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# Open Access

Skövde University Library  
Team Research Support

# Open access



- **Background:** new technologies, public interest, high subscription costs, citation advantages  
(see e.g. Scholarly Publishing and Academic Resources Coalition, <https://sparceurope.org/what-we-do/open-access/> - libraries, academic institutions ...)
- Statements from academic interest groups etc.:  
**Budapest Open Access Initiative**, 2002. Open Society Institute (now Open Society Foundations)  
<https://www.budapestopenaccessinitiative.org/>  
**Berlin Declaration**, 2003. Governments, universities ...  
<https://openaccess.mpg.de/Berlin-Declaration>
- **Plan S, 2018.** A coalition of research funders in support of OA  
<https://www.coalition-s.org/principles-and-implementation/>
- **Types of OA: Green, Gold, Hybrid ...**  
[https://en.wikipedia.org/wiki/Open\\_access#Definitions](https://en.wikipedia.org/wiki/Open_access#Definitions)
- **OA-definition in Swedish:** <https://www.kb.se/samverkan-och-utveckling/oppnen-tillgang-och-bibsamkonsortiet/oppnen-tillgang/vad-ar-oppnen-tillgang.html>  
**Open Research Glossary:** [https://figshare.com/articles/Open\\_Research\\_Glossary/1482094](https://figshare.com/articles/Open_Research_Glossary/1482094)



# Green OA

- The journal also allows publishing the articles elsewhere e.g. in an institutional repository, e.g. DiVA. There are different terms (see SHERPA/RoMEO), e.g. only pre-prints (author version "pre-refereeing") allowed, and possibly post-print (refereed and accepted author version without the publisher's formatting, "final draft post-refereeing"). Sometimes the publisher's version is allowed in institutional repositories as well. Embargo periods may be applied.
- Example in DiVA (post-print):  
<http://urn.kb.se/resolve?urn=urn:nbn:se:his:diva-10732>  
(The absorptive capacity of family firms - how familiness affects potential and realized absorptive capacity. *Journal of Family Business Management*)

# Gold OA

- Every article in the journal is immediately freely available, but the authors may have to pay an article processing charge, APC (sometimes per manuscript or author).

There are sometimes different APC:s for the same journal (e.g. different rates based on GNP).

- "Journals which publish open access without charging authors article processing charges are sometimes referred to as diamond or platinum OA". [https://en.wikipedia.org/wiki/Open\\_access#Diamond/platinum\\_OA](https://en.wikipedia.org/wiki/Open_access#Diamond/platinum_OA)

- Gold OA examples:

*SAGE Open* (journal), <https://journals.sagepub.com/author-instructions/SGO>;

"article processing charge (APC) of \$1500 USD" [231016]

More gold OA SAGE journals:

<https://uk.sagepub.com/en-gb/eur/pure-gold-open-access-journals>



# Gold OA: more examples

- *Springer Open* (journals), <https://www.springeropen.com/>;  
"APCs vary by journal":  
<https://www.springeropen.com/get-published/article-processing-charges>
- *Wiley Open Access* ("program of fully open access journals");  
<https://authorservices.wiley.com/open-research/open-access/browse-journals.html>;  
"APCs vary by journal":  
<https://authorservices.wiley.com/open-research/open-access/for-authors/publication-charges.html>
- *BioMed Central*, <https://www.biomedcentral.com/>; "APCs vary by journal" (also [institutional members](#)):  
<https://www.biomedcentral.com/about/publication-costs-and-funding>
- *Public Library of Science Journals*, <https://journals.plos.org/>;  
"Publication fees vary by journal": <https://journals.plos.org/plosone/s/publication-fees>
- *IEEE Open*, <https://open.ieee.org/>; different APC:s:  
<https://open.ieee.org/index.php/for-authors/article-processing-charges/> (based on paper length etc.)

