



# Progresos en la monitorización del acceso abierto


Perspectiva desde Uni Strathclyde


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# A simple concept?

$$\% \text{ Open Access} = \frac{\text{OA publications}}{\text{Total no of publications}} \times 100$$

 'easy' bit

 'hard' bit

## Caveats from the current methodology

- Restricted to Web of Science and Scopus
- No identification of the embargoed items in repositories
- Restricted to items with DOI
- Some identified errors when identifying licenses
- The “Bronze” journals
- Limited accuracy

# Institutional % OA availability (2014-2017)



CWTS Leiden Ranking | Leiden University | CWTS | CWTS B.V. | Other CWTS sites

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	University		P	P(OA)	PP(OA)				
1	Bilkent Univ		1909	1834	96.1%				
2	Hong Kong Polytech Univ		9911	8459	85.3%				
3	London Sch Hyg & Trop Med		7254	6172	85.1%				
4	Durham Univ		7177	5966	83.1%				
5	Univ Jaume I		2197	1822	82.9%				
6	City Univ London		2569	2099	81.7%				
7	Univ St Andrews		5535	4518	81.6%				
8	Univ Strathclyde		4848	3931	81.1%				
9	Univ Glasgow		11807	9391	79.5%				
10	Univ Leeds		11672	9203	78.8%				
11	Caltech		13529	10638	78.6%				
12	Univ Edinburgh		17828	13786	77.3%				
13	Loughborough Univ		4245	3279	77.2%				
14	Univ Bristol		14235	10832	76.1%				
15	Univ Bath		5139	3866	75.2%				
16	Univ Coll London		35124	26419	75.2%				
17	Univ Leicester		5732	4275	74.6%				
18	Univ Warwick		10384	7722	74.4%				
19	Univ E Anglia		4796	3561	74.2%				
20	Univ Sussex		5338	3961	74.2%				
21	Univ Dundee		3977	2947	74.1%				
22	Cardiff Univ		9872	7311	74.1%				
23	Imperial Coll London		28625	21002	73.4%				
24	Univ Sheffield		12273	8982	73.2%				
25	Lancaster Univ		5785	4221	73.0%				

CWRS Leiden Raking 2019:  
 Open Access (May 2019),  
<https://www.leidenranking.com/ranking/2019/>

# Large fraction of Green OA

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## University of Strathclyde

Select indicators

Type of indicators: Open access

Time period: 2014–2017



Leaflet | Tiles © Esri — Esri, DeLorme, NAVTEQ

### Overview (2014–2017)

All sciences

		Size-dependent	Size-independent	
Publications	P	4848		
Open access publications	P(OA)	3931	PP(OA)	81.1%
Gold open access publications	P(gold OA)	435	PP(gold OA)	9.0%
Hybrid open access publications	P(hybrid OA)	807	PP(hybrid OA)	16.6%
Bronze open access publications	P(bronze OA)	193	PP(bronze OA)	4.0%
Green open access publications	P(green OA)	3860	PP(green OA)	79.6%
Publications with unknown open access status	P(OA unknown)	68	PP(OA unknown)	1.4%

# Why are UK institutional OA rates so high?

Research funder	OA flavour	Brief policy description
Higher Education Funding Council for England (HEFCE)	Green	In operation since 01/04/2016 ( <u>implemented since 2014</u> at Strathclyde). Mandatory deposit of full-text accepted author manuscript no longer than three months since manuscript acceptance. Linked to the UK Research Excellence Framework (REF2021)
Research Councils UK (UK Research and Innovation since 01/04/2018)	Green & Gold	Mandatory OA availability of funded outputs either via the Green or the Gold OA routes. Block grants delivered to research-intensive HEIs to fund Open Access fees for eligible publications (those that acknowledge RCUK-funded projects)
Charity Open Access Fund (COAF): coalition of UK charities led by the Wellcome Trust	Green & Gold	Mandatory OA availability of funded outputs either via the Green or the Gold OA routes. Block grants delivered to research-intensive HEIs to fund Open Access fees for eligible publications (those that acknowledge RCUK-funded projects). Green OA publications need to be deposited in EuropePMC
European Commission – FP7 programme	Green & Gold	Mandatory deposit of full-text accepted author manuscript for projects under Clause 39. Gold Open Access funding available for finished FP7 projects under the OpenAIRE FP7 Post-Grant OA Pilot
European Commission – H2020 programme	Green & Gold	Mandatory deposit of full-text accepted author manuscript for all H2020 projects (plus associated datasets). Gold Open Access funding may be claimed from project grant

