

**Comments on
Open Access FAQ
of German Alliance of Scientific Organisations
Allianz der deutschen Wissenschaftsorganisationen**

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link to: Frage 1: **Definition OA**

Kommentare
GRATIS AND LIBRE OPEN ACCESS
Verfasst von *Stevan Harnad* am 30. Juli 2011 - 14:39.

The Frage 1 ADW definition of Open Access (OA) (a,b,c) is only the definition of *Libre OA*.

OA is not synonymous with Libre OA only. *Gratis OA* needs to be defined first, because Libre OA (a,b,c) demands more than Gratis OA (a) and is therefore much more difficult to reach, whereas Gratis OA is already fully reachable.

This has very important practical strategic implications for OA policy making (as will be pointed out in comments on others among the ADW OA FAQs).

GRATIS OA: Free online access (to refereed research journal articles) (a)

LIBRE OA: Free online access (to refereed research journal articles) (a) plus certain further re-use rights (b,c)

See: <http://www.earlham.edu/~peters/fos/newsletter/08-02-08.htm#gratis-libre>

Since Gratis OA is a necessary component of Libre OA, and since it demands less, it has fewer obstacles, and is hence easier to reach -- indeed, it is already fully within reach. The only thing that needs to be done in order to reach it is for all universities, research institutions and research funders to require (mandate) that their employees and fundees provide Gratis OA (free online access) to all their refereed research journal article output.

Since all researchers want all other interested researchers to be able to access, use and cite their journal articles (and not just those whose institutions can afford subscription access), researchers have no principled or practical objections to providing free online access to their journal articles.

In contrast, Libre OA calls for providing further re-use rights and permissions, to which both the authors themselves and their publishers may have objections in many cases. Hence unlike Gratis OA, which can already be mandated (and is being mandated, worldwide) today, Libre OA cannot be mandated. It can only be recommended, not required.

Hence the ADW OA FAQ must not only make clear and explicit the difference between Gratis and Libre OA, but it must make clear the practical implications of the differences, and hence the priorities and guidelines for OA policy making: *Gratis OA is a precondition for Libre OA; it is already reachable through OA mandates; and hence it must be given clear priority.*

It is not only incorrect and unrealistic to define OA as Libre OA, but it is counterproductive, delaying and creating needless obstacles to the attainment of both Gratis and Libre OA.

link to: Frage 2: **Vorteile von Open Access**

Kommentare
DIFFERENCE BETWEEN RESEARCH ARTICLES AND RESEARCH DATA
Verfasst von *Stevan Harnad* am 30. Juli 2011 - 14:39.

Frage 2 is largely accurate, but it is important not to treat research journal articles and research data (and hence the question of providing Open Access to them) as if they were

the same sort of thing.

OA to both articles and to data is definitely a good and desirable thing.

But, as with Gratis vs. Libre OA, providing OA to research data faces more obstacles than providing access to research journal data, because all researchers want all interested researchers to be able to access, use and cite their articles online immediately upon publication (not just those whose institutions can afford subscription access), but some researchers may not wish to make their data OA immediately: There is the question of how long a period researchers need to be allowed to data-mine the data they have gathered (and this period will vary from field to field and project to project)..

For this reason, it is important to keep article OA and data OA policy questions separate.

(Among the benefits of OA should be mentioned the [growing evidence](#) that OA increases both the citation impact and the download impact of research.)

link to: Frage 3: [Open Access und Qualitätssicherung](#)

Kommentare

POSTPUBLICATION OPEN PEER COMMENTARY \neq OPEN PEER REVIEW

Verfasst von *Stevan Harnad* am 30. Juli 2011 - 14:54.

Providing Open Access to peer-reviewed journal articles greatly enhances the possibility of providing postpublication open peer commentary and feedback. This is highly beneficial to science and scholarship, but it is a [supplement, not a substitute](#) for peer review.

Some experiments are currently being done by some journals with "open peer review," but the results (and whether they are sustainable and scaleable) are not yet known.

In any case, Open Access is completely independent of these experiments on new forms of peer review, and should not be conflated with them.

link to: Frage 4: [Umsetzung von Open Access](#)

link to: Frage 5: [Goldener Weg](#)

Kommentare

GOLD OA GROWTH RATE

Verfasst von *Stevan Harnad* am 30. Juli 2011 - 22:54.

