Library UvA/AUAS
Author: Saskia Woutersen-Windhouwer

AUAS Research Results: Open, findable and reusable

Step-by-step plan v2.1 (public version)

6 January 2017
the original plan was approved by the AUAS Research Board and Executive Board, November 2016

'open by default' -- 'de standaard is open'

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Summary

In *Strategisch onderzoeksbeleid HvA 2015 –2020 (Strategic Research Policy for 2015 –2020)*, adopted by the Executive Board on 20 January 2015, the following targets for open access were set:
  – 60% of scientific publications to be published in open access journals by 2019 and 100% by 2024;
  – 100% of professional publications via the AUAS repository/HBO Knowledge Base by 2014;
  – 100% of educational publications by 2014;
  – 100% of other products by 2014.

These targets stem from the Berlin Declaration and are also in line with more recent policy guidelines, such as the European Commission's policy regarding Horizon2020 and the Netherlands Organisation for Scientific Research (NWO), and the recent announcement by European ministers that set the target of 100% open access by 2020.

The aforementioned 100% targets have not yet been realised in recent years. In order to meet them as soon as possible, the Library has been asked to formulate a step-by-step plan for open access publishing. The plan consists of five steps, which will be executed partly consecutively and partly concurrently. The basic principle of the step-by-step plan is that the copyright belongs to the AUAS. As is explained in the plan, this influences the way in which open access publication can be conducted.

Step 1: Information provision
To raise awareness regarding open access at the AUAS, the Library (and in particular the new open access service) will actively provide information regarding opportunities for open access publication. The information provision will focus on communication about the policy and how it will be executed. This will be done in collaboration with the Education and Research Office and the Centres for Applied Research.

Step 2: Current research information system in combination with an institutional repository
All research results can be easily registered by the author in the current research information system Pure, and the file(s) can be archived in the corresponding repository. The publications will then be made permanently accessible in accordance with the FAIR principle (Findable, Accessible, Interoperable & Reusable).

Step 3: Open access publications published by the AUAS
Many Centres for Applied Research already publish work themselves, but this publication process can be improved via standardisation of the design, a stronger AUAS profile, the establishment of a quality-control system, the issuing of licences (for reuse), a stable URL and the provision of citation advice. Together with Publishing Lab, a modern AUAS series will be set up that can also be read on tablets and smartphones.

Step 4: Closed access publication via the publishing company in combination with open access publication via the AUAS repository
AUAS researchers publish research results in renowned trade magazines and leading scientific journals. By using the Harvard licencing model as an example and based on Section 25(f)(a) of the Copyright Act *(Auteurswet)*, articles in particular can be published open access in the repository. For other types of publications, a pilot is being initiated based on the Harvard license model.

Step 5: Open access publication via the publishing company
An open access fund will be set up for publishing in open access journals. The Library will also include the issue of open access in negotiations with publishers and attempt to use subscription fees to fund open access publication in these journals, including access.

In addition to realising the targets, the goal of the step-by-step plan is to achieve maximum use of the products created by AUAS staff by removing barriers that hinder access to current products (e.g. paid access), by reaching a wider audience and by developing new systems that boost the visibility and accessibility of these products. If the step-by-step plan is executed, then the following open access policy for AUAS staff will come into force as soon as Pure is put into production.

The core of the open access policy at the AUAS can be summarised in the following four points:

1. Once Pure is put into use, it will be mandatory to deposit *all* AUAS publications from 2015 onwards in the AUAS repository.

2. Once Pure is put into use, directly after acceptance of new AUAS publications, and therefore prior to publication by the publisher, the final peer-reviewed manuscript version (which has been accepted by the publisher and includes the changes made following the peer review) will be deposited in the AUAS repository.

3. In principle, publications that are not deposited will not be included in reports by the management, HR and members of the evaluation committees, such as the annual report and research evaluations.

4. Upon request from the publisher, the authors can request an opt-out/open access waiver. Accepted manuscript versions that do not have a waiver must be published open access straight away.

1. Introduction: Strategic aspects of the step-by-step plan for open access

In *Strategisch onderzoeksbeleid HvA 2015 −2020 (Strategic Research Policy for 2015 −2020)*, adopted by the Executive Board on 20 January 2015, the following targets for open access were set:[1]
- 60% of scientific publications to be published in open access journals by 2019 and 100% by 2024;[2]
- 100% of professional publications via the AUAS repository/HBO Knowledge Base by 2014;
- 100% of educational publications by 2014;
- 100% of other products by 2014.

These targets stem from the Berlin Declaration and are also in line with more recent policy guidelines, such as the European Commission's policy regarding Horizon2020[3] and the Netherlands Organisation for Scientific Research (NWO) (into which the RAAK programme was incorporated as of 2014),[4] which both make open access mandatory, as well as the recent announcement by European ministers that set the target of 100% open access by 2020.

The Berlin Declaration
In 2009, the Council for Higher Professional Education signed the Berlin Declaration. By signing the Berlin Declaration, the institutions involved (including the AUAS) committed themselves to a best-efforts endeavour regarding open access publication of education and research results. According to the Berlin Declaration, open access publication primarily means that publications must be freely available online and include a licence that permits reuse, provided the source is cited. Secondly, the Berlin Declaration establishes that the publication must be deposited in at least one repository that complies with suitable technical standards.

