

## ***CrossRef Glossary Version 1.0***

Prepared by Bob Hecht and Carol Richman with the CrossRef Institutional Repository Committee. This Glossary is designed to be a work in progress and will be revised so comments, questions and feedback to [irc@crossref.org](mailto:irc@crossref.org) are welcome and encouraged.

**Accepted Author Manuscript** – see *Personal Version*.

**Accepted Work** – The version of a work accepted for Formal Publication as a result of significant value-adding activities, typically peer review and revision, but prior to final typesetting and other processing for publication. This version of the work may have a DOI assigned by the publisher. Note that some Institutional Repositories have adopted the SHERPA/RoMEO term Post-print to refer to an Accepted Work.

**Author's Original Draft** – The version of a work deemed by the author to be ready for reading and/or formal review by others. Only the author bears responsibility for the content. **See also** *Preprint*. *Distinct from Original Work as defined by copyright law where nothing about review is implied. Contrasted to Accepted Work.*

**Author Version** – see *Personal Version*

**Authoritative Work** – see *Definitive Work*

**Consortial Repository** – A shared repository, or several interoperable repositories, of a group of institutions dedicated to archiving and making available the works by member institution authors. When these works are formally published, the works should cite the Definitive Works using DOIs.

**Corrected Version of Record** – A publishers officially corrected Definitive Work

**Definitive Copy** – see *Definitive Work*

**Definitive Version** – see *Definitive Work*

**Definitive Work** – The final version of a work which has been published. Typically, the Definitive Work has been accepted, edited and published in print and/or digital form. The publishing organization gives its imprimatur to the Definitive Work. Such works should be assigned a DOI by the publisher. The term “Published Journal Article” refers to a Definitive Work appearing in a journal. *Also: Definitive Version, Definitive Copy, reference copy, formally published work, Formal Publication. Note the difference from Version of Record.*

**Derivative Work** - Copyright law defines a Derivative Work, as a work that is based on (or derived from) one or more already existing works. It is copyrightable if it includes what the copyright law calls an Original Work of Authorship. Derivative Works, also known as “new versions”, include such works as translations and condensations as well as editorial revisions, annotations, and elaborations of existing works.

To be copyrightable, a Derivative Work must be different enough from the original to be regarded as a “new work” or must contain *a substantial amount* of new material. *Making minor changes or additions of little substance to a preexisting work will not qualify the work as a new version for copyright purposes.* The new material must be original and copyrightable in itself.

*Only the owner of copyright in a work has the right to prepare, or to authorize someone else to create, a new version of that work.* The owner is generally the author or someone who has obtained rights from the author.

A Derivative Work that is a Minor Revision does not qualify for a new copyright and should therefore carry the DOI of its Definitive Work or Version of Record and be labeled an Updated Work or revision. A Derivative Work that has a substantial amount of new material is called a Major Revision here, and does qualify for its own copyright, and therefore, a new DOI. The DOI and copyright of the work on which it is based, however, should be explicitly cited. See also: *Major Revision and Minor Revision*. Also see *CrossRef Guidelines for Standard Citations in Author Posting, 3a and 3b*.

**Duplicate Publication** – see *Duplicative Work*

**Duplicative Work** – For CrossRef purposes shall mean a work deposited in an Institutional Repository that “substantially” duplicates a work already accepted for, or intended for Formal Publication. “Substantially” is taken to mean “whose copyright or publishing license has been transferred or granted to the publisher or *is intended* to be so transferred or licensed.” A Duplicative Work cannot be assigned a new DOI by an IR, but must incorporate the DOI of the Definitive Work as soon as it is available. Authors should inform IRs of their intentions at the time of deposit.

**Also Duplicate Publication or Redundant Work**

**E-print** – Any version of a work available online which has been either submitted for Formal Publication or has been accepted after formal review. The term encompasses both Preprint and Post-print and all Personal Versions in between. E-prints are considered Duplicative Works and are specifically excluded from deposit in CrossRef (unless deposit is by the publisher as part of the publishing process).

