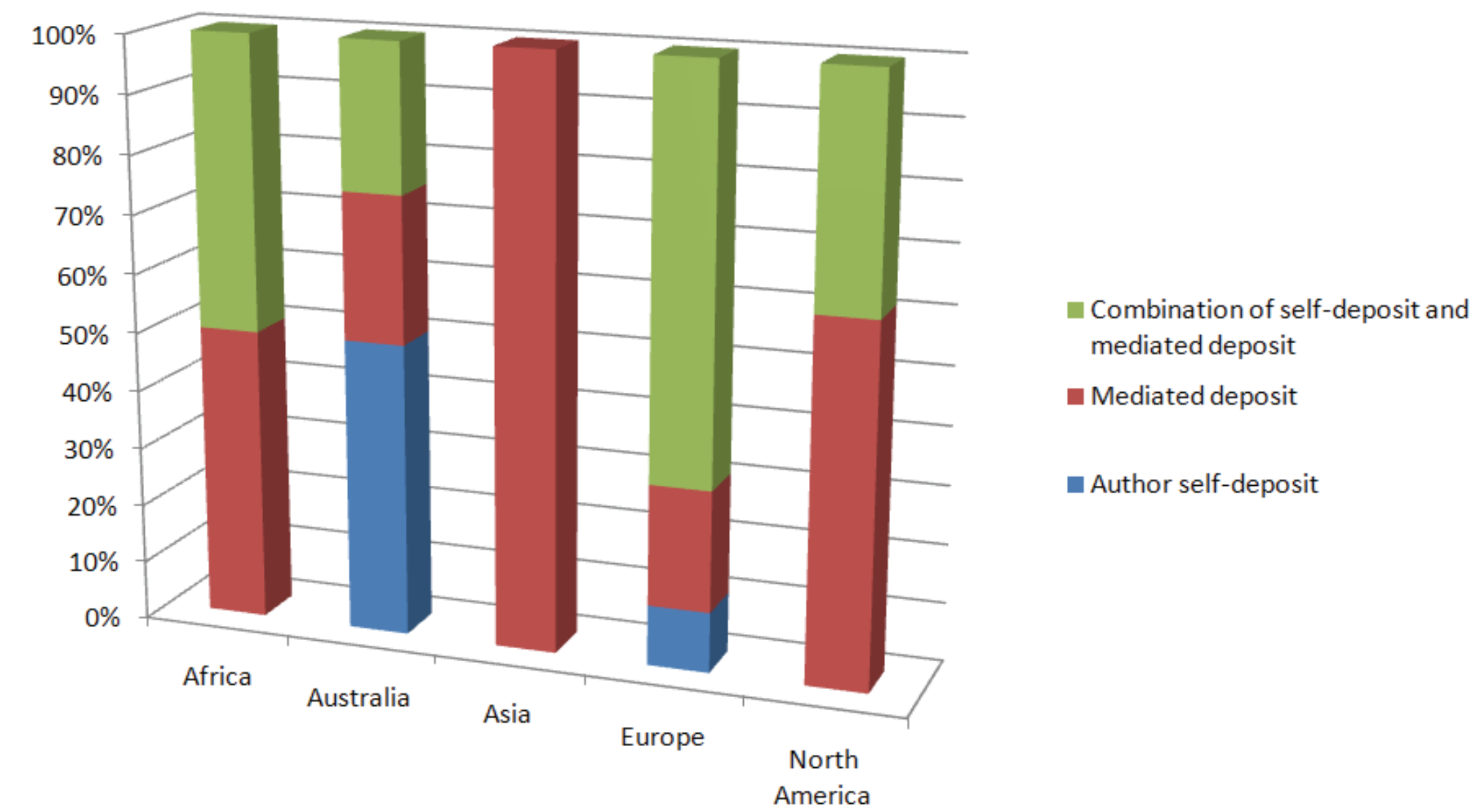
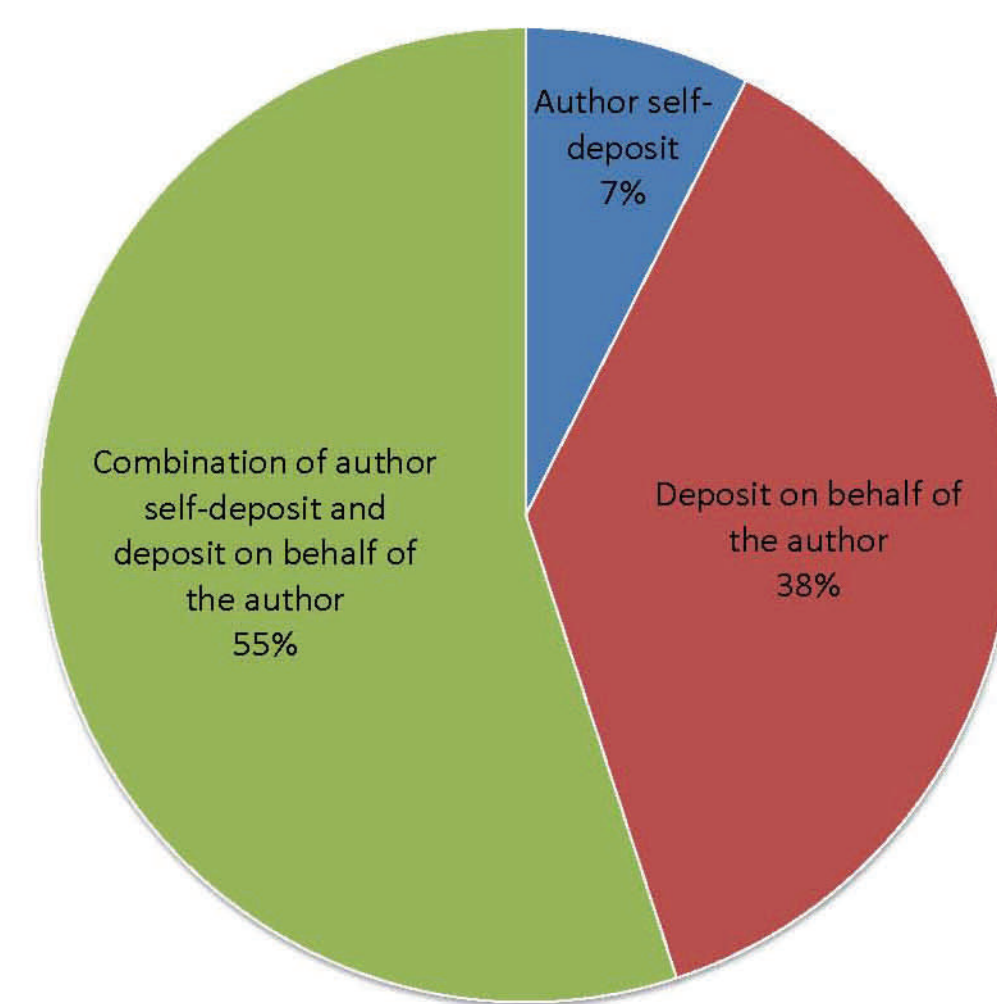
D-Space was the most widely used platform among respondents. In the Other category, 32% used in-house IR systems. ETD-db, OPUS, and CDS-Invenio were also reportedly used.