AUAS Strategic Research Policy 2015 −2020
The AUAS has a responsibility towards society and is a proponent of free access to science. It also supports the principle that publications, data and other results of research funded by public money should be made publicly available. However, better accessibility to research and education results is no longer only important to scientists and financiers of research: wider society (citizens and the business sector) also want access to research results.[5] In addition, research conducted by universities of applied sciences is practically oriented and deeply rooted in the professional field. The research questions are derived from professional practice. The goal is to help solve problems that occur in the professional field and/or to develop the business and education sectors. Open sharing of applied research and information about it is therefore particularly important.[6]

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[1] *Strategisch onderzoeksbeleid HvA 2015 −2020 (AUAS Strategic Research Policy for 2015 −2020), adopted by the Executive Board on 20 January 2015*, p. 38.
[2] These targets are based on the *Letter to Parliament on Open Access of Publications (Kamerbrief over Open Access)*, dated 15 November 2013.
https://www.rijksoverheid.nl/documenten/kamerstukken/2013/11/15/kamerbrief-over-open-access-van-publicaties
[3] *Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020*,
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf.
[4] NWO Strategy 2015-2018, http://www.nwo.nl/over-nwo/X+publicatie/nwo/strategienota-2015-2018.html.
[5] *All European scientific articles to be freely accessible by 2020*, http://english.eu2016.nl/documents/press-releases/2016/05/27/all-european-scientific-articles-to-be-freely-accessible-by-2020
[6] *Brancheprotocol Kwaliteitszorg Onderzoek 2016 −2022 (Sector Protocol for Research Quality Assurance 2016 −2022), p. 3.*

The aforementioned 100% targets have not yet been realised in recent years. However, it is not known what the current percentages are. This is because the open access publications are not yet centrally registered, and the publications are uploaded via both the HBO Knowledge Base and the publication sites of the Centres for Applied Research, and uploading via both systems is done on a completely voluntary basis. There is therefore no single system offering a comprehensive picture. The implementation of the new current research information system Pure and the linked AUAS repository will give a clear overview of the number of open access publications and accompanying files. In addition, staff are currently unsure of what they can and cannot do and what the AUAS's position is on these matters. It is therefore not yet possible to set up active, overarching, structural support.

In order to meet these targets as soon as possible, the Library has been asked to formulate a step-by-step plan for open access publishing. In this step-by-step plan, the pathway to realise permanent accessibility of research and education results at the AUAS has been elaborated into five steps (Chapter 2).

Golden and/or Green Road

'Gold open access[7] is the goal in the negotiations of the VSNU (Association of Universities in the Netherlands), as well as the objective of the Dutch government. Green open access already existed, and will continue to exist parallel to gold open access. Gold and green open access are not contradictory objectives: green is simply a way station on the road to gold open access.'[8] The VSNU actively urges publishers to adopt open access as their new model. However, not all publications can be published via the *Golden Road*, so the *Green Road*[9] must also be supported. The proposed step-by-step plan is based on this combination.

Copyright owners

In principle, based on the collective labour agreement (cao), universities of applied sciences hold the copyright to all publications and materials produced by staff members at the institution. Based on academic freedom and (admittedly dated) legal precedents regarding copyright, employees of research universities could dispute this state of affairs. However, in contrast to the research universities, there are no legal precedents relating to universities of applied sciences. Therefore, in general, it is assumed that the collective agreement applies within universities of applied sciences and that the copyright is vested in the institution. This step-by-step plan is also based on the assumption that the copyright of all publications produced by AUAS staff members belongs to the AUAS.

If external parties permit it, then all publications with an AUAS author will in principle be published under a Creative Commons Attribution (CC BY) licence. Attribution means that only acknowledgement of the author is compulsory: users are otherwise permitted to copy, distribute, display, present, and search through the work and to create new material based on the work, **provided** the author(s) is/are credited as the creator(s) of the work. The CC BY licence is a frequently used licence on the international stage and is also compliant with the requirements set in the Berlin Declaration. Research results in the AUAS current research information system/repository that are published under a CC BY licence also satisfy the FAIR principles, and are therefore findable, accessible, interoperable and reusable.

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[7] *Golden Road:* publication in free-to-access electronic journals for which readers/subscribers are not required to pay, with funding acquired from a different source. One frequently used variety is in the form of publication fees, which means it is paid for by the author or the financier/client. This guarantees open access to research articles immediately upon publication. The original copyright owner usually grants a Creative Commons licence.

[8] Approved by the General Board of the VSNU on 27 May 2016.

[9] *Green Road*: publication via an institutional repository (IR) in which full-text, peer-reviewed publications by authors within the institution are archived (also known as self-archiving). These publications can be made publicly accessible immediately, or possibly following an embargo. The publisher is usually the copyright owner. The 'green' files in the repository therefore usually do not have a Creative Commons Attribution (CC BY) licence.

However, agreements with third parties (publishers or clients) can make it impossible for research results to be published under this kind of licence. This is also the case for knowledge valorisation in which social and economic value is created based on scientific knowledge and skills. Part of the knowledge will be made freely reusable, although it will sometimes be decided to restrict the new knowledge in order to exploit it commercially, e.g. by setting up a new business, selling it to third parties, etc.

