



## Green Open Access in practice - results and recommendations from the DEFF-funded project (2017-2018)

Sand, Ane Ahrenkiel; Schneider, Anette Wergeland

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# GREEN OPEN ACCESS IN PRACTICE

– results and recommendations from the DEFF-funded project (2017-2018)

**Ane Ahrenkiel Sand** and **Anette Wergeland Schneider**

Concluding conference for Open Access Monitor – DK

Place: University of Copenhagen, Faculty of Science, Frederiksberg C

Date: 06-12-2018



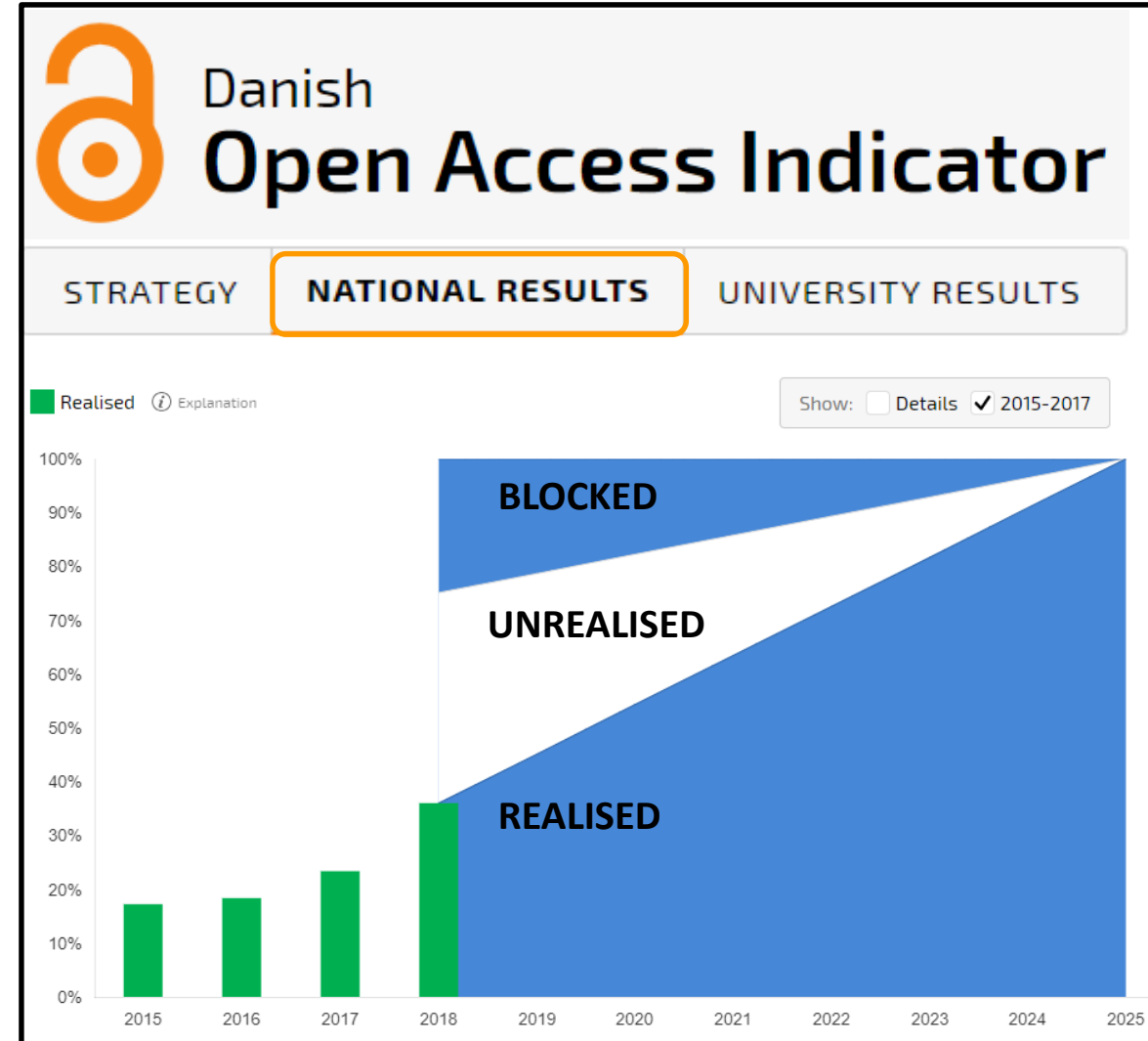
# DENMARK'S NATIONAL STRATEGY FOR OPEN ACCESS

The strategy states that the implementation of Open Access is to take place through the **green** model – i.e. parallel filing of quality-assured research articles in institutional repositories with Open Access.

However, the strategy does not exclude the use of the golden model as long as it does not increase the publication expenses.

## 🇩🇰 OPEN ACCESS TARGET:

FROM **2025** ONWARDS, THERE SHOULD BE UNIMPEDED DIGITAL ACCESS FOR ALL TO ALL PEER-REVIEWED SCIENTIFIC ARTICLES FROM DANISH RESEARCH INSTITUTIONS – WITH MAX. 12-MONTH EMBARGO.





# BACKGROUND

In 2016, the Danish Open Access Indicator revealed an untapped Open Access potential of about 60%.



There are several challenges involved in the registration of **green** Open Access articles and these make it difficult to reach the national green Open Access goals.

