



Green Open Access in Practice – results and recommendations from the Danish project (2017-2018)

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GREEN OPEN ACCESS IN PRACTICE

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

ANE AHRENKIEL SAND and **ANETTE WERGELAND SCHNEIDER**

UKSG 42nd Annual Conference and Exhibition: Telford, UK

DATE: April 08 2019–April 10 2019



DENMARK'S OPEN ACCESS STRATEGY

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

Vision

To create free access for all citizens, researchers and companies to all research articles from Danish research institutions financed by public authorities and/or private foundations.

Targets

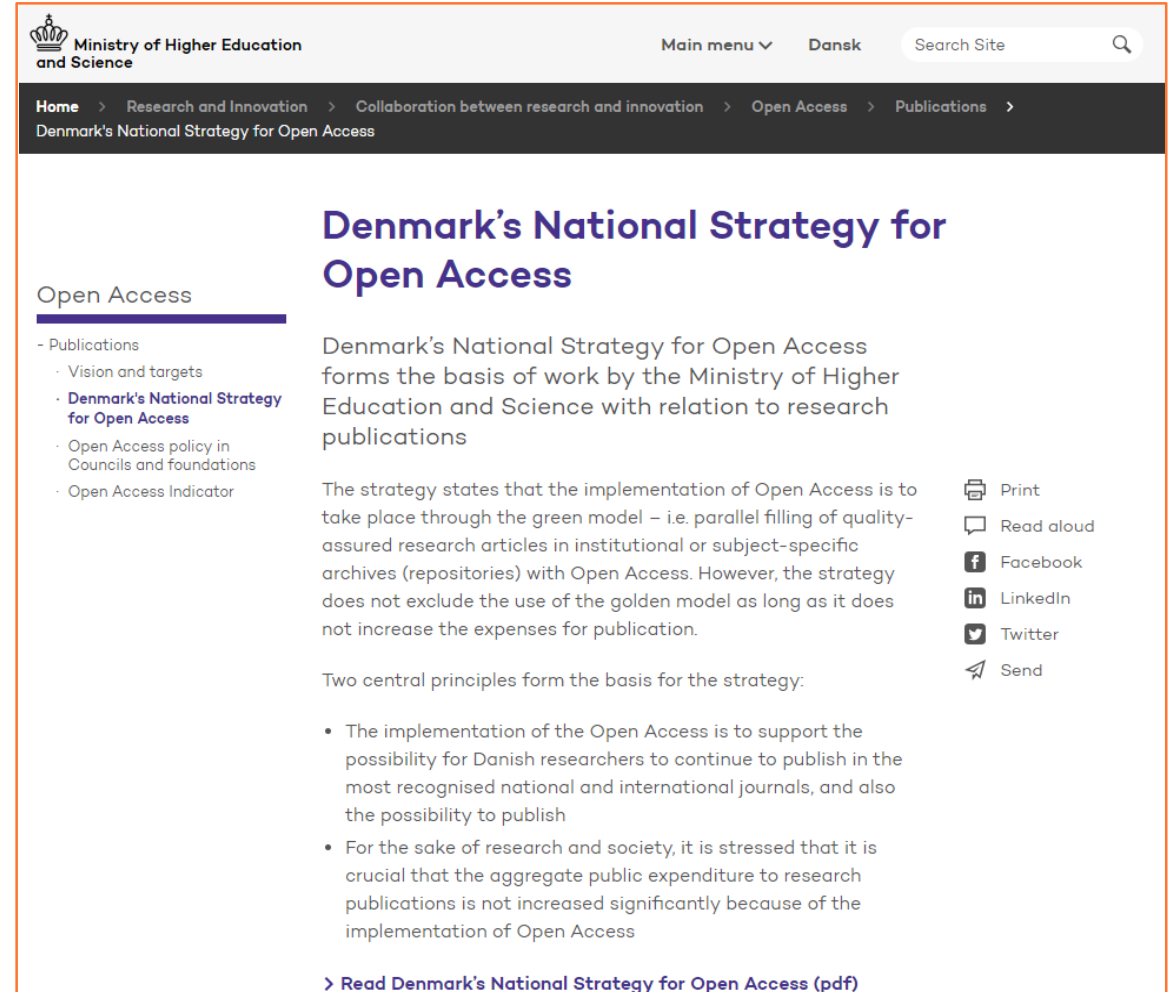
From 2025 onwards, there should be unimpeded digital access for all to all peer-reviewed scientific articles from Danish research institutions – with a maximum 12-month embargo.

Prerequisites

That Denmark's Electronic Research Library (DEFF), research libraries, and research institutions enter negotiations with scientific publishers well ahead of 2025, working for agreements that allow for the establishment of Open Access to all publications with a maximum 12-month embargo.

That researchers and research institutions regularly and fully utilise the negotiated rights to establish Open Access, so that the target is achieved by 2025 at the latest.

That research institutions, research foundations and the Ministry of Higher Education and Science regularly monitor and stimulate the realisation of this strategy.



The screenshot shows the official website of the Ministry of Higher Education and Science. The page title is "Denmark's National Strategy for Open Access". The navigation menu includes "Home", "Research and Innovation", "Collaboration between research and innovation", "Open Access", and "Publications". The main content area features a sidebar with "Open Access" and a list of publications, including "Denmark's National Strategy for Open Access". The main text describes the strategy's goal of providing free access to research articles through the green model. It also lists two central principles: supporting the possibility for Danish researchers to continue publishing in national and international journals, and ensuring that the aggregate public expenditure on research publications is not significantly increased. A link to read the full strategy as a PDF is provided at the bottom.