# Hybrid OA

- Only some of the articles in the journal are freely available, usually after an APC has been payed by the authors (cf Gold OA).
- Plan S: only "a transitional pathway towards full Open Access". Example: *Springer Open Choice* (hybrid journals), <https://www.springer.com/gp/open-access/springer-open-choice>, one of several journal packages included in agreements with publishers where **APC funding is available for hybrid and gold OA** – see the Researcher Portal and SciFree Skövde, <https://map.his.se/en/Intranet/Content/Research/The-Researcher-Portal/Funding/Publication-costs/> (make sure to include your his-affiliation in manuscripts and correspondence with journals/publishers!) (in Swedish: <https://map.his.se/Forskarportalen/Innehall/Finansiera/Publiceringskostnader/>)  
**SciFree Skövde:** <https://www.his.se/en/library/scifree>

# Creative Commons licenses

More or less up to the author, sometimes with different fees in commercial journals, sometimes changeable by the author or the publisher, from more to less generous:

CC0 – "no rights reserved" (public domain)

<https://creativecommons.org/share-your-work/public-domain/cc0/>

CC BY – Attribution (free use, even commercial, as long as the original creator is credited)

CC BY-SA – Attribution-ShareAlike (credit the creator, use the same license when sharing; can not be combined with ND)

CC BY-NC – Attribution-NonCommercial (credit the creator, use freely but not commercially)

CC BY-ND – Attribution-NoDerivs (credit the creator, do not adapt when sharing; can not be combined with SA)

Combined licenses: CC BY-NC-ND, CC BY-NC-SA

<https://creativecommons.org/licenses/?lang=en>



Versions: 2.0: generic; 3.0: unported; 4.0: international

See also License Chooser: <https://creativecommons.org/choose/?lang=en>

# OA at the University of Skövde

- Transformational agreements
- Statistics: increase in OA 2020-
- Licenses: CC BY 4.0 promoted and very common, but not the only option in many journals
- Green OA: reflections
  - Reasons for parallell publishing when there is no full open access for article or journal:
    - Parallell publishing allowed, with or without license and/or embargo
    - License/OA info found, but login required to access article through original URL/DOI
  - Reasons for not parallell publishing when there is full open access for article or journal:
    - No license found



# Research on OA: an example (1)

Martín-Martín et al. (2018):

- 54.6% of a sample of documents (published 2009 & 2014) were found as open access (including bronze – free but without license) in Google Scholar (p. 837)
- Documents from medical and life sciences were most frequently freely available (60%) than from other areas, but multidisciplinary journals were the most available (93.6%) (p. 831)
- "only 33.9% of the documents are openly accessible from sustainable and legal sources" (p. 837)

Martín-Martín, A., Delgado López-Cózar, E., van Leeuwen, T., & Costas, R. (2018). Evidence of open access of scientific publications in Google Scholar: A large-scale analysis. *Journal of Informetrics*, 12(3), 819–841.

<https://doi.org/10.1016/j.joi.2018.06.012>

[not OA; Scopus Oct 18, 2021: 40 citations, Field-Weighted Citation Impact 5.18]

# Research on OA: an example (2)

Piwowar et al. (2018):

- 44.7% of docs in a sample (2015) were OA (p. 11)
- "Bronze" (free without license) was the most frequent OA category found. 2015: 17.6% – (hybrid 9.4%, gold 11.3%, green 6.3%) (p. 12)
- Impact: "accounting for age and discipline, OA articles receive 18% more citations than average, an effect driven primarily by Green and Hybrid OA" (p. 1) – green 33%, hybrid 31%, bronze 22%. The citation rate for gold decreased 2009-2015. (p. 14)

Piwowar, H., Priem, J., Larivière, V., Alperin, J. P., Matthias, L., Norlander, B., Farley, A., West, J., & Haustein, S. (2018). The state of OA: a large-scale analysis of the prevalence and impact of Open Access articles. *PeerJ* 6, e4375. <https://doi.org/10.7717/peerj.4375>

[gold OA, CC BY 4.0; Scopus Oct 18, 2021: 311 citations, Field-Weighted Citation Impact 29.58]

# Research on OA: an example (3)

Langham-Putrow et al. (2021), on the OA citation advantage, OACA – not a quantitative meta-analysis, but a systematic review with noteworthy results:

