

# Permission Guidelines for Authors



John Wiley & Sons, Ltd

# Summary of Contents

## Material requiring permission

- quotations of over 300 words from a book
- quotations of over 50 words from a journal, newspaper, or magazine article
- reproduction of certain works of art
- photographs
- charts, tables, or graphs
- reproduction of web pages or screenshots
- any third-party software used in a CD, DVD, or website supporting an author's work
- use of other Wiley or Wiley-Blackwell material
- film stills and film grabs
- reproduction of advertisements
- certain trade mark usage
- certain photographs containing recognisable people

## Material not requiring permission

- in 'fair dealing' cases (see the section 'Spotting Material That Doesn't Require Permission' for an explanation about when this applies)
- excerpts falling within the STM Guidelines for Quotation and Other Academic Uses of Excerpts from Journal Articles (provided that the relevant publisher is one of the signatories to the Guidelines) – see Appendix 7
- direct quotes from interviews (conducted by the author)
- facts or ideas
- public domain information
- Crown copyright material covered by a Click-Use licence or waived by OPSI (Office of Public Sector Information, formerly HMSO) – for more details see [www.opsi.gov.uk/click-use/index.htm](http://www.opsi.gov.uk/click-use/index.htm)

- certain use of trade marks, logos, and company names
- mathematical and chemical equations
- substantially modified material (just credit the source)

## Useful Forms and Documents in Appendices

1. Copyright permission Request Form
2. Abstract Permission Request Form
3. Screen Capture Permission Request Form
4. Interview Release Form
5. Patient Consent Form
6. STM Permissions Guidelines
7. STM Guidelines for Quotations and Other Academic Uses of Excerpts from Journal Articles

# Permissions Checklist

- All permissions documents received for third party material.
- All permissions forms show figure number in manuscript.
- Permission form shows appropriate credit line to appear in book.
- All media rights obtained for each figure/photograph/table/text section.
- If all media rights have not been granted, permission has been reapplied for.
- All language rights obtained for each figure/photograph/table/text section.
- If all language rights have not been granted, permission has been reapplied for.
- Any outstanding permissions requests provided on list accompanying manuscript and date of last permission request noted on list.
- Any third party material for which permission has not been granted listed with appropriate reference (e.g. title of work, name of author, © year and name of copyright owner).
- All permissions forms and list of third party material (and sources) with outstanding permissions sent in with manuscript to Project Editor.
- Copy of all permissions forms and lists of third party material sent to Project Editor retained by author.

# Introduction

This guide is prepared for Wiley and Blackwell authors and can be found online at [www.wiley.com](http://www.wiley.com) in the Resources for Authors section. This guide is designed to help authors fathom out what does need permission to use, what doesn't need permission, and how to apply for permission. The Publishers Association have also recently prepared some useful permission guidelines which can be found online at: [www.publishers.org.uk/en/home/copyright/copyright\\_guidelines/](http://www.publishers.org.uk/en/home/copyright/copyright_guidelines/)

If in doubt about whether permission is needed, or if you run into any problems, let your Project Editor know.

## Understanding Your Responsibilities

Putting together a list of the permissions required for a project, and then obtaining them, is usually part of the author's job. This section points out what you need to do and how to do it.

Unless specifically provided for in an author contract, you are responsible for:

- Obtaining written permission to use third-party copyright material. To do this, you should use the standard Permission Request Form (see Appendix 1) or Screen Capture Permission Request Form (see Appendix 3) as appropriate. In an edited volume, the chapter authors must obtain permission to use third-party copyright material in their own chapters, and the volume editor is responsible for making sure that they have done so.
- Submitting all permissions documentation. This includes submitting a completed permissions spreadsheet with the final manuscript. This will be sent to you by your Project Editor.
- Paying fees, if any, involved in obtaining permission.
- Informing the Project Editor of the appropriate sources and credit lines for the third party material.

# What material is protected by copyright and what is not?

Whether the use of third party copyright material requires permission is a fact-based determination on a case-by-case basis – the section ‘Knowing What Material Requires Permission’, tells you more about this. However, a good general rule to be guided by is that copyright protects the expression of facts, information, and ideas – but not the facts, information, and ideas themselves. Copyright also protects the format, organisation, sequence, and style of the presentations as part of the expression and therefore paraphrasing is only appropriate for limited portions of the original and should always credit the source.

All authors should be aware of plagiarism, which is considered to be unethical and unprofessional and is likely to bring the author and the publisher into disrepute. Plagiarism is the appropriation of someone else’s work without proper acknowledgement, presenting the materials as if they were one’s own. When quoting word-for-word from the work of another person, quotation marks must be used and the source of the quoted material must be acknowledged. In serious cases of plagiarism it may be necessary to suspend sales, or make financial compensation to the complainant (the author or copyright holder of the original piece).

## *Tip*

Remember that permission fees vary greatly, with some publishers charging additional fees for each separate use. We advise you to rely as little as possible on third party material and to have alternative sources in reserve if permission does prove difficult or expensive to obtain.