THE DANISH OPEN ACCESS INDICATOR

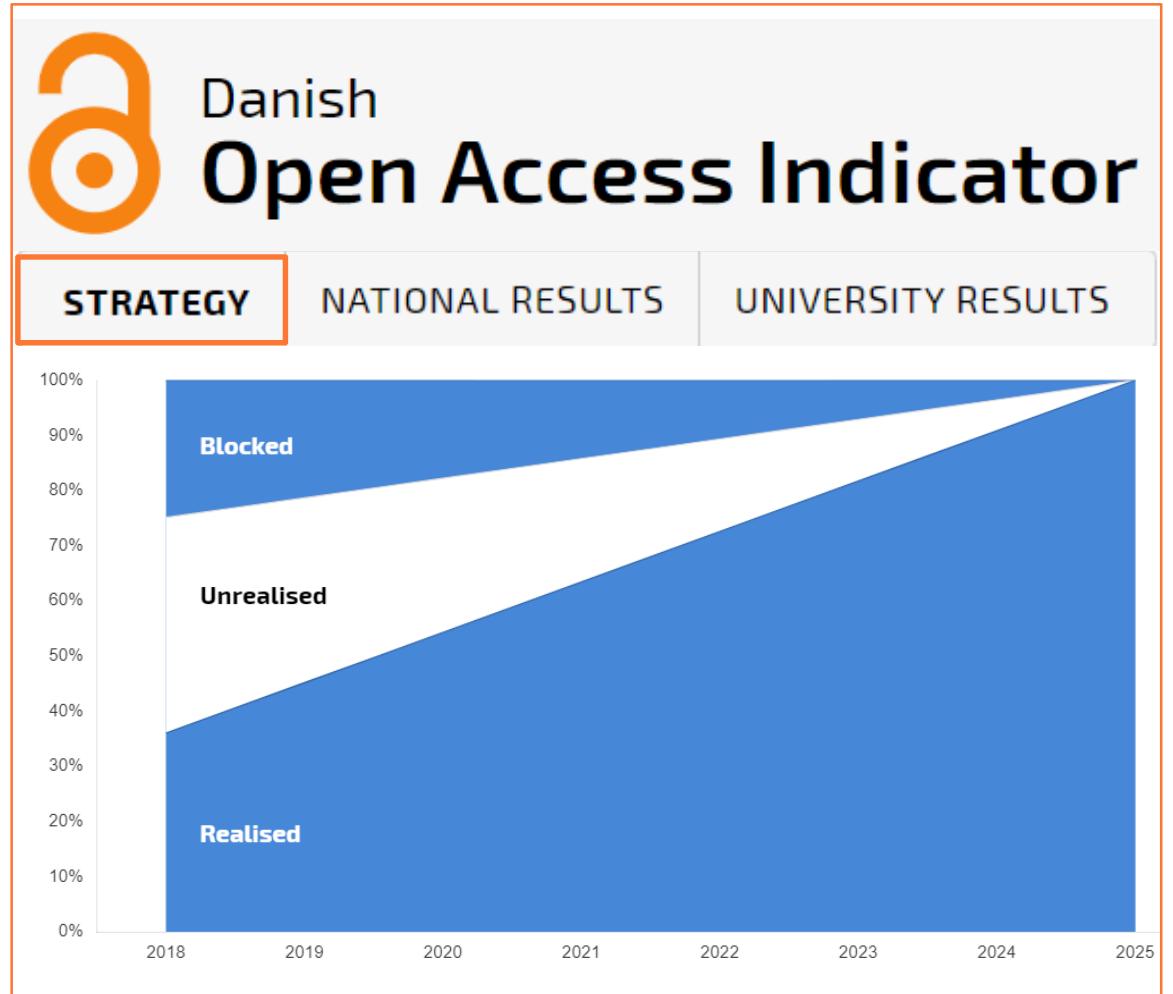
The [national strategy of 2018](#) aims at 100 % Open Access in 2025 – based on two efforts:
 1) The establishment of OA rights to all publications. 2) The full use of these OA rights.
 Thus Realised OA should rise to 100 %, and Unrealised and Blocked OA should fall to 0 %.

The data behind the strategy:

Indicator Year*	2018	2019	2020	2021	2022	2023	2024	2025
Blocked	25 %	21 %	18 %	14 %	11 %	7 %	4 %	0 %
Unrealised	39 %	34 %	28 %	22 %	17 %	11 %	6 %	0 %
Realised	36 %	45 %	54 %	63 %	73 %	82 %	91 %	100 %

*The indicator is calculated yearly in Q1. It is calculated on the basis of publications published two years earlier.

This in order to credit publications with a 12 months Open Access embargo published late in a given publication year.



BACKGROUND FOR THE PROJECT

In 2016, the Danish Open Access Indicator revealed an untapped Open Access potential of ~ 61%.



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

The challenges relate to:

RIGHTS AND LICENSES

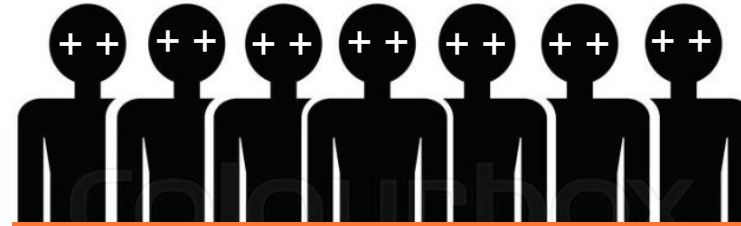
GREEN OPEN ACCESS VERSIONS

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



100 £

 870 DKK



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:	<u>1.875.000 DKK</u>	

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

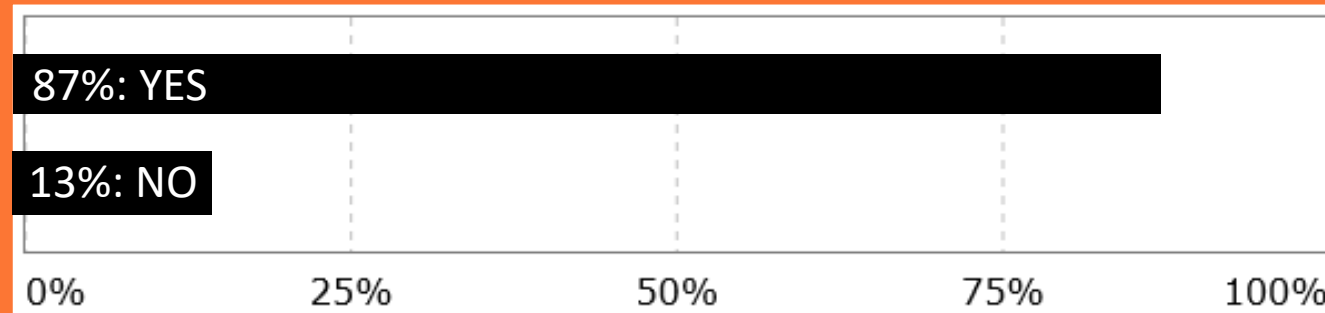
QUESTIONNAIRE TO PUBLISHERS



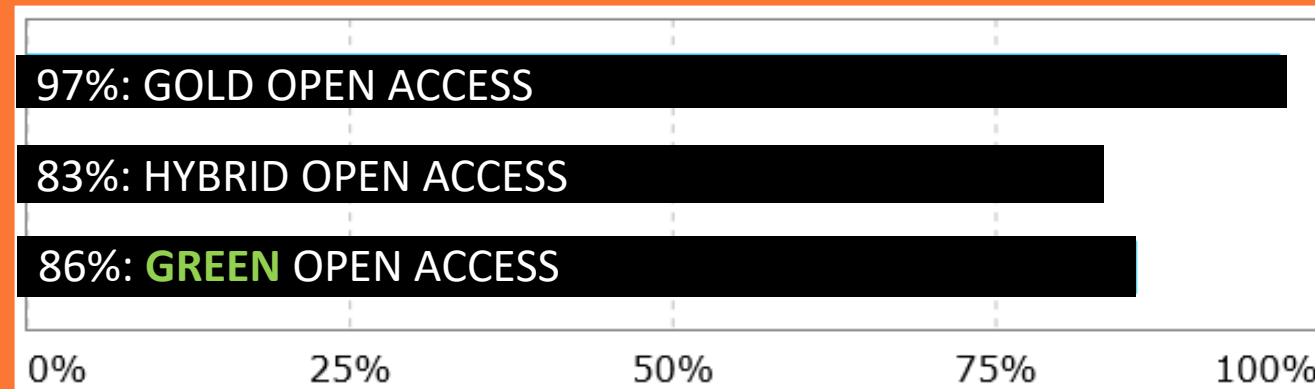
ALMINDELIGE DANSKE LAEGEFORENING	INSTITUTE OF ELECTRICAL AND ELECTRONICS ENGINEERS
AMERICAN CHEMICAL SOCIETY	INSTITUTE OF PHYSICS
AMERICAN GEOPHYSICAL UNION	INTER-RESEARCH
AMERICAN INSTITUTE OF PHYSICS	IWA PUBLISHING
AMERICAN PHYSICAL SOCIETY	KARGER AG
AMERICAN PHYSIOLOGICAL SOCIETY	KARNOV GROUP
AMERICAN 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?



