# Strong Copyright in the Interest of Innovation?

Rainer Kuhlen Universität Konstanz FB Informatik und Informationswissenschaft

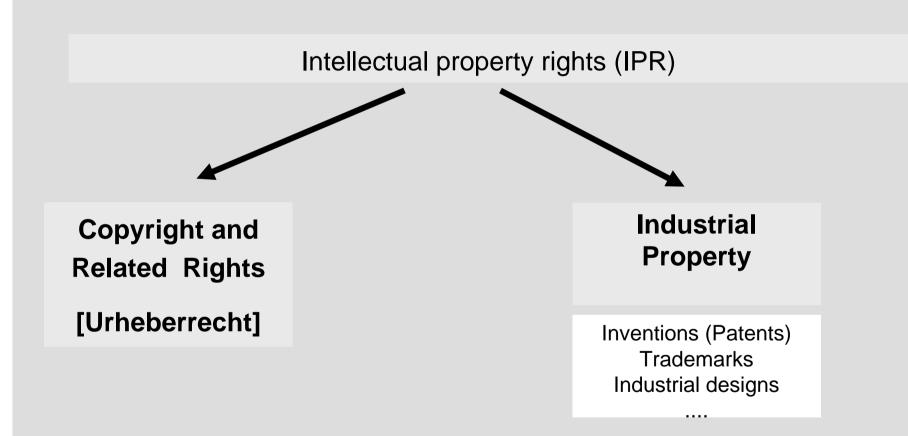




#### Europäische Akademie

zur Erforschung von Folgen wissenschaftlich-technischer Entwicklungen Bad Neuenahr-Ahrweiler GmbH

# Strong IPR in the Interest of Innovation?



INK

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- Agreement on Trade-Related Aspects of Intellectual Property Rights (WTO-TRIPS-Abkommen) – 1994 "has caused a subtle
- WIPO Copyright Treaty (WCT) 1996
- > WIPO Performances and Phonograms Treaty
- > Digital Millennium Copyright Act USA 1998
- EU -European Copyright Directive ("the Directive") 2001 to harmonise and update the copyright laws of member states to take account of the Internet and other new technologies

reorientation of copyright away from the author towards a trade-oriented

> perspective" 1996 Pérez de Cuéllar

> > UNESCO-Bericht Our Creative

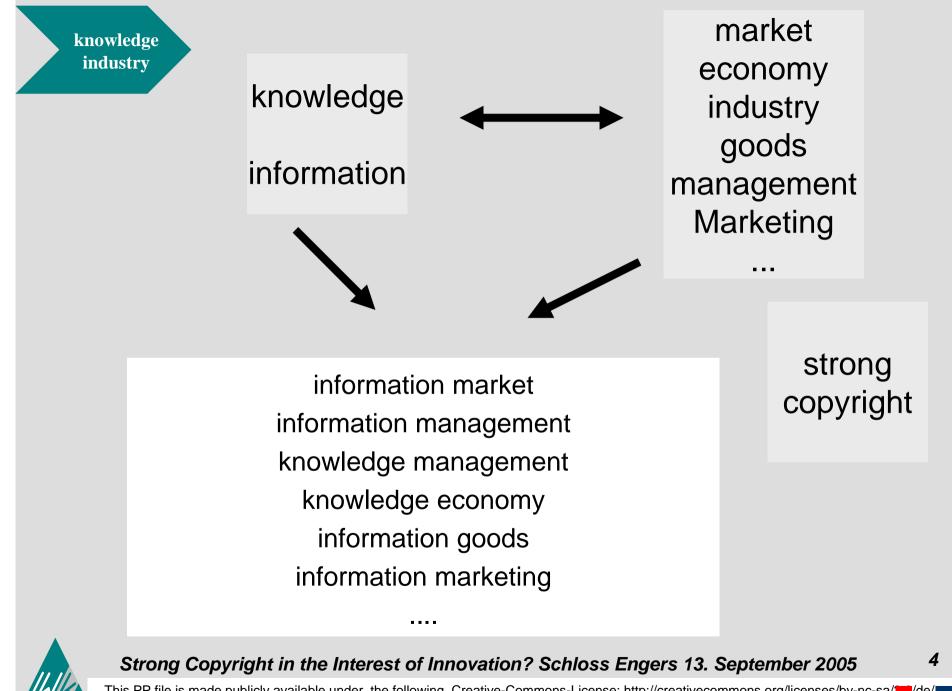
> > > Diversity

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 First Adaptation of the European Copyright Directive in Germany 2003 – further process ("Zweiter Korb") delayed by the Federal Election 2005



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## Extension of IPR in time

## Extension of IPR to living objects and other objects in nature

Extension of IPR to software (still controversial)

Introduction of some sui-generis-regulation, such as für data bases



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Extension of IPR to business models

Extension of publication rights

Extension of technical protection of IPR (Digital Rights Management) and legal protection of technical measures

Reducing copyright exceptions (science, private copies,...)

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strong copyright Bono: an American record producer, singer, actor, and politician

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Sonny Bono) **Copyright Term Extension Act 1998** - also: "The Mickey Mouse Protection Act"

Bono, respectively Mary Bono, his widow, wanted **copyright to last forever** – but this ("forever") was considered a violation of the Constitution – "limited time"

Proposal Jack Valenti (Motion Picture Association of America): "forever less one day"



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# Extension of IPR in time - +20 years

# Before:

single author's copyright 50 years after his death corporations' copyright 75 years after invention