All versions should contain DOI links to the publishers Definitive Version as soon as it is available.

**Formal Publication** – see *Definitive Work*

**Formally Published Work**– see *Definitive Work*

**Fugitive Literature** – see *Grey Literature*

**Grey Literature** – Has traditionally referred to a body of work that is not widely distributed or available for study because it is difficult to locate and access. The term may also refer to works that are not formally reviewed and have not appeared in standard, recognized publications. It is also called “Fugitive Literature” because conventional identification is lacking, i.e., its non-standard metadata makes bibliographic management very difficult. Grey literature is no longer as difficult to find and to access. The definition now emphasizes its ephemeral or transient characteristic, less persistent than formal literature, and more particularly, its lack of formal peer review. It is sometimes thought of in terms of an informal, more limited, scholarly communication process which may be followed by Formal Publication. It can serve a valuable supplementary role to Formal Publication, including additional resources, details, research methods and experimental techniques. In one sense, the collaboration between CrossRef and Institutional Repositories may be seen as a large effort to eliminate Grey Literature by finding a systematic way to identify it and integrate it with formal research publications. Grey Literature can include the following:

- Working Papers;
- theses and dissertations;
- research and Technical Reports;
- conference proceedings;
- departmental and research center newsletters and bulletins;
- papers in support of grant applications;
- status reports to funding agencies;
- committee reports and memoranda;
- statistical reports;
- technical documentation; and
- surveys.

*NOTE: presently, CrossRef accepts DOI and metadata deposit for non-Duplicative Working Papers, theses and dissertations, conference proceedings and Technical Reports. In future, other types of grey literature may be added. “Preprints” are considered Duplicative Works and are specifically excluded from deposit in CrossRef.*

**Institutional Repository** – CrossRef considers an Institutional Repository any formal collection of original research and of research data or other intellectual property mediated by a set of services which are provided and maintained by an organization, acting alone or in partnership with other institutions, whose contributors are constituents of the organization(s) and are further encouraged to provide a perpetual, non-exclusive license for the duplication, management and dissemination by the hosting organization of their self-authored digital content to the organizations members and/or to the wider research and education community and/or to the world at large.

*Types of materials held in repositories †*

- Theses/dissertations
- Preprints/e-prints
- Conference proceedings
- Conference Presentations, e.g. PPT slides
- Tech reports/Working Papers
- E-books
- Journals
- Newspapers
- Data sets
- Digitized institutional assets from library special collections
- Digitized institutional assets from museum collections
- University publications
- University electronic records
- Departmental materials or records
- Images
- Audio
- Moving images
- Musical scores
- Exhibitions
- Performances
- Interview Transcripts
- Maps
- Plans/blueprints
- Software
- Course content, e.g. syllabi, lectures
- Learning objects
- Student papers other than theses or dissertations
- E-portfolios
  - Campus Blogs
  - Newsletters
  - Laboratory Protocol
  - Exhibition Guide
  - Book Manuscript
  - Web Pages

<sup>†</sup>Lynch, Clifford. "Institutional Repository Deployment in the United States as of Early 2005" *D-Lib Magazine*, Vol 11 Number 9, September 2005.

<http://www.dlib.org/dlib/september05/lynch/09lynch.html>.

### *Characteristics of IR content*

- Contributors should be willing and able to grant the institution the right to preserve and provide access to the work.

- The work must be in digital form.
- Will normally represent a work created by a member of the community served by the IR.
- Contributed works may be scholarly or pertain to teaching, learning or research, or to the institutions own history and administrative needs.
- If the work is part of a series, other works in that series should also be contributed so that the IR can provide a complete offering.

#### *Characteristic of IR services*

- Provides for long term preservation of digital materials. For CrossRef purposes, this will apply particularly to Original Works with properly registered DOIs.
- Organization and management of digital materials. For CrossRef purposes, this would require perpetual link management from citable works to the *Definitive Work* via the DOI.
- Perpetual access to digital materials.
- Maintenance of addresses for perpetual linking purposes.

