

# Indicators of Open Access for universities

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A solid blue circle is positioned on the left side of a horizontal line that spans the width of the slide.

# Indicators of Open Access for Universities

Presentation prepared for the **ISSI/STI 2019 Conference** held in Rome, Sept 2-5, 2019 by Nicolas Robinson-Garcia

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# Motivation



Plan S  
Making full and  
immediate Open  
Access a reality

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## Open Science

This is the ongoing transition in how research is performed and how knowledge is shared. News, events, publications related to Open Science

# Motivation

- What is the current state of OA penetration?
- Is the implementation of OA in accordance with policy desires and mandates?

- Which models of OA are more expanded?

the transition in how research is performed and how knowledge is shared. News, events, publications related to Open Science

# Our understanding of OA

Criteria for the analysis of OA uptake:

- **Sustainable**

Publications are OA in the public domain, without immediate and direct risk of disappearing behind a pay-wall.

- **Legal**

Identification as OA should not be based on 'illegal acts' and should not be based on copyright infringement.

# Our understanding of OA

Data sources that **do not comply** with the two requirements (*Sustainability and Legality*) for OA detection:

- *ResearchGate*
  - *SciHub*
- } Many suggest their inclusion as OA!

# Data sources

- **Web of Science**
  - **Advantages:** consolidated database, citation linkages, and complete metadata (author affiliations and classification scheme available)
  - **Disadvantages:** commercial/proprietary, coverage issues (SSH, books, conference papers)
- **Unpaywall**
  - **Advantages:** comprehensive (multiple sources considered in the identification of OA evidence), systematic, large coverage (Crossref publications) , 'free' source, becoming 'standard in the business'
  - **Disadvantages:** lack of relevant metadata (affiliations, classification, doc types), dependency of DOIs (Crossref)
- More validation and research needed (how good is the data? does Unpaywall track all possible OA evidence?)

# Identification of OA evidences

Four types of OA are identified:

- **Green OA** self-archived versions of a manuscript
- **Gold OA** journals publishing in OA regardless of their business model
- **Bronze OA** journals offering free Access but retaining copyrights
- **Hybrid OA** toll journals offering APC for making articles OA