# Knowing What Material Requires Permission

As a general guide, permission is more likely to be needed if the excerpt you wish to use represents a significant portion of either the work in which it is found or the work in which you intend to use it. Also, any material that constitutes or represents the heart or key elements of the source material, such that your use could possibly serve as a substitute for the original, also requires permission.

## *Remember*

Generally permission should always be secured for the following. However in some cases fair dealing (see ‘Spotting Material That Doesn’t Require Permission’) may apply:

**A single quotation or several shorter quotes from a full-length book, exceeding 300 words in total.**

**A single quotation of more than 50 words from a newspaper, magazine, or journal article.**

**Works of art** To reproduce the image of a work of art, you need to source photograph of it. If it is a painting that you want, you need to find out who owns the copyright, in order that you can apply for permission from the correct source:

- if the artist died more than 70 years ago, the painting will no longer be protected by copyright.
- if the artist died less than 70 years ago, or is still alive, you will need to ask permission of either the painter or the painter's estate (most twentieth-century artists are still in copyright)
- if the painting is owned by someone privately, you will need to ask permission of the owner
- if the painting is on display in a gallery, the gallery owner must give permission, too

In each of the above instances you will need to establish if the photographer owns the copyright in the photograph. If so, you'll also need to apply for permission from the photographer. You should be aware that you may need to pay a reproduction fee to the owner and a copyright fee to the artist; this can prove very expensive. For most fine art it is cheaper to approach museums and galleries direct, rather than contacting a commercial art picture library. Photographs and permission for contemporary artists can usually be obtained through their dealer or gallery. Check the Internet for details or try [www.artincontext.com](http://www.artincontext.com).

Buildings, sculptures, models for buildings and works of artistic craftsmanship (i.e. an artistic work that is not a painting, drawing, engraving, photograph or work of architecture) which are permanently situated in a public place or in premises open to the public may be photographed or filmed without permission.

**Photographs** Unless otherwise stated, you should apply to the publisher for permission to reproduce a published photograph. However, in some instances, copyright may reside with the photographer. The source of the photograph should be given in the figure caption or in the acknowledgements, and it is to this source that you should apply for permission. You must be aware of the owner's moral right of integrity in illustrations. This can be infringed by altering or cropping photographs or changing colours in artwork. If you want to use a photograph you've taken of someone, you should seek permission from them. Certain photographs and films which are commissioned for private and domestic purposes, such as wedding photos, are also subject to the right of privacy. This means that the person who commissioned the photos (usually the wedding couple) can prevent copies of the photographs being issued to the public. This right lasts for as long as the photograph concerned remains in copyright.

**Charts, tables, graphs, and other representations where the author is using the entire representation or has used a substantial amount of material from another work.** If the data is presented in a different way, permission is not needed, but the source should be credited.

**Material including all or part of a poem or song lyric (even as little as one line), or the title of a song** as this could be trade marked.

**Quotations from informal writings, such as speeches, interviews, mission statements, questionnaires, classroom discussion, or student work.**

**Computer representations, such as the depiction of results of research on computerised databases, the on-screen output of software, reproduction of web pages, and the capture of Internet or other online screen shots.** For small insignificant portions, fair dealing may apply: see 'Spotting Material That Doesn't Require Permission' for more information. If, however, a website invites or authorises copying and nothing indicates that it contains material which is original to others (requiring permission from the original source), permission is not needed. The Screen Capture Permission Request Form should be used for screen captures.

**Any third-party software to be distributed as an electronic component with the author's work for example in a CD or DVD or on an accompanying website.**



**Use of materials from other Wiley or Blackwell publications, and from the author's own previously published works.** The copyright in such materials may belong to another Wiley or Blackwell company or another publisher.

**Ordnance Survey maps, map extracts, or redrawn maps.** Reuse requires permission. For further information, visit [www.ordnancesurvey.co.uk/oswebsite/](http://www.ordnancesurvey.co.uk/oswebsite/)

**Film stills and frame grabs** If film stills are obtained or frame grabs taken for the purposes of criticism or review, their use will be considered fair dealing if accompanied by a sufficient acknowledgement. In order for the use to be fair, it is advisable that you use only a reasonable number of images from any one film and that, in the case of each individual film, the examples used should not form more than an insignificant proportion of the film. The acknowledgement must give the film's name together with the name of its producer. In addition, for films made on or after 1 July 1994, it must also give the name of the film's principal director. If there is any doubt about whether your use constitutes fair dealing, please contact the indicated copyright holder.

**Advertisements** Permission should be cleared in all instances. Companies usually give permission with no fee because, in effect, using their advertisements gives them additional advertising. It is always worth sending the accompanying text along with the permission request to reassure the company that you are not saying anything negative about the advertisement.