The challenges relate to:



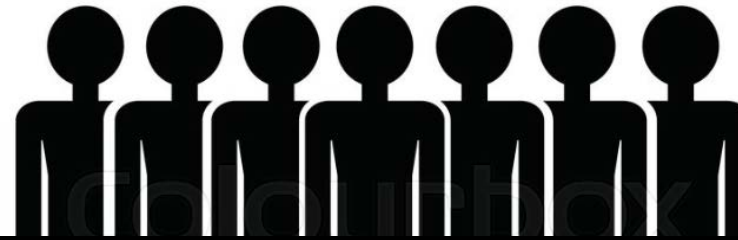
RIGHTS AND LICENSES

**GREEN** OPEN ACCESS VERSIONS

EMBARGO PERIODS OF JOURNALS

The project '**GREEN** OPEN ACCESS IN PRACTICE' (2017-2018) focused on these very concrete challenges.

# PROJECT PARTICIPANTS



## AARHUS UNIVERSITY (AU):

- Morten Hjorth Gad
- Mathias Johannes Michelsen
- Anna Mette Morthorst

## COPENHAGEN BUSINESS SCHOOL (CBS):

- Lene Hald
- Claus Rosenkrantz Hansen

## TECHNICAL UNIVERSITY OF DENMARK (DTU):

- Lise Ingemann Mikkelsen
- Ane Ahrenkiel Sand
- Anette Wergeland Schneider

## UC KNOWLEDGE:

- Charlotte Greve

## UNIVERSITY COLLEGE ABSALON:

- Birgitte Sass

## UNIVERSITY COLLEGE COPENHAGEN:

- Trine Azbi

## UNIVERSITY OF SOUTHERN DENMARK (SDU):

- Regine Ejstrup
- Lone Søndberg Madsen
- Anne Thorst Melbye

## VIA UNIVERSITY COLLEGE:

- Birgit Truelsen Larsen



# PROJECT FUNDING



Denmark's Electronic Research Library (DEFF) is an organizational and technological collaboration between Danish academic, research and educational institutions.

As a national consortium, DEFF negotiates and enters into contracts for electronic resources on behalf of the institutions.

## PROJECT MANAGER:

Lise Ingemann Mikkelsen (DTU)

## TIME PERIOD:

2017-2018 (STATUS: FINISHED)

## FUNDING (DKK):

Self-funded: 624.000 DKK 🇩🇰

DEFF funded: 1.251.000 DKK 🇩🇰

Total incl. VAT: 1.875.000 DKK 🇩🇰



# QUESTIONNAIRE TO PUBLISHER



DURING THE PROJECT, WE EXPLORED PUBLISHER PRACTICES VIA:

- CONTRACTS
- WEBSITES
- A SURVEY

The publishers were selected on the basis of the number of publications published in 2016 authored by researchers affiliated to the institutions represented by the project group. This amounted to a list of 46 publishers.

- 8. November 2017: launch of survey
- 20. November 2017: 1st reminder (SurveyXact)
- 17. Januar 2018: 2nd reminder (personal email)

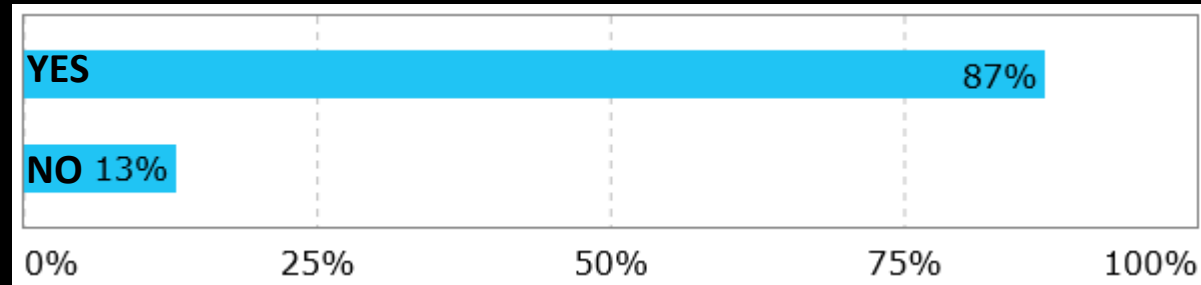
## RESULT:

- 22 complete and 5 partially completed responses

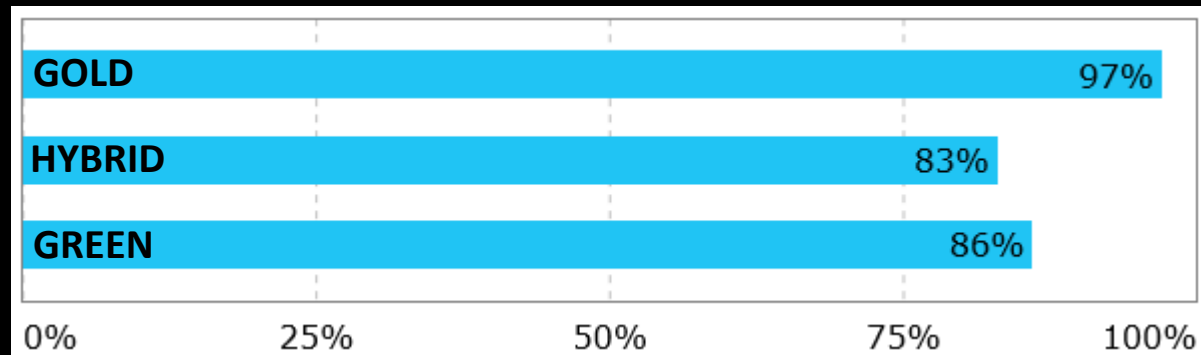
|  |   |
|--|---|
| ALMINDELIGE DANSKE LAEGEFORENING                         | INSTITUTE OF ELECTRICAL AND ELECTRONICS ENGINEERS |
| AMERICAN CHEMICAL SOCIETY                                | INSTITUTE OF PHYSICS                              |
| AMERICAN GEOPHYSICAL UNION                               | INTER-RESEARCH                                    |
| AMERICAN INSTITUTE OF PHYSICS                            | IWA PUBLISHING                                    |
| AMERICAN PHYSICAL SOCIETY                                | KARGER AG   |
| AMERICAN PHYSIOLOGICAL SOCIETY                           | KARNOV GROUP                                      |
| AMERICAN SOCIETY FOR BIOCHEMISTRY AND MOLECULAR BIOLOGY  | LANCET PUBLISHING GROUP                           |
| AMERICAN SOCIETY FOR MICROBIOLOGY                        | LIPPINCOTT  |
| AMERICAN SOCIETY OF ANIMAL SCIENCE                       | MARY ANN LIEBERT                                  |
| BIOMEDCENTRAL  | NATURE  |
| BMJ GROUP  | OPTICAL SOCIETY OF AMERICA                        |
| CAMBRIDGE UNIVERSITY PRESS                               | OXFORD UNIVERSITY PRESS                           |
| CELL PRESS   | ROYAL SOCIETY OF CHEMISTRY                        |
| COPERNICUS GMBH  | SAGE  |
| DANSK SOCIOLOGFORENING                                   | SELSKABET TIL FREMME AF SOCIAL DEBAT              |
| DANSK TANDLÆGEFORENING                                   | SPRINGER  |
| DJØF   | STATSBIBLIOTEKET                                  |
| DOVE MEDICAL PRESS                                       | SYDDANSK UNIVERSITETSFORLAG                       |
| EDP SCIENCES   | TAYLOR & FRANCIS                                  |
| ELSEVIER   | UNGE PÆDAGOGER                                    |
| EMERALD GROUP PUBLISHING                                 | UNIVERSITETSFORLAGET                              |
| FORENINGEN BAG UDGIVELSEN AF DANSK PÆDAGOGISK TIDSSKRIFT | WALTER DE GRUYTER                                 |
| IMPACT JOURNALS  | WILEY   |

# OPEN ACCESS SUPPORT BY THE PUBLISHERS

## DO YOU SUPPORT OPEN ACCESS?



## WHICH TYPE(S) OF OPEN ACCESS DO YOU SUPPORT?





CHECKING JOURNAL EMBARGO  
PERIODS IS NECESSARY.

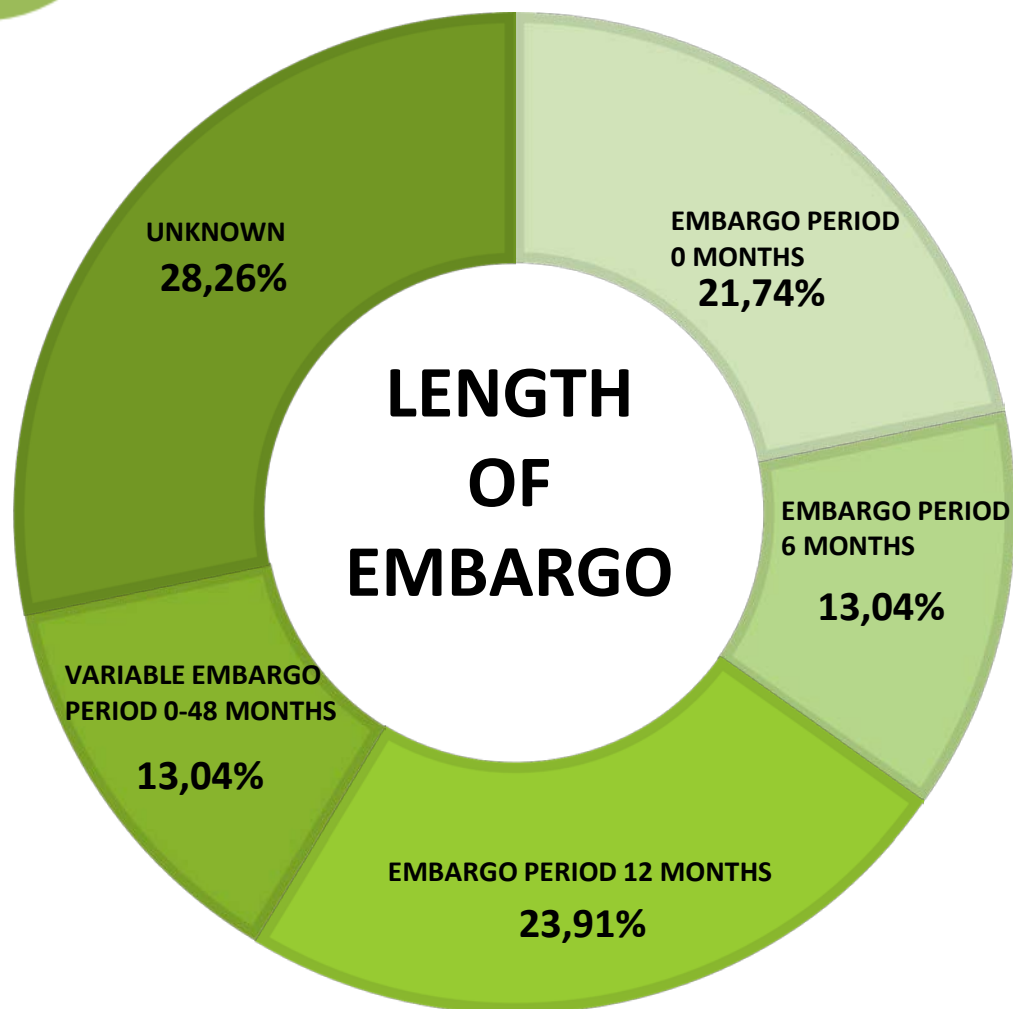
CHALLENGES ASSOCIATED WITH UPDATING  
INFORMATION IN SHERPA/RoMEO.

