LCoNZ
Library Consortium of New Zealand

New Zealand Versions Toolkit

for authors producing research outputs

This toolkit is intended to help authors understand their rights, to provide tips on managing versions of research outputs and to help increase awareness of and access to research outputs

Versions Toolkit – Tips & Guidelines

Introduction

This toolkit is intended to be a practical guide for academic researchers and authors thinking about publishing their work. During the process of producing research materials, different versions or revisions are created; these tips will help you identify, store and disseminate these versions.

Tips & Guidelines

What versions to keep

- ➢ If you wish to keep everything permanently, spend some time considering how best to organise your files. Pick a system that makes sense to you and use it consistently.
- ➢ If you just want to keep your milestone versions, aim to keep them permanently.
- ➢ If you prefer to discard all draft versions as you revise, consider at least keeping the following versions of your published work to keep your options open:
- ▪ Submitted Version
- ▪ Accepted Version
- ➢ Keep your final author-created Accepted Version following peer review. This is a single very important step you can take as an individual to open up access to your refereed research publications to a wider readership.
- ➢ Keep the final author-created Accepted Version in an editable format such as a word processing format and deposit this with your repository staff.
- ➢ Keep old typed author manuscript versions too. It may be possible for your institution to digitise these in future and to make them available on the web.

Managing your files

- ➢ Choose one location as your primary storage space and copy any versions from other locations to this frequently to bring it up to date.
- ➢ Decide on a folder structure that makes sense to you and be consistent.
- ➢ When working with co-authors, agree in advance how you will ensure the orderly revision of the paper and where the main versions will be stored.
- ➢ Consider creating a special folder in your computer file system for your 'must-keep' versions. Give these priority over superseded or less important versions.

Dissemination

- ➢ If you disseminate early versions, do this through deposit in a well-managed repository to enable future linking with later versions and/or compliance with publisher requirements in due course.
- ➢ If you disseminate an early version for comment or discussion but hope to publish and receive citations for the publication, mark your early versions with a request 'Please do not cite'.
- ➢ When working with co-authors, protect your rights by requesting a copy of the final Accepted Version from the lead or corresponding author, so that you have access to your own work.

Top Tips

- ▪ Consider and plan how you will store and name your personal versions of files from now on.
- ▪ Keep permanently your own author-created submitted versions and final author-created accepted versions of research publications. Keep them in an editable form, not just as a PDF file.
- ▪ Add the completion date of any version of any document to the front page of the document. Also add notes about the version and its relationship with other work.
- ▪ Consider how you want to disseminate your work before signing any agreements with publishers and keep a copy of your signed agreements.
- ▪ Submit a relevant version of your work to repository staff at your university to be made available in the repository. If appropriate, add a link (or citation) to a published version on the front page.

If you wish to disseminate your final Accepted Version but are concerned about variation from the published version, provide the details of these variations to your repository staff.

- ➢ Make sure that you include important information on the front page of your work such as date of completion of manuscript and suggested citation, if published.

Publisher policies

- ➢ SHERPA/RoMEO: http://www.sherpa.ac.uk/romeo/ and the OAKList: http://www.oaklist.qut.edu.au/database/ provide links to publisher policies and can be good places to start.

Your rights

- ➢ Consider the rights you wish to retain and be ready to negotiate with your publisher before signing an agreement.
- ➢ Keep a signed copy of the agreement or licence you sign with your publisher and let your institutional repository staff know of any special terms you have secured.
- ➢ Use the RoMEO and OAKList websites to check which versions you may make open access and to check the standard policies of journals in which you hope to publish in future.
- ➢ When negotiating with your publisher, if they do not have a policy on open access, point them to the RoMEO and OAKList websites to help you to explain what you are asking for and to encourage smaller publishers to develop a policy.

The Versions Toolkit

About this Toolkit

This toolkit is intended to be a practical guide for academic researchers and authors when producing research materials or thinking about disseminating or publishing work. It is written within the context of archiving or deposit in open access (institutional) repositories alongside traditional publishing in referred journals or other academic publications. This toolkit is adapted with permission from the VERSIONS Toolkit for authors, researchers and repository staff, the output from a project led by the London School of Economics and Political Science.