In addition to the above guidelines, you are also responsible for securing all other required clearances, including permissions for the use of trademarks and releases from privacy claims. For example:

**A release may be required for photographs or reproductions of specific brand-name products and for use of trade names and logos.** But see the section 'Spotting Material That Doesn't Require Permission' for acceptable use of trade marks.

**The author may need releases for photographs of people, especially private citizens as opposed to public officials and public figures.** This is particularly necessary if such material is used on the cover or in part of the promotion of the work and does not specifically illustrate material in the text. Publication of patient information, including photographs, requires evidence of consent from the patient and from the appropriate Health Authority if the material is part of a medical record. A breach of privacy can occur if a patient can be identified from a published photograph, image or case report. Masking patients' eyes is not adequate in making a photograph anonymous, nor is the exclusion of a patient's head and shoulders in a photograph as the patient might still be recognizable to individuals and their families; Patients can also recognize themselves from clinical descriptions or case reports if their details have not been made sufficiently anonymous. It is the author's responsibility to seek

informed patient consent where necessary, using the Patient Consent Form (see Appendix 5).

## Spotting Material That Doesn't Require Permission

Copyright law recognises the value of the free flow of information in society and encourages authors to expand knowledge by building on the work of those who wrote before them. Copyright does not protect the use of facts or ideas, but only the author's expression of such facts or ideas; and even when material is protected by copyright, permission to reproduce is not required if fair dealing applies.

### *Remember*

Fair dealing is a legal term and allows for the use of third party copyright material under certain circumstances. These include where the use of such material is for the purpose of criticism or review of a work of any description, or for the purpose of reporting current events (excluding photographs) and only apply if the third party work has been lawfully made available to the public and a sufficient acknowledgement is given to the copyright owner and to the third party work; an example of the minimum required to consist of 'sufficient acknowledgement' would be the following:

Title of book, Author, copyright (c) [year][name of copyright owner]; or Title of Article, Author, Journal Title and Volume/Issue Copyright (c) [year] [name of copyright owner].

### *Tip*

If in doubt about whether your use of copyright material is a fair use, request permission anyway – from an author's point of view, it's always best to err on the side of caution when dealing with copyright issues.

The following material does not generally require permission:

Excerpts falling within the STM Guidelines for Quotation and Other Academic Uses of Excerpts from Journal Articles. You may use the following without obtaining explicit permission from the STM publishers who are signatories to these guidelines:

- a maximum of two figures (including tables) from a journal article or five figures per journal issue (unless a separate copyright holder is identified in such figure, in which event permission should be sought from that holder);

- single text extracts of less than 100 words or series of text extracts totaling less than 300 words for quotation; and
- permitted use applies in all media and in future editions.

The following conditions apply:

- The purpose of the use is scholarly comment or non-commercial research or educational use;
- Certain complex illustrations such as anatomical drawings; cartoons; maps; poetry; works of art; or photographs will still require normal permissions requests of publishers (or other copyright holder) as the journal article author(s) is unlikely to own the copyright in these;
- Full credit should be given to the author(s) and publisher(s) of the material(s) used, consistent with normal scholarly practice; and
- The quotation or excerpt must never be modified.

N.B. These guidelines only apply if the original publisher of the material you wish to reuse is an STM signatory. **See Appendix 7** for full details and list of signatories.

**Interviews** You can use material from an interview you've conducted, including direct quotes, without securing a signed release if the circumstances and your notes clearly reveal that the source knew you were conducting an interview for possible publication and did not indicate an intent to restrict your use of the material. You should ask the interviewee to sign a release so that you are not required to go back and seek further approval prior to publication (see Appendix 4).

**Facts and Ideas** Generally, you may use facts and ideas obtained from another work. However, this does not permit you to use the author's original literary expression. You do not need to credit well-known concepts or theories or strictly factual information, so long as these are expressed in your own way. It is good practice to credit the source of an original idea when discussing or expanding on it.

**Public Domain (including expired copyright)** Permission does not need to be obtained for materials that are in the public domain. Public domain includes all official US government publications as well as materials for which the copyright has expired. The copyright expiration date is often difficult to determine. In the UK, the period of copyright in literary works is the life of the author plus 70 years from the end of the year in which the author died. Some material is intentionally and explicitly made available to copy or use, such as clip art. Clip art includes standard line drawings that are available in books and on disks and are classified by subject area (sports, animals, and so on) specifically for free use in other publications.

N.B. Although a text may be in the public domain, translations, abridgements, introductions, or notes may be protected by a separate copyright.

**Crown Copyright material** In the UK, works prepared by an employee of a UK government department agency or other Crown body as part of her official duties, or works which are official government publications, belong to the Crown and the rights are administered by OPSI (Office of Public Sector Information, formerly Her Majesty's Stationery Office). If you wish to reuse some Crown Copyright material, you should first sign up for a free Click-Use licence with OPSI accessible from the following url: [www.opsi.gov.uk/click-use/index.htm](http://www.opsi.gov.uk/click-use/index.htm). The material reused must always be properly cited. Some Crown Copyright material is waived (this is where copyright is asserted, but waived). Waived material can be reused free of charge without requiring a formal licence provided that it is acknowledged, not used in a misleading way and reproduced accurately and kept up to date. For all material not covered by the Click-Use licence or waived, you should apply directly to the appropriate department for permission.