A SURVEY OF COPYRIGHT WORKFLOWS FOR INSTITUTIONAL REPOSITORIES

repository models

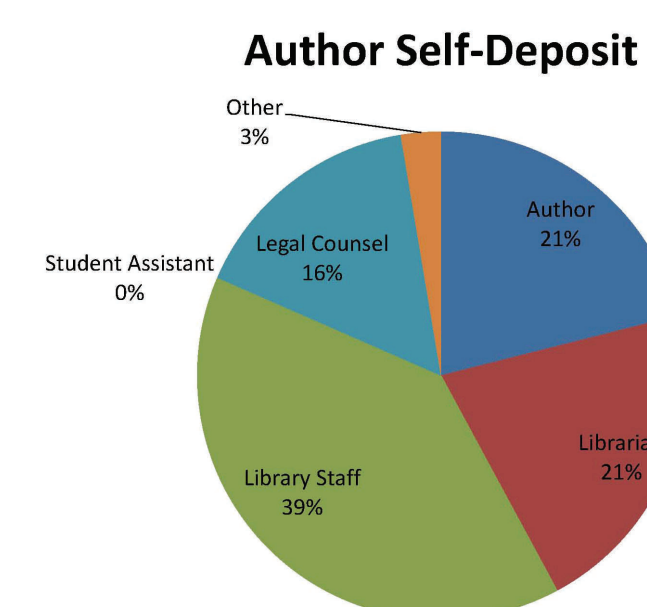
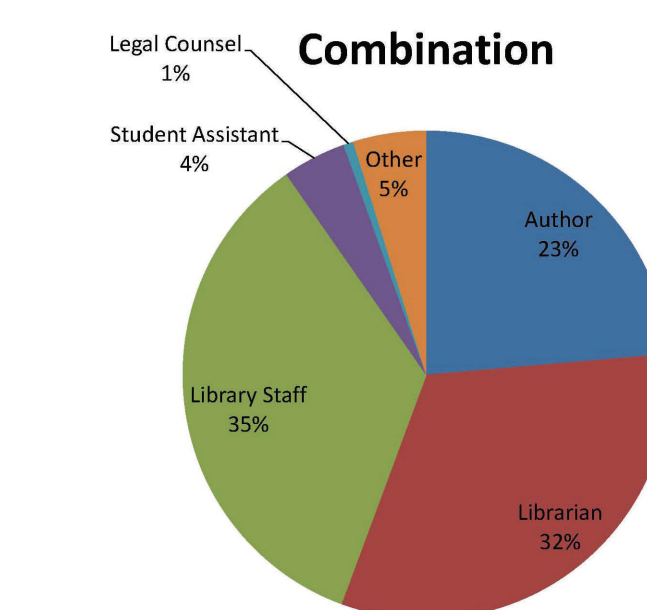
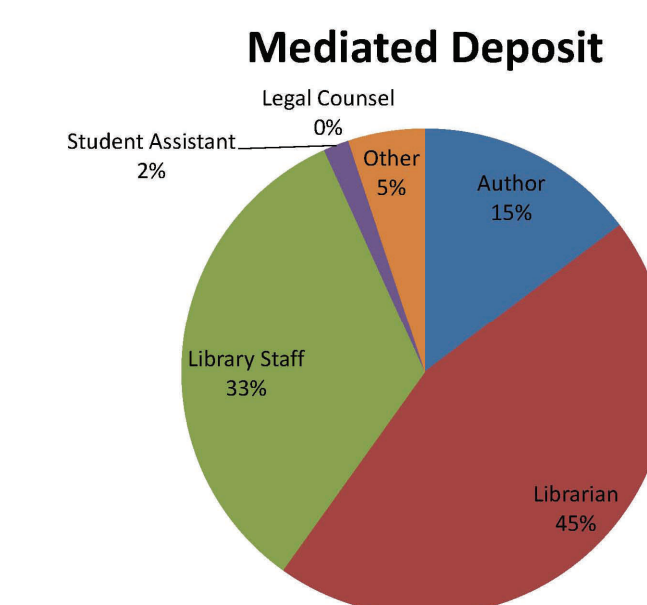
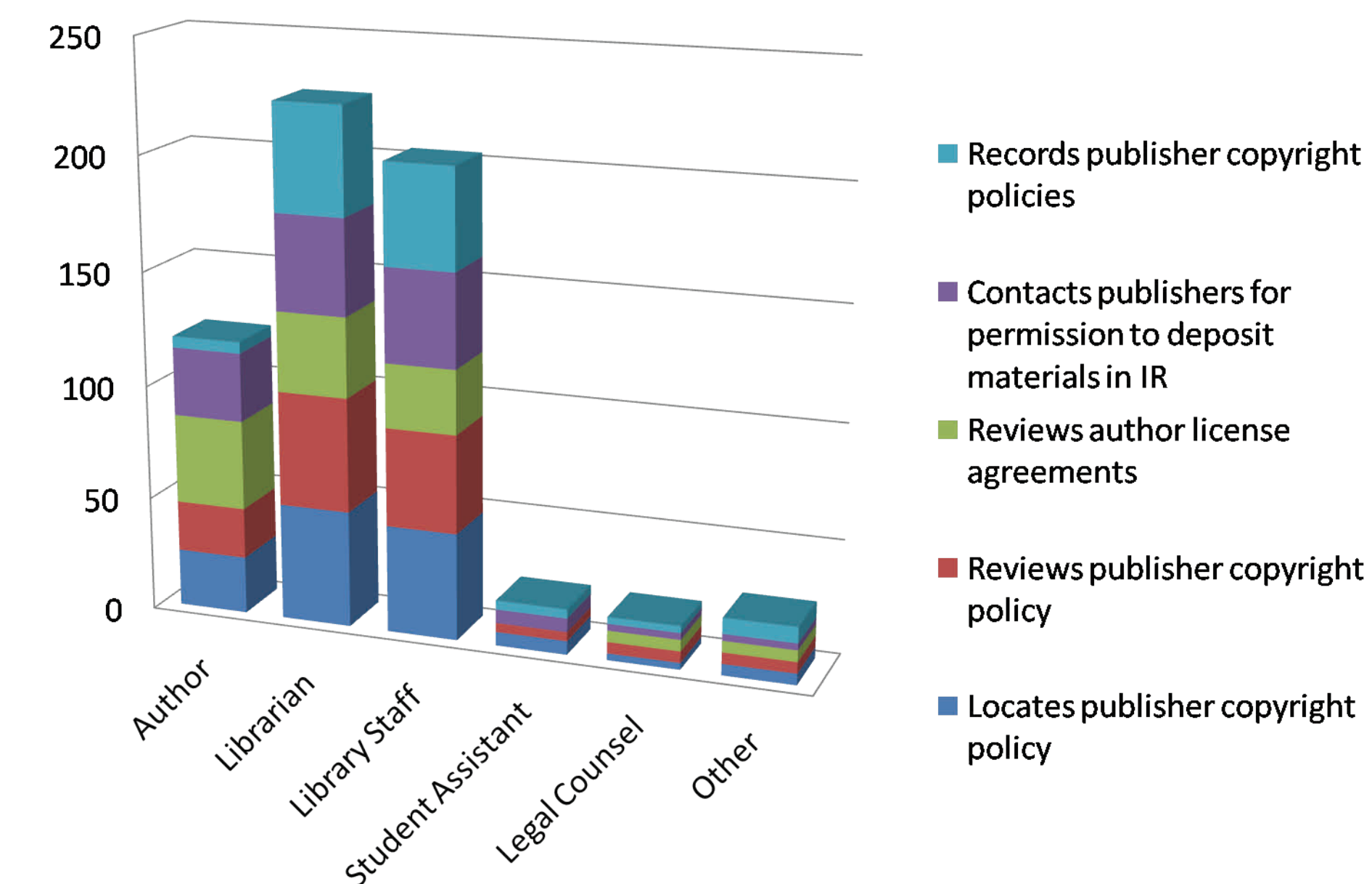
Most survey respondents reported providing mediated deposit (material is deposited on behalf of the author by a third party, usually someone associated with the IR), whether it is completely mediated by the library or whether the author, in partnership with the library, deposits their work. The only respondents to report author self-deposit as the primary method of IR deposit were in Australia and Europe. One German respondent reported automatic deposit into the repository via a special licensing agreement with a publisher.

