

## ANNEXURE III

### DTU FACULTY AND OPEN ACCESS POLICY

#### 1.0 INTRODUCTION

The faculty of Delhi Technological University (DTU) is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the Faculty adopts the following policy:

Each Faculty member grants to the Delhi Technological University nonexclusive permission to make available his or her scholarly articles and to exercise the copyright in those articles for the purpose of open dissemination. In legal terms, each Faculty member grants to DTU a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold for a profit, and to authorize others to do the same. The policy will apply to all scholarly articles written while the person is a member of the Faculty except for any articles completed before the adoption of this policy and any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy. The Vice Chancellor on the recommendation of IPR SC will waive application of the policy for a particular article upon written notification by the author, who informs DTU of the reason.

To assist the DTU in distributing the scholarly articles, as of the date of publication, each faculty member will make available an electronic copy of his or her final version of the article at no charge to a designated representative of DTU (Librarian) in appropriate formats (such as PDF) specified by the IPR SC.

The IPR SC will make the scholarly article available to the public in an open access repository. The IPR SC in consultation with the Library Advisory Committee (LAC) will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Faculty. The policy is to take effect immediately, it will be reviewed time to time by the competent authority.

The faculty calls upon the LAC to develop and monitor a plan for a service or mechanism that would render compliance with the policy as convenient for the faculty as possible.

#### 2. DEFINITIONS

- a. *Nonexclusive permission*- After granting nonexclusive permission, one still retain ownership and complete control of the copyright in his/her writings, subject only to this prior license. One can exercise his/her copyrights in any way he/she sees fit, including transferring them to a publisher if he/she so desires.
- b. *Scholarly articles* – Faculty's scholarly articles are articles that describe the fruits of their research and that they give to the world for the sake of inquiry and knowledge without expectation of payment. Such articles are typically presented in peer-reviewed scholarly journals and conference proceedings.

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- c. *Open dissemination / open access repository* – Journal articles stored and made available on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful, non-commercial purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself.
- d. *Irrevocable, paid-up, worldwide license* – the permission granted may not be taken back; there are no fees associated with the permission granted; and the permissions apply worldwide.
- e. *Not sold for a profit* – DTU could not generate a profit from exercising the rights granted, but could recover costs for a service related to the articles, such as printed course packs.
- f. *Authorize others to do the same* – The copyright holder has the sole right to authorize others to exercise any of the five rights under copyright, and the right to authorize others to exercise any of the five rights under copyright, and the right to authorize others to exercise rights. This language transfers the nonexclusive right to DTU to allow others to use the articles in specified ways and contexts, such as other DTU faculty members who want to use an article in teaching.
- g. *Final version of the article* – The authors's version with any changes made as a result of the peer-review process, but prior to publisher's copy editing or formatting.
- h. *Faculty* – A per 1.4 (m)

### 3.0 WORKING WITH THE DTU FACULTY OPEN ACCESS POLICY

The implementation of the Policy is being overseen by the IPR SC of the University. To submit a paper under the policy, upload the author's final manuscript, post peer-review, via a web form. If already submitted this version to a preprint server (e.g. arXiv), faculty may email the paper's identifying repository number, or the URL, instead of the paper.

- The policy applies only to scholarly articles completed after the policy was adopted.
- Faculty authors are encouraged to use the DTU addendum [MS Word doc] for publisher copyright agreements that reflects this policy.

### 4.0 SCOPE OF THE POLICY

- 4.1 Only scholarly articles typically presented in peer-reviewed scholarly journals and conference proceedings are covered under this policy. Many of the written produces of faculty effort such as books, popular articles, fiction and poetry, encyclopedia entries, ephemeral writings, lecture notes, lecture videos, or other copyrighted works are not encompassed under this notion of scholarly article.
- 4.2 The author's final version of the article i.e. the author's manuscript with any changes made as a result of the peer-review process, but prior to publisher's copy-editing or formatting are considered as scholarly article in this policy.
- 4.3 Each joint author of an article who holds copyright in the article and individually has the authority to grant DTU a non-exclusive license and the DTU open access policy applies to them also. Joint authors are those who participate in the preparation of the article

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with the intention that their contributions be merged into inseparable or interdependent parts of the whole.

4.4 It doesn't apply to any articles that were completed before the policy was adopted nor to any articles for which a faculty entered into an incompatible publishing agreement before the policy was adopted.

4.5 The policy also does not apply to any articles a faculty writes after leaving DTU.

## **5.0 OPTING OUT (OBTAINING A WAIVER)**

5.1 To opt out, faculty need to fill out a simple web form, or send an email or other written notice to Librarian informing DTU of the following:-

- Name of DTU author
- Title of articles (expected or working titled)
- Journal you expect to publish in
- Reason you are opting out

5.2 if a faculty do not opt out, but assign exclusive rights to a publisher anyway, mistakenly signing a publisher's agreement that conflicts with the policy, DTU's license would still have force, because it would have been granted (through this policy) prior to the signing of the publisher contract.

5.3 Each co-author in a jointly written article owns the copyright. Under Indian Copyright law, any co-author has the right to grant a nonexclusive permission to others. It would be up to the co-author to decide whether to opt out of the policy for a given article to accommodate a co-author.

5.4 In case a faculty wants to retract a paper later as required by publisher, it would be possible to remove a paper, particularly in cases involving a legal dispute. In this case the specifics would depend on what procedures are worked out by the IPR SC to implement the policy.