QUESTIONNAIRE AND DATA COMPARISON

Differences in publisher answers
in
SURVEY
compared with
CONTRACTS
and
GENERAL TERMS

	CONTRACT/ GENERAL TERMS	SURVEY [<i>surveyXact</i>]
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

PERMITTED **GREEN** OPEN ACCESS VERSIONS

THE DANISH
GREEN OPEN ACCESS STRATEGY
REQUIRES THAT
PERMITTED OPEN ACCESS VERSIONS
ARE REGISTERED AND
MADE AVAILABLE IN
INSTITUTIONAL REPOSITORIES

DEFINITION OF A GREEN OPEN ACCESS VERSION*

* a draft of a journal article after it has been peer reviewed but still not set-up in the publishers' layout

NAME VARIATIONS FOR GREEN OPEN ACCESS VERSION

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

CHARACTERISTICS OF A GREEN OPEN ACCESS VERSION

- Has not been set up in the journals layout
- Could look like a plain word document
- Lacks volume, issue and page number

ACCEPTED MANUSCRIPT

Anomalous effective medium approximation in deeply subwavelength all-dielectric photonic crystals

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Abstract. We present a comprehensive analysis of the approximation to deeply subwavelength (period $\leq \lambda/50$) a demonstrate that even though the dispersion relations for such medium prediction only slightly, there can be regimes where significantly different properties compared to its homogenized critical angle is shown to strongly depend on even very small choice of the multilayer termination. We identify the geometrical subwavelength features is maximized and demonstrate that from the actual multilayer and the effective medium prediction this analysis can be useful for high-precision multilayers ellipsoidal

Keywords: dielectric metamaterial, multilayer, effective medium, photonic crystals

1. Introduction

Multilayer optics – the study of light propagation in photonic multilayers subject within the broader field of electrodynamics of inhomogeneous media. The multilayer geometry is the simplest possible case of inhomogeneous media. Fully homogeneous in two spatial directions and piecewise homogeneous in the third step apart from a truly continuous medium in terms of complexity. On multilayers are subject to several simple and illustrative mathematical examples, [2] and historical overview in [3]. This concerns both spatially and temporally simple variety of one-dimensional photonic crystals. The number of layers, for which very efficient semi-analytical approaches were developed, matrix [1,2,5] and Airy-type recurrent relations [6,7] formalism. Finally, they easily lend themselves to various planar deposition methods and can, therefore, be used in a cost-effective manner. For all these reasons, photonic multilayers are of great interest to date, with profound theoretical knowledge and many experimental examples, one may mention antireflection coatings, omnidirectional reflectors [9,10], band-pass and multiband-pass filters

Identifying fit-for-purpose lumped surrogate models for large urban drainage systems using GLUE

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Authors declare no conflict of interest

Revised and resubmitted to Journal of Hydrology

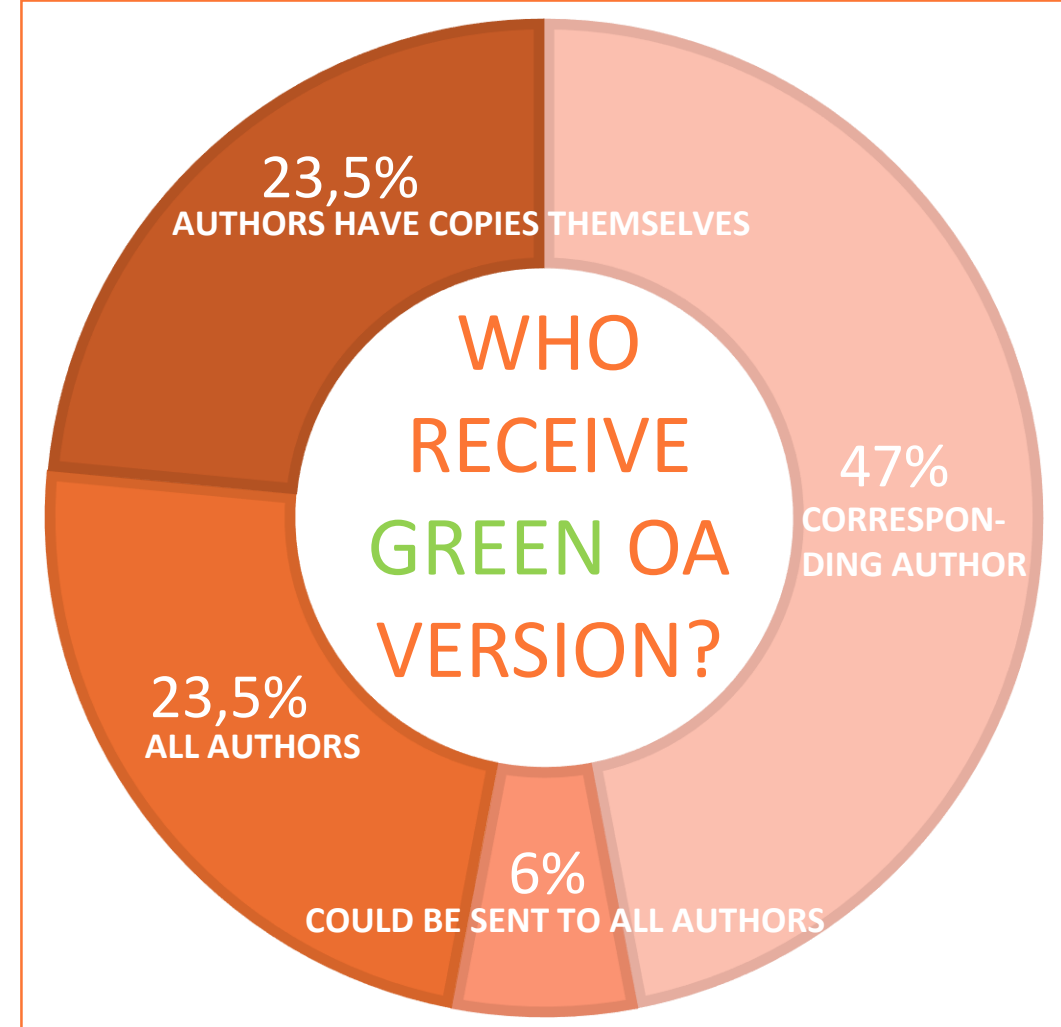
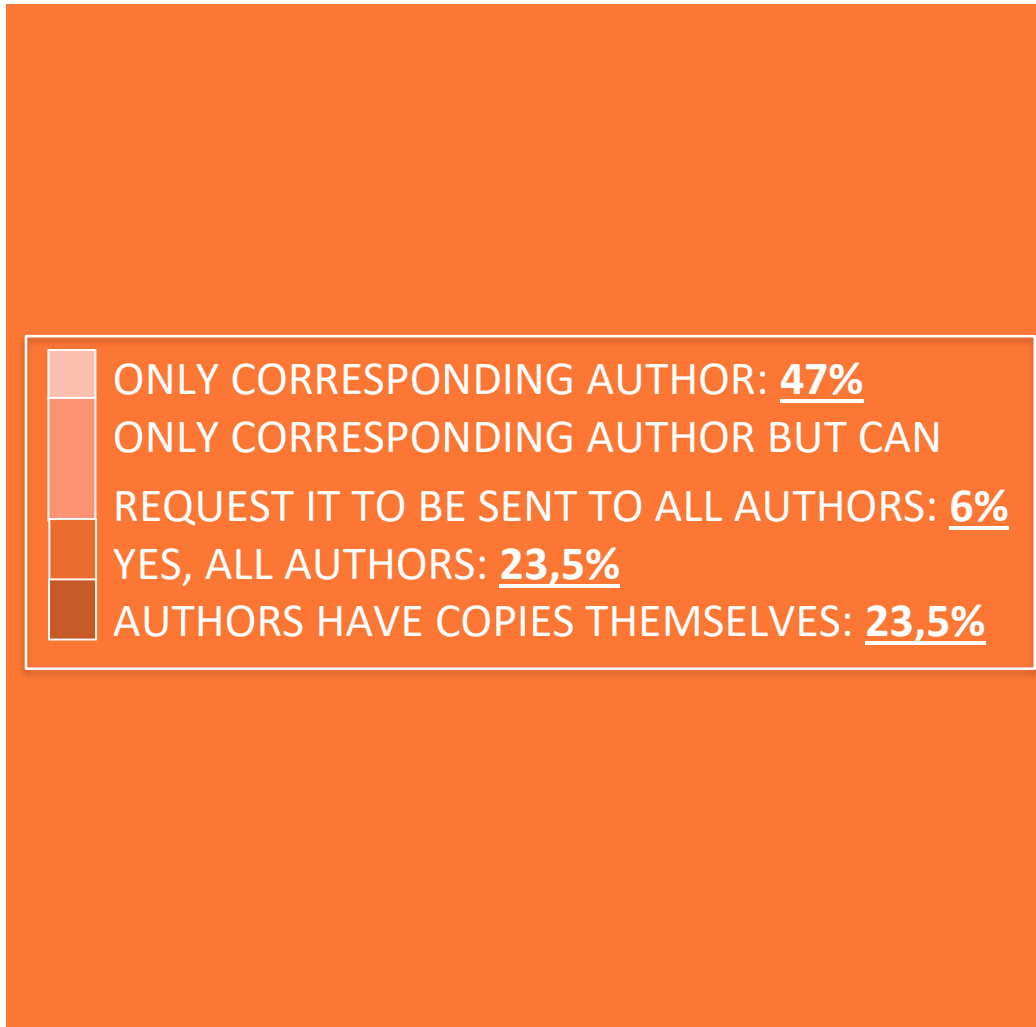
Abstract