DIFFERENCES BETWEEN NEGOTIATED  
VS. NON-NEGOTIATED LICENSES  
IN RELATION TO EMBARGO PERIODS.

## CHALLENGES AND RECOMMENDATIONS

- Title lists (including a specification of embargo periods) must be made available on an annual basis
- It must be clearly stated when the embargo period begins
- Embargo periods of max. 12 months (the national strategy states that publications must be made available with Open Access within 12 months)

# LENGTH OF EMBARGO

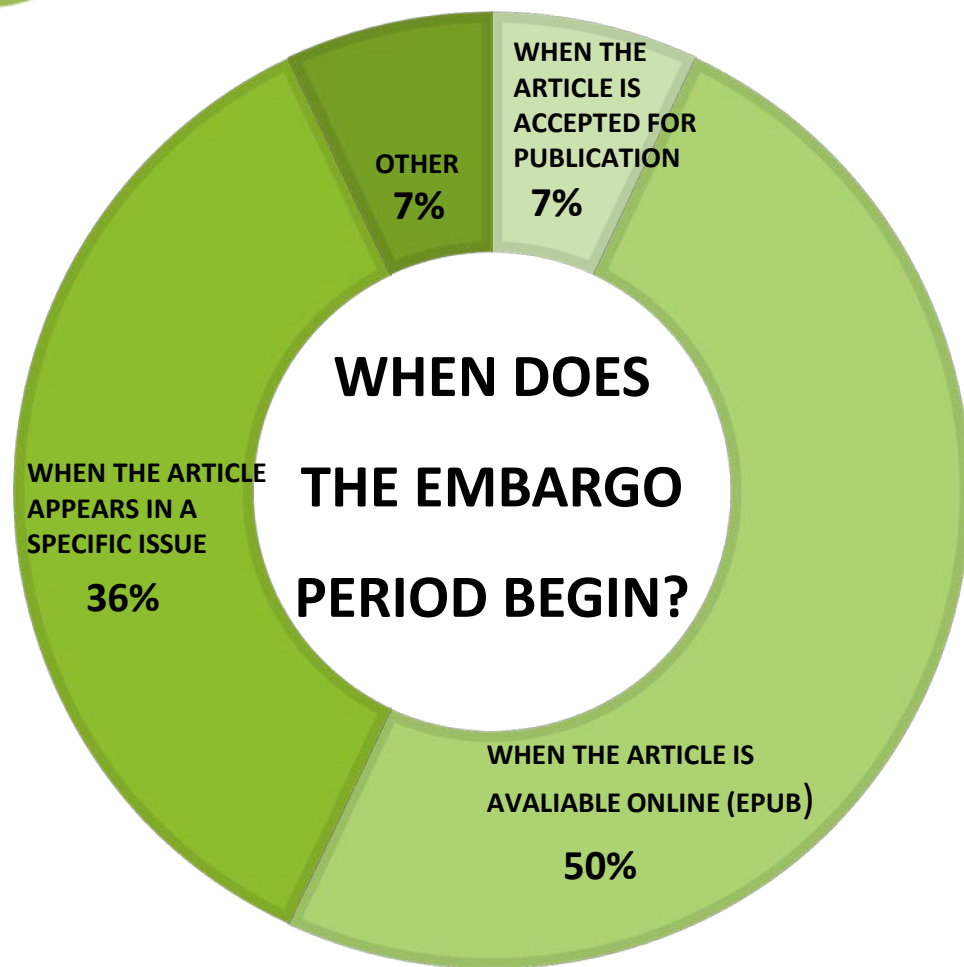


EMBARGO PERIOD 0 MONTHS: 21,74%  
EMBARGO PERIOD 6 MONTHS: 13,04%  
EMBARGO PERIOD 12 MONTHS: 23,91%  
VARIABLE EMBARGO PERIOD 0-48 MONTHS: 13,04%  
UNKNOWN: 28,26%

## DENMARK'S NATIONAL STRATEGY FOR OPEN ACCESS:

From 2025 onwards, there should be unimpeded digital access for all to all peer-reviewed scientific articles from Danish research institutions – with a **maximum 12-month embargo.**

# WHEN DOES THE EMBARGO PERIOD BEGIN?



WHEN THE ARTICLE IS ACCEPTED FOR PUBLICATION: 7%  
WHEN THE ARTICLE IS AVAILIABLE ONLINE (EPUB): 50%  
WHEN THE ARTICLE APPEARS IN A SPECIFIC ISSUE: 36%  
OTHER: 7%

Publishers have different views and policies on when embargo periods begin. This complicates the practical administration of embargo dates in relation to **green** Open Access versions.

Revised 3 April 2018, Accepted 21 May 2018, Available online 3 August 2018.