The primary issues this toolkit seeks to address are:

> ➢ That you as an author have a system for managing documents that is sufficient for self identification of versions and thereby does not limit your dissemination options.
>
> ➢ That you understand the basics of copyright ownership and the impact of publisher agreements on your ability to disseminate your work and that you know where to get advice if you need it.
>
> ➢ That your readers will find it easy to know what version they are viewing and will never erroneously assume they are dealing with a "final" version.

With the development of the web and digital technologies, the opportunities for enhancing and speeding up scholarly communication have flourished. However, one issue that this creates is difficulty in identifying and even locating versions or revisions of research material. This toolkit will help to overcome this issue.

What is an institutional research repository (IRR)?

An Institutional Research Repository (IRR) is an online facility for collecting, preserving and disseminating in digital form the research output of an institution. Generally speaking, institutions try to make their IRRs open access ie offer materials with a minimum of restrictions imposed by copyright or other licensing.

The IRR is not the same as the institution's research management system which keeps track of ongoing institutional research, particularly with respect to PBRF. Staff working with these systems collaborate to ensure that their knowledge of research outputs is shared. At some point in the future, the systems themselves may have a direct relationship.

Benefits of IRR

There are a number of benefits, including:

> ➢ The IRR is professionally managed and helps you to get over a number of issues that you face when you wish to publish materials. These include assisting with management of rights and, where possible, linking of the repository version to any traditionally published version.
>
> ➢ Many potential readers can not easily access the publications in which your work appears but can access the repository. This is obviously of benefit to readers but also increases your potential readership and citation counts.
>
> ➢ The repository is optimised for use with search engines and metadata aggregators so your work becomes much easier to find.
>
> ➢ A durable (stable, unchanging) URL is provided. Care will be taken to maintain this URL in perpetuity.
>
> ➢ The repository helps to ensure the long term preservation of your institution's research outputs.

Versions terminology

A number of ways of defining versions are in use. Terms such as 'pre-print' and 'post-print' are used in differing ways by both researchers and publishers. The LSE VERSIONS Toolkit suggests the following and it is recommended that this terminology is used and standardised in your work.

Draft	Early version circulated as work in progress
Submitted Version	The author-created version that has been submitted to a journal for peer review
Accepted Version	The final author-created version that incorporates referee comments and is the accepted-for-publication version. It is not yet in the format in which it will be published
Published Version	The publisher-created published version often referred to as the publisher's PDF.
Updated Version	A version updated since publication

Keeping track of your work

What to keep

One size does not fit all and you will have to determine your own methodology. Some researchers like to keep everything and others only their latest version, with most falling somewhere in-between.

At the very least, always keep:

➢ your author-created submitted version.
➢ your author-created accepted version of research publications.

… and keep them in editable form, not just as a PDF. This will allow:

➢ Repository staff to easily use the abstract, keywords etc to attach metadata to your work.
➢ Relatively easy preservation of your content into the future as newer file formats emerge.

If you prefer to keep more than just these versions, consider keeping versions that correspond to milestones in the production of your work. A set of possible milestones is suggested in the table below.

Possible Milestones		
Type of research output	**Suggested milestone versions**	**Other personal milestones**
Book chapter	Submitted version, Accepted Version, Publisher's proof, Published version (eg, publisher-provided PDF)	*… and any other versions marking a major shift, eg a point at which the paper was split or merged or at which the ideas or content developed*
Conference and workshop presentations	Final versions of the slides	
Conference paper	Submitted version, Revised version for inclusion in published proceedings	
Journal article	Draft, Submitted version(s), Accepted Version (following referee comments), Publisher's proof, Published version (eg, publisher-provided PDF)	
Working paper	Submitted version, Published version	

Where to keep your work

Keeping your files only on a personal computer or a portable drive isn't very secure. It's best to ensure that your work is either resident on, or backed up to your institutional systems. They will ensure that your work is kept securely and can be retrieved.