Frage 5 is largely accurate. A correction is needed, however, regarding Gold OA growth rate, because absolute numbers are misleading. To get a realistic idea of the [relative number and growth rate](#) of Gold OA journals one must calculate them as a year by year percentage of total journals and total journal growth rate:

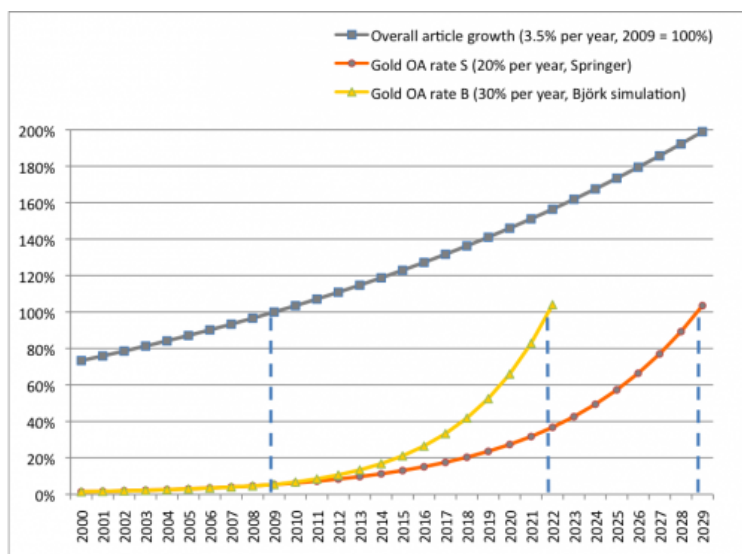


Figure: Springer Gold OA growth curve S (20% per year) and simulated Björk growth curve B (30% per year) (Laakso et al 2011) equated for year 2009. Note that the Björk curve would reach 100% Gold OA for all journals (ISI + non-ISI) in 2022, at a time when the Springer curve would not yet have reached 40% for ISI journals. Laakso et al's estimate of 30% Gold OA growth and Springer's estimate of 20% Gold OA growth can be reconciled if we note that the 30% rate was as of 2000, and has slowed to 20% as of 2005. More important, either way, the Björk curve would not reach even 60% till 2019, and the Springer curve would not reach 60% till 2025.

Another important point to note regarding Gold OA growth and Gold OA growth potential is that *the potential funds to pay Gold OA publication fees are currently locked into*

institutional journal subscriptions. (Most journals are still subscription journals, and virtually all the top, must-have journals are subscription journals.) The only way institutions can cancel those journal subscriptions and release those funds to pay for Gold OA publication fees and a global transition to Gold OA publication is if the articles in the journals are first made accessible to the institution's users by an alternative means. Green OA (Frage 6) can provide that alternative means of access.

And that is why **Green OA must come before Gold OA.**

link to: Frage 6: **Grüner Weg**

Kommentare

GREEN OA SELF-ARCHIVING: NOT REPUBLICATION BUT ACCESS PROVISION

Verfasst von *Stevan Harnad* am 30. Juli 2011 - 22:53.

Green Open Access is not republishing: It is authors providing free online access to their published articles by self-archiving the peer-reviewed, accepted final draft in an OA repository (preferably their own institution's repository, from which central repositories and search engines can then harvest it too).

The number of OA repositories is growing but *they remain near-empty unless deposit is mandated.*

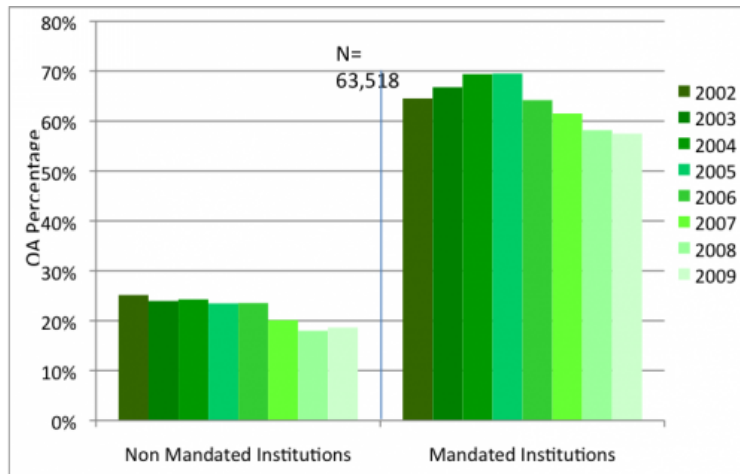


Figure: Percent green OA self-archiving averaged for the four institutions with the oldest self-archiving mandates, compared to the percentage for control articles from other institutions published in the same journals (for years 2002-2009, measured in 2011). Respective totals are derived from Thompson-Reuters-ISI index. Mandates triple the percent Green OA.

link to: Frage 7: **Verlage und Grüner Weg**

Kommentare

NO COPYRIGHT OBSTACLE TO MANDATING IMMEDIATE DEPOSIT

Verfasst von *Stevan Harnad* am 31. Juli 2011 - 19:07.