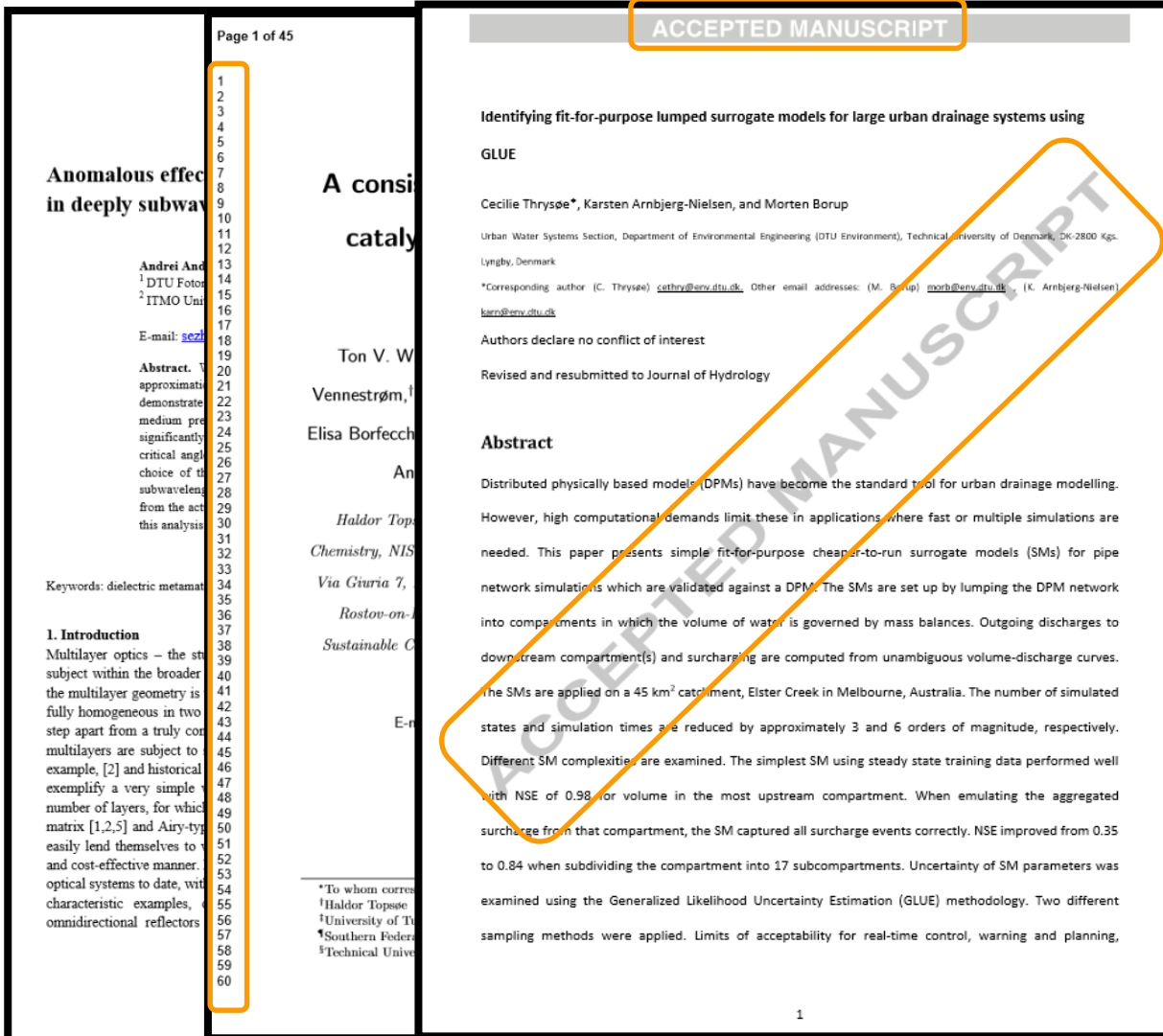
# PERMITTED OPEN ACCESS VERSIONS

THE NATIONAL **GREEN**  
OPEN ACCESS STRATEGY  
REQUIRES THAT PERMITTED  
OPEN ACCESS VERSIONS  
ARE REGISTRED AND  
MADE AVAILIABLE IN  
REPOSITORIES.

## CHALLENGES AND RECOMMENDATIONS

- It must be clearly stated that self-archiving is allowed
- Which **green** Open Access version may be deposited in an institutional repository?
- What is the publisher's definition of a **green** Open Access version?
- How do the authors get hold of the **green** Open Access version?