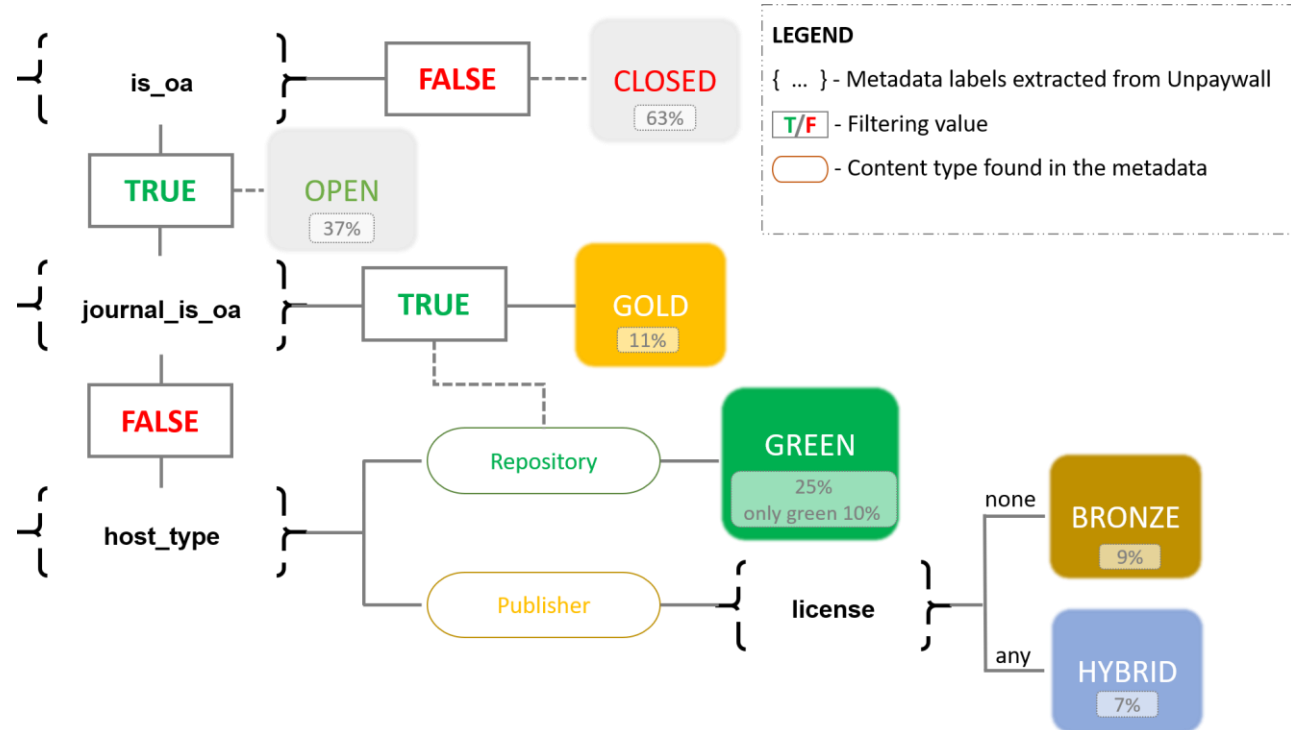


# Identification of OA evidences

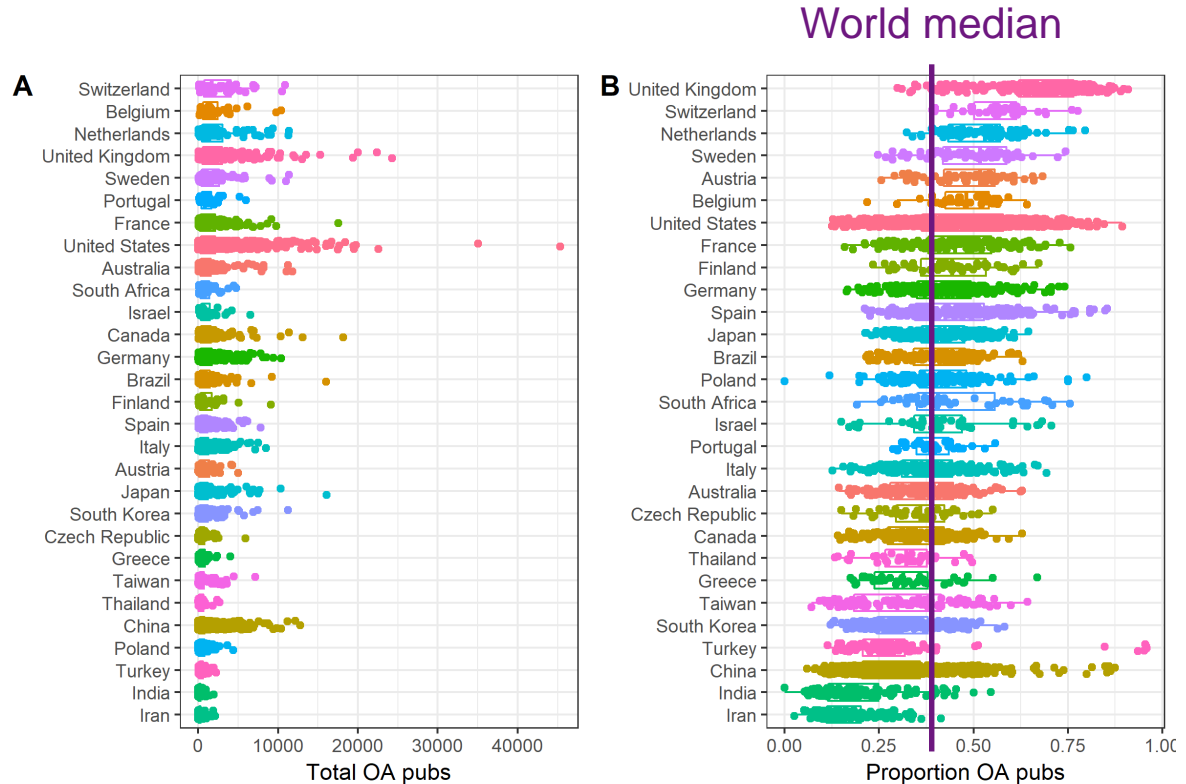
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# Identification of OA evidences

