Open Access to Journal Content as a Case Study in Unlocking IP

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Articles and Journals

Article
Written Expression of current and extended information about some specific topic within a discipline or research domain

Journal
A Venue in which articles are published

Refereed Academic Journal
A Venue in which articles are published following a process of review by specialists

Refereed Journals
The Core Functions – 1950-95

- Quality Assurance
- Publication Channel
- Discovery Mechanism
- Archival Mechanism

Digitisation – 1970s - …

- Computerisation (1970s-80s)
- Desktop Publishing ('born digital') (1980s-90s)
- Scanning to Digital Form (1990s-00s)

The Internet – 1995 - …

- The Electronic Frontier
- "Information wants to be free ..."

Cyberculture Ethos

- Inter-Personal Communications
- Internationalism
- Egalitarianism
- Openness
- Participation
- Mutual Service
- Community
- Freedoms
- Gratis Services
Core Open Access

*Suber and Budapest '02*

Qualified OA

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

For-Profit Publishers

Extended OA

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

Berlin '03

Core OA

Peter Suber – [http://www.earlham.edu/~peters/](http://www.earlham.edu/~peters/)

- Online Access
- Without Financial Barriers (*free as in air*)
  - "without charge to readers or libraries" (*free as in beer*) & without infrastructure barriers, i.e. no ‘digital divide’
- Without Permission Barriers
  - no need to pre-register
  - no need to be a member of an organisation
  - no need to declare one’s identity
  - no legal constraints
  - no technological protection mechanisms

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, informal and / or formal
- 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 author’s own copy of the final version of an article that has been accepted for publication in a refereed journal and has been sent to the publisher

The Publisher's Copy

The version of the article that appears in the journal, and incorporates the publisher’s investment in presentation, production-editing and branding

‘ePrints’?

http://www.eprints.org/

- Encompasses both ‘PrePrints’ and ‘PostPrints’
- ‘Author Self-Archiving’ / 'Self-Deposit'

Into a Repository:

- Author’s Own Repository (deprecated)
- ‘Institutional’ (i.e. University) Repository
- Learned Society / Disciplinary Repository
- Software: Gnu ePrints, DSpace, several others
- Register of Open Access Repositories (ROAR) at [http://roar.eprints.org/](http://roar.eprints.org/)

Open Access to ePrints in Repositories

- Digital / Internet Era creates expectations
- Open Access (OA) movement arises
- ePrints movement arises
- Repositories emerge
- Content gets loaded into Repositories effectively in competition with journals
The Responses of For-Profit Publishers

- Constructive (by means of 'value-add'):
  - Alert Services
  - Search Facilities
  - Auto-Generated Hotlinks within Collections

- Destructively Competitive:
  - A Hired Lobbyist / PR Consultant
  - Misinformation about peer review being a function that is dependent on publishers
  - 'Author Pays' to provide an appearance of openness

An Operational Definition of Unlocked IP

1. Ownership of the Copyright in Collections (Journals)
2. Ownership of the Copyright in Each Paper
   - Publisher Acquires, Provides Licence Back
   OR Author Retains, Provides Licence to Publisher
3. Accessibility of the PrePrints
4. Accessibility of the PostPrint
5. Accessibility of the Publisher's Copy
6. Copying
7. Republication

Progress in Unlocking IP

(1) OA Credentials of Journals Generally

SHERPA/RoMEO catalogue classifies Publishers, Journals according to what can be self-deposited:

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<td>32%</td>
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<tr>
<td>White</td>
<td>37%</td>
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(2) OA Credentials of I.S. Journals

- Positives:
  - Of 131 Electronic-Only Journals, 77% are OA
  - Electronic-Only is a Growth-Area

- Negatives:
  - Of 471 Electronic-&-Paper Journals, 90% are behind 'price and permission barriers'
  - OA Journals are mostly in 'new' and 'fashion' sub-disciplines and research domains
  - The longstanding, large and prestigious journals are mostly closed

Progress in Unlocking IP

(3) Mini-Case Studies of Publishers

- Positives:
  - Procs of U.S. National Academy of Science
    Generally strong Green, but a qualification
  - Elsevier also Green, but also a qualification
  - US Transportation Research Board Yellow

- Negatives:
  - PNAS and Elsevier permit PostPrints in University Repositories only !??
  - TRB blocks PostPrint self-deposit

Progress in the Adoption of OA

(1) PostPrint Volumes

- Of Australian doctoral theses in 2005, only 12% were self-deposited in university repositories
- Only 11.3% of 2006 journal articles were OA
- Deposit-rates vary widely across Unis and disciplines. Few have achieved high deposit-rates
- In physics, very high penetration-rate by arXiv
- In health-related disciplines, a high volume has been achieved by PubMed Central (US National Institutes of Health – NIH), but still only 15%
- NIH has had to resort to mandating self-deposit
Progress in the Adoption of OA
(2) ePrint Availability

- Open Availability of Papers discovered through Google Scholar, using two search-terms
  - Old Topic ("information systems failure")
    - 7/40 = 17.5% openly available
    - 571 citations to open papers cf. 1,761 to closed
  - Recent Topic ("reintermediation")
    - 14/28 = 50% openly available
    - 485 citations to open papers cf. 248 to closed
    - But AIS eLibrary provides access to 43 papers

Progress in the Adoption of OA
(2) ePrint Availability by Location

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13 15

Some Tentative Inferences

- There’s Progress in relation to recent topic-areas
- There’s little evidence of retrospective self-deposit (or deposit into OA by publishers or universities)
- OA Journals and University Repositories have performed and are performing very poorly
- Disciplinary Repositories may be a little better
- Informal copies on instructors' open web-sites and authors' own sites are at this stage of greater assistance than the whole of the formal system

For-Profit Publishers' Distinctive Differences

- For-Profit Publishers of eJournals are expensive $3,400 per article cf. $730 per article
- For-Profit Publishers' higher cost-profiles arise from:
  - Marketing
  - Brand Management
  - Customer Relationship Management
  - Content-Protection
  - Profit-Making
- These benefit shareholders
- They don’t benefit authors or communities

Possible Impacts of ePublishing On Articles

- Successive ePrints / a 'living article'
- Multiple Discovery Mechanisms
- Linked 'grey literature' / supporting data
- Interactive Publications (animation, video, models supporting 'what-if' analysis)
- Open Review:
  - 'interactive public discussion'
  - 'electronic letters to the editor'
- Central Submission-Points
  => “a market for articles”
Possible Impacts of ePublishing On Journals

- Review Processes
- Production Costs
- Granularity (Volume, Issue, Article)
- Publication-When-Ready
- Distributed Storage of ‘Separates’ in multiple repositories (own, employer’s, discipline’s)
- The Virtual Journal as an index-page of links to Separates, each carrying a signed certificate

Conclusions

- Progress in Unlocking IP, in the sense of reductions in copyright barriers to access to journal papers
- Progress in exploitation has been dismal
  - Academics remain apathetic
  - Universities remain half-hearted
- Mandating of self-deposit may increase adoption well beyond 15%, but perhaps only to 30-50%
- Learned societies may be the source of progress
- But for-profit publishers are trying to block them

Open Access to Journal Content as a Case Study in Unlocking IP

Agenda

- Articles and Journals
- Digitisation and the Internet
- Open Access to ePrints in Repositories
- Responses by For-Profit Publishers
- Unlocked IP
- Progress in Unlocking IP
- Progress in the Adoption of OA

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