An Open and Closed Case: PrePrints and PostPrints in Digital Repositories

Roger Clarke
Xamax Consultancy, Canberra & Visiting Professor at the A.N.U., the Uni. of Hong Kong and the Cyberspace Law & Policy Centre, U.N.S.W.
http://www.anu.edu.au/people/Roger.Clarke/ ...
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Symposium on Managing Openness in Digital Repositories – Uni. of Sydney – 3 February 2006

Agenda
1. ‘Publishing ain’t what it used to be’
2. Articles and Journals
3. PrePrints and PostPrints
4. Repositories
5. ePrints
6. Journal-Publishing
7. Open Access, Open Content, Copyright

Conventional Publishing, 1450-1995
Desk-Top Publishing, 1985-20..
Interactive 'ePublishing', 1995-2095

The Academic Article

‘Written’ Expression of Current and Extended Information about Some Specific Topic within a Discipline or Research Domain

Academic Motivations for Publication

- Make a contribution
- Be seen by those who matter
- Be seen by those who matter as making a contribution that matters

- Thereby:
  - Get / keep a job
  - Get / keep respect by those who matter
  - Get / keep on getting research funding

Submission of Articles to Journals
Role of the Journal in Academic Life

The Journal as Publication
The Journal as Accreditor
Editor
Referees

DISCIPLINARY COMMUNITY

INSTITUTION
RESEARCHER
AUTHOR

The Journal as Publication

RESEARCH FUNDERS

Perceptions of ‘Journal’

• A Place to Put Academic Articles, for
  • Discoverability
  • Accessibility
• A Place to Get an Academic Article
  Accreditation or a Seal of Approval
• A Nucleus and Infrastructure to Support QA
• A Means to Achieve Revenue-Generation
  • to offset costs
  • to offset costs and achieve ROI
  • to build a product portfolio

The PrePrint

• The ‘Departmental Working Paper’ of the Internet era
• A Draft Article, prior to Journal Submission
  (or an Extended Abstract of an Article)
• Motivations:
  • Get feedback
  • Get noticed
  • Establish evidence of priority
  • Build and sustain a professional network
  • Make information available to Specialists
  • Make information available to Anyone


The PostPrint

• The Final Version of an article that has been accepted for publication in a refereed journal
• An additional Copy is placed in a Repository
• Okay if Author-Owned Copyright & the Journal has a non-exclusive copyright licence
• Okay if Journal-Owned Copyright & the Journal is Sherpa-Green, or Sherpa-Blue
• Not Okay if Journal-Owned Copyright & the Journal is Sherpa-Yellow, or Sherpa-White

Types of Repositories Classified by Operator

- Personal Repositories
- Intermediary-Run Repositories (e.g. ISPs)
- Institutional Repositories (esp. Universities)
- Disciplinary Repositories
  - Professional Associations
  - Communities of Interest
- For-Profit-Corporation Repositories
- Libraries and Archives (e.g. NLA Pandora)

And ‘ePrints’?
http://www.eprints.org/

- ‘Author Self-Archiving’ in a digital repository
- Both ‘pre-peer-review’ and ‘post-peer-review’
- Many, widely distributed archival services, mostly run by institutions, some by individuals
- Software: Gnu ePrints, DSpace, several others
- Currently c. 600 archives registered at http://archives.eprints.org/eprints.php?action=browse
- Currently 23 in Australia, total c. 60,000 entries http://archives.eprints.org/eprints.php?page=all&country=au
  ARROW has only recently overtaken ANU as number 1

PrePrints added to the Journal Model

The (Almost) Fully Articulated Model
### Journal-Publisher Characteristics

- specific-purpose org.; OR part of something bigger
- unincorporated; incorporated; a business-unit
- little cash flow; small business; substantial business
- one Journal; some Journals; OR many Journals
- a not-for-profit, associated with a community; a profit-centre within a not-for-profit association; an outsourced service provider; OR an entrepreneur
- money-loser (cross-subsidised); self-funding; money-maker (cross-subsidiser); OR for-profit

### A Journal Cost-Profile Model

- Establishment
- Operations
  - Submission-Related
  - Article-Related
  - Issue-Related
  - Generic
- Infrastructure Maintenance
- Financial Aspects