Distributed physically based models (DPMs) have become the standard tool for urban drainage modelling. However, high computational demands limit these in applications where fast or multiple simulations are needed. This paper presents simple fit-for-purpose cheaper-to-run surrogate models (SMs) for pipe network simulations which are validated against a DPM. The SMs are set up by lumping the DPM network into compartments in which the volume of water is governed by mass balances. Outgoing discharges to downstream compartment(s) and surcharging are computed from unambiguous volume-discharge curves. The SMs are applied on a 45 km² catchment, Elster Creek in Melbourne, Australia. The number of simulated states and simulation times are reduced by approximately 3 and 6 orders of magnitude, respectively. Different SM complexities are examined. The simplest SM using steady state training data performed well with NSE of 0.98 for volume in the most upstream compartment. When emulating the aggregated surcharge from that compartment, the SM captured all surcharge events correctly. NSE improved from 0.35 to 0.84 when subdividing the compartment into 17 subcompartments. Uncertainty of SM parameters was examined using the Generalized Likelihood Uncertainty Estimation (GLUE) methodology. Two different sampling methods were applied. Limits of acceptability for real-time control, warning and planning,

1

12

WHO RECEIVE THE GREEN OPEN ACCESS VERSION?



JOURNAL EMBARGO PERIODS*

*are set out by publishers and are periods of time during which the published content is not allowed to be openly accessible

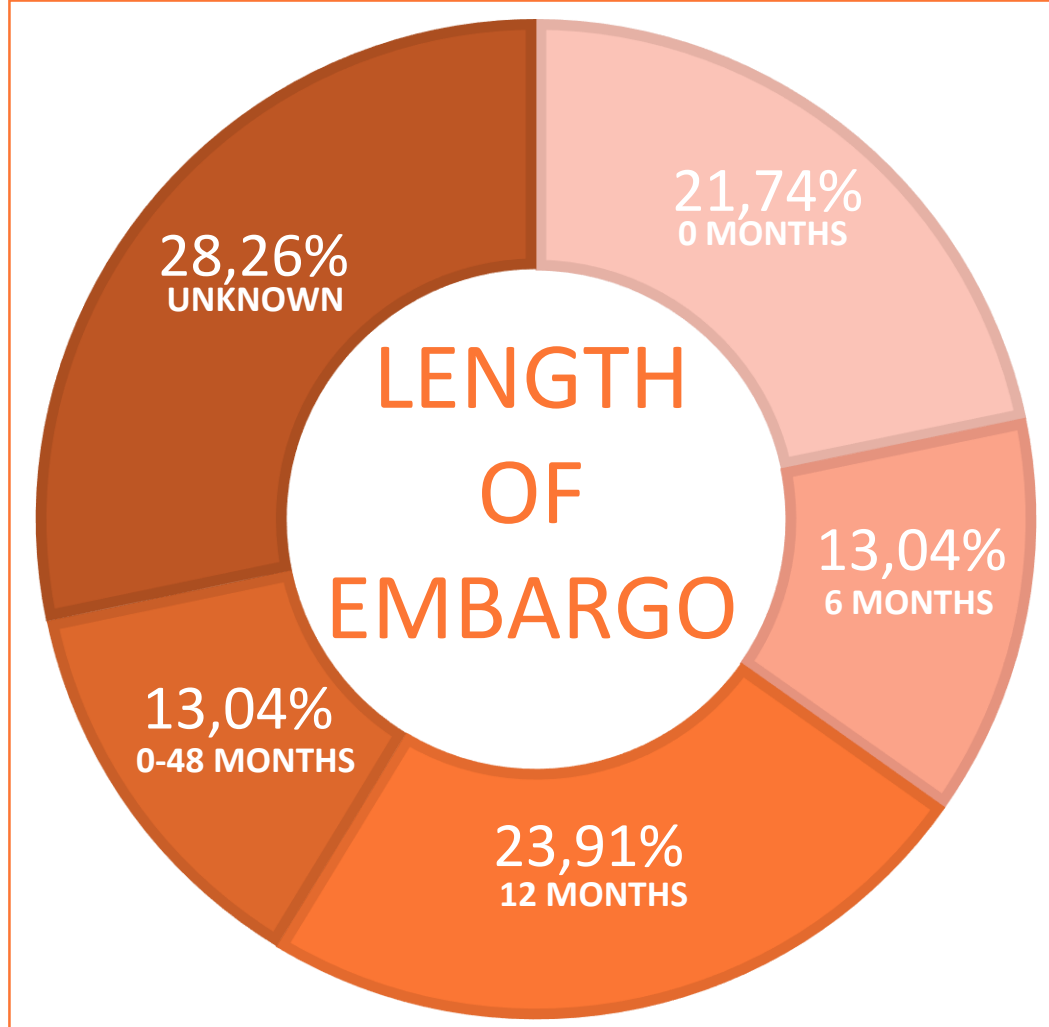
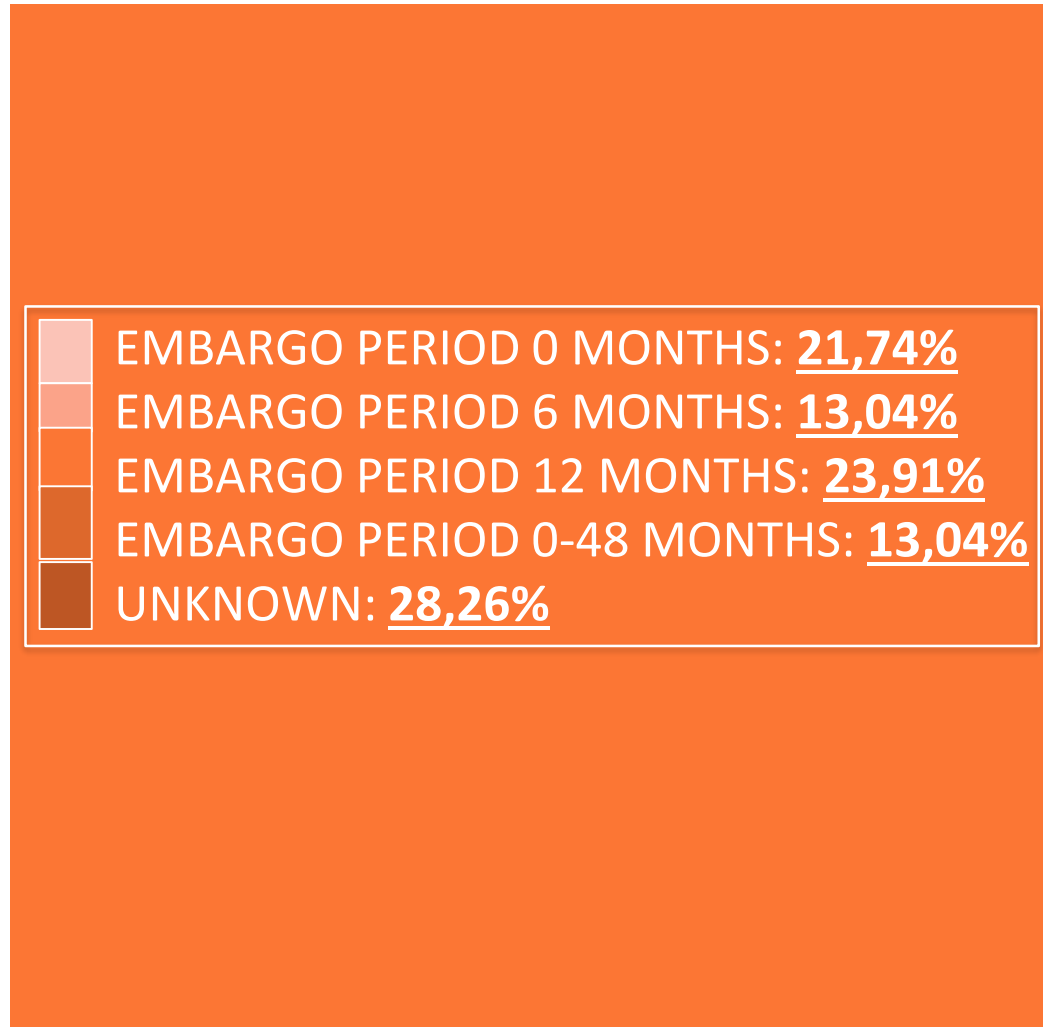
CHALLENGES