What is the primary manner in which published faculty research is added to your IR?



staffing

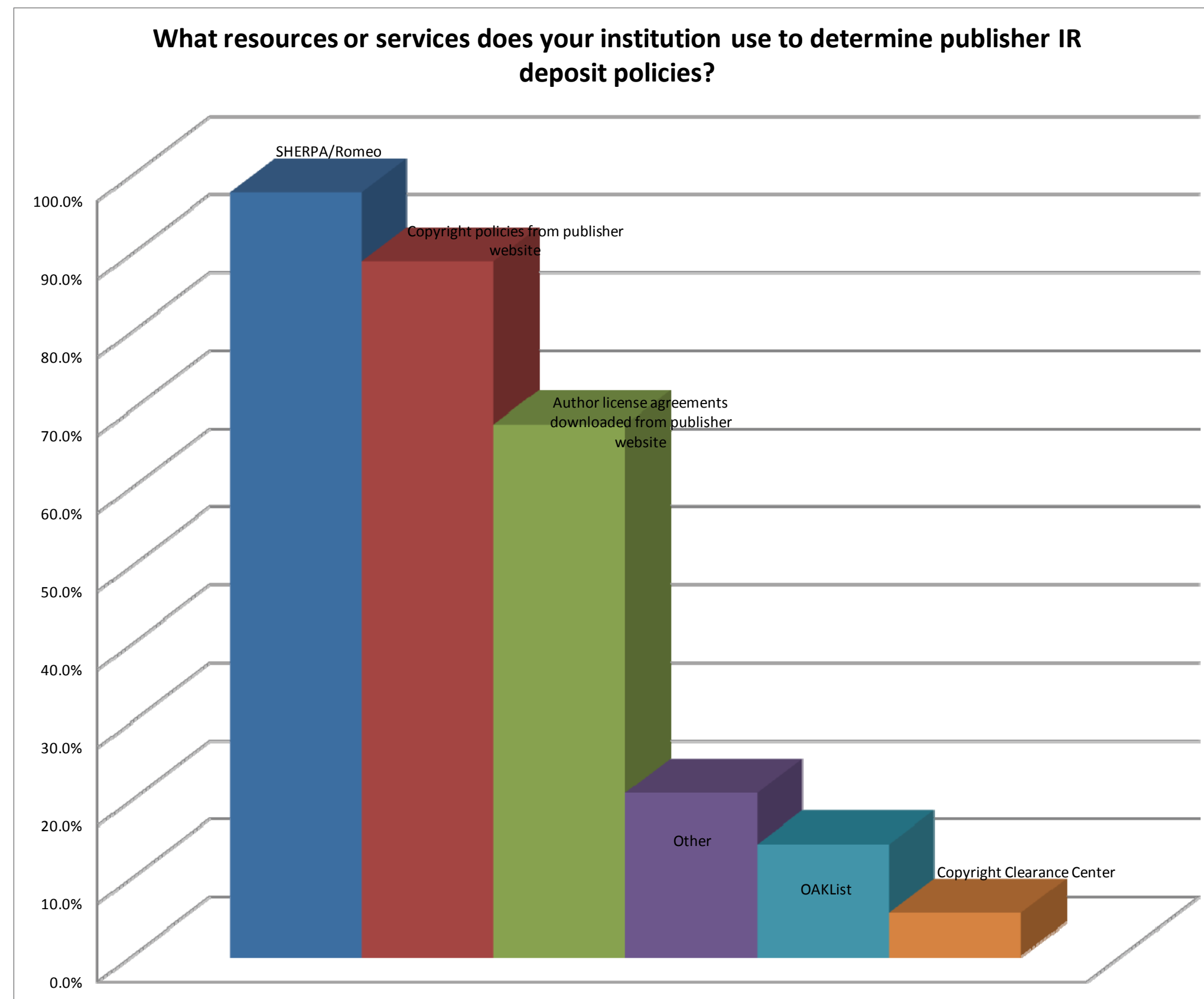
Who is responsible for these permissions activities?