The fact that, in principle, the AUAS possesses the copyright to all of the published publications and materials will encourage practical execution of the open access policy. After all, this means that the AUAS maintains control of the publications and can therefore prevent them from disappearing behind a publisher's paywall. Furthermore, the advantage of this construction is that authors can easily satisfy the open access requirements of the AUAS and research funding agencies (e.g. NWO and Horizon2020) and can continue to publish work in their favourite journals and receive even more citations at no extra cost.

Effective open access policy
The AUAS strives for 100% open access. This means that the number of publications deposited must be maximised. The percentages of deposited publications (which are still dependent on the type of open access policy) are as follows:[10]

- 10% with no open access policy;
- 26% with an open access policy ('deposit');
- 87% with an open access policy ('deposit') linked to the research evaluation.

For the AUAS, the following therefore constitutes effective open access policy:
1. Once Pure is put into use, as of 2015, it will be mandatory to **deposit** *all* AUAS publications in the AUAS repository.[11]
2. Once Pure is put into use, **directly after acceptance** of new AUAS publications, and therefore prior to publication by the publisher, the final peer-reviewed manuscript version (which has been accepted by the publisher and includes the changes made following the peer review) should be deposited in the AUAS repository.
3. In principle, publications that **are not deposited will not be included in reports** by the management, HR and members of the evaluation committees, such as the annual report and research evaluations.
4. Upon request from the publisher, the authors can request an opt-out/open access **waiver**. Without a waiver, accepted manuscript versions must be published open access in the AUAS repository straight away.

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[10] *Report on policy recording exercise, including policy typology and effectiveness and list of further policymaker targets*, (D 3.1 PASTEUR4OA), 2015, p. 8-9 & 43, http://www.pasteur4oa.eu/sites/pasteur4oa/files/deliverables/PASTEUR4OA%20Work%20Package%203%20Report%20final%2010%20March%202015.pdf; see also *Estimating Open Access Mandate Effectiveness: The MELIBEA Score* version, v2, P. Vincent-Lamarre, J. Boivin, Y. Gargouri, V. Lariviere, S. Harnad, https://arxiv.org/abs/1410.2926.
[11] The proposal is to make it compulsory to deposit all publications as of 2015 due to the fact that the next research evaluation will probably begin in 2015.

2. Step-by-step plan for open access

At the moment, AUAS researchers publish their work in a variety of ways, depending on their own network and contacts, common practice at the Centre for Applied Research and personal preferences. Depositing publications in the AUAS repository enables the publications to be managed and made available, as well as automatically including them in the national HBO Knowledge Base and/or the AUAS website. Registration for inclusion in the AUAS annual report takes place once a year. As of this autumn, implementation of the current research information system Pure will enable controlled and comprehensive registration and depositing of publications. In addition, the following steps have been proposed for the step-by-step plan for open access.

Firstly, the general infrastructure (information provision, helpdesk, etc.) and technical infrastructure must be organised (implementation of the current research information system must be linked to the AUAS repository and websites). These will be discussed in steps 1 and 2 respectively.

To determine the right steps for the open access publication of each publication or product, it is essential to distinguish between three mutually exclusive types of publication:
    I.   publications published by the AUAS;
    II. *closed access* publication by the publishing company in combination with open access publication in the AUAS repository (possibly as a manuscript version or after an embargo);
    III. open access publication by the publishing company.

We will discuss these as separate steps in steps 3, 4 and 5 respectively.

Step 1: Information provision

Open access publishing must be professionally supported by the current research information system (Pure) in combination with the AUAS repository and the Library's open publishing service. To promote successful open access at the AUAS, the Library actively provides information about the opportunities offered by open access publishing and answers researchers' questions about open access. The information provision will focus on communication about the policy and how it will be executed. This will be done by the UvA/AUAS Library in collaboration with the Education and Research Office and the Centres for Applied Research. In addition, an online environment will be created in which all open access opportunities will be displayed and training courses for researchers will be organised. In these training courses, researchers will learn how to bear the aspect of reuse in mind from an early stage. The provision of information will help raise awareness.

Step-by-step plan for information provision

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1. **The Research Board/Executive Board gives direction to the policy by approving the policy/step-by-step plan.**
2. **The Library provides information.**
   a. communicates the policy together with the Education and Research Office and the Centres for Applied Research;
   b. publicises the contact details of the helpdesk (openaccess@hva.nl);
   c. sets up an online environment containing information about the three types of open access publication and what they require;
   d. trains researchers;
   e. gives advice regarding copyright and licences (via the copyright service);
   f. gives advice on open access-publication opportunities for all three types (publishing in the AUAS series, via traditional publishers and with open access publishers);
   g. helps to satisfy the financiers' open access requirements.