# DEFINITION OF A GREEN OPEN ACCESS VERSION



## NAME VARIATIONS FOR GREEN OPEN ACCESS VERSION:

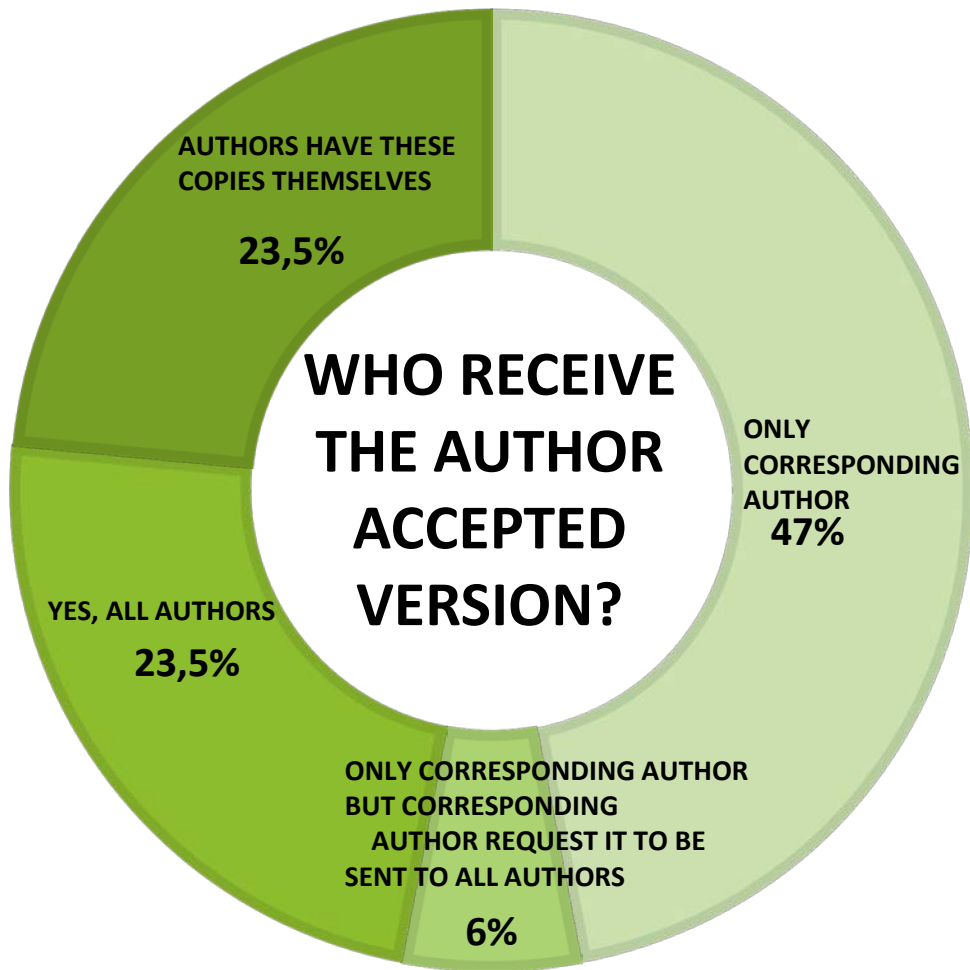
- ACCEPTED DRAFT/ FINAL DRAFT
- ACCEPTED MANUSCRIPT
- ACCEPTED VERSION
- AUTHOR ACCEPTED MANUSCRIPT
- AUTHOR MANUSCRIPT
- POSTPRINT
- VERSION 2

## CHARACTERISTICS OF A GREEN OPEN ACCESS VERSION:

- Does the article use the typography of the journal?
- Have volume and issue numbers been added to the article?
- Does copyright information appear on the article?
- Does the article look like a published version or is it simply a plain word document?
- Does it say in the article that it is an accepted manuscripts, a just accepted manuscript etc.?

IF IN DOUBT, ASK THE PUBLISHER!

# WHO RECEIVE THE AUTHOR ACCEPTED VERSION?



- ONLY CORRESPONDING AUTHOR: 47%
- ONLY CORRESPONDING AUTHOR BUT CORRESPONDING AUTHOR REQUEST IT TO BE SENT TO ALL AUTHORS: 6%
- YES, ALL AUTHORS: 23,5%
- AUTHORS HAVE THESE COPIES THEMSELVES: 23,5%

All authors ought to receive a **green** Open Access version from the publishers.

The best solution would be for publishers to make the **green** Open Access version available via an API solution so that publications may be harvested and self-archived in repositories.

# PUBLISHER PRACTICES

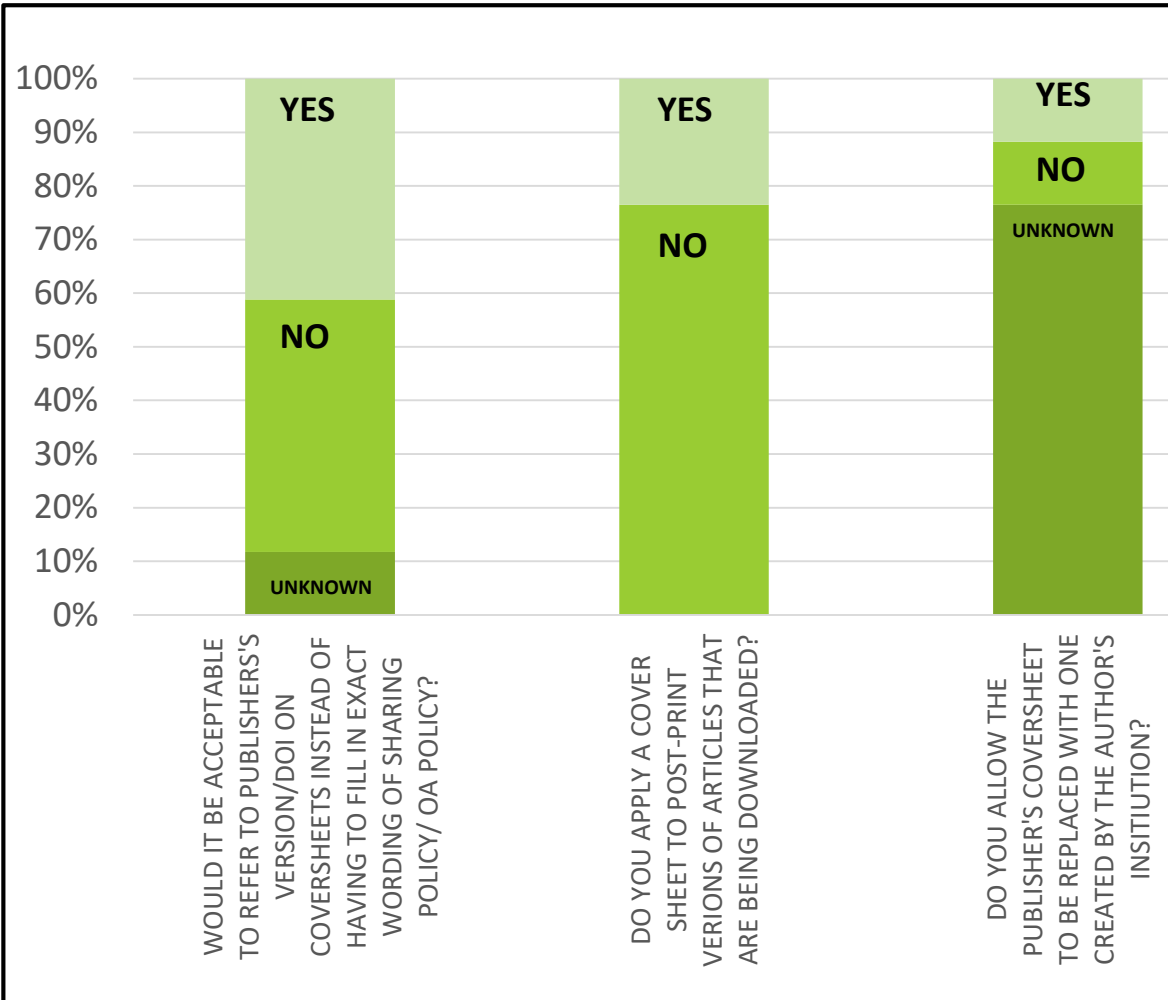
PUBLISHERS HAVE A VESTED  
INTEREST IN GOLDEN AND  
HYBRID OPEN ACCESS BECAUSE  
— FROM A PUBLISHER POINT OF VIEW —  
THESE CONSTITUTE GOOD BUSINESS  
MODELS WHEREAS THERE ARE  
NO PROFITS  
TO GAIN FROM **GREEN** OPEN ACCESS.