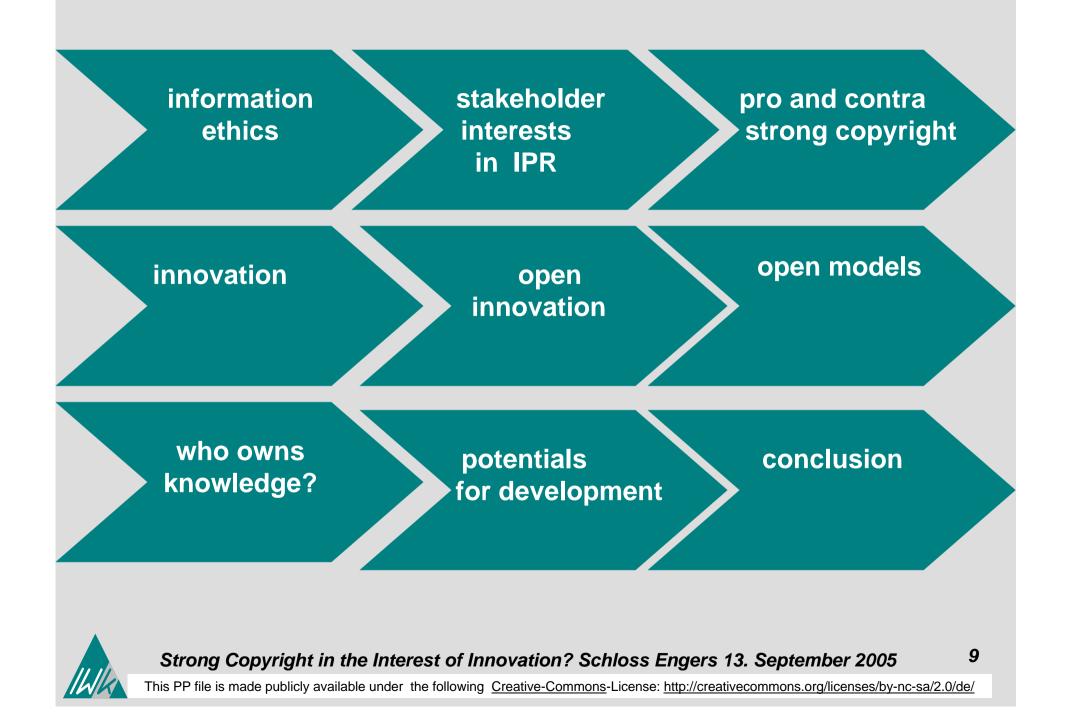
Then:

**single author**'s copyright 70 years after his death (Mickey mouse – invented 1928 – to be expired 2003)

**corporations**<sup>^</sup> copyright **95 years** after invention (Mickey mouse extended till 2023)



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from an information ethics point of view

what is information ethics?



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# Information ethics is ethics in electronic environments – we call them spaces

# an old (Aristotelian) concept of ethics

the space(s) – **the "ethos"** – in which we live, work, and communicate with other people influences our (moral) behaviour

> spaces are highly **structured** if not determined by media and technology **devices** and information and communication **services**

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# Information ethics is ethics in electronic environments/spaces

Information ethics not cyber ethics or computer ethics in general

Information ethics often considered a **business ethics** with the objective to help employees **to adjust** to new electronic work environments Information ethics can also be considered a **professional ethics** for information specialists such as librarians, information brokers or information managers, who need **codes of ethics** for a professional approach towards knowledge and information.



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# Information ethics is ethics in electronic environments/spaces

the **Internet** can be called the **dominant knowledge and information space** 

# **Information ethics**

reflects behavior and attitudes in

knowledge and information spaces

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Therefore: information ethics can be called ethics of the Internet



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#### information ethics

It is within the information and communication spaces where **we** – **the people** who live, work and communicate in these spaces - develop **new** (environmentally appropriate) **normative behaviour, moral attitudes, norms values, ethical concepts** (may be a new **information ethics**)



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#### information matrix

rights values	right to read	right to write	right to learn/ literacy	right to com- municate	right to privacy
autonomy	development, self-determ- ination	participation,	development, information competence	deliberative democracy	freedom of information
inclusive- ness	information for all	collaboration	education for all	collaboration knowledge sharing	self-determi- nation
justice	free access under fair conditions	no censorship	equity in chances	inter- generation	data protection
sustain- ability	open access	responsibility	life-long learning	information ecology	information control



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#### information matrix

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These **rights and values**, this new normative behaviour, these new ethical concepts are often in **conflict with traditional values** etc. which had been developed in different media and technology environments.

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# This is also the **objective of**

information ethics to contribute to a

(fair) **balance** between new and traditional values, normative behaviour, moral judgements and ethical concepts.



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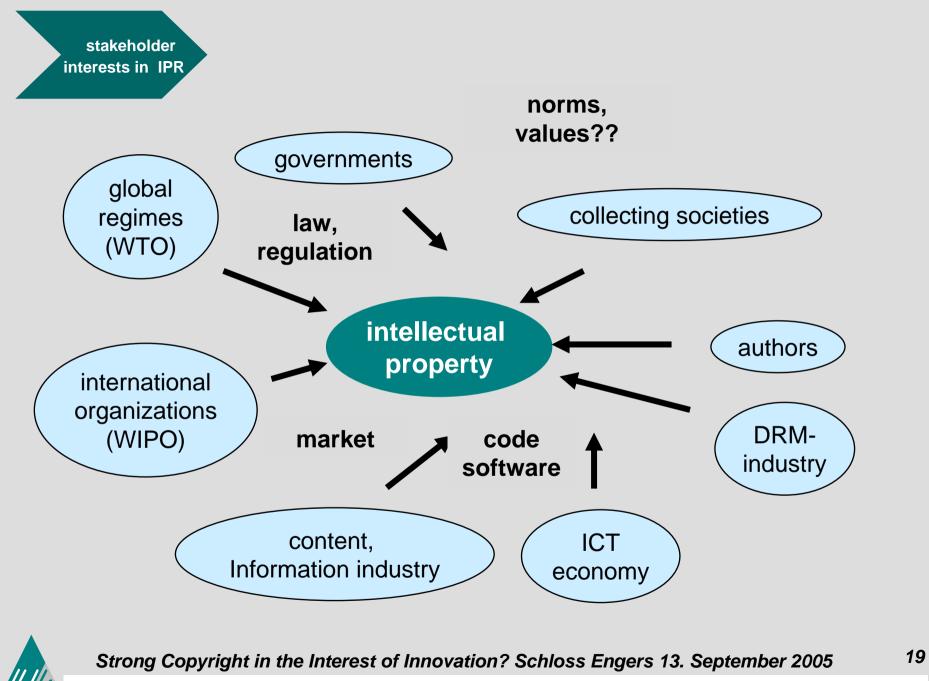
# classic example