Step 2: Current research information system in combination with an institutional repository

All research results are registered in the current research information system Pure and archived in the corresponding repository, making them permanently accessible and optimally findable to third parties. The UvA/AUAS Library already has a great deal of knowledge and facilities in the field of open access publishing via the CRIS and the repository.[12] As such, the UvA/AUAS Library has developed an optimally simplified procedure for authors to offer files (publications, reports, presentations, etc.) to the AUAS's institutional repository via the current research information system Pure.[13] In this way, the current research information system not only helps to ensure correct, comprehensive and timely registration, but also contributes to the distribution and open sharing of publications. Following registration in the current research information system, the data will be immediately available for all necessary reports (annual reports, research evaluations, etc.), will be displayed on the staff members' personal pages and, following validation by the Centre for Applied Research and the Library, will be easy for everyone[14] to find using resources such as the HBO Knowledge Base, Narcis and Google (Scholar). The data can be easily exchanged, as the interoperability with other systems is conducted via openly documented APIs and metadata standards (such as Dublin Core[15], ISNI and ORCID[16]). This ensures compliance with: (i) *Standard 2* of the Sector Protocol for Research Quality Assurance 2016 −2022 *(Brancheprotocol Kwaliteitszorg Onderzoek 2016 −2022)*, which states that the visibility of research to potential national and international partners must be increased, as this creates more opportunities for collaboration and networking, and (ii) the recommendations in the *2015 External Evaluation of AUAS Research Report (Rapport Externe Evaluatie Onderzoek 2015 Hogeschool van Amsterdam)*, which advises greater focus on Centres for Applied Research and collaboration with other such centres in Europe.[17] Finally, in the future it will be easy to connect with the National Knowledge Platform for Applied Research *(Nationaal Kennisplatform praktijkgericht onderzoek)*, whose dual objective is (a) to promote and facilitate knowledge sharing and (b) to boost the visibility of applied research.[18] The platform emphasises that, for both objectives, it is important that data is shared and connected nationally, rather than just locally or regionally.[19]

The files containing the research results will be stored in a repository via the current research information system. The purpose of archiving files in a repository is to maintain the availability of

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[12] A great deal of experience has already been gained with the current research information system (Personal) Metis and the institutional repository UvA-DARE over the past years.

[13] *Figshare* is currently being implemented in the area of research data.

[14] The Sector Protocol for Research Quality Assurance 2016 −2022 *(Brancheprotocol Kwaliteitszorg Onderzoek 2016 −2022)* states three product categories/target groups: (i) scientific publications/knowledge development, (ii) education/educational products and professionalisation of staff and (iii) professional and popular-science publications/professional practice and society.

[15] For more information, see pages such as https://nl.wikipedia.org/wiki/Dublin_Core.

[16] ISNI and ORCID are two author-identification standards used parallel to each other. ISNI is mainly used by libraries and ORCID by authors and publishers. ISNIs are managed by libraries, ORCIDs are managed by the authors themselves. Institutions can indicate that an ORCID belongs to their organisation.

[17] *Rapport Externe Evaluatie Onderzoek 2015 Hogeschool van Amsterdam (2015 External Evaluation of AUAS Research Report)*, p. 30.

[18] A plan has been created for the future merger of the HBO Knowledge Base with the Podium of the SIA National Regional Body for Practical Research *(Nationaal Regieorgaan Praktijkgericht Onderzoek SIA)*, which will continue under a new name. The infrastructure will be maintained, but more attention will be paid to promoting and marketing it to researchers in order to increase the number of publications deposited in the knowledge base. Plans are also being devised for active editing within the new platform, maybe even an editing network enabling the use of regional differences and networks of disciplines.

[19] *Praktijkgericht onderzoek: midden in de samenleving (Applied Research: Central to Society)*, SIA, SURF, HKI and VH's National Knowledge Platform for Applied Research. Version: 6 June 2016, p.1.

research results in the future. Their storage in the AUAS repository and the harvesting of the repository by the e-Depot of the Royal Library of the Netherlands guarantees permanent archiving and accessibility (currently, only the publications marked as open access are harvested by the Royal Library, so digital preservation is only guaranteed for these publications).

Four types of costs are linked to the registration and depositing of publications in the current research information system: the costs of the current research information system itself (including the repository), the effort invested by the author to register and upload the publications, the validation of records by the Centres for Applied Research (does this publication belong to this Centre for Applied Research and is the registration correct?) and, finally, costs incurred by the Library for management of the system and validation of publications (are the bibliographic details and open access status correct?)

Step-by-step plan for a current research information system in combination with an institutional repository

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Together with ICTS, the Education and Research Office and the Centres for Applied Research, the Library implements the current research information system (including an institutional AUAS repository) for the dissemination of the data and permanent accessibility.

   a. ensures that authors can easily register and archive publications in the current research information system that is connected to the AUAS repository;
   b. ensures optimum dissemination of research results, as the results are easily harvested according to national and international standards by Narcis, the HBO Knowledge Base, etc.;
   c. ensures that publications can easily be found via Google (Scholar). This can be done via Narcis and/or by providing the data to Google directly;
   d. ensures that open access publications are permanently archived in the e-Depot of the Royal Library of the Netherlands;
   e. ensures that reports −including open access reports −can be created using the current research information system;
   f. ensures timely validation of uploads in Pure to make the open access files findable and accessible to all as quickly as possible;
   g. manages the AUAS researchers' ORCID and ISNI;
   h. ensures monitoring of usage (number of downloads).

Step 3: Open access publications published by the AUAS

Many Centres for Applied Research already publish items themselves.[20] The Centre for Applied Research Technology even has its own series.[21] This publication process can be improved via standardisation of the design, a stronger AUAS profile, the establishment of a quality-control system, the issuing of licences (for reuse), a stable URL and the provision of citation advice. The advantage of this type of publication in the AUAS repository is that no rights have to be transferred to the publisher. These AUAS publications can be published open access without any costs to the author, ensuring optimum dissemination and reuse. In this case, provided the images have been used correctly, there are no legal barriers preventing open access and reuse.