**Third party trade marks, logos, and company names** These can be referred to in the text of a work without permission where necessary to describe a third party's goods but not purely for illustration. However extensive use of a trade mark will require permission. For use in illustrative materials such as cover designs or promotional leaflets, permission must be obtained and appropriate credit given. Where illustrations, images, or trade marks belonging to a third party are used purely as an embellishment, permission must always be sought as fair dealing does not apply.

**Use of trade mark symbols** In the UK it is not necessary to identify a trade mark as registered. You should not use the symbols ® or "TM" or "RTM" (abbreviation of Registered Trade Mark) in connection with a trade mark unless it is a condition of the permission grant and it is only necessary to use the appropriate symbol or abbreviation in relation to the first use of the trade mark, unless the permission grant requires otherwise. The symbol ® or abbreviation "RTM" means a trade mark is registered. The use of "TM" simply means that a mark is being used in a trade mark sense but not that it is registered.

**Mathematical or chemical equations** In general, permission is not required for the republication of individual mathematical or chemical equations, and credit to the source of these materials is not normally appropriate. However, check in with your Project Editor if submitting a work for publication including a large number of equations taken from any one source, especially if that source is a publication composed entirely of equations.

**Modified material** If you wish to modify an already published figure or table by just changing or translating the labelling, or by leaving out or adding bits in, then permission should be obtained, as the end result is still basically the same figure or table. If you take, say, a table and create a graph from the data, then a new copyright may arise, although credit to the original source including the words 'Based on', 'Compiled from', or similar, is appropriate.

If you wish to republish an already modified figure or table, permission should be obtained from the source of the modified item, but the credit line should include reference to the original source(s) of the material as well as to the source of the modification. If you wish to republish a previously published figure or table originally compiled from data from other sources, permission for its re-use must be obtained from whoever owns the copyright in the compilation. The credit line should include reference to the source of the compilation, and to the sources of the original data by using the words ‘Based on’, ‘Compiled from’, or similar, or by using the credit line appearing on the original compilation.

If you wish to make changes or further changes to content which is already in the process of being cleared, you may need to reapply for permission as it is possible that the copyright owner will not like the new proposed alterations and they are entitled to refuse permission.

## **Working Out the Extent of Rights Granted**

You should request the right to reproduce the material ‘in this and all subsequent editions of the work, and in all derivative works, in any and all media and in all languages . . . throughout the world’.

Occasionally the rights granted are limited to a specific language or form of media, or may have a condition attached such as payment of a fee, or are granted only for a short period of time or are not granted for future editions.

All reasonable efforts should be made to obtain full rights using the form of wording in ‘Great Tips for Requesting Permission’. If you experience any difficulty in obtaining permission, your Project Editor can advise as to how best to proceed.

## **Great Tips for Requesting Permission**

This section gives some best practice advice, and includes the specific wording we’d like you to use when applying for full rights.

- Use as little third party material as possible to make your life easier.
- Plan the process using the permissions spreadsheet tool. This will be sent to you by your Project Editor. Diarise deadlines.
- Allow plenty of time to obtain permissions and use the permission request forms (see Appendices). These can be sent by e-mail.

- Ensure that requests are sent to the correct person at the correct address. A useful source for identifying the publishers of STM journals is: [www.library.anl.gov/opac/opac/SearchForm\\_](http://www.library.anl.gov/opac/opac/SearchForm_)
- Make at least two written attempts (whether by e-mail or letter) to obtain permission. Retain these records to show that all reasonable efforts have been made; a gap of between four to six weeks is considered acceptable between requests.
- Ensure that back-up material is available in the event that permission is not granted to use any first choice material.
- Re-apply immediately for missing rights, particularly electronic rights and language rights, using the following wording:

*Thank you for granting permission to include [Fig.X; Table Y etc] from [title of third party book or journal] in the print version of the [title of book or journal]. It is likely that the content will be distributed and/or licensed in electronic format, and I therefore ask for your additional permission to publish [Fig. X, Table Y, etc] in all media [or specify languages]*

Repeat this step once more if no response arrives within 4-6 weeks of the request. If the answer is ‘no’ or no response to the further request arrives, the next step is to request more specific, limited rights, such as e-distribution rights, using the following wording:

*Further to my e-mail of [date] requesting additional permission to publish [Fig. X, Table Y, etc.] the publisher may wish to be able to sign e-distribution licences with third parties, such as electronic library suppliers (e.g. netLibrary), electronic wholesalers (such as Lightning Source) or electronic retailers (such as Amazon). In such e-distribution services, the electronic book is the direct digital equivalent of the printed book. We are not seeking permission to license any component parts of the book, nor are we requesting permission to make derivative products, such as may be covered by subsidiary-rights licensing deals. Apart from third-party distribution, the publisher may also want to distribute the title via its own digital channels. [I/We] therefore ask your additional permission to publish [list material] in electronic format.*

You should repeat this step once more if there is no response within 4–6 weeks of the request. The grant of further rights may be conditional upon the payment of a fee.