## CHALLENGES AND RECOMMENDATIONS

- Shorter embargo periods
- Rules for changing embargo periods
- Rights to self-archiving
- API for embargo lists and accepted manuscripts
- Title lists that include embargo periods
- Coversheets

Challenges that we have addressed during the project have been sent to the DEFF's license secretariat.

# PUBLISHER COVERSHEET POLICY



**WOULD IT BE ACCEPTABLE TO REFER TO PUBLISHERS'S VERSION/ DOI ON COVERSHEET INSTEAD OF HAVING TO FILL IN EXACT WORDING OF SHARING POLICY/OA POLICY?**

YES: 41,18%  
NO: 47,06%  
UNKNOWN: 11,76%

**DO YOU APPLY A COVER SHEET TO POST-PRINT VERSIONS OF ARTICLES THAT ARE BEING DOWNLOADED?**

YES: 23,53%  
NO: 76,47%  
UNKNOWN: 0,00%

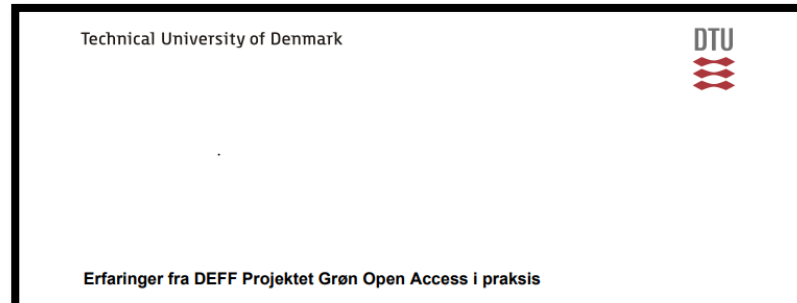
**DO YOU ALLOW THE PUBLISHER'S COVER SHEET TO BE REPLACED WITH ONE CREATED BY THE AUTHOR'S INSTITUTION?**

YES: 11,76%  
NO: 11,76%  
UNKNOWN: 76,47%

A standard set phrase on embargo periods will make the administration of **green** Open Access versions a lot easier.



# EXAMPLE OF A STANDARD COVERSHEET (DTU)

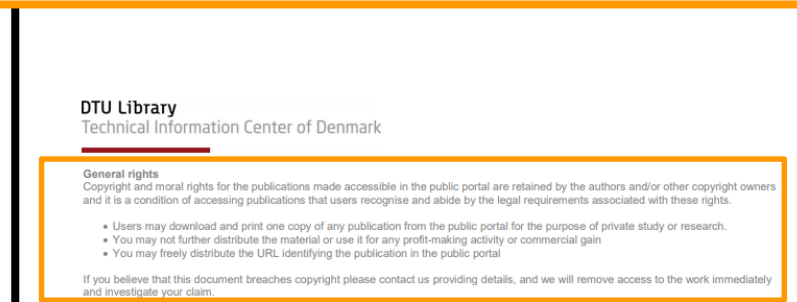


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DURING THE PROJECT, WE CONDUCTED **10 INTERVIEWS** WITH RESEARCHERS FROM THE UNIVERSITIES AND UNIVERSITY COLLEGES PARTICIPATING IN THE PROJECT.