Stakeholders have indicated that the AUAS is a strong brand of which greater use could be made.[22] For this reason, the Library, in collaboration with the Publishing Lab at FDMCI, will set up a recognisable AUAS series for each Centre for Applied Research or key focus area, including possible subseries.

In order to guarantee and boost the quality of these publications, all publications in the AUAS series must be internally and/or externally reviewed. This is in line with the ambition of the Centres for Applied Research to apply internal or external peer review more structurally within the Centres.[23] Review is also one of the points for attention for the aforementioned National Platform, namely: reviewing the quality of the knowledge products. The platform wants to make sure that the quality of the knowledge bases is visible to the users. A quality-assurance mechanism is therefore needed, for example, via expert reviews involving explicit quality criteria.[24] Authors offer their own products to colleagues in order to discuss the quality of their work.[25] In this regard, it is possible to make use of the methodology as described in *Reviewen van praktijkgericht onderzoek. Een methode voor peer review in het HBO (Reviewing Applied Research: A Method for Peer Review within Higher Professional Education,* February 2012), by the Forum for Applied Research:[26]

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[20] For example, see the Faculty of Applied Social Sciences and Law in the *2015 External Evaluation of AUAS Research Report* (*Rapport Externe Evaluatie Onderzoek 2015 Hogeschool van Amsterdam*), p. 41.

[21] Centre for Applied Research Technology series (http://www.hva.nl/kc-techniek/publicaties/content/publicatiereeks/terugschakelen-naar-ketendenken.html).

[22] *Rapport Externe Evaluatie Onderzoek 2015 Hogeschool van Amsterdam (2015 External Evaluation of AUAS Research Report),* p. 24.

[23] *Rapport Externe Evaluatie Onderzoek 2015 Hogeschool van Amsterdam (2015 External Evaluation of AUAS Research Report),* p. 25. See also the comments by the specific faculties, such as Sports and Nutrition: 'Furthermore, when monitoring quality, it is vital to organise the peer-review system effectively, which can be done together with internal colleagues or, particularly so, with external researchers. This peer-review method not only applies to classical scientific publications, but also to articles in trade journals, the methodologies developed and other products created by the professorship.', p. 41; Faculty of Technology: 'the continuation of internal and external peer reviews', p. 98; Faculty of Health: 'Peer reviews are currently already conducted internally (research proposals, methodologies adopted, publications, etc.), but it's too incidental. The intention is to include peer review as a structural component in the process and to expand annual reports to include a critical reflection/internal evaluation in the Professorship Council.', p. 115; Faculty of Education: 'At the moment, assessment of the quality of manuscripts is not conducted systematically, e.g. via internal or external peer review. The intention is to implement this into the various research stages.', p. 154.

[24] *Praktijkgericht onderzoek: midden in de samenleving (Applied Research: Central to Society),* SIA, SURF, HKI and VH's National Knowledge Platform for Applied Research. Version: 6 June 2016, p. 5.

[25] *Reviewen van praktijkgericht onderzoek. Een methode voor peer review in het HBO (Reviewing Applied Research: A Method for Peer Review within Higher Professional Education,* February 2012), by the Forum for Applied Research, p. 8-9.

[26] *Reviewen van praktijkgericht onderzoek. Een methode voor peer review in het HBO (Reviewing Applied Research: A Method for Peer Review within Higher Professional Education,* February 2012), by the Forum for Applied Research, p. 5.

'1. doubly open: reviewer and reviewee see and talk to each other;
2. multiple voices: the opinions of the professional field, science and education are represented (directly or indirectly);
3. layered: both the research and the assessment criteria are evaluated.'

Step-by-step plan for open access publications published by the AUAS

1. **The Library coordinates a pilot for setting up a production line for an AUAS series/subseries.**
   a. develops a recognisable design together with a designer;
   b. gives every digital publication within the series a unique AUAS and/or Centre for Applied Research number;
   c. sets up the production line together with the Publishing Lab based on the successful *Sausage Machine*[27], with which the publications can be published in a variety of formats: PDF, EPUB and HTML5. This makes the publications suitable for reading on smaller devices. Work is in progress on an audiobook version. The pilot aims to realise a test with at least two copies per Centre for Applied Research;
   d. makes a concise handbook for authors containing the minimum requirements that authors must satisfy when submitting a manuscript;
   e. provides a clear overview of the costs of AUAS publications during the pilot.

2. **Authors bear knowledge valorisation and distribution to a wider audience in mind.**
Authors provide the publication with a Dutch and English summary that is understandable to a wider audience, a list explaining the terms used, a list of research results (publications, reports, tools), a list of media publications, a reference list, etc. to ensure all interested parties can understand the core results, thereby making the results more widely accessible. On this matter, the report by AWTI (the Advisory Council for Science, Technology and Innovation) says: 'Knowledge must not only be findable but also clear and comprehensible.'[28] To make science truly accessible, the author must 'translate' the results into language understandable to a wider audience and present it in a convenient, easy-to-read arrangement.[29]

3. **The author(s) have the publication reviewed and offer the publication to the Library following the review.**
To be allowed to publish in the AUAS series, the publication must be subjected to a review process. The names of the editorial team will be included in the publication. Junior researchers can always publish under the editorial supervision of the professor and/or can approach an external reviewer, while professors can publish independently via an appointed AUAS editorial team or an editorial team from a Centre for Applied Research, or they can approach an external reviewer.