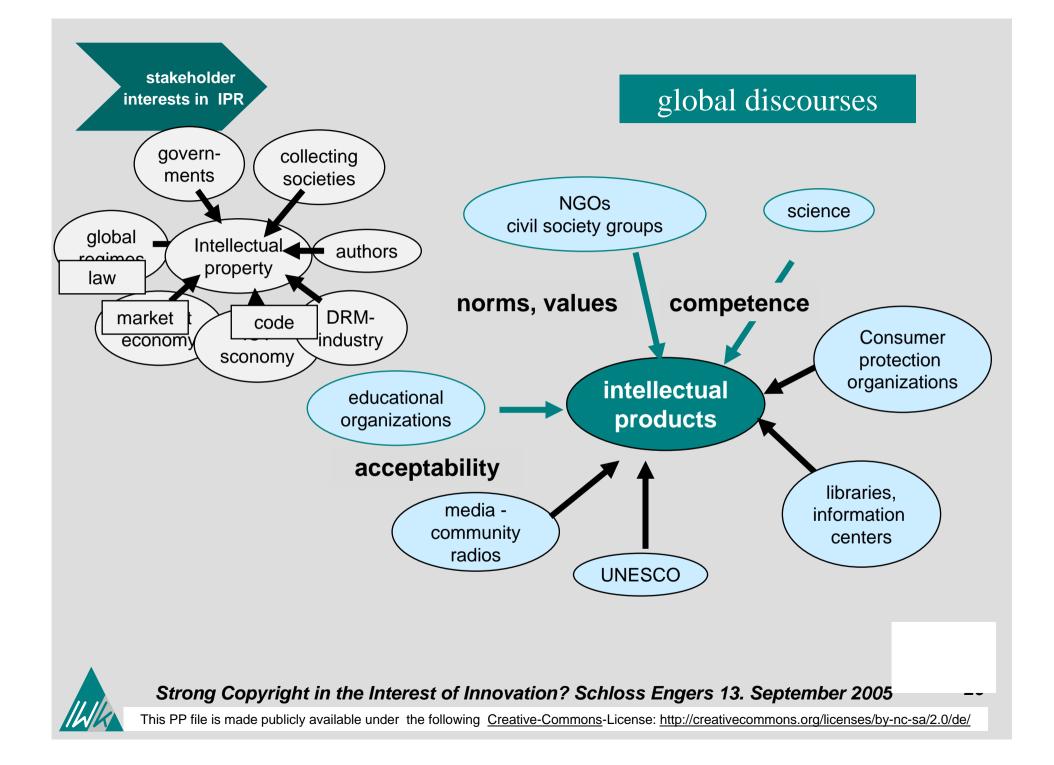
finding a **balance** between the **interests of copyright owners** on a commercial exploitation of intellectual works and the interests of the **end-users for open access** - if not for free, then under fair conditions

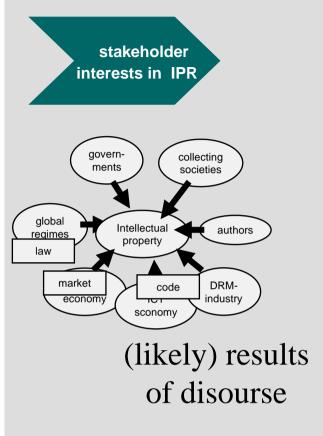
The instrument of information ethics is the **ethical discourse**, in order to ground and, hopefully, to solve the conflicting interests on ethical arguments.



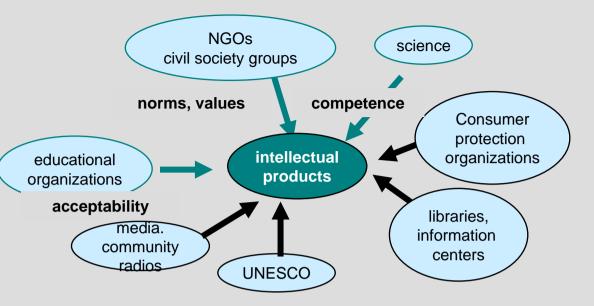
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reformulation of international IPR



- new ways of deliberative democracy
- new ways of media production and interactive usage
- new attitudes toward knowledge and information (sharing, open access)
- new ways of collaborative work in science, education and economy



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information ethics First summary: two views on information ethics

1. Reflecting moral attitudes, behaviour, and

values in electronic information spaces in order to ground them either in existing ethical theories or to elaborate on new ethical principles which are appropriate to electronic environments

# 2. contributing to a balance between the different interests

which unavoidably occur among the different stakeholders in the field of knowledge and information,

among others, authors/creators, intellectual property rights holders (mainly publishing companies or producers of audiovisual materials) and end-users of information products



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# Intellectual Property Rights (IPR)



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"Everyone says that the **ownership and control of information** is one of the most important forms of **power** in contemporary society ... . It is intellectual property, not the regulation of cyber-smut, that provides the key to the distribution of wealth, power and access in the information society.

The **intellectual property regime** could make -- or break -- the educational, political, scientific and cultural promise of the Net."

J. Boyle: A politics of intellectual property: Environmentalism for the net? (<u>http://www.law.duke.edu/boylesite/intprop.htm</u>)



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"Patents give a right to exclude, just as the law of trespass does with real property. Intellectual property is intangible, but the right to exclude is no different in principle from General Motors' right to exclude Ford from using its assembly line . . . that a right to exclude in intellectual property is no different in principle from the right to exclude in physical property. . . . Except in the rarest case, we should treat intellectual and physical property identically in the law – which is where the broader currents are taking us", page 7)

Mark. A. Lemley: Property, Intellectual Property, and Free Riding – Stanford Law School Working Paper August 2004



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# New Economic Impact Study Details Benefits of Strong Copyright Protection

10-Point Decrease in Global Piracy Rate Could Generate 1.5 Million Jobs, Add \$400 Billion to Economy

#### Washington, DC (April 2, 2003) --

Increased copyright protection for software could help jumpstart the world's stagnant and struggling economies by creating new jobs and business opportunities that would generate billions of dollars in new spending and tax revenues, according to an economic impact study by IDC that was released today by the Business Software Alliance (BSA).

Globally, a 10-point reduction would generate \$64 billion in new tax revenues for governments, which, based on estimates from the Organization for Economic Cooperation and Development, could provide:

- More than 30 million computers for schools
- Health care for 32 million people
- College degrees for 6.9 million people
- Internet access for more than 20 million people for four years
- Primary education for roughly 4 million children

Countries with the highest piracy rates would see the biggest benefits from reduced software piracy. For example, China could see its IT sector grow nearly five times over four years with a 10-point drop in its 92 percent piracy rate. Russia could double its IT sector and create more jobs than the number of people currently employed in its hardware, software and IT services sector combined.

Nations with low piracy rates like the United States, Japan and the United Kingdom, have already proved the positive impact that strong intellectual property protection can have on their economies. And because their IT sectors are already large, further piracy reductions would translate into the largest absolute benefits. A 10-point piracy drop in the United States, for example, would result in a \$150 billion contribution to the GDP.



http://usa.autodesk.com/adsk/servlet/item?siteID=123112&id=4564512&linkID=1977925 Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005

#### strong copyright

## pro

In recent years, there's been a lot of people clamouring to reform and restrict intellectual-property rights. What's driving this, and do you think intellectualproperty laws need to be reformed?

No, I'd say that of the world's economies, there's more that believe in intellectual property today than ever. There are fewer communists in the world today than there were. There are some new modern-day sort of communists who want to get rid of the incentive for musicians and moviemakers and software makers under various guises. They don't think that those incentives should exist.