- Grants received by e-mail are legal and are sufficient provided that they are received from the copyright holder or a named individual

representing the copyright holder. However as e-mails are transient, authors should ensure that the full postal address, phone, and fax numbers are included in the permissions grant by

- e-mail in case future follow-ups are necessary.
- Re-publication of all third party materials must always be accompanied by an appropriate credit to the original source, so it's essential that authors provide us with the correct credit line and full source details.
- The permissions spreadsheet, sent to you by your Project Editor, must be fully completed and submitted to the Project Editor with the author's manuscript, together with details of any outstanding or partial permissions. You remain responsible for following up outstanding or partial permissions after submission and acceptance of the manuscript. The permission spreadsheet helps you to track permissions requests and responses. Recording the rights accurately on the spreadsheet helps the publisher to exploit a work more fully (increasing your revenues, royalties, and market).
- 'Orphan Works' are literary or other works which are still in copyright, but whose copyright owners cannot be found – even after diligent good faith search – in order to grant permission to reproduce them or substantial parts of them. It is essential to demonstrate that serious efforts have been made in good faith to locate and contact the rights owner before any use of the work be made. There should be clear and adequate attribution to the orphan work and the use can only ever be on a non-exclusive basis. If the copyright owner of the work reappears in due course, they are entitled to demand the removal of their material or demand the appropriate fee for the use of their work, if applicable. See the Publishers Association's position on orphan works for further information at: [www.publishers.org.uk/en/home/copyright/issues\\_and\\_papers/](http://www.publishers.org.uk/en/home/copyright/issues_and_papers/)

# Accompanying Documents

The documents that accompany this guide are used to support the information contained within this guide. These documents are:

Copyright Permission Request Form

Abstract Permission Request Form

Screen Capture Permission Request Form

Interview Release Form

Patient Consent Form

STM Permissions Guidelines

STM Guidelines for Quotations and Other Academic Uses of Excerpts from Journal Articles

## ***Remember***

These are legal documents, so don't modify them before use.



## Appendix 1: COPYRIGHT PERMISSION REQUEST

(For Author use only) .....  
(For Wiley office use only) .....

Figure No/Table No. in  
original manuscript

FROM: Name ..... DATE: .....

Address .....  
.....

TO: Name .....

Address .....  
.....

I am preparing for publication:

\* (1) an original work entitled .....

\* (2) as part of a work entitled .....  
edited by.....

\* (3) an original work entitled .....as an article in  
the journal entitled .....

to be published by:

John Wiley & Sons, Ltd., The Atrium, Southern Gate, Chichester, PO19 8SQ, England (“Wiley”)

I request your permission to include the following in the work referred to above, in all subsequent editions of the work and in all derivative works based on the work, in any and all media of expression now known or later developed and in all languages, to be published by Wiley or its licensees throughout the world

.....  
The usual form of acknowledgement is: Title of book, Author, copyright (c) [year][name of copyright owner]; or Title of Article, Author, Journal Title and Volume/Issue Copyright (c) [year] [name of copyright owner].

Wiley will include the words: “Reproduced by permission of [the owner of the publishing rights]”

Please would you therefore confirm the owner of the publishing rights to be quoted as granting permission. Please indicate your agreement by signing and returning the enclosed copy of this form. In signing, you warrant that you are the sole owner of the rights granted and that your material does not infringe upon the copyright or other rights of anyone. If you do not control these rights, I would appreciate you letting me know to whom I should apply.

We hereby grant permission for the use of the material requested above.

Publishing Rights Holder .....

Date ..... Signed ..... Publisher .....

\* Always complete section 1, sections 2 and 3 are optional depending on the book/article type.

**Appendix 2: ABSTRACT PERMISSION REQUEST FORM**

FROM: Name .....

Address .....

.....

.....

Dear

We are preparing a Journal publication entitled

.....

to be published by John Wiley & Sons, Ltd., The Atrium, Southern Gate, Chichester, West  
Sussex, PO19 8SQ, England, edited by .....

.....

I request your permission to include the following abstract in this and all subsequent editions of  
the Journal, and in all derivative works, in any and all media and in all languages, published by  
John Wiley & Sons, Ltd. or its licensees throughout the world.

.....

.....

.....

Please indicate agreement by signing and returning the enclosed copy of this letter. In signing,  
you warrant that you are the sole owner of the rights granted and that your material does not  
infringe upon the copyright or other rights of anyone. If you do not control these rights, I would  
appreciate your letting me know to whom I should apply.

Yours sincerely

\_\_\_\_\_

We hereby grant permission for the use of the material requested above.