4. **The Library 'produces', registers and immediately publishes work openly via the current research information system linked to the AUAS repository.**
   a. realises the AUAS design;
   b. ensures optimal citability by indicating how the publication must be cited ('cite as');
   c. provides the publication with a unique AUAS or Centre for Applied Research number;
   d. states the exact date of publication;
   e. gives publications a unique and permanent URL, a so-called unique global *persistent identifier* (PI);
   f. checks that the images have been used properly;
   g. provides the publications with a Creative Commons Attribution (CC BY) licence. This licence permits the reuse for educational purposes, translation, further distribution, etc. of this publication;

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[27] http://www.publishinglab.nl/the-sausage-machine/2016/01/14/hello-world/

[28] Website of the AWTI report '*Durven delen: op weg naar een toegankelijke wetenschap*' (*Dare to Share: the Road to Accessible Science, January 2016*), consulted on 19 June 2016.

[29] *AWTI report 'Durven delen: op weg naar een toegankelijke wetenschap' (Dare to Share: the Road to Accessible Science, January 2016), p. 7, 25.*

      h.   ensures that a PDF, HTML5 and EPUB version is published in the AUAS repository;

      i.   ensures permanent accessibility via archiving in the e-Depot of the Royal Library of the Netherlands;

      j.   ensures the data is interoperable (and therefore visible) via international standards, protocols, formats and networks.[30]

5. The Library measures the impact of the publications, e.g. by monitoring the number of downloads with standardised statistics.[31]

6. The Library has a notice and takedown procedure.

For publicly accessible publications, a procedure has been established to enable publications to be quickly made temporarily or permanently inaccessible in the event that somebody takes issue with the general accessibility of the publication (e.g. a copyright holder).

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[30] For example, offered in any event to Google (Scholar) on the international stage and to Narcis and the HBO Knowledge Base on the national stage.

[31] http://www.projectcounter.org.

Step 4: Closed access publication via the publishing company in combination with open access publication via the AUAS repository

AUAS researchers publish research results in renowned trade (i.e. professional) magazines and leading scientific journals.[32] To a certain extent, they will continue to do so in future for the purposes of research evaluations, career perspectives and prestige. To guarantee maximum usage of these AUAS publications, once Pure has been put into production, all AUAS publications[33] from 1 January 2015[34]onwards must be registered in the current research information system and, in principle, uploaded openly to the AUAS repository. In some cases, publishers of publications that are not openly accessible without payment of a fee or subscription will only permit open publication following an embargo. In some events, contracts with third parties (e.g. clients) can restrict accessibility to publications, but in principle, public publications must always be offered openly via the AUAS repository, if necessary as a post-print and under a limited embargo. In this regard, a maximum embargo period of six months after the official publication date applies.[35] When the manuscript version is uploaded, source references for citations ('cite as') are essential and will be stated on the front cover.

In this regard, AUAS uses the Harvard licence model as an example.[36] The institution, in this case the AUAS, is the copyright holder and asks that, upon acceptance by the publisher, the scientist makes the manuscript version openly available in the institutional repository no later than the date of publication. The institution gives the author permission to sign the contract with the publisher, conditional upon open archiving in the AUAS repository. The institution will inform publishers in advance of the archiving of the manuscript version and subsequent signing of an 'exclusive' transfer of copyright ownership or the issuing of an 'exclusive' licence. Publishers that do not accept this can indicate a reasonable embargo period via a waiver/opt-out. If publishers refuse to do so or demand an unreasonable embargo on short works by scientific authors, then this can be ignored and a reasonable term can be determined based on Section 25(f)(a) of the Copyright Act.[37] What constitutes a reasonable term has not yet been determined, although this step-by-step plan observes a period of six months. If no reaction from the publisher is forthcoming, then the peer-reviewed manuscript can be openly published in the AUAS repository. The Harvard licence is currently in use at six institutions (including Harvard, MIT and two in Kenya), and according to Harvard's information, only a limited number of waivers have been requested by publishers (see also https://osc.hul.harvard.edu/publishers/).

As far as is known, the Harvard licence model is only used for scientific articles and not for professional publications (in trade journals) and popular-science publications. From the perspective of the Harvard model, this approach is therefore a pilot when the publication in question is a trade-journal article or a popular-science article, and investigation must be carried out concerning to what extent open access publication is possible. However, Section 25(f)(a) of the Copyright Act specifies 'creators of short scientific works'. Trade-journal publications and popular-science publications are also works created by one or more scientists, so in principle, all short scientific works can be openly published after six months based on Section 25(f)(a) of the Copyright Act. After all, trade-journal and popular-science publications only differ from scientific publications in that they are written for a

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[32] *Rapport Externe Evaluatie Onderzoek 2015 Hogeschool van Amsterdam (2015 External Evaluation of AUAS Research Report)*, p.26.