Over 60% of journals (including almost all the top journals) already endorse authors making their refereed final drafts Open Access immediately upon acceptance for publication.

This means that a mandate requiring immediate deposit will generate at least 60% Green OA -- compared to 20% Green OA if not mandated.

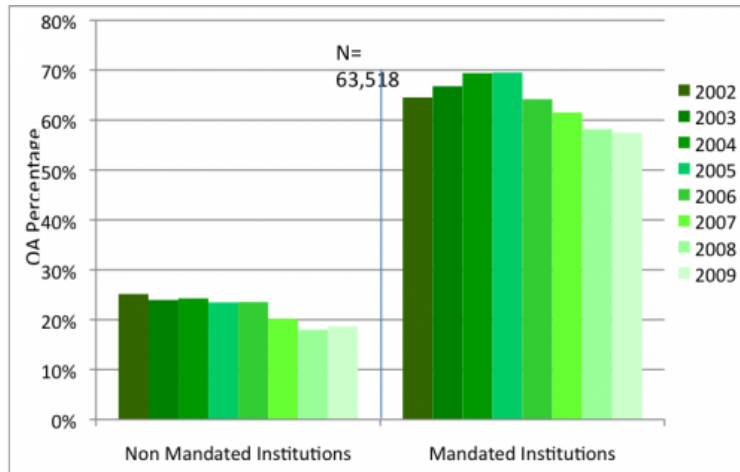


Figure: Percent green OA self-archiving averaged for the four institutions with the oldest self-archiving mandates, compared to the percentage for control articles from other institutions published in the same journals (for years 2002-2009, measured in 2011). Respective totals are derived from Thompson-Reuters-ISI index. Mandates triple the percent Green OA.

In addition to 60% immediate Green OA, an ID/OA (Immediate Deposit, Optional Access) Mandate generates "Almost OA" for the remaining 40% of content during any publisher OA embargo, via the repository's email-eprint-request Button. ID/OA hence effectively moots all copyright obstacles. The optimal ID/OA mandate designates repository deposit as the sole means of submitting refereed research for institutional performance review.

link to: Frage 8: Rechtliche Probleme beim Grünen Weg

Kommentare

NO LEGAL OBSTACLES TO MANDATING GREEN OA

Verfasst von Stevan Harnad am 31. Juli 2011 - 19:32.

Please see reply to Frage 7: "In addition to 60% immediate Green OA, an ID/OA (Immediate Deposit, Optional Access) Mandate generates "Almost OA" for the remaining 40% of content during any publisher OA embargo, via the repository's email-eprint-request Button. ID/OA hence effectively moots all copyright obstacles."

In addition:

- (1) Gold OA's growth rate will only reach 60% in 2025 (see reply to Frage 5) and this cannot be accelerated by mandating.
- (2) Green OA mandates already generate 60% OA within 2 years (see reply to Frage 6).
- (3) Most Gold OA journals today are not Libre OA but only Gratis OA (see reply to Frage 1).
- (4) Libre OA provides re-use rights in addition to free online access; however, Gratis OA is a necessary component of Libre OA and there are more legal and practical obstacles to the growth of Libre OA than to the growth of Gratis OA (see reply to Frage 1).
- (5) Hence it is counterproductive to insist immediately on Libre OA, which is unreachable today, without first grasping the Gratis OA that is within reach, by mandating Gratis Green OA.
- (6) Once Gratis Green OA prevails globally, it will eventually pave the way toward Libre Gold OA too.

(One heuristic way to understand the logic of the IDOA mandate, and to see how it moots all legal obstacles, is to note that just as an institution can stipulate that publications submitted for annual performance review may no longer be submitted in paper form, but henceforth need to be submitted in electronic form, the institution can stipulate that henceforth the way to submit the electronic version is to deposit it in the institutional repository: Such a deposit mandate is possible -- indeed useful -- entirely independently of OA considerations (i.e., even if the entire repository is Closed Access, reserved exclusively for institution-internal record-keeping purposes), and hence entirely independently of publisher copyright agreements.)

link to: Frage 9: unabdingbares Zweitveröffentlichungsrecht

Kommentare

BASIC ACCESS NEEDS PRECEDE REPUBLICATION RIGHTS

Verfasst von Stevan Harnad am 1. August 2011 - 1:37.