**Major Revision** – An update of a Definitive Work or Version of Record that is substantial enough to warrant a new copyright and its own DOI. It should *reference* the previous Definitive Work or Version of Record and provide a DOI for it.

**Minor Revision** – An update of a Definitive Work or Version of Record that is not substantial enough to warrant a new copyright or a different DOI. The DOI displayed with a Minor Revision should resolve to the Definitive Work or the Corrected Version of Record, with revisions noted. It should be labeled a Minor Revision and display the copyright of the Definitive Work or Corrected Version of Record.

**Original Work** - any work that is fixed in a tangible form of expression and can be communicated by machine or device. Such works may be assigned a DOI. These may include:

- Literary works;
- musical works, including any accompanying words;
- dramatic works, including any accompanying music;
- pantomimes and choreographic works;
- pictorial, graphic, and sculptural works;
- motion pictures and other audiovisual works;
- sound recordings;
- architectural works.

*Note: CrossRef has a defined set of content types for which it accepts deposits. At present, only literary works in the list above are accepted.*

**Personal Copy** – see *Personal Version*

**Personal Version** – The publicly available version of the work maintained by the author after acceptance by the publisher, but excluding the Proof and the Definitive Work, which has been formally processed and published.

**Also** *Personal Copy, Personal Version, Author Version, or Personal Work*

**Personal Work** – see *Personal Version*

**Post-print** – For CrossRef purposes, the Accepted Work or the Definitive Work or a Minor Revision. The Post-print should receive the DOI assigned by the publisher with the appropriate version statement.

*Note: The term Post-print has several variant definitions. The common application of the term Post-print to an author's work ranges from stages that fall within the common definition of Preprint, i.e., accepted but prior to final press run, right through forms that may be interpreted as the final, typeset form of the work. Due to the difficulty this presents when trying to determine the proper circumstances for registration of a DOI for a given work, it is reasonable to adopt some additional terminology that narrows the definitions and timelines as they relate to the publishing process. Institutional Repositories and the Open Access Initiative tend to define Post-print as any version after peer review and acceptance, as does CrossRef here.*

**Preprint** – For CrossRef purposes, an Author's Original Draft *which is intended for Formal Publication*, or already submitted for publication, but prior to the Accepted Work. CrossRef does not accept Preprints, as defined here, for deposit and DOI assignment, since the author intends to submit the work for peer review and subsequently publish it. If a CrossRef member inadvertently assigns a DOI to a Preprint or to a Duplicative Work, then that DOI will be aliased to the DOI for the Definitive Work and maintained by the organization responsible for the Definitive Work.

*Note: Like Post-print the term Preprint has several definitions. It has been used to refer to an authors draft of a paper, either pre- or post-submission for publication. In normal usage, this may include forms of the work already affected by the publishing process through peer review, copy editing, proofing and revisions. Here it is necessary to narrow the definition of Preprint in order to adequately resolve the question of when, and under what circumstances a DOI should or should not be assigned to a work in this relative stage of development. The CrossRef definition corresponds to IR definitions.*

**Proof** – Any of several versions of a work created as part of a formal publication process after acceptance and before the Definitive Work.

**Published Journal Article** – For CrossRef purposes represents the Definitive Work published in a journal, which normally includes the journal name, publishers name, and a DOI.

**Redundant Work** – see *Duplicative Work*

**Reference Copy**– see *Definitive Work*

**Self-archived Copy** – For CrossRef purposes, a copy of any version of a work for which copyright or publication license has been assigned to a publisher, *or intended to be assigned*, and which is posted by the author to a personal home page or his company’s website, or deposited in her Institutional Repository, under terms set during the transfer of formal publication rights. A Self-archived Copy is a Duplicative Work, *or soon will be*, and therefore is not accepted for DOI deposit by CrossRef. A Self-archived Copy should link via the DOI to the related formally published Definitive Work as soon as it is available.