[33] AUAS publications are publications in which the affiliation 'Hogeschool van Amsterdam' or 'Amsterdam University of Applied Sciences' is clearly stated.

[34] As of 2015, due to the fact that the next research evaluation will probably run from 2015.

[35] Based on Section 25(f)(a) of the Copyright Act *(Auteurswet)*, in which a 'reasonable term' is specified. What constitutes a reasonable term has not yet been determined.

[36] See also http://osc.hul.harvard.edu/policies or http://cyber.law.harvard.edu/hoap/Drafting_a_policy.

[37] Also stipulated in the Taverne amendment.

different target group. Therefore, a pilot based on the Harvard licence model is only being initiated for longer publications (which therefore are not covered by Section 25(f)(a) of the Copyright Act).

> **Step-by-step plan for closed access publication via the publishing company in combination with open access publication via the AUAS repository**

1. **Together with Legal Affairs, the Library will create a standard letter for publishers, informing them of the issue of copyright at the AUAS: the AUAS issues the publisher with a licence, but requires the author to publish open access in the AUAS repository.**
2. **The Library will inform the most important publishers of the irrevocable non-exclusive licence that will be issued to the publisher by the AUAS, and that the AUAS staff member(s) in question has/have been asked to enter the final peer-reviewed manuscript in the open access repository.**
   The authors can notify the Library of any publishers who request an opt-out.
3. **The corresponding author, or an AUAS author in the event that there is no AUAS corresponding author, will ensure that the closed access publications will be published open access in the AUAS repository as soon as possible.**
   a. *Where should it be deposited?* Materials are uploaded via the current research information system Pure and then archived in the AUAS's institutional repository.
   b. *Which version should be deposited?* If the publisher permits it, then the publisher's version should be deposited, or alternatively the post-print.[38] The current research information system Pure indicates the following information for more than 22,000 journals: the publisher's open access policy, which version (post-print or publisher's version) can be published open access, and under what conditions (e.g. an embargo). The author uploads the version that is or will be eligible for open access publication and, if necessary, indicates the embargo date.
   c. *When should I deposit it?* Immediately upon acceptance, and no later than the official date of publication.[39] This also applies to publications under an embargo. The embargo can be indicated in the current research information system. In collaboration with the Library, the author ensures that these publications are not made public before the stated embargo date.
4. **In order to increase distribution, the author will provide both a Dutch and an English summary.**
5. **The Library will investigate whether the publication can be made open access in the AUAS repository sooner and ensures permanent accessibility and dissemination.**
   a. adjusts the embargo term in the current research information system if the publisher has been informed earlier and has not requested an opt-out;
   b. informs the publisher regarding the agreements with the author if the publisher has not yet been informed;
   c. if contractual agreements require it, open access publication can be postponed for up to six months after the publication date. Based on Taverne, a maximum embargo term of six months applies to short pieces of work;[40]
   d. ensures permanent accessibility by means of archiving in the e-Depot of the Royal Library of the Netherlands;

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[38] The post-print, also known as the final author's version, is the final peer-reviewed manuscript that has been accepted for publication, including adjustments made after the peer review but not including the publisher's layout.

[39] Advantages: publishing manuscripts as soon as possible results in more and faster citations, and the author knows exactly which version is the latest version. As time passes, authors find it increasingly difficult to locate the latest version of a publication on their computer.

[40] Section 25(f)(a) of the Copyright Act specifies a reasonable term. What constitutes a reasonable term has not yet been determined.

e. ensures optimal citability by indicating on the front cover how the publication must be cited ('cite as');

f. states which version[41] it is;

g. provides publications with a licence or copyright statement, if possible;

h. ensures the data is interoperable (and therefore visible) via international standards, protocols, formats and networks;[42]

i. gives publications a unique and permanent URL, a so-called unique global *persistent identifier* (PI);

7. The Library measures the impact of the publications, e.g. by monitoring the number of downloads with standardised statistics.[43]

8. The Library has a notice and takedown procedure.

   a. For publicly accessible publications, a procedure has been established to enable publications to be quickly made temporarily or permanently inaccessible in the event that somebody takes issue with the publication being generally accessible (e.g. a copyright holder).

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[41] Preprint (author's manuscript before the peer review), post-print (author's manuscript after the peer review) or publisher's PDF.

[42] For example, offered to Google (Scholar) on the international stage and to Narcis and the HBO Knowledge Base on the national stage.

[43] http://www.projectcounter.org.

Step 5: Open access publication via the publishing company

For some disciplines, there is –for journal articles –a conflict between the pressure to publish in journals with a high impact factor on the one hand and the desire to publish in open access publications on the other. In the years to come, the expectation is that large publishers are going to move increasingly towards an open access model. It is already evident that the impact factor of open access journals is continuously increasing, as is the number of open access journals available (e.g. PLOS, PeerJ, eLife, Open Library of Humanities). To enable the transition from the subscription model to the open access model, investigation is being conducted into whether paid publication in these innovative journals is possible. Most open access journals request Article Processing Costs (APCs). On average, APCs total 2,063 euros, but they can be as high as 5,900 euros[44] per article. In addition, there are journals that offer both subscription publication and open access publication (known as hybrid journals). In order to prevent 'double dipping', the costs of these hybrid publications are not financed by the open access fund.[45] However, attempts will be made to 'flip' publishers by including the issue of open access in the negotiations with publishers and attempt to use the subscription fees for open access publication in these journals, including access.