And this debate will always be there. I'd be the first to say that the patent system can always be tuned -- including the US patent system. There are some goals to cap some reform elements. But the idea that the United States has led in creating companies, creating jobs, because we've had the best intellectual-property system -- there's no doubt about that in my mind, and when people say they want to be the most competitive economy, they've got to have the incentive system. Intellectual property is the incentive system for the products of the future.



Gates: Restricting IP rights is tantamount to communism - CNET News.com - January 06, 2005 Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005

#### strong copyright

pro

There are tendencies to allow private copying [of coyprighted material], this is, to make it very clear, nothing else but **stealing**. We can hinder private copying completely, but we do not support this concept und by doing this we contribute to the development of new business ideas in the market place. "Es gibt Bestrebungen, die Privatkopie zu erlauben, also eine Regelung, die auf gut deutsch gesagt das **Klauen** erlaubt. Wir können die Privatkopie wohl nicht verhindern, aber wir unterstützen nicht diese Idee und tragen damit dauerhaft dazu bei, dass sich neue Geschäftsideen am Markt entwickeln können."

with respect to the G8-Summit 2005

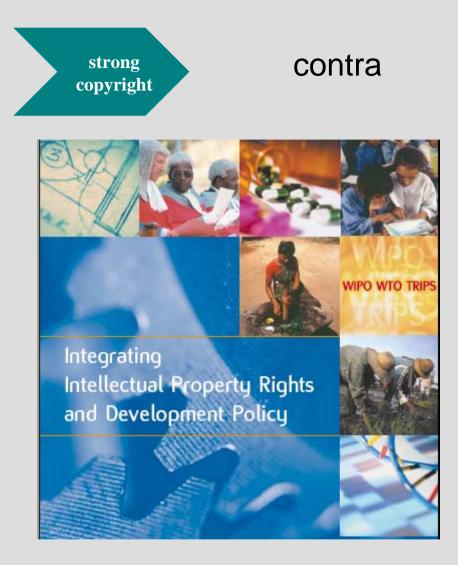
"Ausbau des Schutzes geistigen Eigentums" extension of the protection of intellectual property

as a necessary means for official development assistance (ODA), in particular with respect to Africa (!!!)



Chancellor Gerhard Schröder - Heise - 12.11.2004 -- Tagesspiegel 6.7.05

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"Too much protection by copyright, by other forms of IP protection, or by technology, **may restrict the free flow of ideas** on which the further progress of ideas and technology depends."

"For **developing countries**, affordable access to works essential for development such as educational materials and scientific and technical knowledge may be affected by unduly strong copyright rules."

Commission on Intellectual Property Rights [CIPR] http://www.iprcommission.org/papers/pdfs/final\_report/CIPRfullfinal.pdf Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005





"The latest estimate, by the World Bank, suggests that most developed countries would be the major beneficiaries of TRIPS in terms of the enhanced value of their patents, with the benefit to the US estimated at an annual \$19 billion.] Developing countries, and a few developed ones, would be the net losers."

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http://www.iprcommission.org/papers/pdfs/final\_report/CIPRfullfinal.pdf Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005

Commission on Intellectual Property Rights [CIPR]

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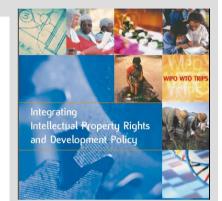


#### contra

"The main conclusion seems to be that for those developing countries that have acquired significant technological and innovative capabilities, there has generally been an association with "weak" rather than "strong" forms of IP protection in the formative period of their economic development.

We conclude therefore that **in most low income countries**, with a weak scientific and technological infrastructure, IP protection at the levels mandated by TRIPS is not a significant determinant of growth. On the contrary, **rapid growth is more often associated with weaker IP protection**.

In technologically **advanced developing countries**, there is some evidence that IP protection becomes important at a stage of development, but that stage is not until a country is well into the category of upper middle income developing countries."



Commission on Intellectual Property Rights [CIPR] http://www.iprcommission.org/papers/pdfs/final\_report/CIPRfullfinal.pdf Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005





#### contra

#### Box 6.1 Summary of Recommendations Relating to the Patent System

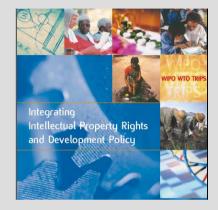
#### **Developing Countries\***

- Exclude <u>totally</u> from patentability diagnostic, therapeutic and surgical methods for the treatment of humans and animals
- Exclude from patentability plants and animals and adopt a restrictive definition of microorganisms
- Exclude from patentability computer programs and business methods
- Avoid patenting of new uses of known products
- Avoid using the patent system to protect plant varieties and where possible, genetic material
- Provide for international exhaustion of patent rights
- Provide an effective compulsory licensing system and adequate government use provisions
- Provide broadest possible exceptions to patent rights including adequate research exemption exception and an explicit "Bolar exception"
- Apply strict standards of novelty, inventive step and industrial application or utility (consider higher standards than currently applied in developed countries)
- Make use of strict patentability and disclosure requirements to prevent unduly broad claims in patent applications
- Provide a relatively low cost opposition or re-examination procedure
- Provide means to prevent the granting or enforcement of patents comprising biological material or associated traditional knowledge obtained in contravention of access legislation or the provisions of the CBD
- Consider providing alternative forms of protection to encourage sub-patentable type local innovation.

Commission on Intellectual Property Rights [CIPR]

http://www.iprcommission.org/papers/pdfs/final\_report/CIPRfullfinal.pdf

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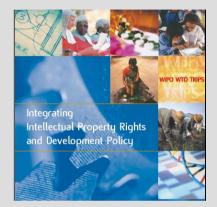
#### contra

#### **Developed and Developing Countries**

- Apply an absolute standard of novelty such that any disclosure anywhere in the world can be considered prior art
- Take greater account of traditional knowledge when examining patent applications
- Provide for the obligatory disclosure of information in the patent application of the geographical source of biological materials from which the invention is derived.

#### Least Developed Countries

- Delay providing protection for pharmaceutical products until at least 2016. Those who currently
  provide protection for such products should seriously consider amending their legislation.
- \* These recommendations are considered relevant for the majority of developing countries. For those developing countries seeking to promote certain sectors of technology then a more selective approach may be desirable.





Commission on Intellectual Property Rights [CIPR] http://www.iprcommission.org/papers/pdfs/final\_report/CIPRfullfinal.pdf Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005

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strong copyright pro

The Report *[CIPR]* suggests "there is no clear economic rationale for copyright protection being so much longer than for patents".

"This fails to take account of the economic realities for the record business and the way in which the use and distribution of high profile works secure a fair return for use which is vital for the support of research and development, and the maintenance of diversity in the industry."

"We strongly believe that this is not a time for the international protection to be weakened. Quite the reverse. It is only with the support of Governments in the developing countries that havens for the pirates can be challenged, and legitimate business and avenues for the development of local culture developed."