Librarians and library staff are most commonly reported as the responsible entities for most permissions activities. Authors are also engaged in this process, though their responsibility is secondary to most of the copyright clearance activities.

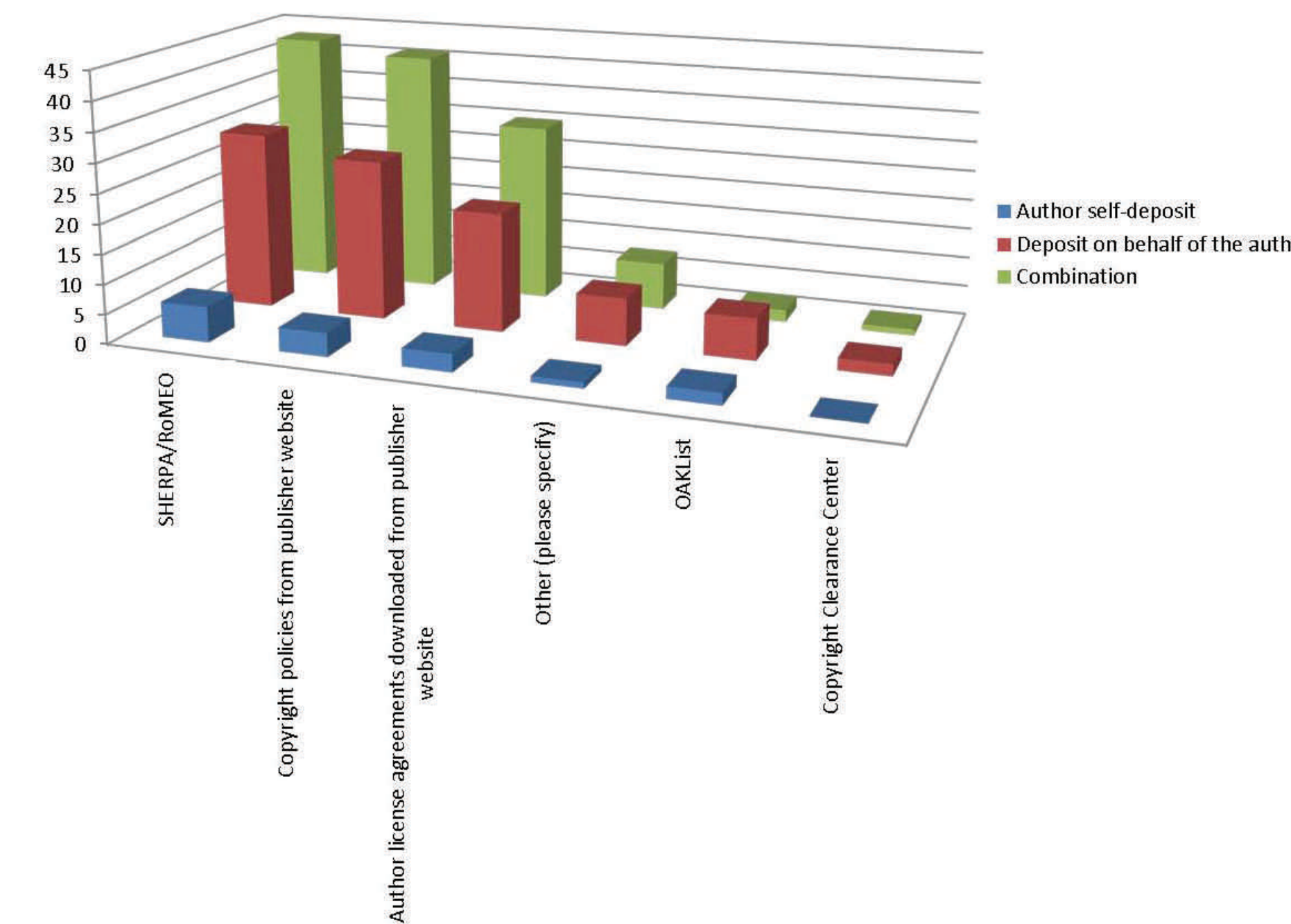
Interestingly, while the author self-deposit model ostensibly suggests little involvement from the library, respondents reported that the library staff and librarians are still the most common party responsible for most permissions activities, while legal counsel has a role in reviewing agreements.