*Table 1. Main Open Access policies by research funders at the University of Strathclyde*

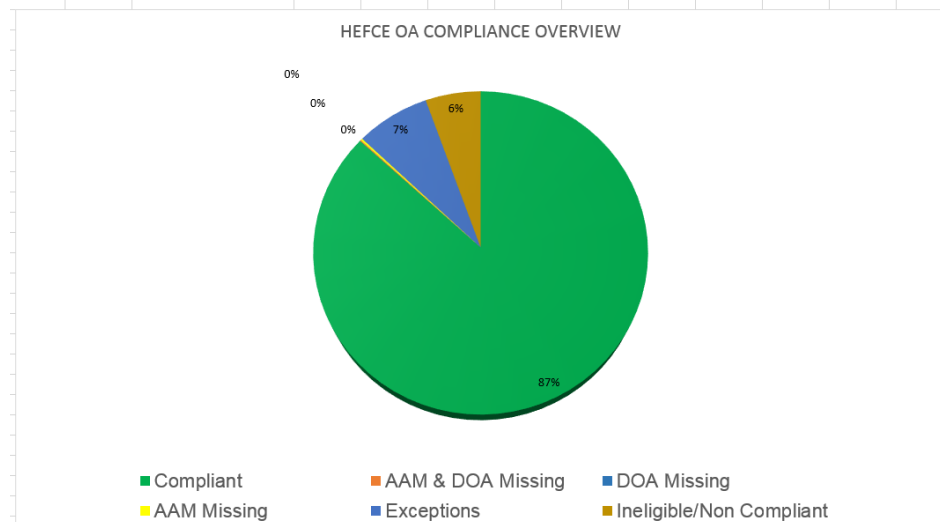
# Focus on REF OA policy compliance



<b>University of Strathclyde</b>		
Compliant	4669	87%
AAM & DOA Missing	6	0%
DOA Missing	0	0%
AAM Missing	10	0%
Exceptions	398	7%
<b>Ineligible/Non Compliant</b>	<b>296</b>	<b>6%</b>
<b>Total Compliance</b>	<b>5067</b>	<b>94%</b>
<b>Possible Non Compliance</b>	<b>16</b>	<b>0%</b>

- Focus on policy compliance poses risk of authors not depositing publications they do not intend to submit for research assessment exercise (REF)
- Deposit upon manuscript acceptance effectively becomes part of the publishing workflow
- Manuscripts where the Strathclyde author is not the corresponding author also need to be chased upon acceptance, offering interesting opportunities for advocacy with authors in other countries (incl Spain). Lead authors abroad usually understand the UK policy and send us the full-text manuscript
- It would be good to see this policy applied in a more widespread way (eg across Europe)

<b>Key</b>	Compliant	Research Outputs that meet HEFCE open access requirements
	AAM & DOA Missing	Accepted Authors Manuscript and Date of Acceptance missing
	DOA Missing	Date of Acceptance missing
	AAM Missing	Accepted Authors Manuscript missing
	Exceptions	Output does not meet requirements - Exception applied to achieve compliance
	Ineligible/Non Compliant	Research Output failed to meet HEFCE's requirements - unable to submit to REF



# An attempt to coordinate OA monitoring



## Workshop

# Open Access Monitoring - Approaches and Perspectives

### Report:

A report, summarizing the talks of the the first day as well as the output of the workshop on the second day, can be downloaded here:

- [Report \(AT2OA-OA-Monitoring-Workshop, 2018 04 09\)](#)