Memorandum submitted by the British Phonographic Industry (BPI) http://www.publications.parliament.uk/pa/cm200203/cmselect/cmintdev/1013/3071506.htm Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005

# Innovation



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Innovation is paradigm of modernity and integral part of any economic policy - bound with **progress and growth** 

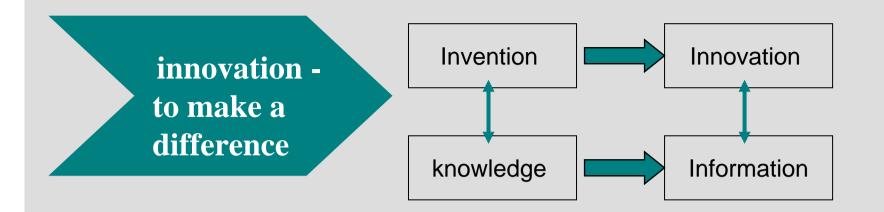


From an economic point of view innovation is defined by the transformation of an idea (a piece of knowledge) into a profitable product or service or

into **new procedures** of producing existing products in a more efficient way



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innovation – the professional skill to make a difference

to make a difference is only possible if one is in the position to grab and then apply information which puts existing structures into question thus creating new different ones.

the old Schumpeter basic rule:

(the role of information:) creative destruction



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innovative culture

Innovation, open innovation, is not restricted to economic products and services

Beyond the economic dimension the concept of innovation applies to all domains of society if existing knowledge can be used to develop news views on existing structures and thus creating new structures.



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open innovation is based on knowledge sharing collaborative work open/free access development rather than growth



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# Chesbrough

The new imperative for creating and profiting from technology - 2003

The dominant "closed-shop-" or "do-it-yourself"-approach for knowledge production and innovative development can be transformed into an open innovation approach which takes into account an information-rich environment rather than internal knowledge.



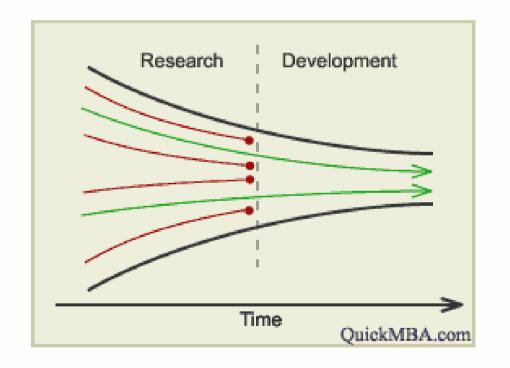
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# Chesbrough

The new imperative for creating and profiting from technology - 2003

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**Closed Innovation Concept** 





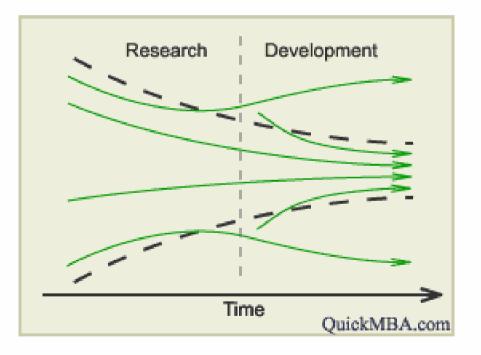
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# Chesbrough

The new imperative for creating and profiting from technology - 2003

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**Open Innovation Concept** 





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VCL tries to embed (existing and potential) customer/users into the whole process of production

from a first product idea, technical engineering and realization, beta-testing, sales strategy and after-salesservices



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Adidas

"Virtual Consumer Lab"

**Open Innovation – marketing strategy** 

Customers: both "producers" and buyers

Eric A. von Hippel, Professor of Innovation von der MIT Sloan School of Management

Democratization of Innovation (??)

But: Adidas still owns and sells its products



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who owns knowledge and information?



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- Science and Medical. Umsatz (2003): £ 1,4 Mrd. Elsevier Science and Technology, (1.200 Zs., Datenbanken, u.a. EMBASE), Elsevier Health Sciences (500 Zs.), ScienceDirect (1.700 Zs.), Scirus.
- Legal. Umsatz (2003): £ 1,3 Mrd. Lexis-Nexis.
- Education. Umsatz (2003): £ 0,9 Mrd. Harcourt.
- Business. Umsatz (2003): £ 1,3 Mrd. Reed Business
- Gesamtumsatz Reed-Elsevier (2003): <u>£ 4,9 Mrd.</u> (+1,0%)
- Zusammenhang der Unternehmen: zentralisiert innerhalb der vier Bereiche, Zusammenarbeit außerhalb des eigenen Bereiches eher schwach



http://www.phil-fak.uni-duesseldorf.de/infowiss/admin/public\_dateien/files/1/1098689506vortrag\_st.pdf *Strong Copyright in the Interest of Innovation? Schloss Engers 13. September 2005*48



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#### AT A GLANCE

ABOUT US

- 2004 revenues from continuing operations: US \$8.1 billion (9% over prior year)
  - 66% of revenues derived from electronic products, software and services
  - 65% of revenues derived from subscription-based products and services
- 40,000 employees
- Headquarters in Stamford, CT USA, with operations in 45 countries

#### To Our Shareholders

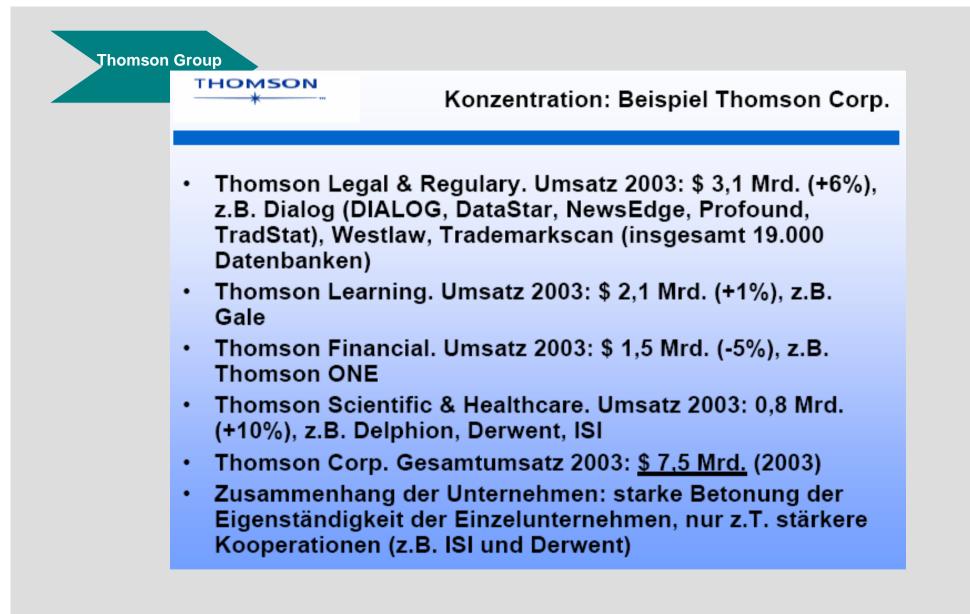
#### 2004 results

Revenues, operating profit and earnings per share all rose substantially in 2004. Revenues increased 9% to \$8.1 billion. Operating profit increased 14% to \$1.3 billion, and adjusted earnings per share rose 16% to \$1.23, driven by our revenue growth and improved efficiencies. We surpassed \$1.1 billion in free cash flow, a 14% increase over 2003. Our strong free cash flow enables us to fund growth initiatives, maintain a strong balance sheet and return value to shareholders through dividends.