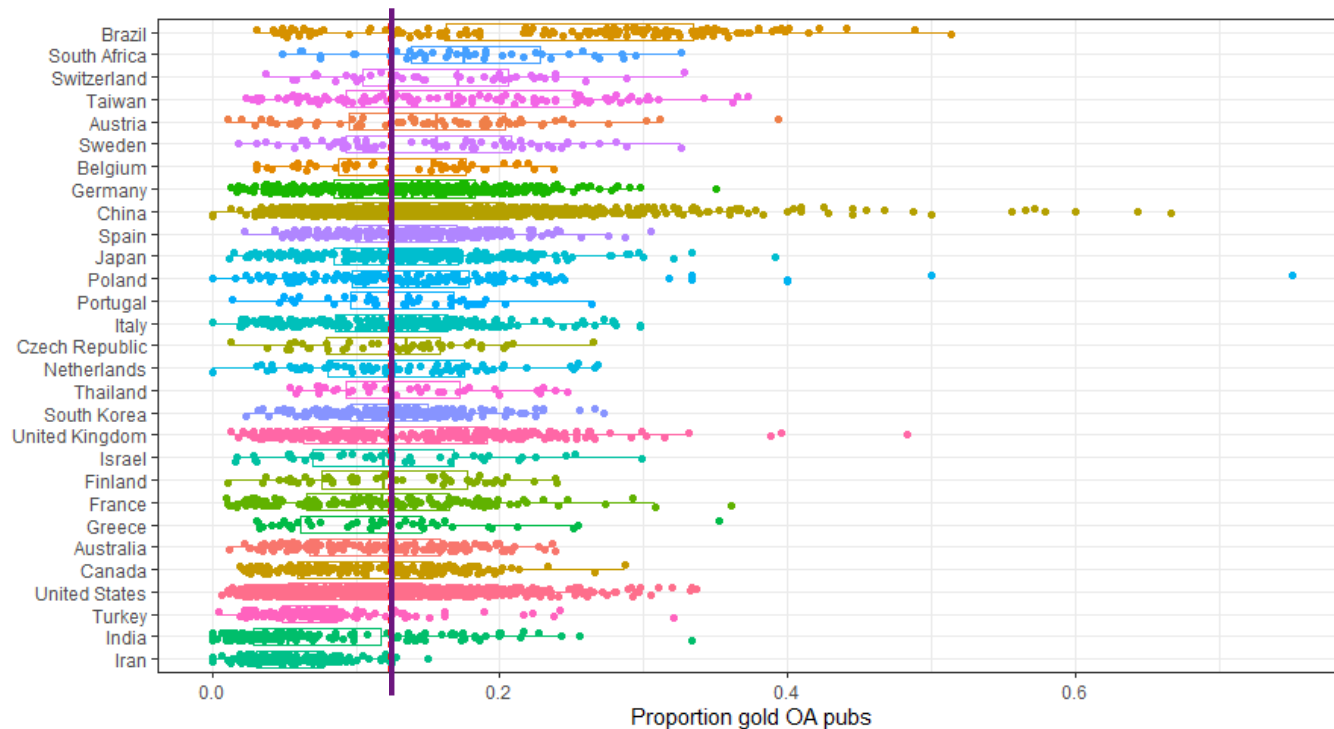


# Results: Overall OA



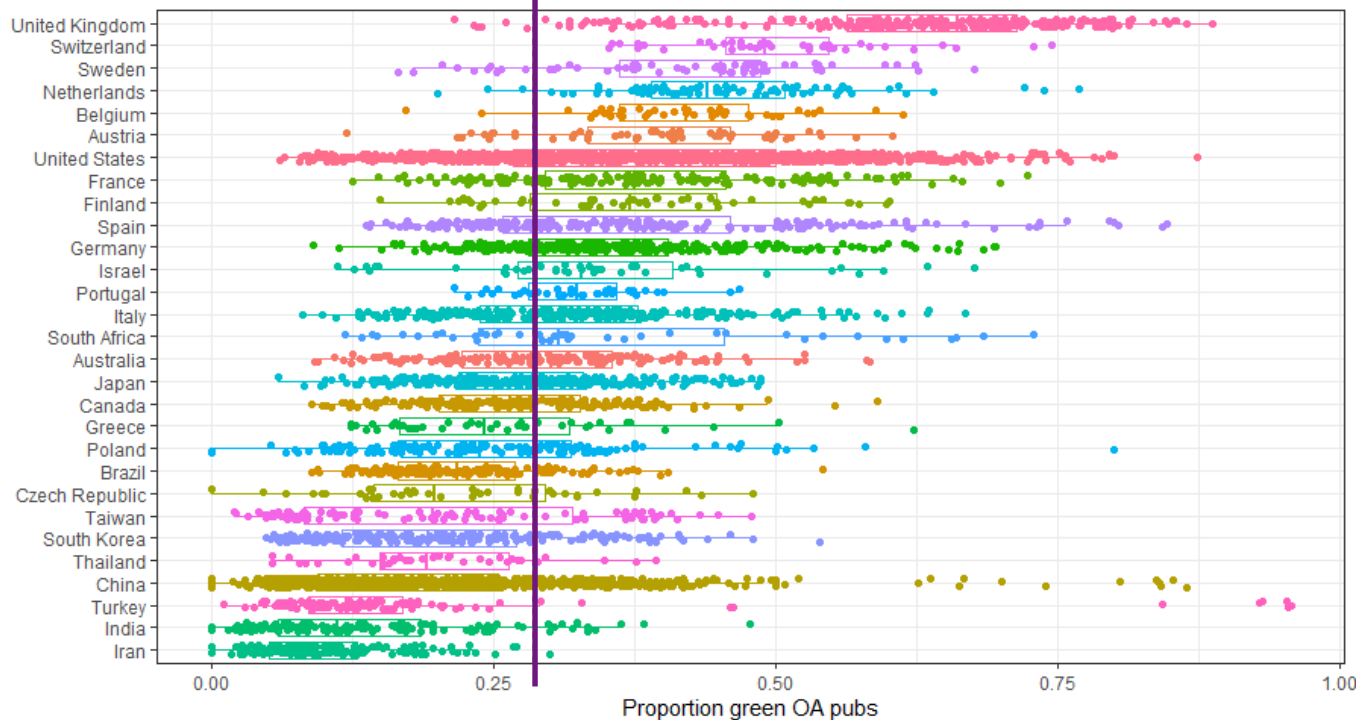
# Results: Gold OA

World median



# Results: Green OA

World median



# Results: Green OA

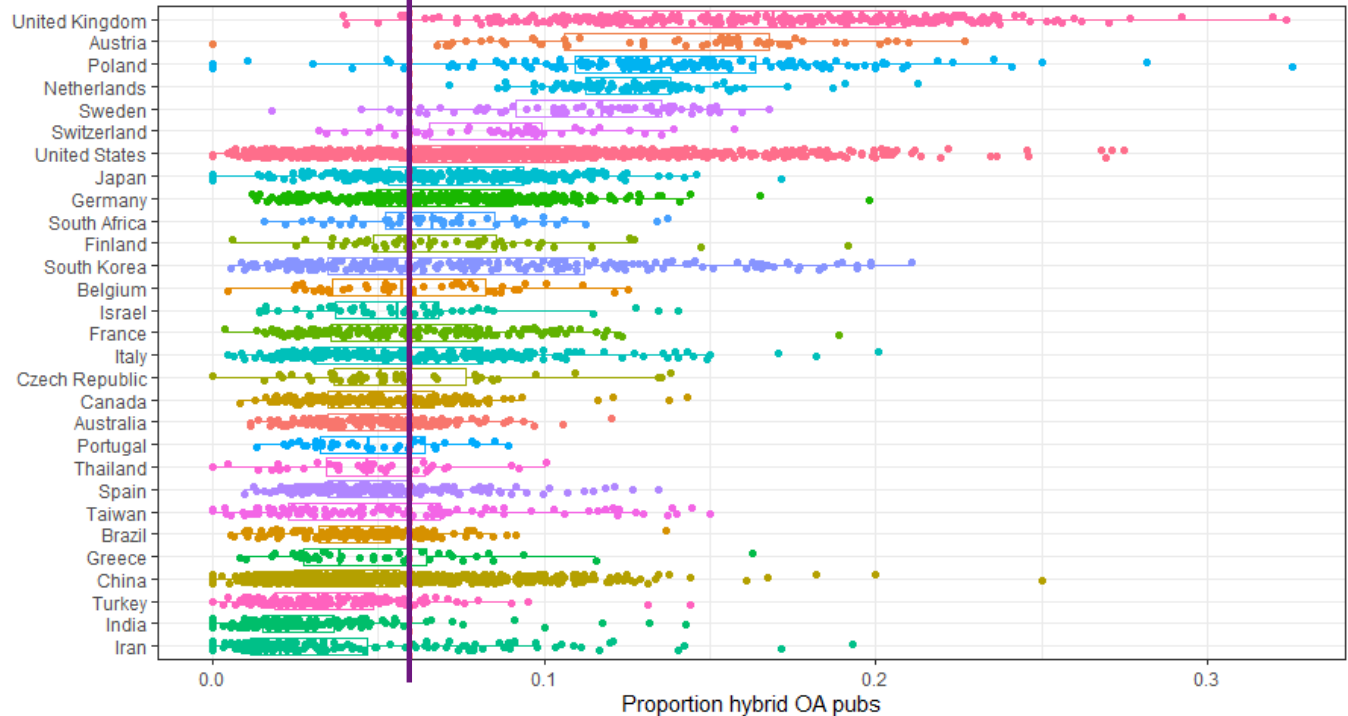
University	Country	Pubs	% Green	% Repository
Bilkent Univ	Turkey	1851	96.0	94.8
Hong Kong Polytech Univ	China	8866	86.7	2.4*
Univ Jaume I	Spain	2098	84.9	81.3
Durham Univ	United Kingdom	6723	81.6	69.2
City Univ London	United Kingdom	2328	81.6	72.9
Univ Strathclyde	United Kingdom	4321	80.5	74.1
London Sch Hyg	United Kingdom	5949	80.4	64.3
Univ St Andrews	United Kingdom	5123	79.3	69.3
Loughborough Univ	United Kingdom	3883	76.6	66.6
Univ Leeds	United Kingdom	10333	75.5	63.3