1. Gratis Green Open Access Self-Archiving is not re-publication: it is access provision -- to the author's refereed final draft, online, for all users who cannot afford subscription access to the publisher's version-of-record (see reply to Frage 6). This is the basic rationale for the Open Access movement.

2. Trying to mandate Re-Use/Republication Rights (R/RR) retention (Libre OA) is fine -- but only *after* first mandating Gratis Green OA self-archiving, not *instead*. An R/RR mandate is much stronger and more demanding than just a Gratis Green OA mandate (ID/OA: Immediate-Deposit/Optional-Access). Hence it is much harder to get both authors and publishers to agree to ID/OA than to R/RR: Both authors and publishers have understandable *prima facie* grounds for resistance and objections

to an R/RR mandate. In contrast, the ID/OA mandate requires only immediate deposit -- and OA as soon as possible thereafter (which authors already want anyway). At the same time, ID/OA removes publishers from the loop (as only immediate-deposit is mandated, not immediate-OA).

3. Trying to mandate R/RR *does* potentially impinge on academic freedom (of choice of journal, if the journal refuses) whereas ID/OA does not (authors continue to publish when and where they wish).

4. Both R/RR mandates and ID/OA mandates allow a publisher OA embargo interval. But R/RR demands much more from the publisher and only requires deposit after the OA embargo interval elapses. In contrast, ID/OA demands nothing from the publisher, requires deposit immediately upon acceptance for publication -- and, exactly as with R/RR, OA may be delayed until after the embargo interval -- if any -- elapses. **Over 60% of journals** (including almost all the top journals) already endorse authors making their refereed final drafts OA immediately upon acceptance for publication. For the remaining 40% that embargo OA, "**Almost-OA**" can still be provided via the repository's **email-eprint-request Button** during any publisher OA embargo interval -- as long as immediate deposit, immediately upon acceptance for publication, is required for all articles.

5. Re-use/Re-publication rights (Libre OA) are far less important and urgent today than free online access for all (Gratis OA). Moreover, mandating Gratis Green OA not only fulfills the immediate need for OA today, but it also paves the way for an eventual transition to Libre Gold OA.

link to: Frage 10: Vorteile des Zweitveröffentlichungsrechts

Kommentare

DISADVANTAGES OF DEMANDING MORE RATHER THAN LESS

Verfasst von *Stevan Harnad* am 1. August 2011 - 2:06.

Please see reply to Frage 9: "**Basic Access Needs Precede Republication Rights.**" It is a counterproductive strategic error to try to reach something bigger that is still out of reach today before first grasping what is already within reach today: First mandate **Gratis Green OA (Immediate-Deposit/Optional-Access, ID/OA)** before trying to mandate **Libre OA (Re-Use/Republication Rights, R/RR)**.

link to: Frage 11: Wissenschaftsdisziplinen und Open Access

Kommentare

ALL AUTHORS AND ALL DISCIPLINES WANT MAXIMAL UPTAKE AND USAGE

Verfasst von *Stevan Harnad* am 1. August 2011 - 2:36.

Some disciplines (such as computer science, physics and economics) began self-archiving spontaneously earlier, and in greater numbers, than other disciplines. But there exists no scholarly/scientific discipline or author that does not prefer and **benefit from** maximizing the uptake and usage of their refereed research articles.

The "NIH Public Access Policy" has increased Open Access (OA) by mandating **Green OA self-archiving** by its fundees, not by funding Gold OA publishing charges.

The vast majority of journals today (and virtually all the top, must-have journals) are still subscription-based rather than Gold OA. That means that subscriptions are still paying the costs of publication and institutional funds are locked into paying those subscriptions until and unless their users have another way to access those articles. There are hence neither the available funds nor the necessity yet to pay extra for publication today -- not if the objective is to provide OA, for OA can be provided by mandating Green OA self-archiving, at no extra cost.

Institutions and funders should only spend extra money to pay Gold OA publication fees **after** they have mandated Green OA for all of their research output. To do so **instead** of mandating Green OA is to generate far less OA, at far greater expense.

link to: Frage 12: Embargofristen

Kommentare

OA EMBARGOES AND THE SUSTAINABILITY OF THE SUBSCRIPTION MODEL

Verfasst von *Stevan Harnad* am 1. August 2011 - 3:16.