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Wolters Kluwer



Facts	
Revenues:	€3.3 billion
Employees:	18,400
Markets:	Health, Corporate Services, Financ
	Tax, Accounting, Law, Regulation, and Education
Operations:	Europe, North America, and Asia Pacific
Headquarters:	Amsterdam, the Netherlands
Stock listing:	Euronext Amsterdam:
M	WLSNC.AS, stock code 39588,
	ISIN code NL0000395887;
	included in the AEX and
	Euronext 100 indices.

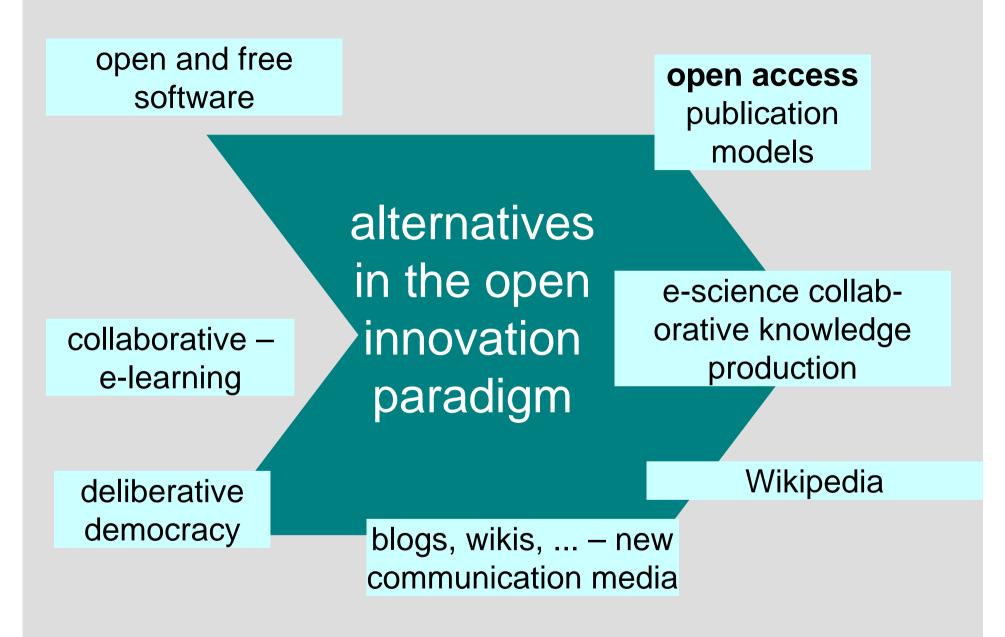
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OA is compatible with <u>copyright</u>, <u>peer review</u>, <u>revenue</u> (even profit), print, preservation, prestige, career-advancement, indexing, and other features and supportive services associated with conventional scholarly literature."

"The primary difference is that the *bills are not paid by readers* and hence do *not function as access barriers."* 

Peter Suber - http://www.earlham.edu/~peters/fos/overview.htm



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## **Bethesda Statement on Open Access Publishing**

http://www.earlham.edu/~peters/fos/bethesda.htm

# Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

http://www.zim.mpg.de/openaccess-berlin/berlin\_declaration.pdf



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#### open access

# **Budapest Open Access Initiative**

"There are many degrees and kinds of wider and easier access to this literature. By 'open access' to this literature, we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited."

http://www.soros.org/openaccess/read.shtml



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#### Public Library of Science (PLoS) – PLOS open **Biology** http://www.publiclibraryofscience.org/ access 1545-7885 http://www.plosbiology.org/plosonline/?request=index-html&issn=1545-7885 🗸 芛 Wechseln zu 🛛 Links Adresse Search PLoS Biology GO PLOS BIOLOGY Full-text GO DOI number Table of Contents | Browse the Issue PIPs Archive Submissions Information Advanced Search Home New Articles Highlights Current Issue: November 2004 Positions Available **DNASIS MAX** View Table of Contents New research articles are published weekly, ahead of View current listings the monthly issue. Sign up for content alerts via e-mail. No Admixture between Humans and Neanderthals. A model of human PLOS TOP TEN expansion into Europe reveals almost complete sterility between Neanderthal Top viewed articles in akeup: Morten Jacobse females and modern human males, Ready to the last 30 days. implying that the two populations were Renew View cover legend probably distinct biological species. 1. Human MicroRNA Vector NTI® Synopsis | Full-Text Targets *PLoS Biology* is a peer-reviewed, open-access Software First In Vitro Replication of a journal published by the Public Library of Science. Find 2. Highly Conserved Non-Support? Norovirus. Noroviruses -- which cause out more. Coding Sequences Are epidemic gastroenteritis -- can now be Associated with Use that money grown in cells of the innate immune Vertebrate Development Next Issue: December 14, 2004 to Automate, system, providing a tool to examine this Current Issue Highlights Customize, and 3. Representation of

Below are selected articles from the current issue.

