

## Hertie School Research Repository (HSRR) Provisions

### 1. Organizational regulations

- (1) Regarding content, the service of the repository of the Hertie School of Governance <http://opus4.kobv.de/opus4-hsog/> (HSSR) is operated by the Hertie School Library. The Kooperativer Bibliotheksverbund Berlin-Brandenburg provides the technical maintenance.
- (2) The electronic publication is free of charge for members of the Hertie School.
- (3) Submission of the electronic documents on the publication server as a rule occurs via an upload form on the publication server.
- (4) Additional operations necessary for publication like the preparation of documents or the conversion into different formats are attended to and executed by the staff of the Hertie School Library.
- (5) The contact persons for questions concerning the publication server are the staff of the Hertie School Library.

### 2. Objectives and content-related criteria for the research repository of the Hertie School of Governance (HSRR)

- (1) The HSRR offers to all faculty members and researchers, including PhD candidates, of the Hertie School of Governance the organizational and technical framework for electronic publication and long-term storage of scientific results with a high degree of relevance for research as well as teaching. The publication process is supported and guided by the Hertie Library. Digital documents are collected, archived, stored, indexed and made available online. Furthermore, the offer serves rapid and global communication within the scientific community.
- (2) Documents published for the first time electronically receive quotable persistent identifiers in form of URN addresses which provide permanent access to the resources with the help of the resolving mechanism of the German National Library (DNB). The publication server is accessible via national and international library catalogues, search engines, Open Archive Initiative (OAI) service providers and other reference systems. Long-term archiving of the submitted documents (e.g. dissertations), as well as other original documents is ensured.
- (3) Operation and further development of the publication server is embedded in national and international initiatives and projects like the “Open Archives Initiative (OAI)” [<http://openarchives.org>], Dublin Core Metadata Initiative [<http://dublincore.org/>] or the German initiative for network information (DINI) [<http://www.dini.de/dini/>].

### 3. Particular technical features of the HSRR

- (1) Statistics evaluate the number of views of every document per month, the use of the publication server per day and the indexing through search engine crawlers per month.
- (2) The provider of the publication server guarantees an archiving period of at least 5 years.

- (3) The preferred presentation formats are currently PDF and HTML.
- (4) The electronic documents can be searched in local, regional, and nationwide library catalogues, search engines and OAI service providers (e.g. OAIster). A search function for the bibliographic metadata and the full text is available on the HSRR.
- (5) As a registered OAI data provider, the publication server fulfills the requirements of OAI-PMH version 2.0.

#### **4. Legal framework**

- (1) A publication on the HSRR presupposes the permanent transfer of the simple right of online publication for public access from the authors to the provider. Beyond that, the author is free to publish the complete work as a pre- or postprint without restrictions elsewhere, before or after its appearance on the publication server, in print or online. The work can also be published in a modified form or in extracts.
- (2) The author grants the following nonexclusive rights of use to the provider of the repository:
  - the right for electronic storage, especially in databases,
  - the right to convert the submitted document for long-term archiving or visualization while with regard to preserving the content (while the original file is also preserved)
  - the simple right of use for providing public access to the document in international networks (according to § 19a UrhG)
  - the right to notify and transfer the document to the long-term archive of the DNB (Deutsche Nationalbibliothek)
  - the right to grant unrestricted access to the metadata (especially the abstract and table of contents) to all interested parties
- (3) The provider is committed to support the authors or editors with their publication projects, to archive the documents and to keep them accessible with justifiable effort. The authors and editors alone are responsible for the content of the documents.
- (4) It is incumbent on the authors or editors to clarify the legal situation as to potentially affected copyrights of third parties or to obtain the consent of the latter. In the case that the author receives information on existing or pending legal obstacles, he will inform the Hertie School Library without delay. The Hertie School Library is not liable for damage resulting from copyright infringement, provided that no gross negligence or deliberate action is involved on the side of the library.
- (5) The copyrights of the authors remain protected. Through granting a Creative Commons license [<http://creativecommons.org/>], certain rights of use can be conferred to the public. Publication on the HSRR does not conflict with a further publication of the documents in journals, as monographs or on other servers. According to the recommendations of the German Council of Science and Humanities on the digital information supply through university libraries, all scientists of the Hertie School are requested to reserve the right for self-archiving their work in an institutional repository and to publish their documents additionally, possibly after expiration of a holdback period, on the HSRR.
- (6) The metadata of the documents published on the publication server can be accessed by everyone via an OAI interface. They may also be stored and be made available (for example in enriched form or as a selection) to third parties. In case of primary publication on the HSRR, a link (URL/URN) to the metadata of the resource on the HSRR server must be included.