Managing your files

You will tend to have your own systems for managing your files. However, there are ways in which you can ensure that you can manage your files more efficiently and make retrieval of a relevant version easier. Here are some ideas:

➢ Decide what you will keep. Will you keep everything, or milestone versions or just submitted and accepted versions of research outputs?
➢ Take a consistent approach. Consider having a standardised set of folders for each project or research output. You could save a master set and duplicate them as you begin each new work.
➢ When naming your files, again be consistent. It is recommended that you include a date reference in each new file name. A file name might then take the form:

name_of_paper_version_date

and a progression of revisions and versions might look like:

student_achievement_draft_2009_07_17
student_achievement_draft_2009_08_06
student_achievement_draft_2009_09_14
student_achievement_submitted_2009_09_17

➢ Alternatively, some authors may prefer to include revision numbers in their naming. In this case, a progression of revisions might look like:

student_achievement_draft_rev1.0_2009_07_17
student_achievement_draft_ rev1.1_2009_08_06
student_achievement_draft_ rev1.2_2009_09_14
student_achievement_submitted_rev1_2009_09_17

➢ You may prefer to list the date in the form *17Aug2009*

When working with co-authors, agree in advance where the versions and revisions of the paper will be stored and how naming will be managed so that all authors can access and understand the convention used.

Making the version information clear

Adding a note to the front page of your document is a good way of conveying useful information to readers and as a personal memory aid. Doing this as you revise your work can be relatively painless and of significant future value both to your readers and to you.

Such notes could include:

➢ The date of completion of this version or revision.
➢ Which version this is, or which version is it working towards eg is it Draft revision 1 …
➢ How it relates to other work.
➢ If the work is an update of a published work, how does it differ from the published version.

Dissemination

Deciding how and when to disseminate your work is your decision, at least until you have signed an agreement with a publisher. From that time, decisions are also dependent on the contract and copyright law.

Which versions to disseminate?

Most of the time, research output is intended to be published. Before publication, you may wish to make early versions of your work available and subsequent to publication you may wish to make a later version available through an open access repository.

Whatever you decide, there are a number of considerations. These include:

➢ Copyright and licensing
➢ The durability of the URL
➢ Version control
➢ Optimising findability through search engines.

If you decide to publish your work through your institutional repository there are procedures and knowledgeable staff to help you deal with these considerations.

Copyright and licensing

While researchers are normally the author of their work and own moral rights, they are not always the copyright owner. Often the employing institution owns the copyright but attributes it to the authors. You should check with your own institution as to how copyright is handled.

For instance, University of Waikato copyright guidelines[1] state that "*The University as employer normally passes copyright ownership of works made in the course of a staff member's employment back to the author*".

In addition, authors usually pass copyright ownership of their work to their publishers. As a result, for most commercially published work, copyright ownership rests with the publisher.

Sometimes it will be appropriate to apply a creative commons licence[2] to your work. These licences do not change copyright ownership but they do allow you as an intellectual property creator to assign appropriate rights for use and reuse of your work.

Publisher policies

Sometimes it is not easy to know which versions of your work you are able to make available ('archive') in a repository. The repository staff at your university can help you or you can look at the publishers' policies available at:

➢ Sherpa/Romeo: http://www.sherpa.ac.uk/romeo/
➢ the OAKList:
http://www.oaklist.qut.edu.au/database/Alpha.action

Both Sherpa/Romeo and OAKList use the same colour coding system explained in the table below.

ROMEO Colour	Archiving policy
Green	can archive submitted and accepted versions
Blue	can archive accepted version
Yellow	can archive submitted version
White	archiving not formally supported

Your rights

You may be able to influence your ability to disseminate your work by negotiating with the publisher. For instance, OAKList publishes a sample alternative contract[3] for use with publishers. Institutional legal guidance is essential before you use this.

In any event, you should:

➢ Carefully consider any rights you wish to retain before signing a contract.
➢ Keep a signed copy of the contract for future reference.