Date .....

Signed .....

\_\_\_\_\_  
**Figure No/Table  
No in Wiley book  
or identification of  
quotation in MSS**

Copyright Holder .....

.....

Publisher .....

**Appendix 3: SCREEN CAPTURE REQUEST FORM**

**Date** \_\_\_\_\_

Wiley manuscript  
Page or figure  
.....

**To:**

I am preparing a manuscript to be published by John Wiley & Sons, Ltd.:

**Author/tentative title:** .....

**Estimated publication date:** .....

**Approximate number of pages:** .....

I request your permission to include the following material in this and all subsequent editions of the book/article/chapter, including all foreign language translations and other derivative works in any media published or prepared by John Wiley & Sons, Ltd, or its licensees, for distribution throughout the world.

**Screencaptures of pages from:** [company name/URL/copyright owner]  
[list pages here with appropriate URLs]

Please indicate agreement by signing and returning the enclosed copy of this letter. In signing, you warrant that you are the sole owner of the rights granted and that your material does not infringe upon the copyright or other rights of anyone. If you do not control these rights, I would appreciate your letting me know to whom I should apply.

Thank you, *Requester's return address* -----

*Name:* ..... -----

**AGREED TO AND ACCEPTED:** Date: .....

By: .....

*Signature* *Title*

Credit and/or copyright notice: .....

.....

**Appendix 4: INTERVIEW RELEASE FORM**

From: [Author]

To: [Interviewee]

Dated: [ ]

Dear [Interviewee]

I am writing to set out the terms agreed relating to the information which you have kindly agreed to provide in an [interview] [a series of interviews] in relation to [subject] for publication in my forthcoming book currently entitled [Name of Work] [the Work].

It is agreed as follows:

I shall have the right to use in the Work the material and the information which you provide me with as well as the right to portray the events which you describe.

I shall have the right to refer to you and to use your name and likeness and biographical information in the Work and in any ancillary advertising and publicity material in any and all media throughout the world.

The benefit of this Agreement shall extend to my assignees, licensees and sub-licensees and shall be irrevocable and shall last for the full period of copyright or other protection in the Work and/or the material.

Could I ask you to please indicate your acceptance of the above by signing and returning the enclosed duplicate copy of this letter?

Yours etc

I confirm and agree the above and agree to be bound by it.

[Interviewee's signature] .....

## Appendix 5: PATIENT CONSENT FORM FOR USE OF PHOTOGRAPHS

I, [NAME OF PATIENT], being a person of sound mind, hereby give my permission to [NAME OF DOCTOR] to include (an) identifiable photograph(s) of me/my son/daughter, etc [NAME] in [ title of work ] (the “Work”) to be published by John Wiley & Sons, Ltd (“Wiley”). This permission extends to all editions and versions (including all language versions) of the Work to be published by Wiley or its licensees throughout the world, in all media of expression now known or later developed.

I declare, in consequence of granting this permission, that I have no claim on ground of breach of confidence or on any ground in any legal system against [NAME OF DOCTOR] in respect of the publication of the photograph(s).

In cases where the patient has died or is incapable of giving consent, consent may be given by the next of kin. If the patient is under the age of 16, consent should be given by a parent or guardian.

---

NAME OF PATIENT .....

SIGNATURE OF PATIENT *OR* NEXT OF KIN .....

[IF NEXT OF KIN, STATE RELATIONSHIP TO PATIENT] .....

[ADDRESS] .....

.....

[DATE] .....

[NAME OF DOCTOR] .....

SIGNATURE OF DOCTOR .....

[ADDRESS] .....

.....

[DATE] .....

**N.B.** Permission may also be required from the patient’s Local Health Authority if the material is part of a medical record.

## Appendix 6: STM PERMISSIONS GUIDELINES & SIGNATORIES

Since their introduction in the 1980's (with major revisions in 1998 and 2003), the *STM Permissions Guidelines* on the re-use of limited amounts of material from published works have helped **STM member companies** (list below) facilitate the publishing process in many cases where delays and costs would have otherwise been incurred.

### STM PERMISSIONS GUIDELINES

**October 2003**

*These Guidelines concern the granting of permission to re-use limited amounts of material from published works in subsequent print and electronic publications. The Guidelines set out general principles for working practice based upon historical practice, common decency and fairness. Adherence to the Guidelines is purely voluntary and it is not intended that they should in any way affect the ability of STM publishers to make commercial judgements about the re-use of their material.*

In the text below, the publisher is assumed to be the rightsholder. When the publisher is not the rightsholder, the principles may still provide useful guidance.

The International Association of Scientific, Technical & Medical Publishers (STM) believes it is in the interest of scholarly and professional publishers, their authors and the scholarly and professional community as a whole to facilitate the exchange of information by setting out common principles with respect to the granting of permissions for the use of limited amounts of material in other published works.