(7) Published documents will not be deleted from the HSRR. In the case of secondary publications and preprints, online access may be restricted in exceptional cases where legal reasons indicate this procedure. Preprints may also be withdrawn for content-related reasons by the authors or the editors. However, the documents will remain in the archive.

## **5. Basic conditions on the promotion of technically and legally barrier-free scientific publishing in the sense of Open Access**

- (1) The Hertie School encourages authors to assign a Creative Commons License conforming to Open Access in order to avoid barriers of copyright law for the free circulation of ideas and the distribution of scientific findings. The rights of the author are preserved in this case because of the obligation to state the name of the author and the optional exclusion of a commercial use. In case of the distribution of the unedited document, the Uniform Resource Name (URN) should be used to ensure an unambiguous identification of the internet resource.
- (2) The published documents are generally free of technical protective devices and methods of digital rights management (DRM) in order to preserve them as part of the digital cultural heritage and to make them available to the scientific community as well as the public.
- (3) Open access publication is increasingly required by public funders e.g. the European Commission and the German Research Foundation (DFG). For publishing open access, the HSRR provides the platform and technically infrastructure.

## **6. The electronic document**

- (1) The term “electronic document” is, in the sense of these provisions, a document which is based on text and graphics, is stored in digital form on a data storage medium and is distributed via computer networks. The publication of multimedia documents which include audio and video material is also possible. “Metadata” in the sense of these policies are the bibliographic descriptions of a document, which could be stored additionally as “electronic document” within the same dataset.
- (2) A document to be published on the HSRR fulfills the following conditions:
  - It is intended for public distribution.
  - It is not a dynamic document. If changes are necessary, the edited electronic document will be stored as a new version.
  - In case of exam achievements (dissertation, master theses) it corresponds with the delivered and by the examiner accepted examination form.

## **7. Rules for archiving electronic documents**

- (1) The faculty and researchers of the Hertie School can submit publications in an accepted file format to the HSRR, via an electronic publication form to which the Hertie School Library provides access to interested parties. The Hertie School Library post-processes the documents metadata and therefore ensures a high quality status of the metadata. A change of the content of the electronic documents is ruled out.
- (2) The following types of electronic documents will be stored:

- Scientific publications from members of Hertie School like journal articles (also pre- and post-prints), monographs, parts of monographs, public lectures, research reports, studies, scientific series,
  - Documents edited by members of the Hertie School like compilations, electronic journals and conference proceedings,
  - Publications and series from persons or institutions associated with the Hertie School,
  - Documents which have to be published according to the examination regulations (dissertations),
  - Theses from students of the Hertie School in case the relating thesis is published within a Hertie School paper series.
- (3) For the formal and content-related indexing of the electronic documents, nationally and internationally defined standards like the Dublin Core Metadata Standard, the guidelines of the Open Archives Initiative (OAI) or the definitions of METADISS from the German National Library (DNB) are used. The metadata is submitted by the author, editor or an approved assistant of the author or editor via the online submission form of the HSRR and checked, corrected and, where applicable, amended by the library. Dissertations are provided with an abstract in at least two languages by the author.

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