### Presentations:

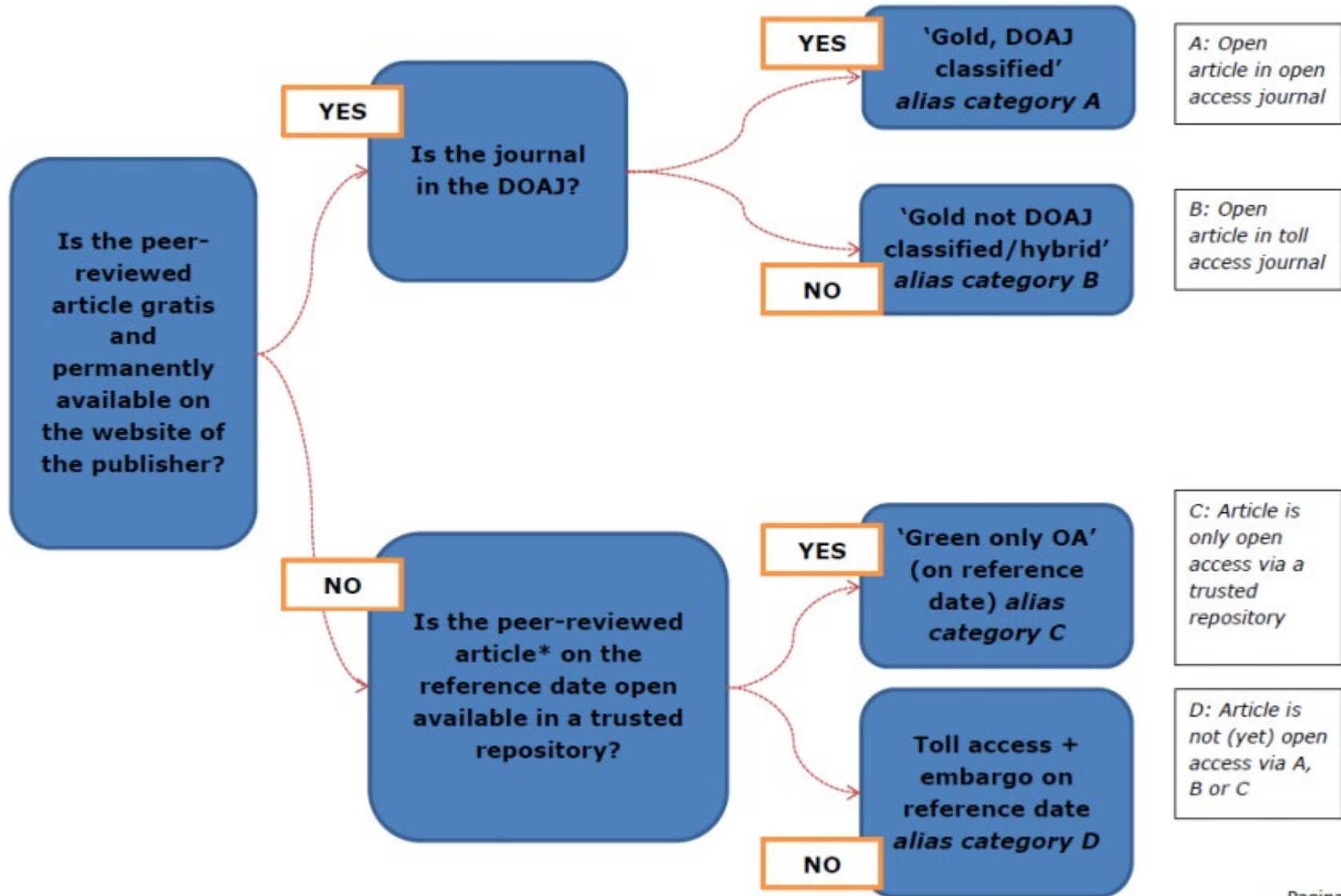
We would like to thank all participants for attending our event!

Please find the presentations below.