STM publishers support an approach based on common decency and fairness as well as mutual trust. We recognize that scholarly articles often require the direct reproduction of illustrative material (such as figures, tables, structures) for the purposes of discussion or comparison with other data, and that the electronic version of an article needs to contain the same illustrative material in order to maintain the authenticity of the record in both print and digital form. We therefore recommend the following Guidelines as the best working practice for dealing with permissions:

1. Permission should be granted free of charge for the following:  
a maximum of three figures (including tables) from a journal article or book chapter and a maximum of five figures (including tables) from a whole book single text extracts of less than 400 words or series of text extracts totalling less than 800 words

It is recognized that these are broad Guidelines that will not necessarily apply to every situation. Some examples for which a charge might be appropriate would be:

- the re-use of amounts in excess of the above
- material essential to the character of the previously published book or article, when re-use could compromise the sale of the publications (e.g. complex illustrations such

as anatomical drawings; cartoons; maps; works of art; creative photographs)

This list is illustrative rather than exhaustive – the key point is that these Guidelines encourage free-of-charge granting for that which is likely to represent the vast majority of permissions requested for STM material, but it in no way gives carte blanche for inappropriate re-use, and always leaves the ultimate decision at the discretion of the publisher.

2. If permission is given for the re-use of material in print, it should also be granted for any electronic version of that work, provided that the material is incidental to the work as a whole, the electronic version is essentially equivalent to or substitutes for the print version, and embedded material (or a specific link to it) remains in situ and is not separately exploited as, for example, part of a database or some other use which might conflict with or prejudice the exploitation of the material by the publisher.

3. When granting permission, STM publishers should agree in principle not to request a complimentary copy of the newly published work except in limited circumstances, for example where an author requests a copy because of the extent or character of the republished material.

4. STM publishers should not make the granting of permission contingent upon receipt of written permission from the author or artist, except when the author or artist holds the copyright or specifically requests this right, provided that full credit is given to the author or artist as described in section 4 below. Any re-use must maintain the integrity of the quoted material.

5. Full credit should be given to the author(s) and publisher(s) of the material(s) re-used. STM publishers should not require a specific credit line format provided the “quoting” publisher includes the following information clearly referenced to the republished material:

a. For material republished from books: author, title, edition, publisher, city, Copyright © year

b. For material republished from journal articles: author, title of article, title of journal, volume number, issue number (if relevant), page range (or first page if this is the only information available), date, publisher

6. STM publishers are encouraged to have any permission granted for a first edition apply also to a second and subsequent editions and for editions in other languages. It should be noted that permission to use a figure in a book does not constitute permission to use it as a cover or other promotional design. Such permission needs to be sought separately and explicitly.

7. STM publishers are encouraged to respond promptly to requests for permission even if they have to refer the request or do not control the rights themselves.
8. E-mail or Web requests and grants may be made, especially for free-of-charge permissions, as long as the granting publisher has a system and policy that accommodates this.
9. These Guidelines are intended to facilitate the exchange of scholarly and professional information. The Guidelines provide general principles to encourage publishers to permit the use of a reasonable amount of material in other published works, without charge, and with a minimum of administrative difficulties. At the same time, the Guidelines leave the ultimate decision with respect to copyright protection and policy in the hands of the publisher.

Publishers may add their names to a list of signatories of the STM Guidelines. In so doing they would not be committed to follow any specific conduct with regard to permissions, but would be supporting the spirit of the Guidelines in facilitating the exchange of scholarly and professional information.

#### **Signatories to 2003 TM Permissions Guidelines (Updated 25 February 2008)**

American Chemical Society, Washington, D.C., USA  
American Institute of Physics, New York, N.Y., USA  
American Psychological Association, Washington, D.C., USA  
Ardor Scribendi, New York, N.Y., USA  
Atlas Medical Publishing, Oxford, England

Begell House, New York, N.Y., USA  
John Benjamins, Amsterdam, the Netherlands  
Birkhäuser Verlag, Basel, Switzerland  
Blackwell Publishing, Oxford, England  
BMJ Publishing Group, London, England

Cambridge University Press, Cambridge, England  
Carl Hanser Verlag, Munich, Germany  
Co-Action Publishing, Denmark, Norway Sweden

Deutscher Ärzte-Verlag, Köln, Germany

El Manual Moderno, Mexico City, Mexico  
Electronic Publishing Services, London, England  
Elsevier, Amsterdam, the Netherlands  
Elsevier, Japan KK

Hans Huber Verlag, Bern, Switzerland  
Henry Stewart Talks, London, England  
S. Hirzel Verlag, GMBH, Stuttgart, Germany



Igaku-Shoin, Tokyo, Japan  
Institution of Electrical Engineers (IEE), Stevenage, England  
Institute of Physics (IOP), Bristol, England

John Wiley & Sons, Chichester, England

Koninklijke Van Gorcum, Assen, the Netherlands

Lucius & Lucius Verlagsgesellschaft, Stuttgart, Germany

The Mainichi Newspapers, Tokyo, Japan  
Marcel Dekker, New York, N.Y., USA  
Multi Science Publishing, Essex, England

