



CLA Higher Education Trial Licence

Compliance Audit FAQs

Why?

The purpose of an audit is to promote compliance with the terms and conditions of the Trial Licence, in particular with regard to the processes under which Digital Copies are created, stored, accessed and distributed.

What for?

The main purpose of the audit is to enable CLA to report to its parent organisations how the Trial Licence is being implemented in HEIs. As a by-product, CLA expect to gather information about 'best practice' that will be shared among the HE community.

How?

Audits will be conducted by a member of CLA's Compliance Unit at a sample number of Higher Education Institutions participating in the trial (and any sub-contractor to whom they outsource scanning) by means of pre-arranged visits.

Routinely, 4 weeks notice will be given to the Licence Co-ordinator of the intention to carry out an audit. Prior to the date, the CLA member of staff conducting the audit and the Licence Co-ordinator will liaise closely over how to prepare for the audit, with special reference to ensuring that the source material and the Digital Copies are available for inspection on an agreed date.

During the audit, the Licence Co-ordinator (or someone assigned by the Licence Co-ordinator) will oversee access to the secure network to enable selected Digital Copies to be viewed, downloaded and / or printed out.

What information is required?

1. As well as checking a selection of Digital Copies created under licence (as reported to CLA on the Digital Copy Record Sheet), the audit will seek evidence of written procedures (in the form of printed notices, web based documentation, memoranda etc) covering:

- (i) how the licensee has implemented procedures for designating those persons authorised to create Digital Copies
- (ii) how the licensee ensures that Digital Copies are faithful and accurate representations of the original published edition

- (iii) how the licensee ensures that Digital Copies are made of works included in the licence (i.e. with strict reference to UK published works not listed on either the 'List of Excluded Categories / Excluded Works' or the 'List of Works Excluded from the HE Trial Licence')
- (iv) how the licensee performs a routine check to determine if there is an equivalent electronic version available of the book / journal that is to be scanned and records details of any identified on the Digital Copy Record Sheet
- (v) how the licensee ensures that the extent limits (5% / one chapter / one article) are observed
- (vi) how the licensee manages the processes of user authentication / password control to ensure that only designated persons can add Digital Copies to Course Collections
- (vii) how the licensee manages the processes of user authentication / password control to ensure that only Course Users are able to download and print out Digital Copies stored on Course Collection
- (viii) how the licensee manages the housekeeping processes to ensure that Course Collections are weeded at the completion of the module, unit or course being delivered
- (ix) what the licensee communicates to its student population about restrictions on scanning
- (x) how the licensee pursues infringing use of copyright protected material by academic staff and students

2. A sample of Digital Copies will be scrutinised to verify that:

- a) fully annotated Copyright Notices are present on each item
- b) the HEI can demonstrate that it owns an original published edition or a copyright fee paid copy of the extract of which a Digital Copy has been created
- c) if a Digital Copy has been supplied by another HEI, that this has been properly recorded
- d) no Excluded Material has been scanned

3. A sample of Digital Copies will be compared with the source material to determine:

- a) the quality of the reproduction (page layout of text and images)
- b) where appropriate, noting of dis-embedded images
- c) OCR errors introduced in the conversion process (e.g. spelling)
- d) the percentage of the original published edition scanned

4. Where the licensee is involved in storing Digital Copies in Online Reading List Software, the audit will include a sampling of records of end user "hits" of Digital Copies and comparing with record of student enrolments. Any significant anomalies (i.e. where hits exceed course students) will be subject to further scrutiny.



Does the HEI find out the results?

A soft copy of the completed audit checklist and the audit record sheet will be emailed to the institution as soon as practicable after the audit.