Quality

Some authors are concerned that early versions are of lesser quality than a refereed or published version. This may also be true of even the author-created Accepted Version. Depositing in an IRR can address such concerns by:

➢ Linking to the published version.
➢ Adding a preferred citation to the front page of the accepted version.
➢ Indicating any variance between this version and the published one.

If you do disseminate an earlier version for comment or discussion, while subsequently hoping to publish, you could mark this version with a request "*please do not cite*".

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[1] Millett, Tony *COPYRIGHT GUIDELINES FOR ACADEMIC STAFF AND STUDENTS*, April 2009, available at: http://www.waikato.ac.nz/copyright/uow_copyright_guidelines_April2009.pdf
[2] Creative Commons Aotearoa New Zealand, http://www.creativecommons.org.nz/

[3]
http://www.oaklist.qut.edu.au/files/Friday5December2008OAKLawSamplePublishing%20Agreement%20DRAFT%203_12_08.pdf

Author's checklist

It is strongly recommended that you do include some information on the front page of your work:

- Completion date of the version of the document.
- Notes about the version and its relationship with other work.

The table below suggests content for these notes with essential details included in **bold type** and shaded.

Author(s) names	
Title of work	
Institution name(s)	
Date of completion of manuscript	**[Eg, Manuscript completed: 19 April 2008]**
Version (*select one*)	**[Draft	Submitted Version	Accepted Version	Published Version	Updated Version]**
Source (*select one*)	**[Author	Publisher]**
Variation from published version if applicable (*select one*)	**[None (verbatim copy)	Typographical/punctuation	Minor	Major]**
Notes about variation from published version if applicable	**[eg, 'Includes four tables not shown in the published version.']**
Preferred citation	**[Give your instructions here, eg a request not to cite, or a recommended citation to the published version.]**
Your filename	[including date and revision information]
Type of research output (*select one*)	[Pre-print or other work in progress	Conference paper	Conference presentation	Working paper	Discussion paper	Book chapter	Journal article	etc]
Earlier version(s)	[Provide details of earlier versions from which this version is directly derived. For example, the Submitted Version is an earlier version of an Accepted Version.]
Related version(s)	[Provide details of related research outputs such as conference papers, presentations, working papers etc where the relationship is not sequential in time.]
Later version(s)	[Provide details of later versions if known. For example if the version in hand is the author-created final Accepted Version, then the Published Version is later.]
DOI	[if publisher DOI is known.]
Official publisher URL	[for example, a journal homepage.]
Stable URL	[for example a persistent URL in your institutional repository, if known.]

An example

The table below offers an example of a completed author's checklist.

Author(s) names	Cranefield, Stephen and Pan, Jin
Title of work	**Bridging the gap between the Model-Driven Architecture and ontology engineering**
Institution name(s)	**University of Otago**
Date of completion of manuscript	**Date of completion was 2007**
Version (*select one*)	**Accepted version**
Source (*select one*)	**Author**
Variation from published version if applicable (*select one*)	**Minor**
Notes about variation from published version if applicable	**Changes resulting from the publishing process may not be reflected in this document.**
Preferred citation	**Cite published version**
Your filename	Cranefield_ijhcs_AcceptedVersion.pdf
Type of research output (*select one*)	Journal article
Earlier version(s)	Discussion Paper available at http://eprints.otago.ac.nz/164/
Related version(s)	
Later version(s)	Yes (published version – see preferred citation)
DOI	http://dx.doi.org/10.1016/j.ijhcs.2007.03.001
Official publisher URL	http://www.elsevier.com/wps/find/homepage.cws_home
Stable URL	http://eprints.otago.ac.nz/558/

For readers

If you are consulting this toolkit you are probably both a reader and an author. This section sets out a few ideas for you to bear in mind when searching for and citing open access research papers.

Searching – to find all available papers

At the time of writing, general search engines such as Google are the most comprehensive source for content on the Internet and these will pick up individual papers. Research papers deposited in institutional repositories are generally retrieved well by search engines.

If many versions of a paper are found on the web, try searching in Google Scholar (http://scholar.google.com), which matches similar papers by author and title and places them together. Google Scholar also presents published versions of papers near the top when these are available.