Nankodo Co., Ltd, Tokyo, Japan  
Nature Publishing Group, England

Oxford University Press/Journals

Pharmaceutical Press, London, England  
Polish Scientific Publishers (PWN), Warsaw, Poland  
Portland Press, London, England  
Prentice-Hall of India, New Delhi, India

Royal Society of Chemistry, Cambridge, England

Sage Publications, London, England  
Sdu Publishers, Den Haag, the Netherlands  
Springer Science + Business Media, Berlin, Germany

Taylor & Francis, Abingdon, England  
Georg Thieme Verlag, Stuttgart, Germany

William Andrew, US  
Woodhead Publishing Limited, UK  
World Health Organization, Department of Knowledge Management, Switzerland  
World Scientific Publishers, Singapore

## **Appendix 7: GUIDELINES FOR QUOTATION AND OTHER ACADEMIC USES OF EXCERPTS FROM JOURNAL ARTICLES**

*These Guidelines concern the use by researchers and other scholars of material from published journal articles in subsequent print and electronic publications and by educators of limited amounts for educational use including electronic coursepacks. It is recognized that the short quotation of copyright works for non-commercial research purposes is a normal practice for scholarship and education. Further, such uses would often be privileged by a legal exception to local copyright laws or in any event would be likely to be a type of permission readily granted by the publisher. The use of the entirety of journal articles or book chapters is not covered by this statement, and normal permissions clearances through publishers or rights clearance organizations should be followed for such matters.*

The International Association of Scientific, Technical & Medical Publishers (“STM”) and the Professional Scholarly & Publishing division of the Association of American Publishers (“PSP”) believe it is in the interest of the scholarly and professional community as well as scholarly and professional publishers, to set out some common principles with respect to the use of limited amounts of journal article content in other published academic works and for educational use, and to reduce legal uncertainty with respect to such uses. STM and PSP have with other trade associations recently published a White Paper in May 2007 on the general subject of academic re-use entitled *Author and Publisher Rights For Academic Use An Appropriate Balance*<sup>1</sup>

Publishers accept that scholarly articles often require the direct reproduction of illustrative material (such as figures, tables, structures) for the purposes of discussion or comparison with other data, and that the electronic version of an article needs to contain the same illustrative material in order to maintain the authenticity of the record in both print and digital form. Publishers accept that the use of short quotations is normal in scholarship, generally intended to place the new work in scholarly context or to comment on the quoted work or its impact, and that there is minimal potential in such practices of negatively impacting the demand for the original work.

Publishers also understand that in the development of course-packs (including for distance education), whether in print or electronic form, universities often wish to use similar quotations or limited excerpts. With respect to the use of small portions of journal articles by academics and scholars, or the institutions in which they conduct their research or educational work, that scholars (or their institutions with respect to course-packs) may (without obtaining explicit permission from publishers):

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<sup>1</sup>[www.stm-assoc.org/documents-statements-public-co/2003-2007-documents-statements-public-correspondence/2007-documents-statements-public-correspondence/](http://www.stm-assoc.org/documents-statements-public-co/2003-2007-documents-statements-public-correspondence/2007-documents-statements-public-correspondence/)

- Use a maximum of two figures (including tables) from a journal article or five figures per journal volume (unless a separate copyright holder is identified in such figure, in which event permission should be sought from that holder);
- Use single text extracts of less than 100 words or series of text extracts totaling less than 300 words for quotation; and
- Use such excerpts in all media and in future editions.

The following conditions apply:

- The purpose of the use is scholarly comment or non-commercial research or educational use;
- Certain complex illustrations such as anatomical drawings; cartoons; maps; poetry; works of art; or photographs, will still require normal permissions requests of publishers (or other copyright holder) as the journal article author(s) is unlikely to own the copyright in these;
- Full credit should be given to the author(s) and publisher(s) of the material(s) used, consistent with normal scholarly practice; and
- The quotation or excerpt must never be modified.

Note that some scholarly societies that own journals published on their behalf by another publisher may have more restrictive policies on permissions than those of the publisher, and the publisher, journal administrator or the journal's web site may need to be consulted with respect to such policies (check the copyright notice to see if there is a copyright owner other than the publisher).

These Guidelines are intended to help reduce legal uncertainty and improve and simplify administrative procedures with respect to the use of short excerpts of scholarly and professional information from journal articles. The participating publishers believe that by establishing clear guidance, research and scholarship as a whole is improved and scientific communication and education are made more effective and efficient.

February 2008

**Publisher signatories:**

American Chemical Society  
 BMJ Publishing Group Ltd  
 Elsevier  
 Institute of Physics  
 International Union of Crystallography  
 John Wiley & Sons (including Blackwell)

Oxford University Press journals  
 Portland Press Limited  
 Royal Society of Chemistry  
 SAGE Publications  
 Springer Science+Business Media  
 Taylor & Francis