# Results: The PMC effect on Green OA

Country	Green OA	PMC	PMC only	% Gold	% Bronze	% Hybrid
Taiwan	16233	12836	10777	65.7	6.8	17.8
South Korea	36677	28867	22966	45.3	9.2	32.7
China	161903	116282	93418	60.9	8.9	17.7
Malaysia	5670	4027	3038	77.8	5.0	10.1
Thailand	4378	3438	2255	55.1	12.4	16.3
Egypt	3036	2034	1397	57.7	9.9	15.6
Lebanon	603	450	274	55.8	11.1	12.9
Japan	50007	29560	22226	53.7	18.5	17.7
Singapore	9058	5614	3669	57.1	14.4	15.6
Poland	16459	8531	6416	49.6	8.2	33.6

# Results: Hybrid OA

World median





# Results: Bronze OA

World median



# Discussion

## The 2 main routes to open access are:

- A. **Self-archiving / 'green' open access** – the author, or a representative, archives (deposits) the published article or the final peer-reviewed manuscript in an online repository before, at the same time as, or after publication. Some publishers request that open access be granted only after an embargo period has elapsed.
- B. **Open access publishing / 'gold' open access** - an article is immediately published in open access mode. In this model, the payment of publication costs is shifted away from subscribing readers. The most common business model is based on one-off payments by authors. These costs, often referred to as Article Processing Charges (APCs) are usually borne by the researcher's university or research institute or the agency funding the research.

# Discussion



The screenshot shows the top navigation bar of the PubMed Central website. It includes the NCBI logo, 'Resources' and 'How To' dropdown menus, the PMC logo, a search bar with 'PMC' entered, and links for 'Journal List' and 'Advanced'. Below the navigation bar is a large banner image of a blue-tinted anatomical structure, likely a joint. To the right of the image is the text: 'PMC PubMed Central® (PMC) is a free full-text archive of biomedical and life sciences journal literature at the U.S. National Institutes of Health's National Library of Medicine (NIH/NLM)'. Below the banner are three columns of links: 'Get Started' (PMC Overview, Users' Guide, Journal List, PMC FAQs, PMC Copyright Notice), 'Participate' (Information for Publishers, How to Include a Journal in PMC, Participation Agreements, File Submission Specifications, File Validation Tools), and 'Keep Up to Date' (New in PMC | RSS, PMC Announce Mail List, Utilities Announce Mail List, Tagging Guidelines Mail List).

# Discussion

## **Step 1 - Depositing publications in repositories**

Beneficiaries must deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications. This must be done as soon as possible and at the latest upon publication.

This step applies **even where open access publishing ('gold' open access) is chosen** to ensure that the article is preserved in the long term.

# Discussion

## Funding Route

Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of subscription venues (transformative arrangements)
Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.	Authors publish Open Access in a subscription journal under a transformative arrangement.
cOAlition S funders will financially support publication fees.	cOAlition S funders will not financially support 'hybrid' Open Access publication fees in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

# Discussion

An important aspect in opening up: **Engagement**

- **Green OA** by archiving final, peer-reviewed drafts in a freely accessible institutional repository or disciplinary repository
  - **Self-archiving?** When any of the authors has archived the publication
  - **Institutional self-archiving?** When any of the authors of the institution has archived the publication
  - **PMC OA?** Is it the same as self-archiving? Does it capture engagement in OA?

# Conclusions

- Penetration of OA overall seems to be the result of **isolated efforts rather than** implementation of **national policies**
- Formulas for OA vary by region  
i.e., Brazil and Gold OA or UK and Green OA
- **Theory and practice** in what is OA and its types **are not aligned**  
i.e., PMC effect, bronze OA

# Questions?

# Many thanks!

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