Academic search sites which cover open access institutional and subject repositories are becoming increasingly useful.

For example, the Kiwi Research Information Service (KRIS) provides a central search point for New Zealand research output deposited in institutional research repositories: http://nzresearch.org.nz/.

Similarly, *Australian Research Online* is a metadata aggregation and search facility harvested from Australia's institutional research repositories: *http://research.nla.gov.au/*

International examples include BASE (http://www.base-search.net/) which tracks over 500 repositories or Intute Repository Search from the UK (http://irs.ukoln.ac.uk/).

Finding the latest paper

Look out for comments and notes in the paper which refer to 'work in progress', 'draft' or 'submitted version'. If you see these, check for later versions of the paper before relying on or citing the version you have found.

Has the open access paper that I have read been published?

If a paper has been deposited in a well-managed open access repository, there will be a link to the published version if the paper has been published. Web search engines can also help you to discover published versions.

I do not have access to a published version. Can I find an open access version?

You can use search engines to retrieve open access papers. When these have been placed in well managed repositories they should be retrieved. Or, you can search for the author's home page or institution to look for a copy on personal websites.

Citing others' work

Do respect authors' wishes not to have their early work in progress cited, wherever you see that they have requested this. If you have found an open access version of a paper online and would like to cite it in your work, but wish to refer to the published version, you could consider citing both versions.

Unable to find an open access paper online?

If you want to obtain a paper and have not found an open access version that you can read, do contact the author directly and ask for a copy of the paper. Authors usually welcome this kind of communication.

You could suggest that they deposit a copy in their institutional repository.

Resources

VERSIONS Toolkit
The original Toolkit is available at:
http://www2.lse.ac.uk/library/versions/VERSIONS_Toolkit_v1_final.pdf
It contains details of the background research results, as well as helpful tips and guidelines.

Open Access

NZ Government Open Access and Licensing (NZGOAL) framework: http://blog.e.govt.nz/index.php/nzgoal/

Open Access Overview, Peter Suber:
http://www.earlham.edu/~peters/fos/overview.htm

Repositories

Kiwi Research Information Service (KRIS) is a metadata aggregation service which indexes IRR:
http://nzresearch.org.nz/
There is a list of participating institutions with IRRs at:
http://nzresearch.org.nz/index.php/institutions
Australian Research Online is a metadata aggregation and search facility harvested from Australia's IRRs:
http://research.nla.gov.au/
*Open*DOAR - The Directory of Open Access Repositories: http://www.opendoar.org/

Publisher Copyright Policies and Repository Archiving
SHERPA/ROMEO – UK, based at University of Nottingham. Funded by JISC, SPARC and others:
http://www.sherpa.ac.uk/romeo/

OAKList – based at Queensland University of Technology. OAK = Open Access to Knowledge:
http://www.oaklist.qut.edu.au/

Copyright
From Waikato University, by Tony Millett, *Copyright guidelines for academic staff and students*, April 2009:
http://www.waikato.ac.nz/copyright/uow_copyright_guidelines_April2009.pdf
The Copyright Act 1994 and Amendments: Guidelines for Librarians is available at
http://www.lianza.org.nz/publications/copyright.html

Creative Commons
Creative Commons Aotearoa New Zealand:
http://www.creativecommons.org.nz/

Details of available creative commons licences are explained at:
http://www.creativecommons.org.nz/licences_explained_1

This Document

This document, commissioned by LCoNZ[4] in June 2009 is an adaptation of the United Kingdom *Versions Toolkit*[5], an output resulting from the Versions project led by the London School of Economics.

The adaptation was to provide a greater New Zealand context and in particular to provide a toolkit which would be immediately useful to academic researchers and authors, especially when its use would be promoted by institutional research repository managers and staff.

Contributors

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[4] Library Consortium of New Zealand - http://www.lconz.ac.nz/
[5] VERSIONS Toolkit, LSE, February 2008, available at: http://www2.lse.ac.uk/library/versions/VERSIONS_Toolkit_v1_final.pdf accessed 31 August 2009