### Some Inferences from a Cost-Profile Analysis

- Sponsorship by senior academics, and by their employers, is a large proportion of total costs
- ejournals can run long-term 'on the smell of an oil-rag'
- Associations with a few thousand members can carry a hard-copy journal; with a few hundred, an eJournal
- For-Profit Publishers have higher cost-profiles arising from additional functions that they perform
- For-Profit Publishers suffer a cost-disadvantage in the eJournal market of $3,400 per article cf. $730 per article

### Is the Higher Price Worth Paying?

- For-Profit Publishers’ higher cost-profiles arise from these additional functions:
  - marketing
  - brand management
  - customer relationship management
  - content-protection
  - profit-making

- These do not benefit authors or communities (except where profit is shared with Assocns)
What Value-Add by For-Profits?

- Pre-production, production, distribution, and their management, are no longer hard
- There isn’t just 1 ‘one-stop shop’; there are many
- The Web enables aggregation with ease
- Search-engines enable discovery with ease
- The Web enables auto-hotlinking generally, not just across a single publisher’s holdings
- Exploitation of market power (entry barriers, switching costs, control of backlists, bundling) is not value-add

But ... Roles That the Publisher Plays
And hence Costs that may be borne by the Specialist Publisher or Self-Publisher

- Expression
- Preparation for Publication
- Quality Assurance
- Promotion and Marketing
- Logistics
- Payment Collection
- Contingent Liabilities

Quality Assurance Costs that a Publisher May Bear

- Aspects of Information Quality
  - Content ??
  - Presentation
  - Storage
  - Discoverability
- All require professionalism and effort
- Some of them may have to be paid for

Publishers Bear Contingent Liability Risks

- Copyright Infringement
- Breach of Confidence
- Defamation
- Negligence
- Negligent Misstatement
- Misleading or Deceptive Conduct
- Contempt of Court
- Breach of Laws relating to:
  - Censorship
  - Discrimination
  - Racial Vilification
  - Harassment
  - Privacy

in any jurisdiction whose courts deem it to have been published there
Open Access
Peter Suber – http://www.earlham.edu/~peters/writing/jbiol.htm

- Online Access
- Without:
  - Financial Barriers
    “without charge to readers or libraries”
    BUT assuming Infrastructure i.e. no ‘digital/divide’
  - Permission Barriers
    - the need to pre-register
    - the need to be a member of an organisation
    - the need to declare one’s identity
    - legal constraints [wouldn’t it be nice?!!]
    - technological protections

Qualified OA  
- Delayed OA
- Some, not all, e.g.:
  - Author-Paid
  - Editor-Selected
  - ...

Extended OA
- Not just “access”
  - ”distribute”
  - ”transmit”

Budapest’02 v. Berlin’03

Open Content = Liberal Licence Terms

What It Is
- Content available under liberal licensing terms, and without technological protections

Motivations
- to enable access
  e.g. shared Learning-and-Teaching Materials
- to encourage improvements and enhancement
  by exposing the content to ‘more eyes’
  e.g. Wikipedia

Categories of AEShareNet Licence


INSTANT LICENCES

Free for Education – FFE

MEDIATED LICENCES

Unlocked Content – U
Share and Return – S
End-user – E
Preserve Integrity – P
Categories of Creative Commons Licence

http://creativecommons.org/licenses/.../license/

A Copyright Licence for PrePrints and PostPrints

- Control of the Work
  - X Exclusivity
  - X Sub-Licensing
- Integrity Protection
  - √ Entirety
  - √ Copyright Notice
- Reproduction Control
  - √ Permission
  - √ Any Format/Media
  - √ Not-For-Profit Only
- Republishing Control
  - X Permission
    - — Not-For-Profit Only
    - — Incorporation
    - — Tech. Protections
- Adaptation Control
  - X Permission
    - — Review
    - — Distinguishability
    - — Copyright Vesting
- Usage
  - √ Any Territory, Purposes, Person-Types, Fields of Endeavour
  - X Licence Revocability
- Liability Management
  - X Warranties
  - X Indemnities
- Pricing
  - X One-Time Fee
  - X Repetitive Fees

An Open and Closed Case (Study):
The Publishing of Academic Articles

Roger Clarke

Xamax Consultancy, Canberra
& Visiting Professor at the A.N.U., the Uni. of Hong Kong
and the Cyberspace Law & Policy Centre, U.N.S.W.

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