pathogen while offering insights into norovirus biology. Synopsis | Full-text

Attended Versus

in Prefrontal Cortex

Remembered Locations

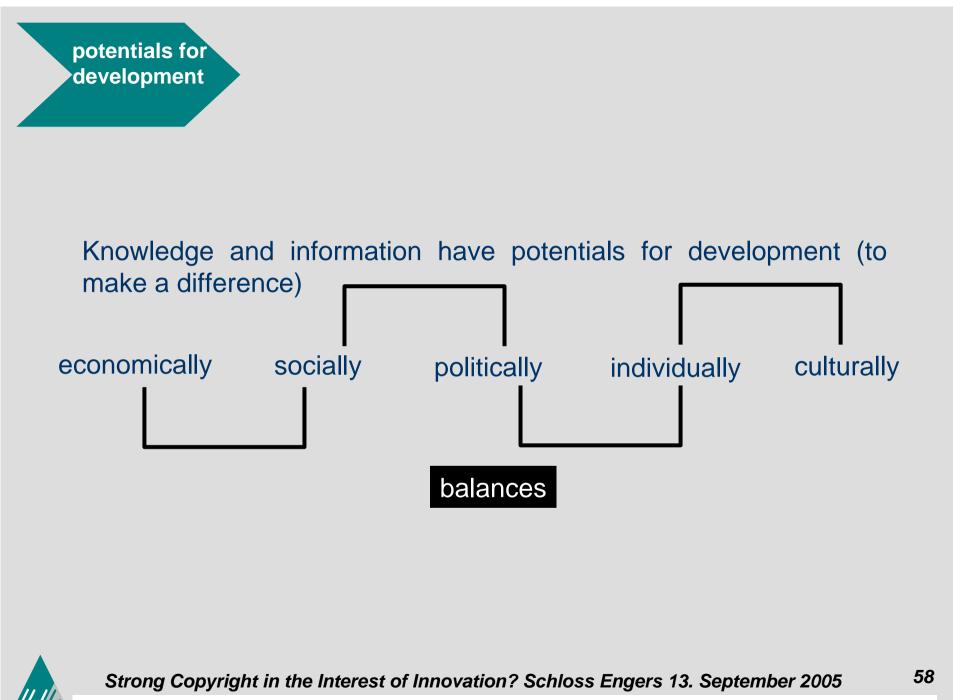
**Batch Process!** 





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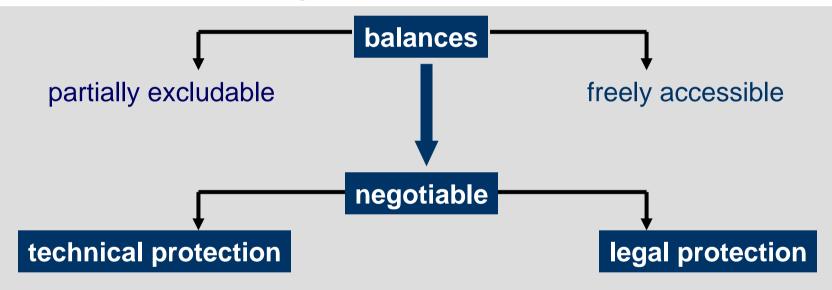
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balances

knowledge is *principally* a public good (belongs to the commons) - information products can be privatized

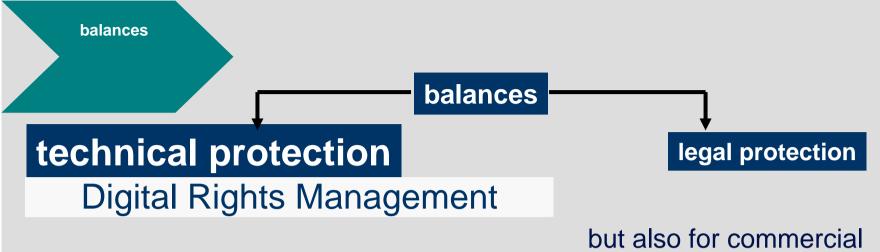
balances socially/politically determined, according to changing levels of acceptance for IPR regulations



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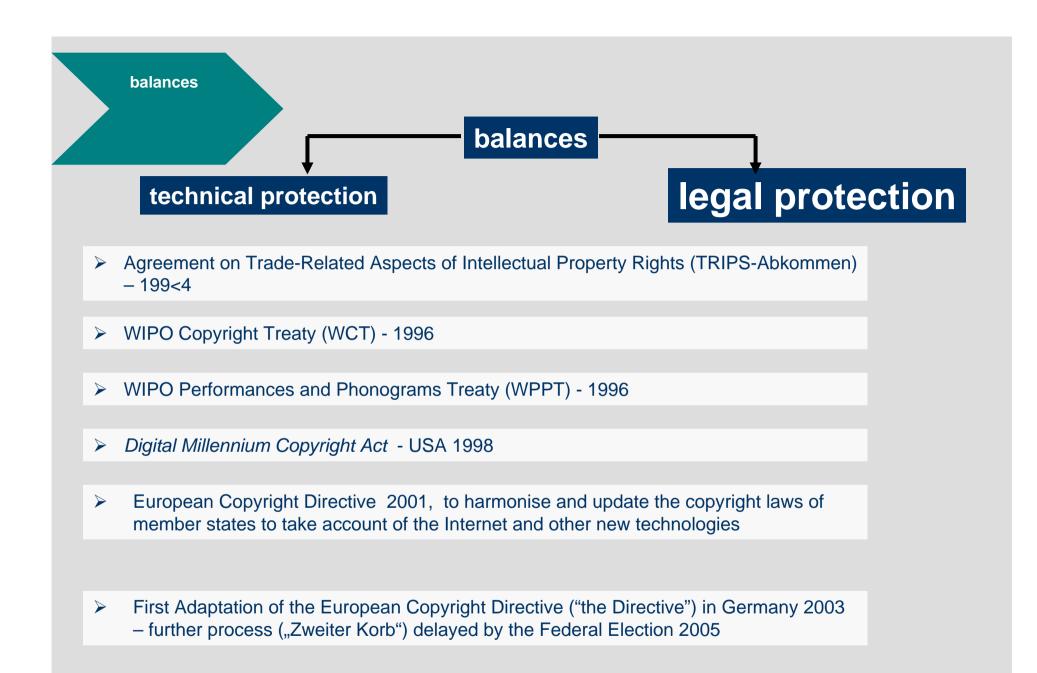


Primarily in the entertainment industry music, videos, games, cell phones, ... but also for commercial publication services in science, education,and the media



