Monitoring open access

Kim Huijpen, VSNU
Association of universities in the Netherlands
About VSNU

• The VSNU – Association of universities in the Netherlands – is formed by the fourteen Dutch research Universities.

• VSNU represents the universities to the government, parliament, and governmental and civic organisations.

• It does so by facilitating debate, developing and disseminating common positions, contributing towards improving the reputation of the university sector, and by making strategic choices to strengthen scientific education and research in the Netherlands.
The 14 Dutch Universities

- Delft University of Technology
- University of Twente
- Eindhoven University of Technology
- Tilburg University
- Open University of the Netherlands
- Erasmus University Rotterdam
- University of Amsterdam
- Leiden University
- VU University Amsterdam
- Wageningen University
- Radboud University Nijmegen
- Maastricht University
- University of Groningen
- VU University Amsterdam
- Utrecht University
- VU University Amsterdam
Overview

- Targets Dutch policy
- Baseline measurement by CWTS
- How we established the VSNU framework
- Flowchart of Dutch definitions for monitoring OA publications
- First pilots monitoring open access
- Time schedule for first measurement
- Conclusion and next steps
Targets Dutch policy

• 2018: 60% publications open access
• 2024: 100% publications open access

• State Secretary informed Parliament that universities adapt their infrastructures to improve monitoring OA publications

• Dutch universities promised to present results for the first time after the summer of 2016
In the light of this policy, our Ministry of Education, Culture and Science was interested in the situation with regard to open access publishing by Dutch academics.

Therefore, the Ministry commissioned a study by CWTS in 2014 on the current situation at that time, a baseline measurement.

The next two sheets are about that study by Thed van Leeuwen (Leeuwen@cwts.nl) and colleagues.
Defining open access in Web of Science (WoS)

**Method I:** Selecting OA output from WoS desktop interface:
- Select and download OA output from WoS on internet
- Link that to the CWTS in-house version of WoS
- Problem here: *older papers are retroactively labeled as OA*

**Method II:** Linking the DOAJ list with CWTS WoS database:
- Select the papers from journals on the DOAJ list
- Use the DOI’s to link both DOAJ and WoS to each other
- Problem here: *many older papers in WoS do not carry DOI’s yet*
OA output numbers as share of national outputs

Method I: Sharper increase in share of OA output
Method II: Slower increase, countries have more similar pattern
VSNU Framework

• Every year, VSNU asks universities for data on scientific output according to agreed definitions (KUOZ)

• To monitor OA publications, we use KUOZ category Scientific publication: ‘refereed’ article in a journal (category 1a)

• Basis for the monitoring are research products registered in a CRIS

• Reference date runs parallel with KUOZ-reference date
How we established the framework

• First: composed definitions of Open Access publications
  – No books & conference proceedings (yet)

• We agreed to divide in ‘Gold, DOAJ classified’, ‘Gold not DOAJ classified/hybrid’ & ‘Green only OA’ OA publications

• We tried to formulate clear-cut definitions
  – For monitoring open articles in open journals we use DOAJ
  – We have defined ‘trusted repository’s’ by using OpenDOAR
  – We decided not to use ‘libre’ in our definitions
## Gold, green & hybrid

- **We redefined** ‘gold’, ‘green’ and ‘hybrid’

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A</strong></td>
<td>Open article in open access journal</td>
</tr>
<tr>
<td><strong>B</strong></td>
<td>Open article in toll access journal</td>
</tr>
<tr>
<td><strong>C</strong></td>
<td>Article is only open access via a trusted repository</td>
</tr>
<tr>
<td><strong>D</strong></td>
<td>Article is not (yet) open access via A, B or C</td>
</tr>
</tbody>
</table>

**Gold, DOAJ classified**

- **alias category A**

**Gold not DOAJ classified/hybrid**

- **alias category B**

**Green only OA** (on reference date)

- **alias category C**

**Toll access + embargo on reference date**

- **alias category D**
Is the peer-reviewed article gratis and permanently available on the website of the publisher?

- **YES**
  - Is the journal in the DOAJ?
    - **YES**
      - ‘Gold, DOAJ classified’ alias category A
    - **NO**
      - ‘Gold not DOAJ classified/hybrid’ alias category B

- **NO**
  - Is the peer-reviewed article* on the reference date open available in a trusted repository?
    - **YES**
      - ‘Green only OA’ (on reference date) alias category C
    - **NO**
      - Toll access + embargo on reference date alias category D

* Final author version, postprint, after peer-review (if applicable), publisher version or preprint.
CRIS end data

- Non OA/Toll access
  - Subset comprises non OA articles (on reference date)
  - Subset matched with trusted repositories listed in OpenDOAR

- Gold DOAJ classified
  - End data matched with DOAJ same year
  - Subset checked manually on OA articles in toll access journals or journals not listed in DOAJ

- Gold not classified/hybrid

- Green only
Three pilots

- 3 universities carried out a pilot monitoring OA publications:
  - TU/Eindhoven with PURE
  - Leiden University with Converis
  - Radboud University Nijmegen with METIS

- Goals of the pilots
  - Discover what you encounter & sharing it with others
  - Observe how time consuming certain steps are
  - Experience how definitions we established work in practice
Hybrid open access

- Radboud University asked Kees Reusen to program a script

- Script automates process for about 50 – 70% of subset of articles and is used by several universities
How it works

1. DOI
2. webdomain
3. open access?
Example: Wiley journal articles

http://onlinelibrary.wiley.com/enhanced/doi/10.102/ejsp.2082

Timeline

- Universities are now working on the measurement of 2015
- Universities provide the numbers by 1 July to VSNU
- In September, we will present the percentages to universities and the Ministry of Education, Culture and Science
To conclude

• Open access has the full attention now everywhere in the Netherlands

• We had an ambitious timeline for monitoring open access publications using research output registered in a CRIS

• We agreed on a definition framework for monitoring open access publications with all universities

• The first measurement will be completed after the summer of 2016
Next steps

• Evaluation of the first measurement

• Developing a Europe-wide framework?

• ...

Thank you for your attention

Kim Huijpen, VSNU
Huijpen@VSNU.nl
References

• **Definition framework monitoring Open Access (VSNU 17 February 2016):**

• **Agreed VSNU definitions on scientific output (KUOZ):**


  https://www.rijksoverheid.nl/documenten/rapporten/2015/01/01/bibliometric-study-on-dutch-open-access-published-output

• https://doaj.org/
• http://www.opendoar.org/

• **Pictures**
  – https://www.rijksoverheid.nl/regering/inhoud/bewindspersonen/sander-dekker/foto-s
  – https://doaj.org/