- Checking journal embargo periods
- Updating information in SHERPA/RoMEO
- Differences between negotiated and non-negotiated licenses

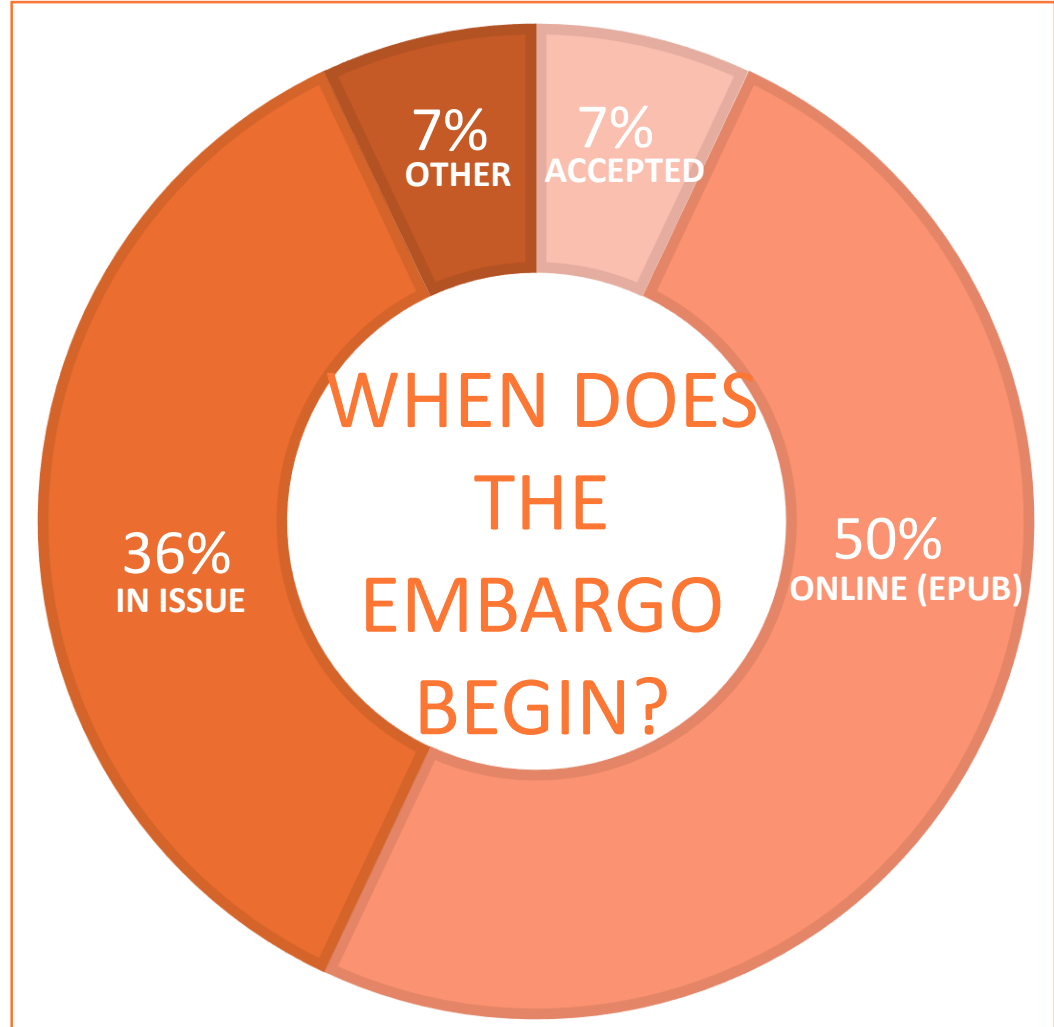
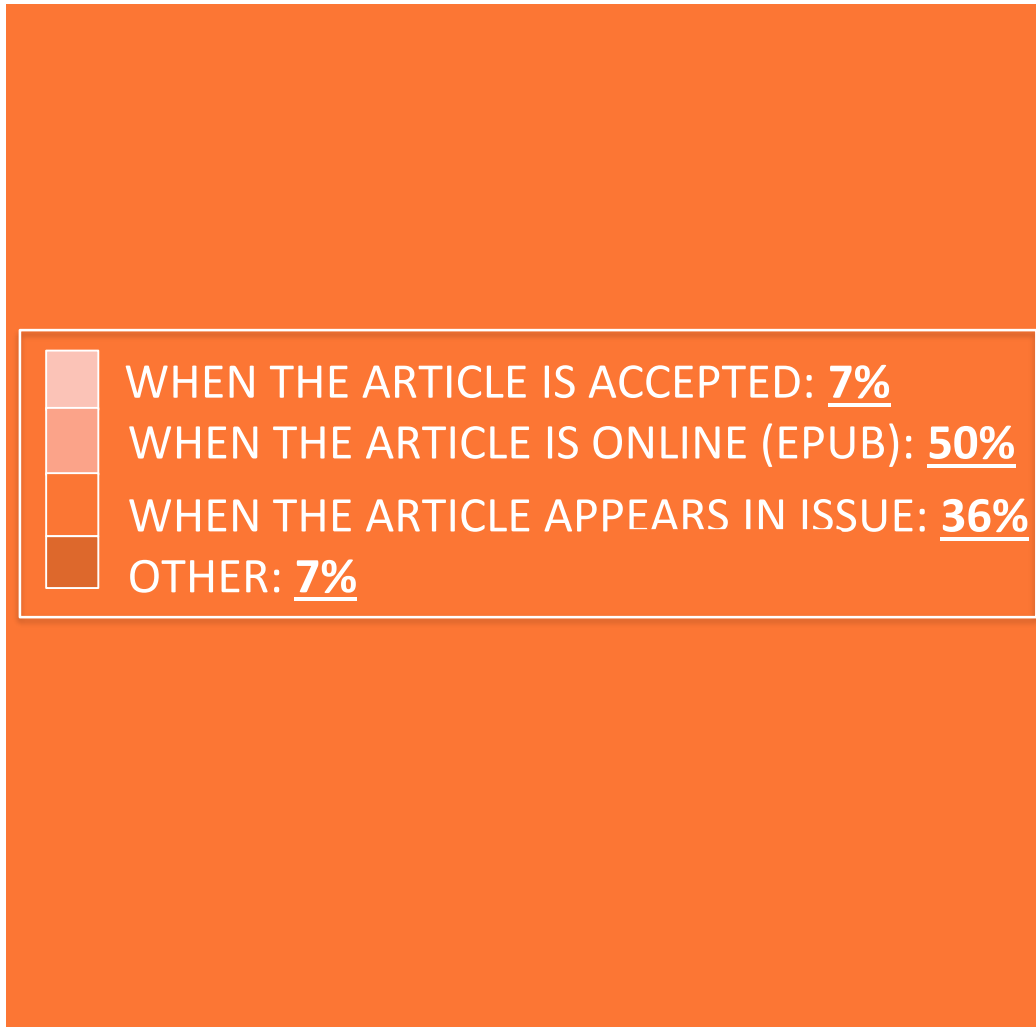
RECOMMENDATIONS