- "64 studies (47.8%) confirmed the existence of OACA, while 37 (27.6%) found that it did not exist, 32 (23.9%) found OACA only in subsets of their sample, and 1 study (0.8%) was inconclusive." (p. 1)
- "Studies with a focus on multiple disciplines were significantly positively associated with finding that OACA exists in subsets" (p. 1)

Langham-Putrow, A., Bakker, C., & Riegelman, A. (2021). Is the open access citation advantage real?: A systematic review of the citation of open access and subscription-based articles. *PLoS ONE* 16(6), e0253129. <https://doi.org/10.1371/journal.pone.0253129>

[gold OA, CC BY 4.0; Scopus Oct 20, 2021: 2 citations, Field-Weighted Citation Impact 2.22]




- "Findings that OACA existed were most common regardless of mode of OA" (p. 6)
- "Studies addressing multiple disciplines were positively associated with finding that OACA sometimes exists" (p. 6)
- "Because of the limitations of the quality of the studies in our review, it is not possible to draw definitive conclusions and recommendations for authors deciding whether to make their work OA." (p. 10)

Langham-Putrow, A., Bakker, C., & Riegelman, A. (2021). Is the open access citation advantage real?: A systematic review of the citation of open access and subscription-based articles. *PLoS ONE* 16(6), e0253129. <https://doi.org/10.1371/journal.pone.0253129>

[gold OA, CC BY 4.0; Scopus Oct 20, 2021: 2 citations, Field-Weighted Citation Impact 2.22]

# Research on OA: an example (4)

Erben Johansson & Rabow (2023) at Malmö University:

- "Slight OACA was measured in the full dataset, despite higher average JIFs of the non-OA journals. Within highly specialized disciplines, researchers tend to publish in a limited set of journals"
- "Coverage in repositories such as SciHub or ResearchGate, possibly weakening the effect, might, too, be field specific."
- "The effect was strongest for the green OA variant, followed by hybrid, bronze and gold." 

Erben Johansson, S., & Rabow, H. (2023, October 11–13). *The Open access citation advantage in the context of scholarly publishing at a higher education institution* [Abstract presentation]. Nordic Workshop on Bibliometrics and research Policy, 2023, Gothenburg, Sweden. [https://figshare.com/articles/book/Book\\_of\\_Abstracts\\_book\\_28th\\_Nordic\\_Workshop\\_on\\_Bibliometrics\\_and\\_Research\\_Policy\\_book/24233032](https://figshare.com/articles/book/Book_of_Abstracts_book_28th_Nordic_Workshop_on_Bibliometrics_and_Research_Policy_book/24233032)

# Research on OA: an example (4)

- "green OA can provide at least as high of a citation advantage as paid OA in hybrid journals"
- "We may see changes in the effect as OA publishing becomes increasingly more widespread and fully OA journals establish their reputation."

Erben Johansson, S., & Rabow, H. (2023, October 11–13). *The Open access citation advantage in the context of scholarly publishing at a higher education institution* [Abstract presentation]. Nordic Workshop on Bibliometrics and research Policy, 2023, Gothenburg, Sweden. [https://figshare.com/articles/book/b\\_Book\\_of\\_Abstracts\\_b\\_b\\_28th\\_Nordic\\_Workshop\\_on\\_Bibliometrics\\_and\\_Research\\_Policy\\_b\\_/24233032](https://figshare.com/articles/book/b_Book_of_Abstracts_b_b_28th_Nordic_Workshop_on_Bibliometrics_and_Research_Policy_b_/24233032)

OACA strength by research category: Medicine & health 56%, Dentistry 32%, Social sciences & humanities 25%, Engineering & technology 21%, Natural & life sciences 9%

Erben Johansson, S., & Rabow, H. (2023, October 11–13). *The Open access citation advantage in the context of scholarly publishing at a higher education institution* [Abstract presentation]. Nordic Workshop on Bibliometrics and research Policy, 2023, Gothenburg, Sweden. [https://figshare.com/articles/presentation/b\\_NWB2023\\_The\\_Open\\_access\\_citation\\_advantage\\_in\\_the\\_context\\_of\\_scholarly\\_publishing\\_at\\_a\\_higher\\_education\\_institution\\_b\\_/24238804/1](https://figshare.com/articles/presentation/b_NWB2023_The_Open_access_citation_advantage_in_the_context_of_scholarly_publishing_at_a_higher_education_institution_b_/24238804/1)