tools and methods

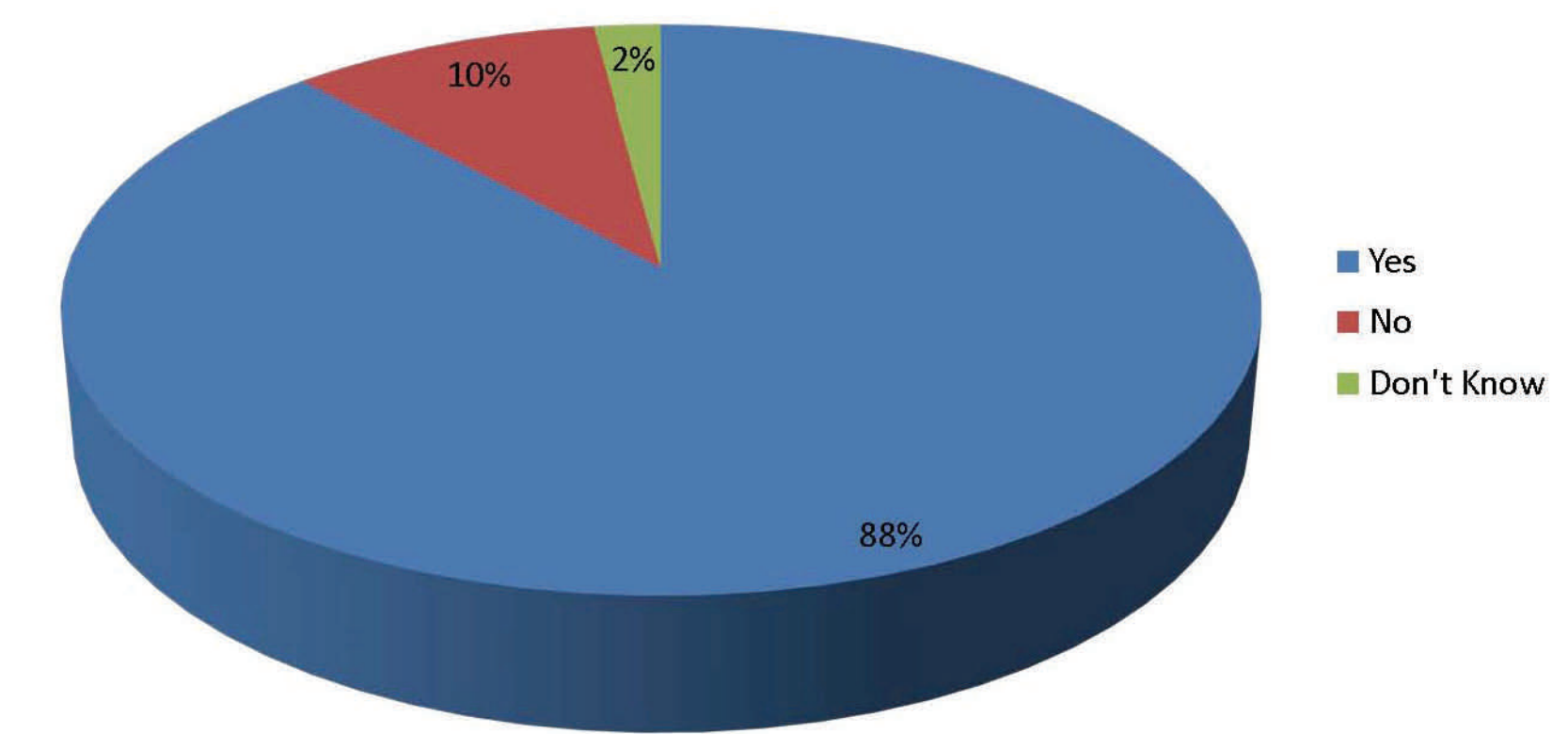


The majority of respondents use SHERPA/RoMEO (<http://www.sherpa.ac.uk/romeo/>), an online directory of publishers' copyright and archiving policies hosted by the University of Nottingham, to locate publisher policies for institutional repositories. Publisher's website was also reported to be an important tool.

Regardless of deposit model, SHERPA/RoMEO was the most commonly reported tool used in permissions workflows.



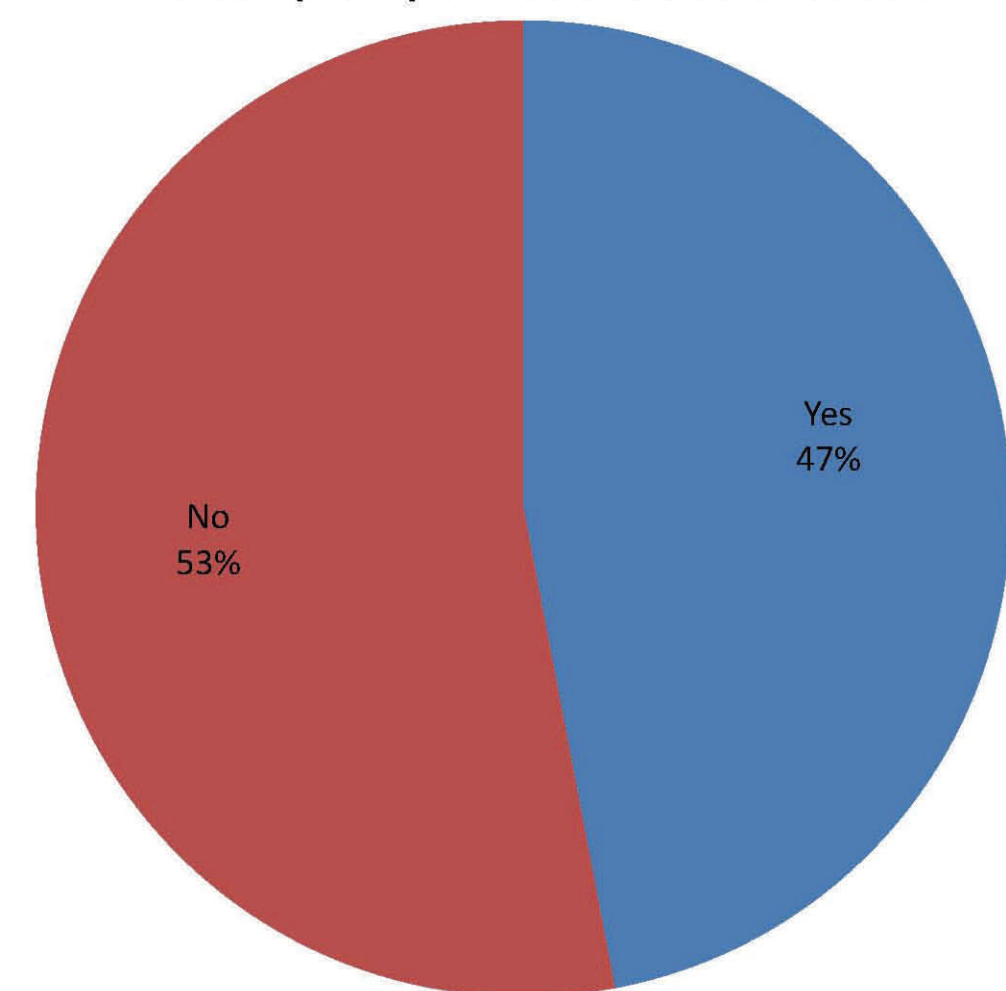
Does your institution contact publishers for permission to deposit published materials into the IR?