- [Just de Leeuwe "Open Access Monitoring in The Netherlands"](#)
- [Camilla Lindelöw "Report from Sweden"](#)
- [Jyrki Ilva "Open Access Monitoring in Finland"](#)
- [Sarah Fahmy "Jisc OA Dashboard"](#)
- [Dirk Pieper "Report from Germany & experiences with the OpenAPC workflow"](#)
- [Pablo De Castro & Jan Dvorak "The possible role of CERIF and CRISs for Open Access Monitoring"](#)
- [Patrick Danowski "OA Monitoring - State of the discussion in Austria"](#)



Scheme 1



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



# Exclusions content

## Delayed OA

traditional subscription-based journals that provide free online access upon the expiry of an embargo period following the initial publication date.

## Embargo

Articles can be published under an **embargo**. If so, then the article is not considered OA until the moment the embargo is lifted. This applies to **final author versions (Green OA)** that only become available in the public domain after an embargo period of x months

Permanent; the article is **permanently** available on the website of the publisher

Accepted Author Manuscript

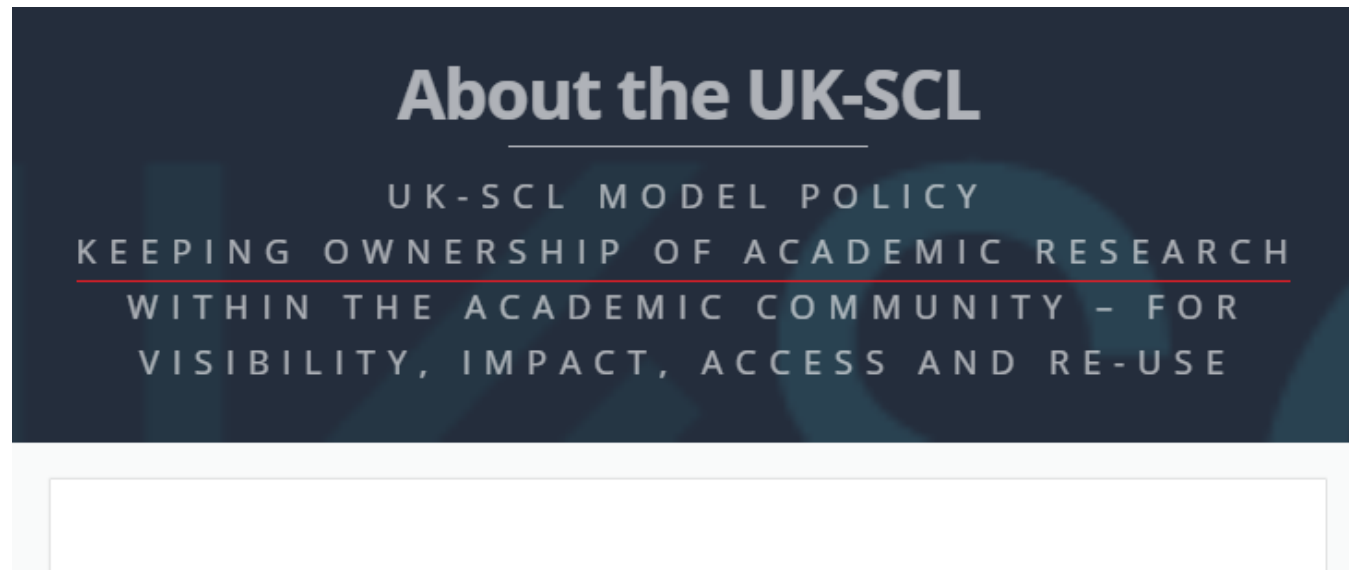
Restricted to Repository staff only until 30 November 2019.

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## A few conclusions

- Emerging ‘de facto’ methodology for measuring %OA availability (albeit with caveats)
- Green OA offers untapped potential when/if coupled to Plan S
- Non-English publications not indexed in international databases and occasionally with no DOIs need to be more closely examined
- The real driver are good Open Access policies: institutions may focus on their implementation and good rates of OA availability at a national level will follow

# Thanks!

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