It is correct that so far Green Open Access (OA) self-archiving has created no detectable increase in journal subscription cancellations, even in those fields (such as **physics**) where the self-archiving is the most extensive and has been going on longest.

It is also correct that the reason Green OA has not induced journal subscription cancellations is that self-archiving grows **anarchically**, article by article, not systematically, journal by journal, and that hence any institution's journal subscriptions cannot be cancelled until and unless the institution's users have another way to access the articles in those journals.

It cannot be ruled out, however, that once Green OA approaches 100% across all disciplines globally, subscriptions will eventually be cancelled, making subscriptions unsustainable as the means of covering publication (i.e., peer review) costs. But if and when 100% Green OA causes cancellations that make subscriptions unsustainable, *pari passu* it also frees the institutional windfall savings from the subscription cancellations to pay instead for Gold OA publishing fees, inducing a transition to Gold OA publishing.

The lesson to be learned from this is that it is a mistake to worry too much today about sustaining the subscription model. The pressing immediate worry today is access-denial to the articles in all those journals to which any institution cannot afford to subscribe. The remedy for that is to mandate Green OA self-archiving, universally, today. **The sequel will take care of itself.**

About embargoes: Although there is no real need to worry about sustaining the subscription model *in perpetuo*, the **ID/OA (Immediate-Deposit/Optional-Access) Mandate** is compatible with publisher OA embargoes. *It is an enormous strategic error, however, to let the publisher's OA embargo length determine when the article is to be deposited:* All articles (author's final, revised refereed draft) should be deposited immediately upon acceptance for publication. **Over 60% of journals** (including virtually all the top journals) already endorse making the deposit immediately OA. For the rest, if the author wishes to honor a publisher OA embargo, the deposit can be made Closed Access

instead of OA during the embargo period. The repository's "email-eprint-request" Button will take care of research usage needs during the embargo. (And universal ID/OA mandates will hasten the inevitable and well-deserved demise of OA embargoes.)

link to: Frage 13: Deutsche WissenschaftlerInnen und Open Access

Kommentare

GREEN OA IS NOT A "PUBLISHING MODEL"

Verfasst von *Stevan Harnad* am 1. August 2011 - 4:01.

Yes, all researchers, including German researchers, prefer Open Access (OA) to access-denial (for lack of subscription): Researcher-authors want to maximize the usage and impact of their work and researcher-users want to maximize the work to which they have access.

But please do not forget that OA can be provided in two ways, and only one of them ("Gold OA publishing") is a "publishing model."

Green OA self-archiving is neither a publishing model nor is it "re-publication." It is simply access-provision. Hence it does not require the retention of republication/re-use rights (Libre OA) (although of course rights-retention is desirable and welcome whenever it can be successfully negotiated).

Green OA self-archiving can be mandated; Gold OA publishing cannot.

Green OA self-archiving does not require extra funds; Gold OA publishing does (until subscriptions become unsustainable).

ID/OA can be mandated for all articles, not just those that have successfully retained republication/re-use rights.

Over 60% of journals already endorse making the deposit immediately OA; for the rest, the email-eprint-request Button can tide over research needs during any OA embargo period.

link to: Frage 14: Wissenschaftliches Publizieren

Kommentare

MANDATE IMMEDIATE DEPOSIT BEFORE TRYING COPYRIGHT RETENTION

Verfasst von *Stevan Harnad* am 3. August 2011 - 4:38.

1. Today, total free online access (Gratis OA) -- which also includes Libre OA and Gold OA -- is about 30% of the 2.5 million articles published yearly in the planet's 25,000 peer reviewed journals, across all scholarly and scientific disciplines.

2. Academic performance is no longer evaluated by counting publications and publication types. The research impact of the publications (uptake, usage, citations) is increasingly taken into account in evaluation. And **research impact is precisely what OA maximizes**, by making the research accessible to all potential users, not just those whose institutions can afford subscription access to the journal in which they were published.

3. Yes, it is appalling that researchers, though they give their articles to publishers for free, and even referee them for free, asking only for impact in return, transfer copyright to their publishers, and this can and will eventually be remedied. But it cannot be remedied directly now, because authors' interests are still too strongly invested in being published by their preferred journals, who insist on copyright transfer.