Eighty-eight percent of respondents directly contact publishers for permission to deposit published materials in the IR, to fill in information gaps.

information gaps

Do these resources or services satisfy your information needs in order to complete permissions clearance activities?



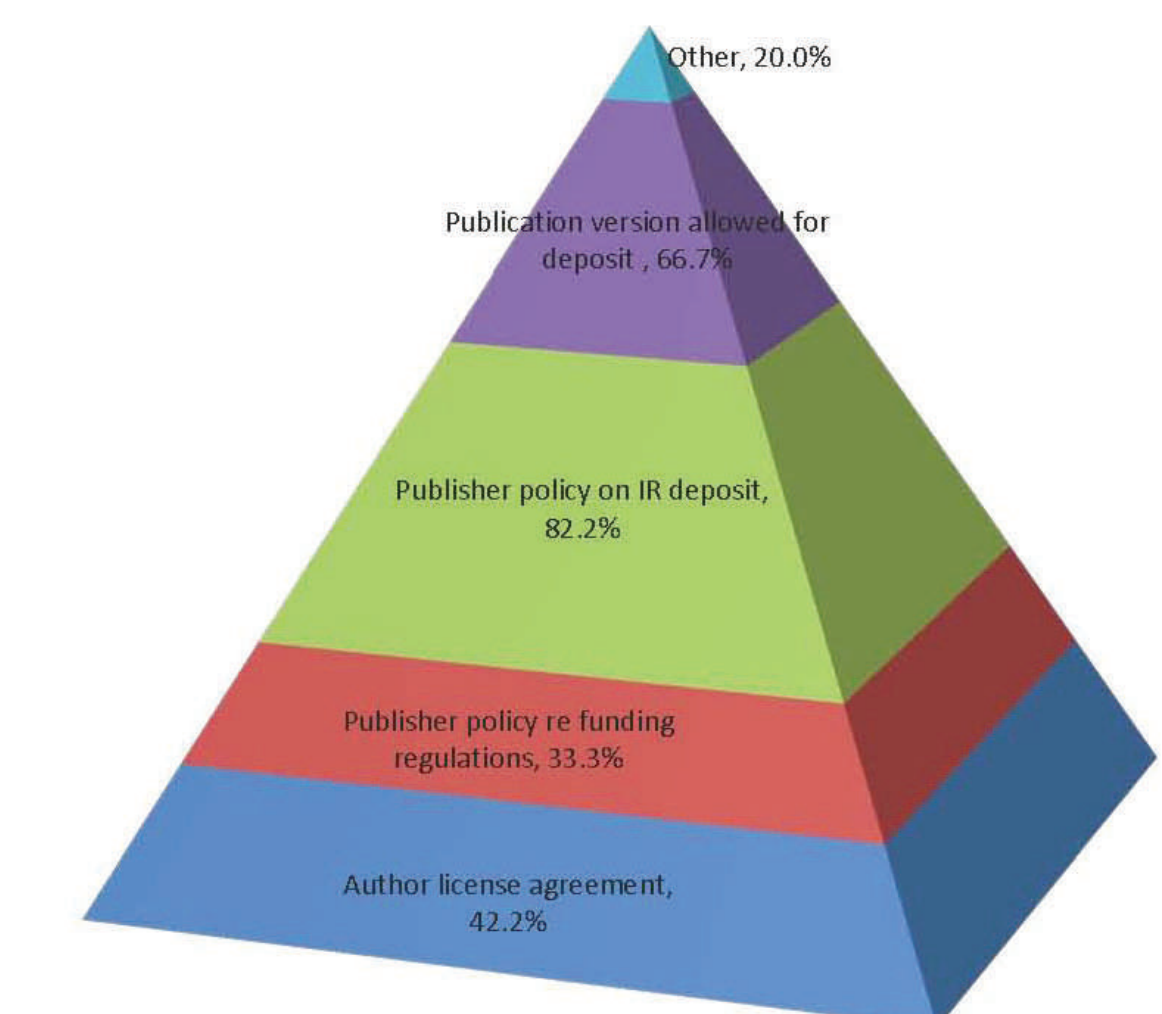
According to respondents, while existing tools like SHERPA/RoMEO are central to permissions workflows, 53% report that these tools do not completely satisfy their information needs.

Most commonly reported gaps include:

- Publishers' policies on IR deposit
- Publication version allowed by the publisher for deposit (e.g., post-print, pre-print, etc.)
- Author license agreement.