- Journal title lists (incl. 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 (to meet the Danish Open Access strategy)


LENGTH OF EMBARGO PERIODS



WHEN DOES THE EMBARGO PERIOD BEGIN?



EXAMPLE OF A STANDARD COVERSHEET (DTU)

				<p>Data Article</p> <p>Title: Data on the use of dietary supplements in Danish patients with type 1 and type 2 diabetes</p> <p>Authors: B. Ewers MSc¹, E. Trolle MSc², S.S. Jacobsen MSc¹, D. Vistisen MSc, PhD³, M.D., DMSc³, T. Vilsbøll MD, DMSc^{1,4} and J.M. Bruun MD, PhD^{5,6}</p> <p>Affiliations: ¹Steno Diabetes Center Copenhagen, Gentofte, Denmark ²The National Food Institute, Technical University of Denmark, Søborg, Denmark, ³Rigshospitalet, Copenhagen, Denmark, ⁴Department of Clinical Medicine, Faculty of Health and Medical Sciences, University of Copenhagen, Copenhagen, Denmark, ⁵Department of Nutrition, Exercise and Sports, Faculty of Science, Copenhagen, Frederiksberg, Denmark, ⁶Department of Medicine, Randers Regional Hospital, Randers, Denmark</p> <p>Contact email: bettina.ewers@regionh.dk</p> <p>Abstract: The data in this article describes the use of dietary supplements in Danish patients with type 1 and type 2 diabetes.</p>	 <p>DTU Library</p> <p>Data on the use of dietary supplements in Danish patients with type 1 and type 2 diabetes</p> <p>Ewers, B.; Trolle, Ellen; Jacobsen, S. S.; Vistisen, D.; Almdal, T. P.; Vilsbøll, T.; Bruun, J. M.</p> <p><i>Published in:</i> Data in Brief</p>

General rights

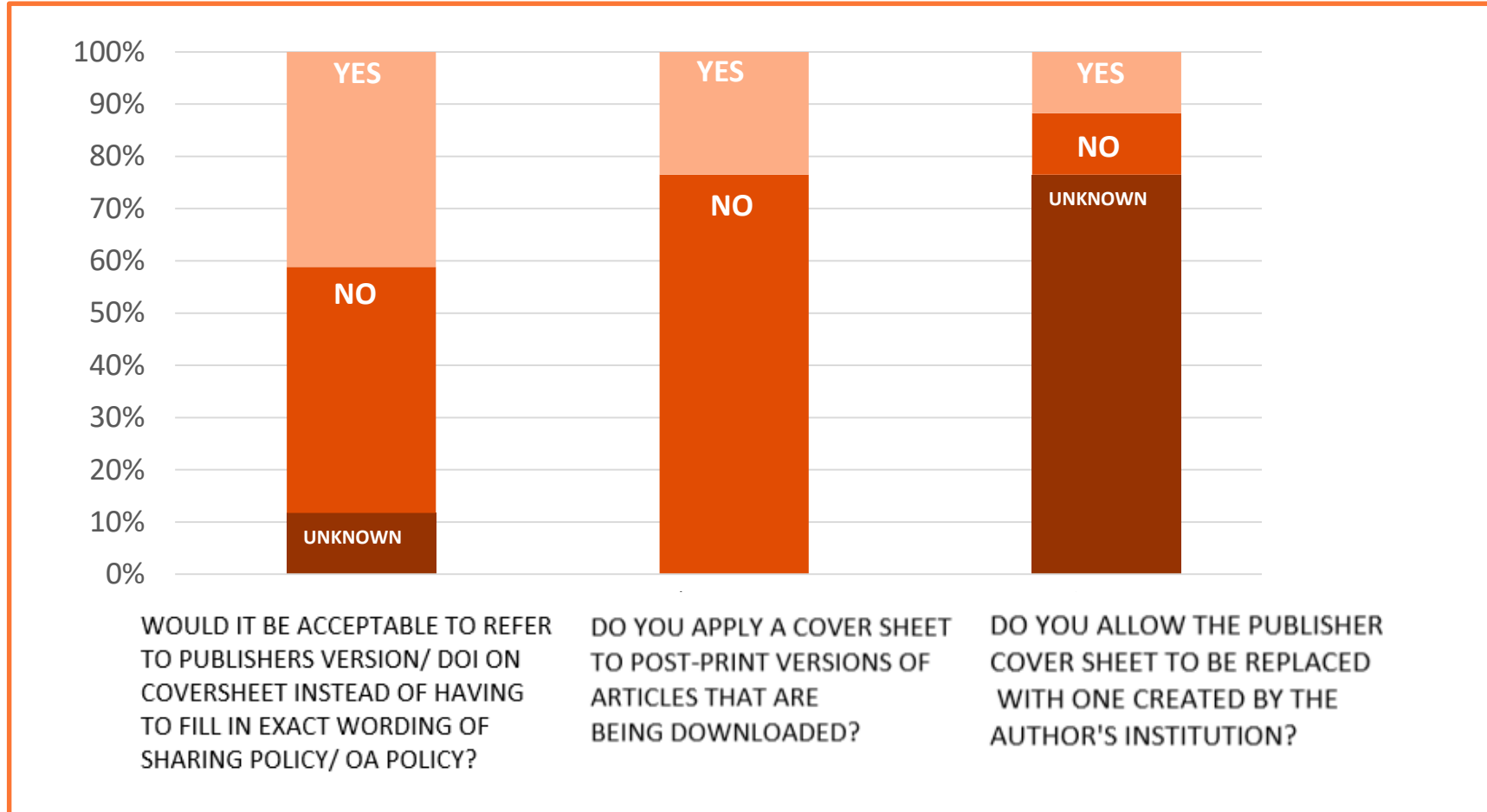
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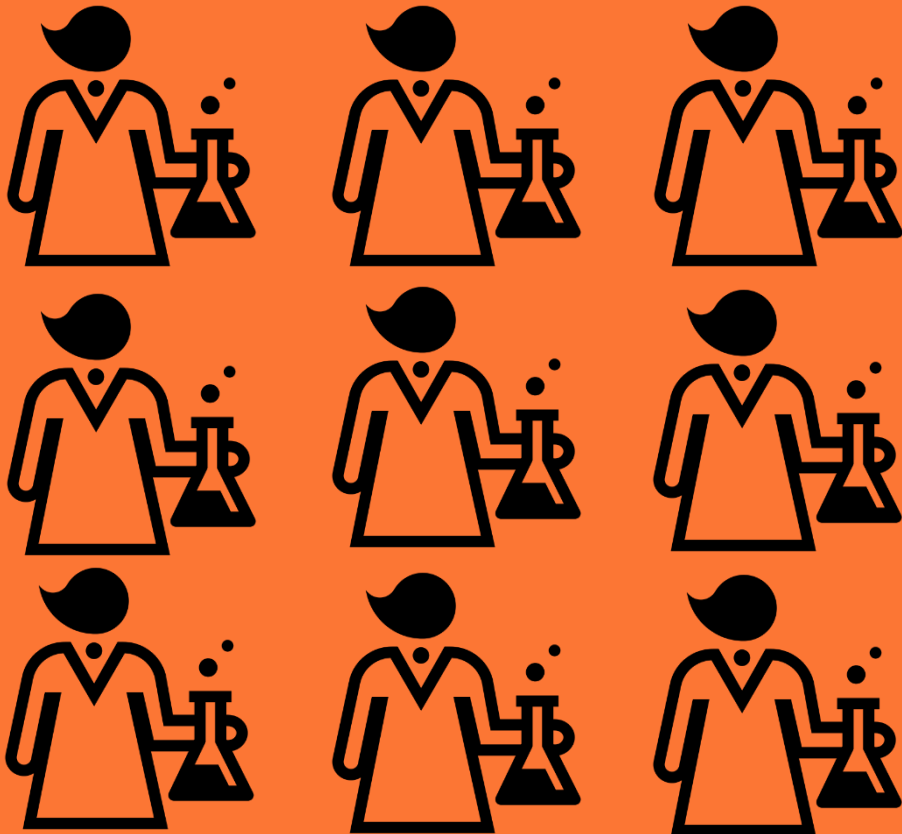
				<p><i>(IBM Corp, Armonk, NY, USA)</i></p>	<p>General rights</p> <p>Copyright and moral rights for the publications made accessible in the public portal are retained by the authors and/or other copyright owners and it is a condition of accessing publications that users recognise and abide by the legal requirements associated with these rights.</p> <ul style="list-style-type: none"> • Users may download and print one copy of any publication from the public portal for the purpose of private study or research. • You may not further distribute the material or use it for any profit-making activity or commercial gain • You may freely distribute the URL identifying the publication in the public portal <p>If you believe that this document breaches copyright please contact us providing details, and we will remove access to the work immediately and investigate your claim.</p>
				<p><i>Copenhagen area, Denmark</i></p>	
				<p><i>The data is with this article</i></p>	
				<p><i>Ewers B, Trolle E, Jacobsen SS, Vistisen D, Almdal TP, Vilsbøll T</i></p>	