# Research on OA: an example (5)

Maddi & Sapinho (2023) on OACA & "pirate libraries":

- "OA publications, including those in fully OA journals, receive more citations than their subscription-based counterparts. However, the OACA has slightly decreased over the seven last years."
- "publications in fully OA journals are victims of the success of Sci-hub. Thus, paradoxically, although Sci-hub may seem to facilitate access to scientific knowledge, it negatively affects the OA movement as a whole, by reducing the comparative advantage of OA publications"

# Intellectual property: an overview

Bozzato et al. (2021):

- "In worse cases, if the author signs the copyright agreement, he/she transfers all his/her own economic rights to the publisher."
- Sometimes archiving is allowed.
- This is usually the case for Gold OA, with CC licenses.
- Temporarily extended OA related to COVID-19 "reveals that an open publication model is possible and necessary to enable an unprecedented rapid global scientific response".

Bozzato, V., Gnoato, M., Vilia, A., & Apostolico, M. (2021). Intellectual property protection for scholarly publishing in the Italian framework: a globally open approach for medical and life sciences authors. *Italian Journal of Medicine*, 15(2), 77-84. <https://doi.org/10.4081/itjm.2021.1473>

[gold OA, CC-NC BY 4.0; Scopus Oct 18, 2021: 0 citations, Field-Weighted Citation Impact N/A]



# Notes & speculations on OA trends

- Publishers partly promote hybrid OA, which means income from subscriptions as well as OA charges (cf transformative agreements for Swedish universities and data from the national library of Sweden: *Öppen tillgång 2017-2020*, <https://urn.kb.se/resolve?urn=urn:nbn:se:kb:publ-70>; a working group, 2023, recommends focusing on fully OA journals no later than 2026, <https://suhf.se/arbetsgrupper/utredningsgrupp-bortom-transformativa-avtal/>)
- Licenses for OA articles become more established and make green OA easier to handle, which potentially benefits use and citation rates
- At least in the short term, natural sciences, medicine and health sciences are at the forefront of formal OA practices and quantities

# How to promote OA in efficient, legal and sustainable ways

- Secure funding for OA  
(from funders, agreements, libraries or other departments)
- Select journals with prepaid OA charges (if possible – see the Staff Portal, Medarbetarportalen, for more information)
- Select a license for (green) OA which promotes your interests (if possible)
- Archive copies of your article where you are allowed to
- Utilize supportive resources:



# SHERPA/RoMEO

- **SHERPA**: Securing a Hybrid Environment for Research Preservation and Access (University of Nottingham; promotes institutional repositories in the United Kingdom)
- **RoMEO**: Rights METadata for Open archiving
- **SHERPA/RoMEO** contains information about terms regarding potential self-archiving (parallel publishing) in journals (e.g. regarding article versions and embargo periods):  
<https://v2.sherpa.ac.uk/romeo/>
- Example: <https://v2.sherpa.ac.uk/id/publication/2207>  
(*BMC Bioinformatics*)



# ...some caution, and JULIET

- Always check information from individual journals!
- **JULIET** contains data on funders' OA policies (including some Swedish; see e.g. Forte):  
<https://v2.sherpa.ac.uk/juliet/>  
Overview:  
<https://v2.sherpa.ac.uk/juliet/about.html>
- See also: <https://journalcheckertool.org/> "Is this compliant with Plan S"?