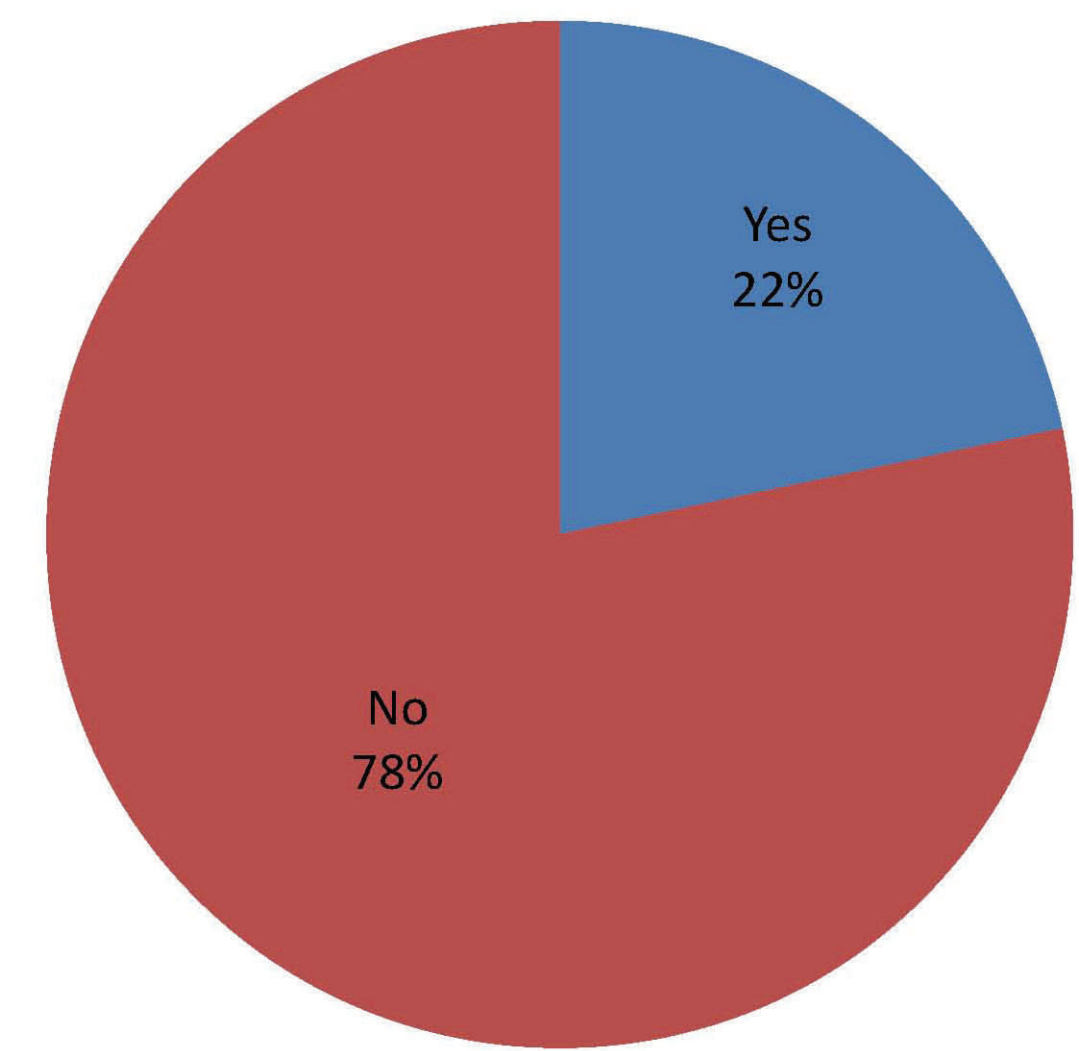
The lack of available information for many publishers complicates permissions workflows.

What kinds of information are you seeking that are not available?



sharing

Are publisher responses shared with other IRs?

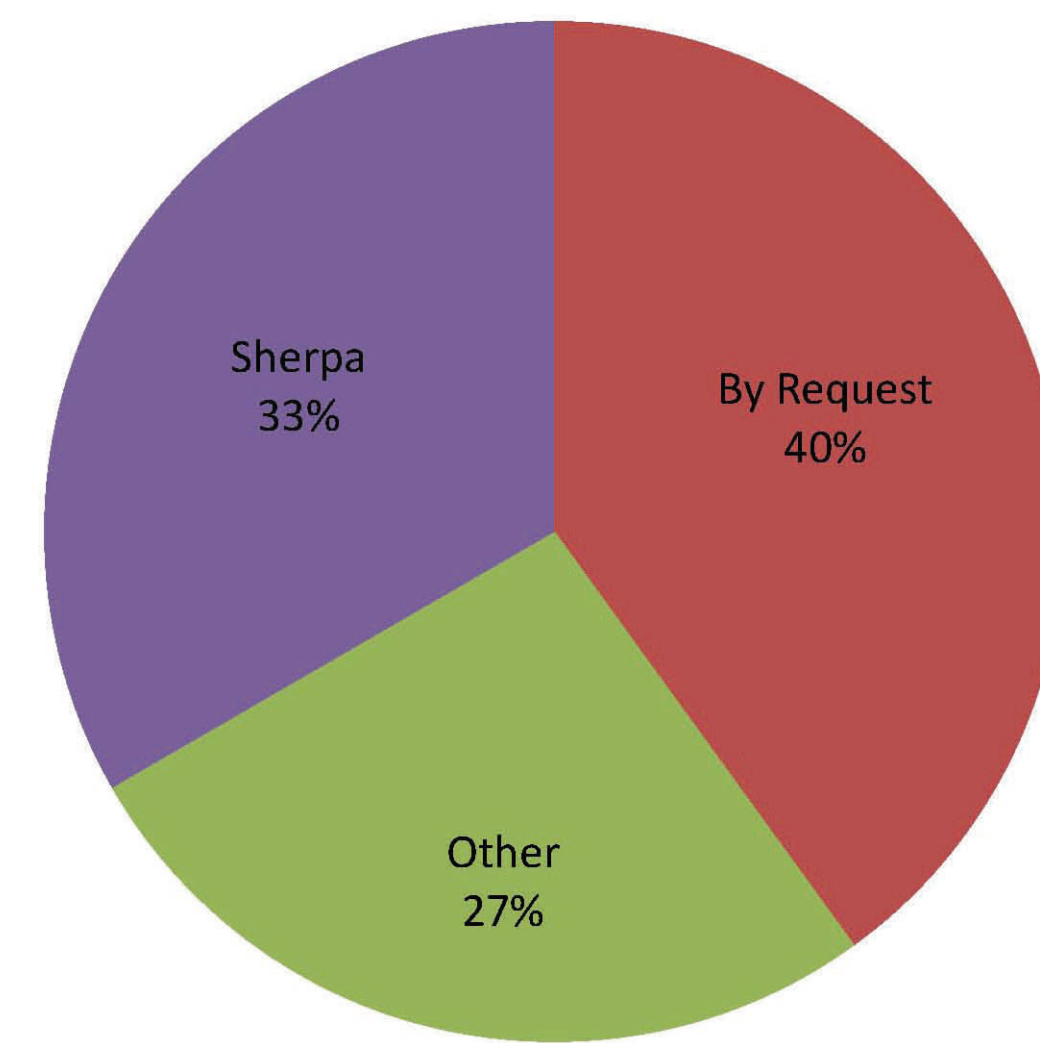


Seventy-eight percent of the respondents **do not** share publisher responses with other IRs, despite the fact that their clearance work involves contacting publishers to verify policies on institutional repository deposit.