PUBLISHER COVERSHEET POLICY



THE WORKFLOW OF RESEARCHERS

In the project we conducted 10 interviews with researchers from the participating universities and university colleges.

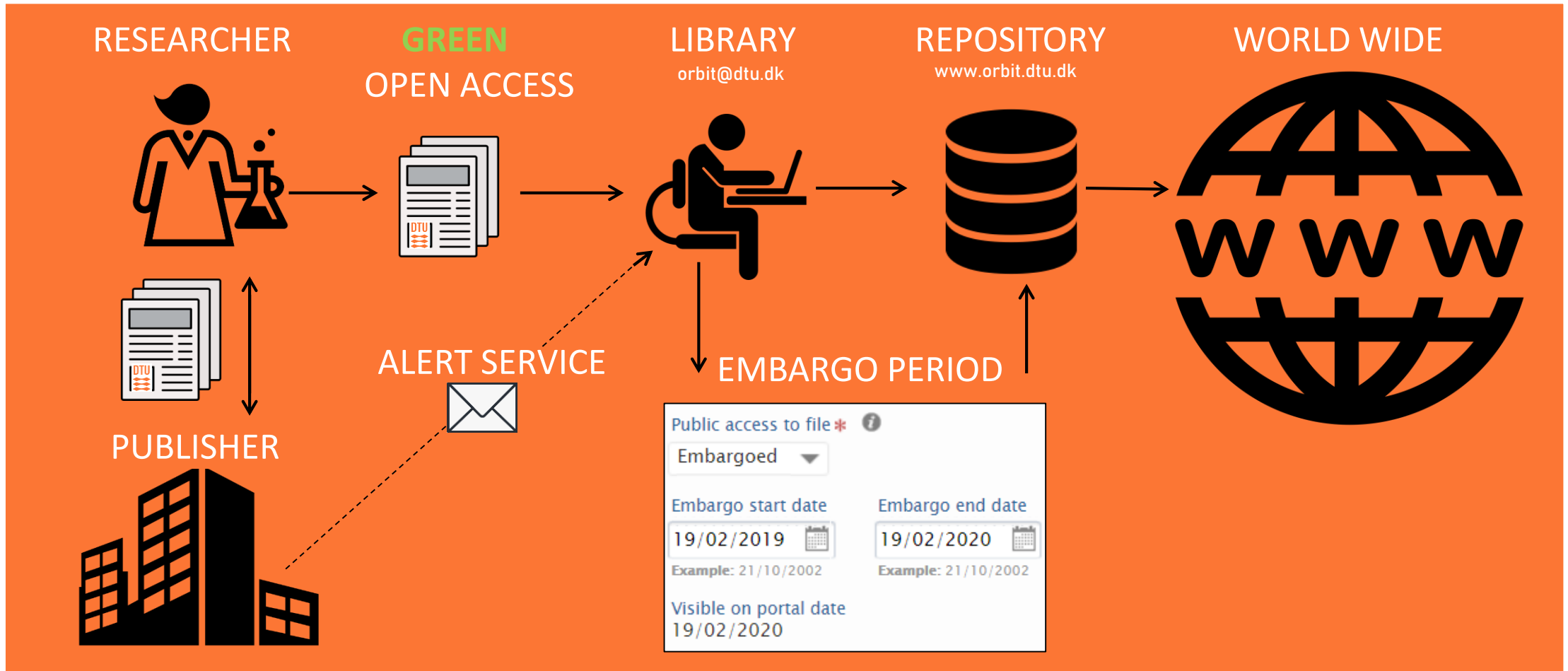


SUMMARY OF INTERVIEWS WITH RESEARCHERS

- Researchers' do not consider Open Access when choosing a publication outlet
- Researchers' use of golden & hybrid journals
- Publishers are not good at making researchers aware of self-archiving options
- Uncertainty about which version is the **green** Open Access version
- Various practices in relation to whether a researcher saves the **green** Open Access version
- Researchers' misgivings due to differences between publisher version and **green** Open Access version
- Funder requirements on Open Access

WORKFLOW FOR GREEN OPEN ACCESS

– at Technical University of Denmark/ DTU Library





SYSTEM INFRASTRUCTURE – RECOMMENDATIONS

MODEL 1: NATIONAL 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.