**Subject Repository** – A repository dedicated to archiving and making available works in a specific field of study. A well-known Subject Repository is ArXiv (<http://www.arXiv.org/>). Works in a Subject Repository are usually Preprints and Self-archived Copies and, therefore, as such are not eligible for DOI assignment through CrossRef. These works should use the DOI to link to the Definitive Work. A Subject Repository may be an independent collection or a virtual overlay segmenting one or more Institutional Repositories by discipline.

**Submitted Work** – The version of a work, or the Author’s Original Draft, when sent to a formal review process.

**Supplemental Work** – In a CrossRef context, this means an Original Work which may be found in an Institutional repository which *is related to* subsequent, formally published works, but which is significantly different in content from them. A Supplemental Work has its own independent copyright and therefore warrants its own DOI. From the perspective of the subsequent later work, this Original Work is another resource which *supplements it. Contrasts with Duplicative Work.*

In a more general context, there are two additional meanings to the term. A) A Supplemental Work may appear in a Formal Publication or in close association with one. It may require peer review and editing. A Supplemental Work in this sense is frequently published in a special edition of a journal. B) A Supplemental Work may refer to online files that accompany a peer-reviewed article but do not appear in print, such as multimedia files, software routines, or extended proofs.

**Supplemental Data** – For CrossRef purposes, a component of an article which may be assigned its own DOI. *It is expected that in the future development of e-science, Supplemental Data sets and sub-sets will be maintained by Institutional Repositories or other organizations; will be assigned DOIs; and will be referenced by and interlinked with the works that utilize them in their research.*

**Technical Report** – An Original Work presenting the results of scientific or technical research that has been completed or is still in progress. It is often a condition of

sponsored research that a Technical Report be prepared periodically or at the conclusion of the project. A Technical Report is typically unreviewed and unedited. Its audience may be limited to its sponsors, or sponsoring organization, or, increasingly, may be made publicly available. Its findings may later be peer reviewed, refined and published in one or more Definitive Works.

A Technical Report is meant to be instructive and is typically longer than a journal article; resources for such works include other journal articles, sources other than published articles (research, studies, interviews, correspondence). It is typically a bound document and is usually given an identifier, often within a formally defined series. Technical Reports may include the following:

- Technical background reports;
- Instructions;
- Feasibility, recommendation and evaluation reports;
- Primary research reports;
- Technical specifications;
- Report length proposal;
- Business prospectus.

*NOTE: Technical Reports may be assigned DOIs.*

**Updated Work** – A revised version of a Definitive Work or Version of Record.

*See Major Revision and Minor Revision*

**Versioning** – A formal process, consisting of rules and procedures which provide for the tracking and management of repository contents, (in this case both metadata and objects), that recognizes changes of state. For CrossRef purposes, it is critical that an Institutional repository be capable of differentiating *Working Papers* from peer reviewed versions of an author's work, and both forms from the *Definitive Work*. Currently, not all IR platforms support versioning, and those that do provide varying levels of support. Typically, the actual method of version control is left to the institution and may require manual processes to update information related to changes of state.

[http://www.soros.org/openaccess/pdf/OSI\\_Guide\\_to\\_IR\\_Software\\_v3.pdf](http://www.soros.org/openaccess/pdf/OSI_Guide_to_IR_Software_v3.pdf)

*Note: Publishers have internal peer-review and production systems that carefully distinguish different versions, but as these versions are in private circulation, they are not associated with formal and public bibliographic metadata.*

**Version of Record** – A fixed end-point in the evolution of a work; final version of a work. Should have a DOI assigned to it. For formally published, reviewed works, see *Definitive Work*. For works that are not formally published, see *Authors Original Draft*.

**Working Paper** – A work which has not undergone peer review or an editing process, and has not received official approval from a publication, society, association or group.

A Working Paper is often a record of a project's research activities or interim findings. In a CrossRef context, it is similar to a Technical Report (though not in one of the hard sciences). If a Working Paper has been or will be submitted for Formal Publication, it should not be assigned its own DOI, but should retrieve the DOI of the Definitive Work to link to it. If the Working Paper is the Version of Record, it should have its own DOI assigned.