4. *The solution is not to try to mandate copyright retention directly:* That strategy is far too slow and uncertain, because it faces far too much resistance from both publishers and authors. The solution is to mandate Green OA self-archiving first, requiring the deposit of the final draft of every article in the institutional repository immediately upon acceptance for publication. **Over 60% of journals** (including virtually all the top journals) already endorse making the deposit immediately OA. For the rest, the **ID/OA (Immediate-Deposit/Optional-Access) Mandate** is compatible with publisher OA embargoes. If the author wishes to honor a publisher OA embargo, the deposit can be made Closed Access instead of OA during the embargo period. The repository's "email-eprint-request" Button will take care of researcher usage needs during the embargo. (And universal ID/OA mandates will hasten the inevitable and well-deserved demise of both OA embargoes and copyright transfer.)

link to: Frage 15: Geschäftsmodelle und Open Access

Kommentare

NEEDED NOW: GREEN OA MANDATES, NOT GOLD OA MODELS

Verfasst von *Stevan Harnad* am 3. August 2011 - 4:50.

Harnad, S. (2011) *Gold Open Access Publishing Must Not Be Allowed to Retard the Progress of Green Open Access Self-Archiving*. *Logos* 21 (3-4): 86-93.

ABSTRACT: *Universal Open Access (OA) is fully within the reach of the global research community: Research institutions and funders need merely mandate (green) OA self-archiving of the final, refereed drafts of all journal articles immediately upon acceptance for publication. The money to pay for gold OA publishing will only become available if universal green OA eventually makes subscriptions unsustainable. Paying for gold OA pre-emptively today, without first having mandated green OA not only squanders scarce money, but it delays the attainment of universal OA.*

Harnad, S. (2010) *The Immediate Practical Implication of the Houghton Report: Provide Green Open Access Now*. *Prometheus* 28 (1): 55-59.

ABSTRACT: *Among the many important implications of Houghton et al's (2009) timely and illuminating JISC analysis of the costs and benefits of providing free online access ("Open Access," OA) to peer-reviewed scholarly and scientific journal articles one stands out as particularly compelling: It would yield a forty-fold benefit/cost ratio if the world's peer-reviewed research were all self-archived by its authors so as to make it OA. There are many assumptions and estimates underlying Houghton et al's modelling and analyses, but they are for the most part very reasonable and even conservative. This makes their strongest practical implication particularly striking: The 40-fold benefit/cost ratio of providing Green OA is an order of magnitude greater than all the other potential combinations of alternatives to the status quo analyzed and compared by Houghton et al. This outcome is all the more significant in light of the fact that self-archiving already rests*

entirely in the hands of the research community (researchers, their institutions and their funders), whereas OA publishing depends on the publishing community. Perhaps most remarkable is the fact that this outcome emerged from studies that approached the problem primarily from the standpoint of the economics of publication rather than the economics of research.

link to: Frage 16: **Kosten von Open Access-Modellen**

Kommentare

COST/BENEFIT RATIO OF MANDATING GREEN OPEN ACCESS

Verfasst von *Stevan Harnad* am 3. August 2011 - 4:56.

Harnad, S. (2010) [The Immediate Practical Implication of the Houghton Report: Provide Green Open Access Now](#). *Prometheus* 28 (1): 55-59.

ABSTRACT: *Among the many important implications of Houghton et al's (2009) timely and illuminating JISC analysis of the costs and benefits of providing free online access ("Open Access," OA) to peer-reviewed scholarly and scientific journal articles one stands out as particularly compelling: It would yield a forty-fold benefit/cost ratio if the world's peer-reviewed research were all self-archived by its authors so as to make it OA. There are many assumptions and estimates underlying Houghton et al's modelling and analyses, but they are for the most part very reasonable and even conservative. This makes their strongest practical implication particularly striking: The 40-fold benefit/cost ratio of providing Green OA is an order of magnitude greater than all the other potential combinations of alternatives to the status quo analyzed and compared by Houghton et al. This outcome is all the more significant in light of the fact that self-archiving already rests entirely in the hands of the research community (researchers, their institutions and their funders), whereas OA publishing depends on the publishing community. Perhaps most remarkable is the fact that this outcome emerged from studies that approached the problem primarily from the standpoint of the economics of publication rather than the economics of research.*

Harnad, S. (2011) [Gold Open Access Publishing Must Not Be Allowed to Retard the Progress of Green Open Access Self-Archiving](#). *Logos* 21 (3-4): 86-93.

