

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

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... /II/PP-0602 { .html, .ppt }

**Symposium on Managing Openness in Digital
Repositories – Uni. of Sydney – 3 February 2006**

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An Open and Closed Case Agenda

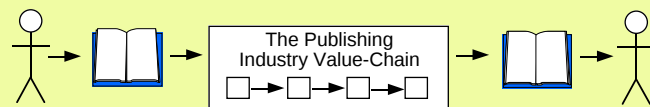
1. 'Publishing ain't what it used to be'
2. Articles and Journals
3. PrePrints and PostPrints
4. Repositories
5. ePrints
6. Journal-Publishing
7. Open Access, Open Content, Copyright

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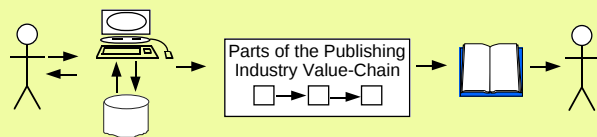


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Conventional Publishing, 1450-1995



Desk-Top Publishing, 1985-20..

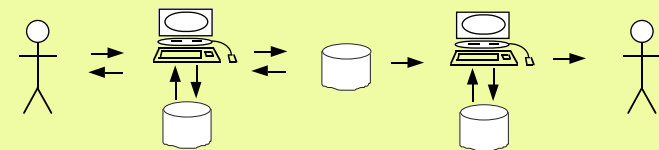


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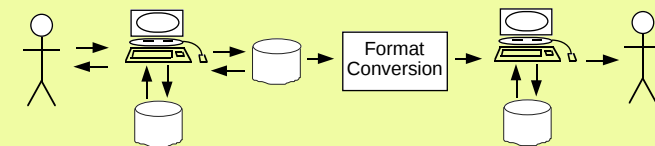


3

Electronic Publishing, 1990-20..



Cross-Media Publishing, 1998-20..

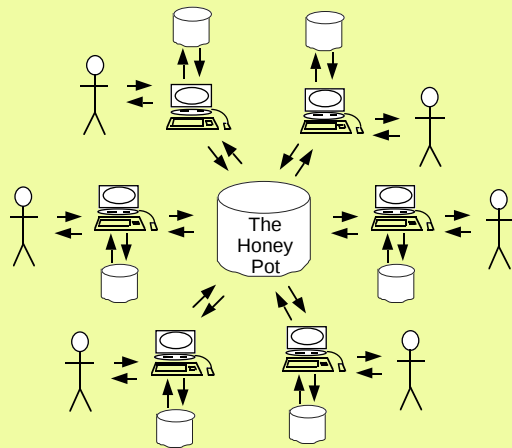


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Interactive 'ePublishing', 1995-2095



'Bees Around a Honey-Pot'

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The Academic Article

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

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Academic Motivations for Publication

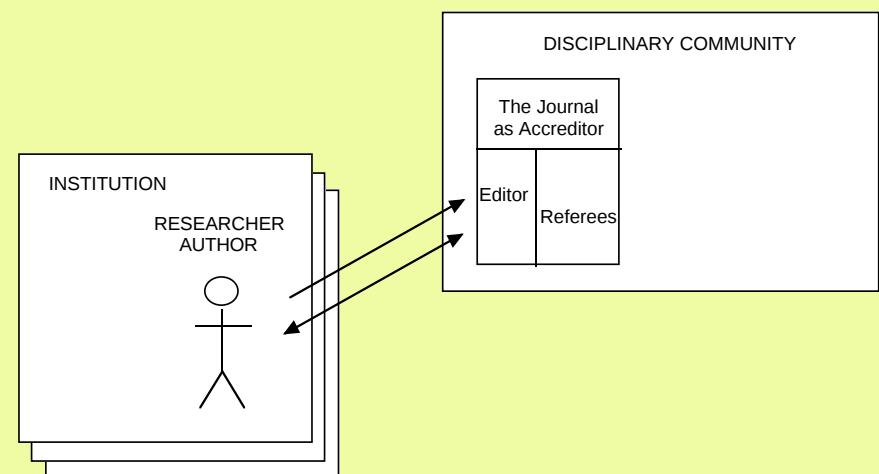
- Make a contribution
- Be seen by those who matter
- Be seen by those who matter as making a contribution that matters
- Thereby:
 - Get / keep a job
 - Get / keep respect by those who matter
 - Get / keep on getting research funding

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Submission of Articles to Journals

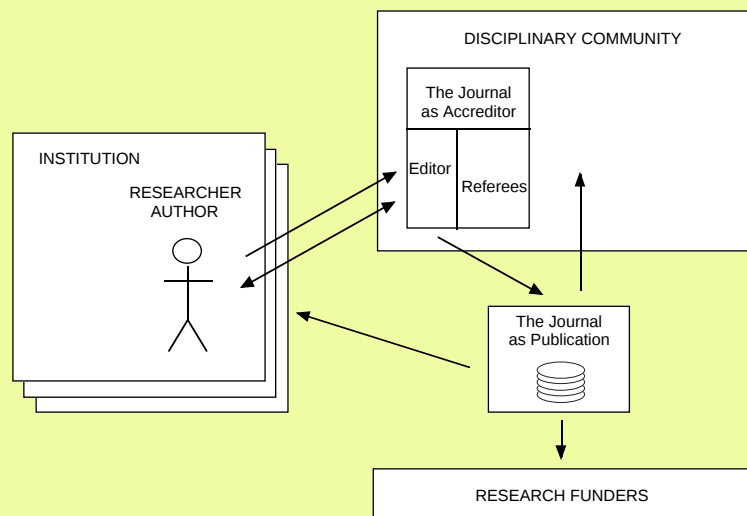


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Role of the Journal in Academic Life