## SUMMARY OF INTERVIEWS WITH RESEARCHERS

- Researchers do not consider Open Access when choosing a publication outlet. The important factor is the quality of the individual journal
- Uncertainty about which version is the **green** Open Access version
- Various practices in relation to whether a researcher saves the **green** Open Access version
- Publishers are not good at making researchers aware of self-archiving options
- Some researchers have misgivings about **green** Open Access because the **green** Open Access version looks different from the publisher's version

## CHALLENGES



- Researchers' use of hybrid journals
- Researchers' misgivings due to differences between publisher version and **green** Open Access version
- Funder requirements

## NEED OF AN INFRASTRUCTURE TO MANAGE:

- EMBARGO PERIODS AND EMBARGO HISTORY
- WHOM DO THE EMBARGO PERIODS APPLY TO?
- WHAT IS ALLOWED – WITH WHICH TYPES OF MANUSCRIPTS – BY WHICH PUBLISHERS?

## ISSUES TO BE DEALT WITH IN THE FUTURE:

- THE LIST WITH EMBARGO PERIODS IN PURE
- DELIVERY OF **GREEN** OPEN ACCESS VERSION TO ONE'S OWN REPOSITORY

## CHALLENGES AND RECOMMENDATIONS

### MODEL 1: CENTRAL DATABASE

Elsevier/PURE or others will set-up a database. Every year, title lists from negotiated agreements and title lists from publisher websites will be added to the database – including embargo period information. The database API will be integrated with PURE so that embargo information becomes available in the PURE templates.

### MODEL 2: SHERPA/RoMEO

SHERPA/RoMEO will be extended so that it contains title lists from negotiated agreement and title lists from publisher websites – including embargo period information. This information will be visible in PURE for example be part of the information that is already harvested from SHERPA/RoMEO (currently only visible in Danish PURE installations).

# RIGHTS AND LICENSES

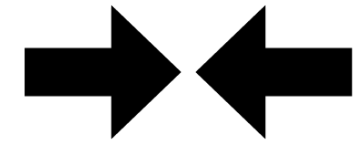
LICENSES AND RIGHTS ARE CENTRAL ISSUES  
IN RELATION TO **GREEN** OPEN ACCESS.

THERE IS A NEED FOR NEGOTIATING  
GOOD EMBARGO PERIODS  
(PREFERABLY NO EMBARGO PERIODS AT ALL)  
FOR AGREEMENTS NEGOTIATED BY  
DEFF AND FOR LOCALLY  
NEGOTIATED AGREEMENTS.

## CHALLENGES AND RECOMMENDATIONS

- Short embargo periods due to national strategy requirements
- Ensure that negotiated embargo periods are shorter than publishers' normal embargo periods
- Rules for changing embargo periods
- Rights to self-archiving (which version and definition)
- When does the embargo period begin
- API for embargo periods and **green** Open Access version
- Title lists with embargo periods
- Text coversheets/ general rights

# QUESTIONNAIRE AND DATA COMPARISON



|              | CONTRACT/ GENERAL TERMS | SURVEY                         |
|--------------|-------------------------|--------------------------------|
| PUBLISHER 1  | 6                       | 0                              |
| PUBLISHER 2  | 6                       | 12                             |
| PUBLISHER 3  | 12                      | 0 (Author accepted manuscript) |
| PUBLISHER 4  | 12                      | 0 (Author accepted manuscript) |
| PUBLISHER 5  | 12                      | 0 (Author accepted manuscript) |
| PUBLISHER 6  | 24                      | 0                              |
| PUBLISHER 7  | 6-12                    | N/A                            |
| PUBLISHER 8  | 6-12                    | 12                             |
| PUBLISHER 9  | N/A                     | 12 (via PMC)                   |
| PUBLISHER 10 | Different               | 0 (Golden publishing)          |
| PUBLISHER 11 | Different               | 0                              |

Differences in publisher answers in survey compared with contracts and general terms.

What is correct when we talk about embargo period?  
Needs to be checked further!

# IDENTIFIED CHALLENGES



## COVERSHEETS:

- Does the publisher have specific coversheet requirements?
- The possibility of standard coversheets

## EMBARGO LISTS AND EMBARGO PERIODS:

- Availability and updating of embargo lists
- When does the embargo period begin?
- Shorter embargo periods (max. 12 months)

## RESEARCHER WORKFLOWS:

- Researchers' use of hybrid journals
- Variations in **green** Open Access versions
- Researchers' misgivings due to variations in **green** Open Access versions

## SELF-ARCHIVING:

- Which **green** Open Access version may be used?
- How does the publisher define self-archiving?
- How do authors get hold of the **green** open Access version?

## SHERPA/RoMEO:

- More Danish journals should be added to the site
- Reassurance that the information has been updated

## SYSTEM INFRASTRUCTURE:

- Title lists with embargo periods in PURE
- Updating embargo lists
- Delivery of **green** Open Access version to one's own repository

# RESULTS AND RECOMMENDATION



- Requests to OJS journals (Open Journal Systems) concerning admission to Sherpa/RoMEO and DOAJ (Directory of Open Access Journals)
- Proposals to DEFF regarding issues to be addressed during license negotiations:
  - \* embargo periods
  - \* self-archiving rights
  - \* API solutions
  - \* coversheets
- Established list of embargo periods
- Characteristics of **green** Open Access versions
- Questionnaire to publishers regarding:
  - \* when the embargo period begins
  - \* who receives the **green** Open Access version from the publisher
  - \* the publishers' definitions of the **green** Open Access versions
  - \* the possibility of using one's own coversheet
- Identified several instances in which the license contracts were at variance with the publishers' responses in the questionnaire
- Insight into researcher workflows

# QUESTIONS

Deff

Denmarks Electronic  
Research Library