# OA quality control: Directory of Open Access Journals (DOAJ)

- Sponsored list of OA journals subject to quality control <https://doaj.org/> (not-for-profit organisation launched at Lund University in 2003, now based in the United Kingdom)  
"All journals that were accepted into DOAJ before March 2014 are now required to reapply." [151105]  
Requirements for journals to be included in DOAJ: "immediate free access", "must be actively publishing scholarly research", peer review or (for arts and humanities) editorial board review, "at least 5 research articles per year". <https://doaj.org/apply/guide/>
- DOAJ lists potential CC-licenses (cf <https://creativecommons.org/>)
- Spring 2015: 853 of 1217 journals accepted according to the new criteria did not have APC:s.  
<https://doajournals.wordpress.com/2015/05/11/historical-apc-data-from-before-the-april-upgrade/>
- A "seal is awarded to journals [~10%] that demonstrate best practice". <https://doaj.org/apply/seal/>

# Warnings for dubious OA publishers

- An influential and debated resource until 2017, now closed: *Beall's List: Potential, possible, or probable predatory scholarly open-access publishers*
- A guide from the University of Borås (Eklund): *Open Access and predatory publishers: A Guide to Reviewing Open Access Journals*. <http://hb.diva-portal.org/smash/get/diva2:883926/ATTACHMENT02.pdf>  
New version: <https://libguides.hb.se/c.php?g=672347&p=4776255>
- <http://thinkchecksubmit.org/> (supported by BMC, OASPA ...)
- Also keep in mind where journals are monitored (established databases like Scopus, Web of Science ...) and which impact metrics are available (impact factor etc.; see JCR and SCImago Journal Rank). Positive selection criteria may be even more important than blacklisting (cf <http://crln.acrl.org/content/76/3/132.full>)

# OA in the European Union

- **Horizon 2020** and **Horizon Europe**, programs to support research and innovation 2014-2020 and 2021-2027.

<https://ec.europa.eu/programmes/horizon2020/>

[https://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-pilot-guide\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf)

"Under Horizon 2020, each beneficiary must ensure open access to all peer-reviewed scientific publications relating to its results." (see e.g. <https://www.baseline-earth.eu/publications>)

Archiving accepted or publisher's version in an institutional repository is required even for gold OA. Research data have to be archived as well, preferably in a research data repository. Creative commons licenses are encouraged.

Interim evaluation 2017: 65% OA publications, many publications highly cited.

[http://ec.europa.eu/research/evaluations/pdf/archive/h2020\\_evaluations/swd\(2017\)221-interim\\_evaluation-h2020.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/evaluations/pdf/archive/h2020_evaluations/swd(2017)221-interim_evaluation-h2020.pdf#view=fit&pagemode=none)

"Horizon 2020 has an open access rate of 83.1% for peer-reviewed publications".

<https://op.europa.eu/en/publication-detail/-/publication/56cc104f-0ebb-11ec-b771-01aa75ed71a1/language-en>

**Horizon Europe** (-2027): [https://ec.europa.eu/info/horizon-europe\\_en](https://ec.europa.eu/info/horizon-europe_en)

OA platform for Horizon 2020 and Horizon Europe: <https://open-research-europe.ec.europa.eu/>

- **OpenAIRE** (2010-), project to support OA: <https://www.openaire.eu/>, now through **Nexus**: <https://www.openaire.eu/openaire-nexus-project> (2021-; find policies, learn about OA/open science, deposit data ...) Swedish membership: <https://www.openaire.eu/item/sweden>

See also **Plan S** (launch: 180904 by a coalition of research funders in support of open access, supported by the EU; OA by 2021). <https://www.coalition-s.org/principles-and-implementation/>

# Local repository: DiVA

## Digitala vetenskapliga arkivet

- National collaboration, coordinated at Uppsala University
- Common search interface: <https://www.diva-portal.org/smash/search.jsf?dswid=8376>
- Login and guides: <https://map.his.se/en/Intranet/Content/Research/The-Researcher-Portal/Dissemination-and-publication/Registering-and-publishing-in-DiVA/> (in Swedish: <https://map.his.se/Forskarportalen/Innehall/Sprida/DiVA/>)

### Important points when registering:

- Register published (not submitted, accepted) publications and parts of composite theses (including submitted, accepted)
- Add your local user ID, ORCID and actual affiliation/s/ (not least research group) as indicated in the publication
- Add DOI, ISSN/s/ and ISBN/s/ if there are any
- Add a specific national subject category (not just top level)
- Add full text if relevant and allowed (see publishers/licenses)
- Add research data if relevant and allowed