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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

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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

http://www.firstmonday.org/issues/issue10_8/clarke/index.html

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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

<http://www.anu.edu.au/people/Roger.Clarke/EC/PostPrLic.html>

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Types of Repositories Classified by Operator

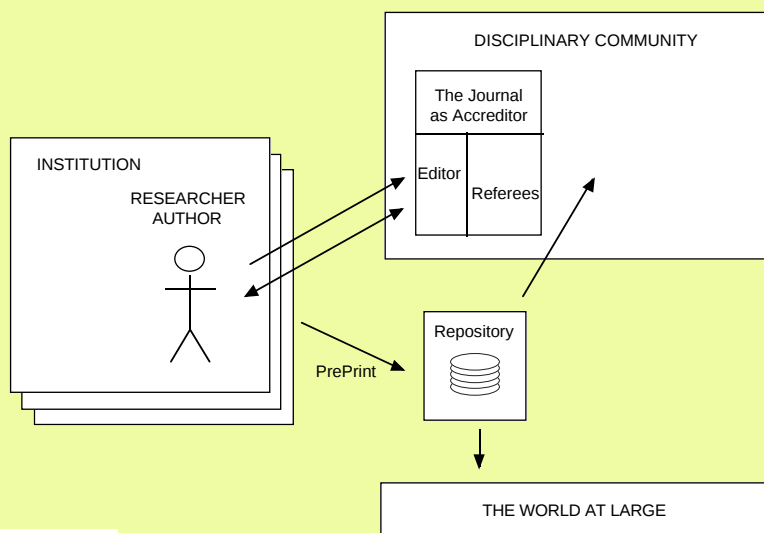
- Personal Repositories
- Intermediary-Run Repositories (e.g. ISPs)
- Institutional Repositories (esp. Universities)
- Disciplinary Repositories
 - Professional Associations
 - Communities of Interest
- For-Profit-Corporation Repositories
- Libraries and Archives (e.g. NLA Pandora)

And 'ePrints'?

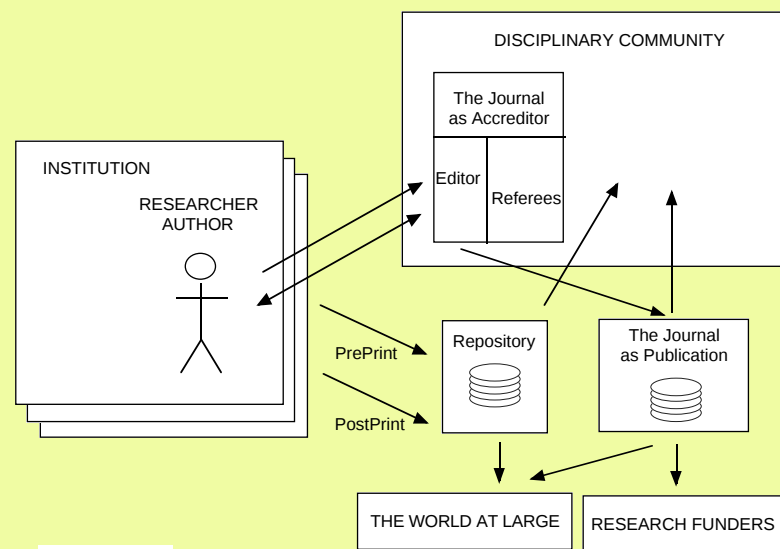
<http://www.eprints.org/>

- '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

<http://www.anu.edu.au/people/Roger.Clarke/EC/JP-CP.html>

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

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Qualified OA

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

Extended OA

- Not just “access”
- But also:
 - “distribute”
 - “transmit”

Budapest’02 v. Berlin’03

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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

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Categories of AShareNet Licence

<http://www.aesharenet.com.au/coreBusiness/>

INSTANT LICENCES

Free for **Education** – FFE



Unlocked Content – U



Share and Return – S



Preserve Integrity – P



MEDIATED LICENCES

Commercial – C



End-user – E



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Categories of Creative Commons Licence

<http://creativecommons.org/licenses/,.../license/>

Name	Characteristics
Version 2.5 Licenses:	
<u>Attribution</u>	BY
<u>Attribution-NoDerivs</u>	BY =
<u>Attribution-NonCommercial-NoDerivs</u>	BY \$ =
<u>Attribution-NonCommercial</u>	BY \$
<u>Attribution-NonCommercial-ShareAlike</u>	BY \$ CC
<u>Attribution-ShareAlike</u>	BY CC

Or Choose:

- pd Public Domain
- dev nations Developing Nations
- sampling Sampling
- fc Founder's Copyright
- GNU GPL CC-GNU GPL
- GNU LGPL CC-GNU LGPL

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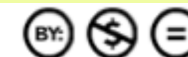
A Copyright Licence for PrePrints and PostPrints

- **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

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Attribution-NonCommercial-NoDerivs



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

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