ANNUAL DATA

Negotiated agreements:
journal title lists incl. embargo periods
General publisher information:
journal title lists incl. embargo periods

NATIONAL DATABASE



PURE

Public access to file

Embargoed

Embargo start date Embargo end date

19/02/2019 19/02/2020

Example: 21/10/2002 Example: 21/10/2002

Visible on portal date
19/02/2020

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.

ANNUAL DATA

Negotiated agreements:
journal title lists incl. embargo periods
General publisher information:
journal title lists incl. embargo periods

SHERPA/RoMEO IN PURE

Upload an electronic (full-text) version of this work (e.g. the author's accepted manuscript)

File

WRES_2017_Torresi_accepted.pdf

1 MB, application/pdf

File title

Document version

Accepted author manuscript

Peer reviewed version

Access to electronic version

Public access to file

Embargoed

Embargo start date Embargo end date

07/07/2017 04/07/2019

Example: 21/10/2002 Example: 21/10/2002

Embargo ends 04/07/2019

Information from SHERPA RoMEO

The information is collected from SHERPA RoMEO and describes the publishers default policies.

RoMEO color: Green

Author's Pre-print archiving: can

Author's Post-print archiving: can

Publisher's Version/PDF cannot archiving:

General conditions:

- Author's pre-print on any website, including arXiv and RePEc
- Author's post-print on author's personal website immediately
- Author's post-print on open access repository after an embargo period of between 12 months and 48 months
- Permitted deposit due to Funding Body, Institutional and Governmental policy or mandate, may be required to comply with embargo periods of 12 months to 48 months

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

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

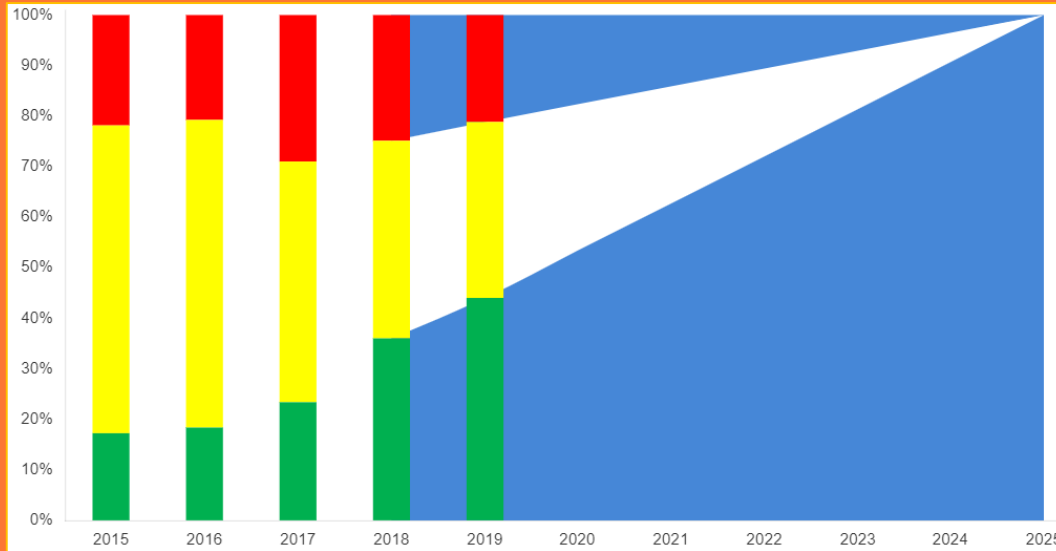
RESULTS AND RECOMMENDATION

- 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 version
 - * 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

RESULTS OF THE DANISH OPEN ACCESS STRATEGY

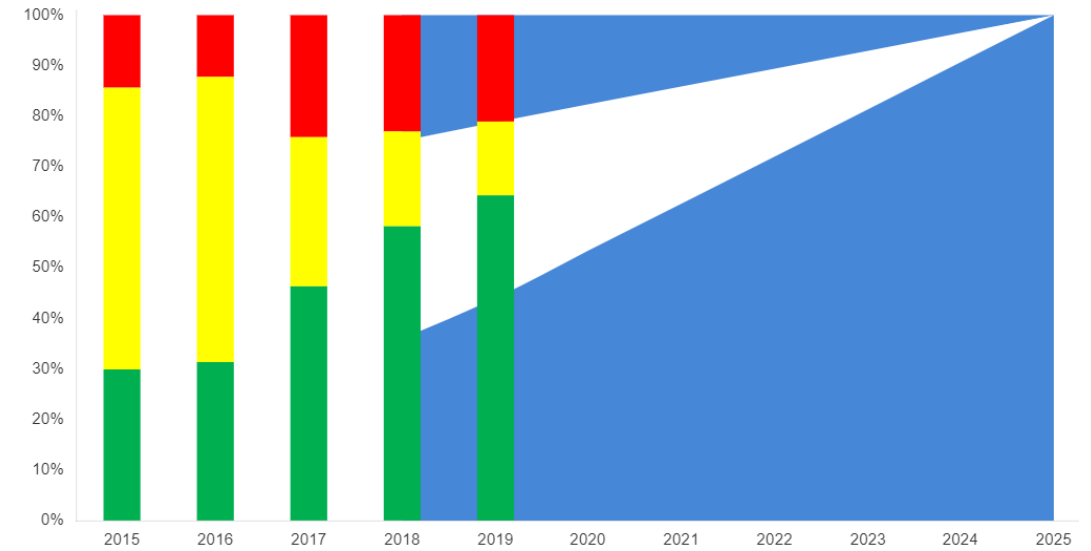
NATIONAL RESULTS



NATIONAL	2015	2016	2017	2018	2019
Blocked	21,84%	20,76%	28,99%	24,88%	21,16%
Unrealised	60,92%	60,88%	47,64%	39,11%	34,82%
Realised	17,24%	18,36%	23,37%	36,01%	44,01%

 Realised  Unrealised  Blocked

TECHNICAL UNIVERSITY OF DENMARK



DTU	2015	2016	2017	2018	2019
Blocked	14,35%	12,22%	24,15%	23,01%	21,06%
Unrealised	55,76%	56,42%	29,52%	18,77%	14,6%
Realised	29,89%	31,35%	46,33%	58,22%	64,34%

<http://oaindikator.dk/en>

FURTHER INFORMATION



OPEN ACCESS IN DENMARK:

- Open Access in Denmark (about) 
<https://ufm.dk/en/research-and-innovation/cooperation-between-research-and-innovation/open-access>
- Denmark's National Strategy for Open Access 
<https://ufm.dk/en/research-and-innovation/cooperation-between-research-and-innovation/open-access/Publications/denmarks-national-strategy-for-open-access>

THE DANISH OPEN ACCESS INDICATOR:

- The Danish Open Access Indicator (about) 
<https://ufm.dk/en/research-and-innovation/cooperation-between-research-and-innovation/open-access/Publications/open-access-barometer>
- Danish Open Access Indicator 
<http://oaindikator.dk/en>

MORE ABOUT THE PROJECT:

- Green Open Access in Practice (poster) 
http://orbit.dtu.dk/files/165299578/2018_Gr_n_OA_i_Praksis_Poster_ENG.pdf
- Erfaringer fra DEFF Projektet Grøn Open Access i praksis (report) 
[http://orbit.dtu.dk/en/publications/erfaringer-fra-deff-projektet-groen-open-access-i-praksis\(8067feb1-fca7-4a8a-be3c-8585ffa9a2e7\).html](http://orbit.dtu.dk/en/publications/erfaringer-fra-deff-projektet-groen-open-access-i-praksis(8067feb1-fca7-4a8a-be3c-8585ffa9a2e7).html)

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QUESTIONS?