ABSTRACT: *Universal Open Access (OA) is fully within the reach of the global research community: Research institutions and funders need merely mandate (green) OA self-archiving of the final, refereed drafts of all journal articles immediately upon acceptance for publication. The money to pay for gold OA publishing will only become available if universal green OA eventually makes subscriptions unsustainable. Paying for gold OA pre-emptively today, without first having mandated green OA not only squanders scarce money, but it delays the attainment of universal OA.*

link to: Frage 17: **Open Access und kommerzielles Publizieren**

Kommentare

GREEN IS THE ECONOMICAL PATH TO OA AS WELL AS TO GOLD OA

Verfasst von *Stevan Harnad* am 3. August 2011 - 5:01.

Harnad, S. (2010) [The Immediate Practical Implication of the Houghton Report: Provide Green Open Access Now](#). *Prometheus* 28 (1): 55-59.

ABSTRACT: *Among the many important implications of Houghton et al's (2009) timely and illuminating JISC analysis of the costs and benefits of providing free online access ("Open Access," OA) to peer-reviewed scholarly and scientific journal articles one stands out as particularly compelling: It would yield a forty-fold benefit/cost ratio if the world's peer-reviewed research were all self-archived by its authors so as to make it OA. There are many assumptions and estimates underlying Houghton et al's modelling and analyses, but they are for the most part very reasonable and even conservative. This makes their strongest practical implication particularly striking: The 40-fold benefit/cost ratio of providing Green OA is an order of magnitude greater than all the other potential combinations of alternatives to the status quo analyzed and compared by Houghton et al. This outcome is all the more significant in light of the fact that self-archiving already rests entirely in the hands of the research community (researchers, their institutions and their funders), whereas OA publishing depends on the publishing community. Perhaps most remarkable is the fact that this outcome emerged from studies that approached the problem primarily from the standpoint of the economics of publication rather than the economics of research.*

Harnad, S. (2011) [Gold Open Access Publishing Must Not Be Allowed to Retard the Progress of Green Open Access Self-Archiving](#). *Logos* 21 (3-4): 86-93.

ABSTRACT: *Universal Open Access (OA) is fully within the reach of the global research community: Research institutions and funders need merely mandate (green) OA self-archiving of the final, refereed drafts of all journal articles immediately upon acceptance for publication. The money to pay for gold OA publishing will only become available if universal green OA eventually makes subscriptions unsustainable. Paying for gold OA pre-emptively today, without first having mandated green OA not only squanders scarce money, but it delays the attainment of universal OA.*

link to: Frage 18: **Sichtbarkeit**

link to: Frage 19: **Bedeutung für Wissenschaftsverlagswesen**

Kommentare

GREEN IS THE ROAD TO BOTH OA AND GOLD OA

Verfasst von *Stevan Harnad* am 3. August 2011 - 5:13.

Harnad, S. (2007) [The Green Road to Open Access: A Leveraged Transition](#). In: *The Culture of Periodicals from the Perspective of the Electronic Age*, pp. 99-105, L'Harmattan.

ABSTRACT: *What the research community needs, urgently, is free online access (Open Access, OA) to its own peer-reviewed research output. Researchers can provide that in two ways: by publishing their articles in OA journals (Gold OA) or by continuing to publish in non-OA journals and self-archiving their final peer-reviewed drafts in their own OA Institutional Repositories (Green OA). OA self-archiving, once it is mandated by research institutions and funders, can reliably generate 100% Green OA. Gold OA requires journals to convert to OA publishing (which is not in the hands of the research community) and it also requires the funds to cover the Gold OA publication costs. With 100% Green OA, the research community's access and impact problems are already solved. If and when 100% Green OA should cause significant cancellation pressure (no one knows whether or when that will happen, because OA Green grows anarchically, article by article, not journal by journal) then the cancellation pressure will cause cost-cutting, downsizing and eventually a leveraged transition to OA (Gold) publishing on the part of journals. As subscription revenues shrink, institutional windfall savings from cancellations grow. If and when journal subscriptions become unsustainable, per-article publishing costs will be low enough, and institutional savings will be high enough to cover them, because publishing will have downsized to just peer-review service provision alone, offloading text-generation onto authors and access-provision and archiving onto the global network of OA Institutional Repositories. Green OA will have leveraged a transition to Gold OA.*

link to: Frage 20: [internationale Verlage](#)

Kommentare

PRACTICAL OA STRATEGY NEEDED, NOT ECONOMIC SPECULATION

Verfasst von *Stevan Harnad* am 3. August 2011 - 5:18.