Of those who **do** share their responses, most are shared by request. Respondents commented that when responses were shared with SHERPA/RoMEO or other indexes, certain criteria had to be met:

- “If the publisher is Australian and the response is generally applicable (i.e. not an institutionally-specific permission), it is added to OAKList.”
- “Yes only when we received the authorization of the publisher to send information to RoMEO”
- “If general policy and not individual permission - information fed to SHERPA”

How are publisher responses shared with other IRs?

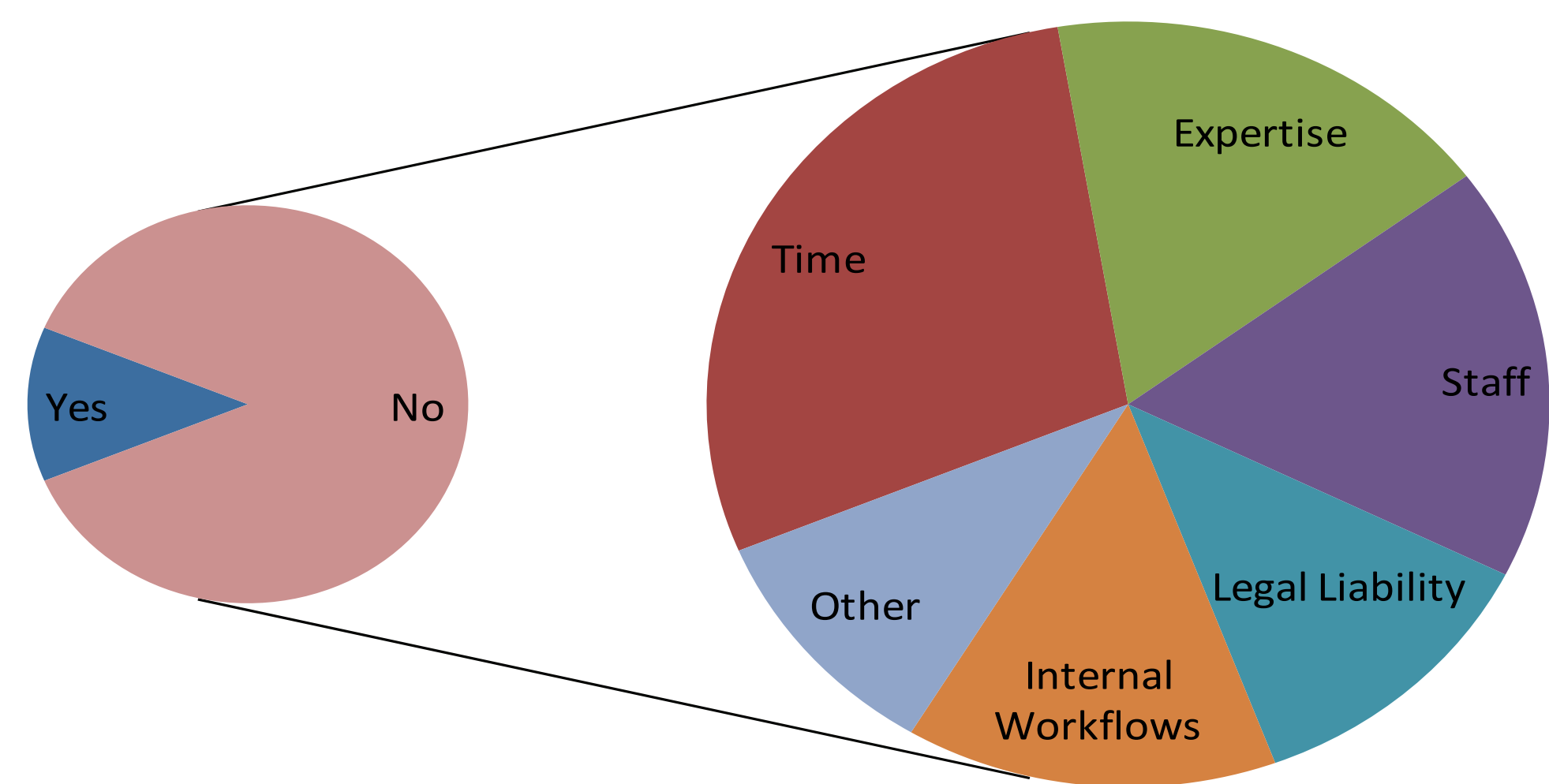


- Their repository model is a combination of mediated deposit and author self-deposit
- Librarian/library staff are primarily responsible for contacting the publishers to request copyright permissions for IR deposit
- They contact publishers using a standardized permission letter
- They retain publisher responses
- These IRs report using email, spreadsheets and hard-copy printouts to record publisher responses
- They are more likely to update their records when new publisher policy information becomes available

Attributes of IRs that Share Publisher Policy Information

barriers to sharing

Does your institution share publisher policy information with SHERPA/RoMEO?



Sixty-nine percent of respondents **do not** share publisher policy information with SHERPA/RoMEO. These respondents cited time, expertise and staffing as barriers that would need to be resolved locally before publisher policy information could be regularly shared with SHERPA/RoMEO or its equivalent.

Conclusions

Permissions workflows are remarkably similar among respondents. This holds true despite geographic location, deposit model, or size of institution. Ninety-eight percent of respondents rely on the SHERPA/RoMEO index to verify publisher permissions. And while 90% of respondents directly contact publishers for permissions, only 22% share publisher responses with other IRs or SHERPA/RoMEO.

Additional analysis of the data will occur over the next few months to more fully understand the permissions activities taking place within academic institutions in order to populate campus-based Institutional Repositories. These findings will identify specific challenges within the copyright clearance sphere and make more apparent the opportunities for improvement in the standardization and sharing of such information among U.S. and international academic institutions.