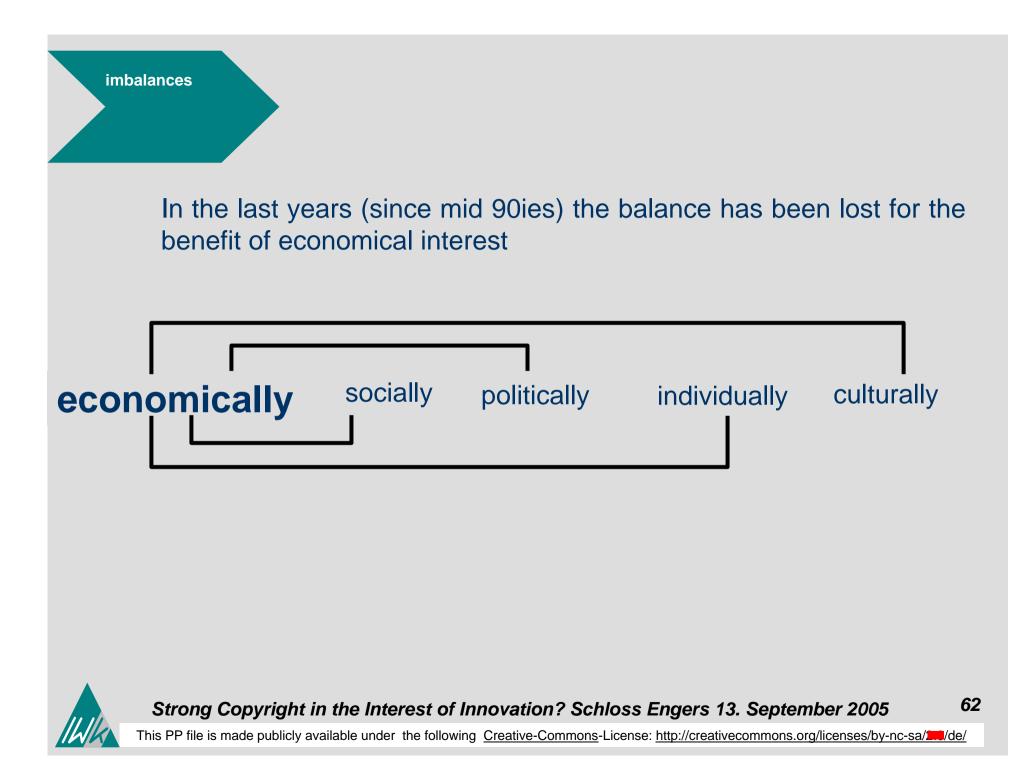
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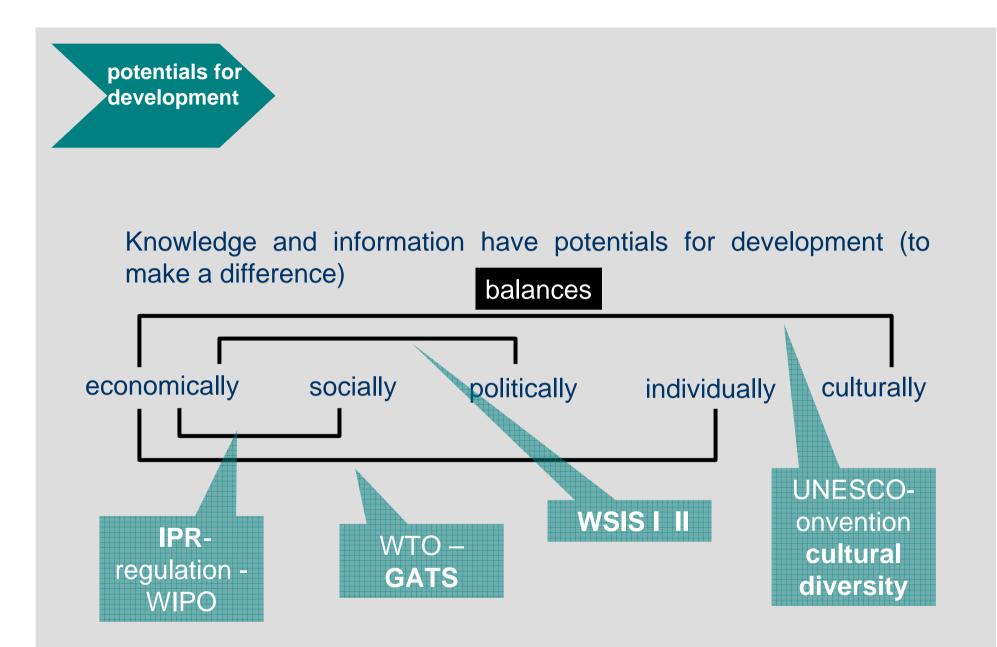
extension and enforcement of IPR regulation

(Technical and legal) extension and enforcement of strong IPR regulation is primarily in the interest of **commercial exploitation of existing knowledge** 

- not supportive for the production of new knowledge
- > not in the interest of cultural development
- > not in the interest of creators/authors
- > not in the interest of user
- > not appropriate for overcoming digital divides



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**<sup>64</sup>** 

potential for development

## WIPO – towards a Development Agenda

Initiative of Brazil, Argentina (and other countries of the South, supported by many civil society organizations) - 2005

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"Now more than ever before, it has become clear that in the increasingly global, knowledge economy, access to knowledge and technology is indispensable for social and economic development and for the well-being of peoples in all countries" (No. 13 des Proposal)



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Geneva Declaration on the Future of the World **Intellectual Property Organization** - 2005

- "Morally repugnant inequality of access to education, knowledge and technology undermines development and social cohesion"
- Anticompetitive practices in the knowledge economy impose enormous costs on consumers and retard innovation"
- > "Authors, artists and inventors face mounting barriers to follow-on" innovation"
- $\succ$  "Concentrated ownership and control of knowledge, technology, biological resources and culture harm development, diversity and democratic institutions"
- $\succ$  "Private interests misappropriate social and public goods, and lock up the public domain"



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### Geneva Declaration on the Future of the World Intellectual Property Organization

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"Humanity stands at a crossroads – a fork in our moral code and a test of our ability to adapt and grow. Will we evaluate, learn and profit from the best of these new ideas and opportunities, or will we respond to the most unimaginative pleas to suppress all of this in favor of intellectually weak, ideologically rigid, and sometimes brutally unfair and inefficient policies?"

open access
free software
creative commons
knowledge sharing



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conclusion

Changes in information and communication spaces

reformulation of international IPR – more a means of development than one of control

- new ways of deliberative democracy
- rew ways of media production and interactive usage
- new ways of collaborative work in science and economy
- new attitudes towards knowledge and information (sharing, open access)



Societies which care more for the protection of intellectual property of existing knowlege and information

and for the protection of exploitation rights

rather than for the production of new knowledge which can be transformed into innovation

and for the sustainability of knowledge in order to allow future generations access to knowlege and information

do not thrive and prosper economically, scientifically, politically and culturally.



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to put it differently:

The more permissive and the more sustainable production and usage of knowledge and information

the higher

- ➤ the level of economics
- ≻the lever of science,
- > the level of democracy and transparency in society

consequently, there must not be a contradiction between commercial demands and free access to knowledge and information.

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vision ... and more

The **vision** is there – a **sustainable**, **inclusive**, **just and fair knowledge society** where **human rights** can become reality for everyone now and for everyone in future times.

This is **not a mere ethical**, **moral dream** – there are good arguments that under such a vision knowledge can grow, **economy and science** can flourish, **civic welfare** can develop and **democratic structure** can be expanded.



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# Thank you very much for your attention



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