Instead of continuing to try to second-guess the future of publishing, let the future of publishing take care of itself and mandate ID/OA now.

link to: Frage 21: [Zweitveröffentlichungsrecht und internationale Verlage](#)

Kommentare

OA ≠ GOLD OA PUBLICATION AND GREEN OA ≠ REPUBLICATION

Verfasst von *Stevan Harnad* am 4. August 2011 - 3:02.

Open Access is not the same thing as Gold Open Access Publishing (just as fruit are not the same thing as apples), and providing Green Open Access to a paper is not republishing it (just as displaying a painting is not repainting it).

link to: Frage 22: [Reichweite deutschen Rechts und internationale Kooperationen](#)

link to: Frage 23: [Alternativen zu unabdingbarem Zweitveröffentlichungsrecht](#)

Kommentare

MANDATE GREEN OA FIRST, SECONDARY PUBLICATION RIGHTS SECOND

Verfasst von *Stevan Harnad* am 3. August 2011 - 15:44.

There are far more practical obstacles to mandating the retention of republication rights than to mandating ID/OA (Immediate-Deposit/Optional-Access).

Retaining republication rights faces far too much *prima facie* resistance from both publishers and authors because of conflicts of interest. Retaining republication rights is not necessary in order to provide OA. Green OA is access-provision, not republication.

Hence the effective practical strategy is to mandate Green OA self-archiving first, requiring the deposit of the final draft of every article in the institutional repository immediately upon acceptance for publication. Over 60% of journals (including virtually all the top journals) already endorse making the deposit immediately OA.

(For the rest, the ID/OA (Immediate-Deposit/Optional-Access) Mandate is compatible with publisher OA embargoes. If the author wishes to honor a publisher OA embargo, the deposit can be made Closed Access instead of OA during the embargo period. The repository's "email-eprint-request" Button will take care of researcher usage needs during the embargo. And universal ID/OA mandates will hasten the inevitable and well-deserved demise of both OA embargoes and copyright transfer.)

Rights retention mandates should only be considered *after an ID/OA mandate has already been adopted*, not before, or instead.

link to: Frage 24: [Rolle der Wissenschaftsorganisationen](#)

Kommentare

SIGNING THE BERLIN DECLARATION IS NOT ENOUGH

Verfasst von *Stevan Harnad* am 3. August 2011 - 16:09.

Signing the [Berlin Declaration](#) is not enough because it does not entail any concrete, practical action at all, just support of the principle of Open Access.

However, at Berlin 3 (2005), a [concrete practical recommendation](#) was added:

Agreed Recommendation (emphasis added):

"In order to implement the Berlin Declaration institutions should implement a policy to:

1. **require** their researchers to deposit a copy of all their published articles in an open access repository

and

2. **encourage** their researchers to publish their research articles in open access journals where a suitable journal exists (and provide the support to enable that to happen)."

Please register your institution's commitment to implementing an institutional self-archiving policy (and describe your policy) at <http://www.eprints.org/signup/sign.php>. Current list of institutions and policies: <http://www.eprints.org/signup/fulllist.php> [ROARMAP]

Hence the way to commit to implementing the Berlin Declaration's concrete practical recommendation is to mandate **Green OA self-archiving**.

link to: Frage 25: **Freier Zugang zu Forschungsergebnissen**

link to: Frage 26: **Informationen zu Open Access**

Kommentare

FURTHER INFORMATION ON OPEN ACCESS POLICY MAKING

Verfasst von *Stevan Harnad* am 3. August 2011 - 16:20.

For further information and guidance on the design and implementation of concrete, practical Open Access policy worldwide, please consult (1) **EnablingOpenScholarship** (for universities and research institutions), (2) **OASIS** (for librarians) or (3) **SPARC Campus Open Policies**.

link to: Frage 27: **Unterstützung durch Wissenschaftsorganisationen**

Kommentare

THE BEST INSTITUTIONAL SUPPORT IS A GREEN OA MANDATE

Verfasst von *Stevan Harnad* am 3. August 2011 - 16:30.

The above list, focused on publishers, publishing, and payments, leaves out the most important recommendation, if the objective is 100% OA as soon as possible: *Universities, research institutions and research funders should all mandate Green OA self-archiving: ID/OA (Immediate-Deposit/Optional-Access).*

Harnad, Stevan (2011, in press) **Open Access Is a Research Community Matter, Not a Publishing Community Matter**. *Lifelong Learning in Europe*.