The Open Access Observatory

An initiative to monitor the open access landscape

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Summary

Objectives
The Open Access landscape
Initial measurements
The Observatory
Monitoring the current situation of OA in our institutions
Estimation of publishing costs
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Objectives

Monitor open access in order to

• See the real situation on open access
• Take decisions based on evidences
• Examine the effectiveness of institutional mandates
• Make comparisons with other institutions
• Increase open access in Catalan universities
The Open Access Landscape

Researchers publish in journals and deposit in repositories, but…

How many publish in fully open access?

How many use the hybrid model?

Which is the rate of deposition in repositories?

Institutions and funders have adopted policies or mandates, but what is their fulfilment?
2009  Institutional Open Access Policy at UPC

2010  Interuniversity Council of Catalonia calls for open access policies for all Catalan universities

2011  Institutional Open Access Policy at UB

2014  Changes at UPC: Approval for awarding research activity points solely for open access publications
The main funders’ policies on open access concerning Catalan researchers

- Spanish Law 14/2011 on Science, Technology and Innovation
- Pilot on Open Access from 7th EU Research Framework Programme
- Requirements on Open Access from Horizon 2020
Initial measurements: thermometers

Universitat de Barcelona 2016

Universitat Autònoma de Barcelona 2017

Universitat Politècnica de Catalunya 2018
Initial measurements

Open and closed access scholarly publications
The average of open access publications between 2010 and 2017 is 27%

Catalan Research Portal
2017
Initial measurements

APC funds from 2010-17

UNIVERSITAT DE BARCELONA
July 2016 the libraries of UB and UPC meet to strengthen collaboration and find possible common projects: the work on Open Access appears as a result of that meeting.

Two universities with different features:

- Multidisciplinary ↔ technological
- Different strategies to promote open access
Tasks of the Observatory

• Create a website: the Open Access Observatory
• Measure the current situation of open access in our institutions, including data from previous years to see an evolution
• Make estimations of publishing costs
• Gather as many data as possible to make realistic estimations
• Include other universities and research centres to make the full picture in Catalonia
UB-UPC Open Access Observatory

Introduction

This observatory aims to monitor the status of Open Access in the Universitat de Barcelona and the Universitat Politècnica de Catalunya. On the one hand, it is wanted to measure and show the open scientific production of these institutions and on the other one it is wanted to analyze the costs and the habits of the investigators when publishing openly.

Following the initiatives of other countries such as Denmark, this observatory wants to bring together the results of several research institutions obtained from the same methodology and have aggregate information.

http://bibliotecnica.upc.edu/observatori
The current situation on Open Access

- Period of time: 2011-2017 to see the impact of the institutional and funders’ policies

- Yearly data from Web of Science and Scopus limited to articles, merging yearly productions and eliminating items without DOI

- Use the API from Unpaywall to classify open access:
  - Non Open Access, Green, Bronze, Hybrid, Gold
The current situation: results
The current situation: results

Open Access at UPC (2011-17)
The current situation: results

The growth of gold and hybrid
The current situation: results

The behaviour of bronze
The effect of strong mandates

The current situation: results
The current situation: results

Universitat de Barcelona
The current situation: repositories

Universitat Politècnica de Catalunya
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
Updates and future improvements

- A yearly update around June to identify some self-archive activity on previous year
- Update measurements from 2011 to find changes in green and bronze
- Include items from institutional CRIS
- Include known situations of items without DOI
- Consider new tools and methodology
- Extend the scope of the analysis beyond articles
Estimating publishing costs

Currently institutions pay not only for accessing to scientific results but to publish them. It is not new, but the costs are increasing.

Picturing future scenarios the identification of these current costs are needed.

Some institutions have a control of these costs because payments are centralised.
Estimating publishing costs

List of publications
Filter by corresponding author
Using DOI and ISSN to get information of costs from publishers
Use especial cases: known costs, funds, discounts, vouchers, offsets…

Some caveats:
Unpaywall limitations
Information about APC costs
Currency fluctuations
Estimating publishing costs

A case from the Universitat de Barcelona, 2017

92 Institutional Open Access Funds, cost 101,056,63 EUR
17 Vouchers from RSC, included in the Gold for Gold
25% Discount MDPI, 1400 EUR

Estimated Publishing Cost 596,931,36 EUR

Total Estimated Publishing Cost ~ 700,000 EUR
Conclusions

- We have established an observatory to monitor the open access landscape in Catalonia
- We want to become a reference in the open access measurements
- The methodologies used can be replicated in any institution and in any country
- There are known limitations but the goal is to identify tendencies and behaviours and not the have a full accuracy
- Decisions should be taken with data and evidences
Thank you!
Gràcies!

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