Step-by-step plan for open access publication by the publishing company
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1. **The AUAS sets up an open access fund to be managed by the Library. The Library uses this fund to encourage open access publication by reimbursing open access journals' Author Processing Costs.[46]**
   a. The fund will be used to buy credit with various publishers to enable use of these publishers at a discount rate in the years to come.
   b. Fully[47] reimburses costs, provided sufficient funds are available and no or insufficient funding from third parties is available.
   c. Funding is conditional on 'Hogeschool van Amsterdam 'or 'Amsterdam University of Applied Sciences 'being clearly stated beside the name of the corresponding author of the publication.
2. **In order to offer the manuscript to the open access journal, the author requests a reservation for the fund (openaccess@hva.nl).**
   a. To be able to know in advance if sufficient funds are still available for submission and financing by the open access fund.
3. **The author guarantees permanent access by also archiving open access publications in the AUAS repository.**
   a) *Where should it be deposited?* Materials are uploaded via the current research information system Pure and then archived in the AUAS's institutional repository.
   b) *When should it be deposited?* Preferably immediately upon acceptance, and no later than the official date of publication.
   c) *Which version should be deposited?* The publisher's version. If desired, it may also be possible to upload the accepted manuscript immediately upon acceptance (early access).
4. **The Library will include the issue of open access in the licence negotiations with publishers and use the subscription fees for open access publication in these journals, including 'free-of-charge' access to the collection of the publisher at the AUAS.[48]** This will

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[44] *Monitoring the Transition to Open Access*, August 2015, p.9, see https://www.acu.ac.uk/research-information-network/monitoring-transition-to-open-access.

[45] One option that could be considered is to offer hybrid publications a maximum reimbursement of 500 euros or to the value of the average APC to enable open publication of the affordable hybrid publications.

[46] All of these matters are dependent on the funding available in 2017/18: further agreements will be made on this matter in future.

[47] To prevent extreme APCs, a maximum amount per application can be considered.

[48] As the VSNU and the UKB have already done for the research universities (see also http://www.vsnu.nl/openaccess).

prevent the publisher from receiving both subscription fees and open access funding (known as 'double dipping').

a. communicates the results of the negotiations to the Executive Board every year;
b. communicates the results to the authors as soon as possible.

3. To conclude

The progress of the implementation of the aforementioned step-by-step plan within the faculties is discussed in the annual consultation between the Executive Board and the deans.

4. Explanation

This memorandum is based on:

- Section 25(f)(a) of the Copyright Act (*Auteurswet*);
- The Berlin Declaration;
- *Estimating Open Access Mandate Effectiveness: The MELIBEA Score* version, v2, P. Vincent-Lamarre, J. Boivin, Y. Gargouri, V. Lariviere & S. Harnad, https://arxiv.org/abs/1410.2926;
- *Monitoring the Transition to Open Access*, August 2015;
- *Praktijkgericht onderzoek: midden in de samenleving (Applied Research: Central to Society), SIA, SURF, HKI and VH's National Knowledge Platform for Applied Research.* Version: 6 June 2016;
- The AWTI report *'Durven delen: op weg naar een toegankelijke wetenschap' (Dare to Share: the Road to Accessible Science, January 2016);*
- *2015 External Evaluation of AUAS Research Report* (*Rapport Externe Evaluatie Onderzoek 2015*),p. 30;
- *Report on policy recording exercise, including policy typology and effectiveness and list of further policymaker targets*, (D 3.1 PASTEUR4OA), 2015, p. 8-9 & 43, http://www.pasteur4oa.eu/sites/pasteur4oa/files/deliverables/PASTEUR4OA%20Work%20Packa ge%203%20Report%20final%2010%20March%202015.pdf;
- *Reviewen van praktijkgericht onderzoek. Een methode voor peer review in het HBO (Reviewing Applied Research: A Method for Peer Review within Higher Professional Education),* February 2012, Forum for Applied Research;
- *Strategisch onderzoeksbeleid HvA 2015 −2020 (AUAS Strategic Research Policy for 2015 − 2020), adopted by the Executive Board on 20 January 2015, including Uitvoering Strategisch onderzoeksbeleid HvA (Execution of AUAS Strategic Research Policy).*

Discussed with:
AUAS research and management

- Sander Bliekendaal, project manager, KIK/DBSV;
- Robert Jan de Boer, professor of Aviation Engineering;
- Anne Eskes, ACHIEVE coordinator, senior researcher, Nursing lecturer;
- Huib de Jong, AUAS Rector;
- Lucy Kerstens, manager, CAREM;
- Geert Lovink, professor of Network Cultures;
- Margreet Riphagen, project manager of MediaLAB Amsterdam and the Network Culture professorship, and Publishing Lab coordinator;
- Maarten Rottschafer, head of research operations, FDMCI;
- Edith Petersen, research coordinator, Smart Mobility & Logistics;
- interactive presentation at the meeting of the Urban Technology Knowledge Network.

AUAS Education and Research Office (O2)

- Dymph van Outersterp, research policy officer;
- Maaike Verbree, research policy officer;

- Hugo Nierstrasz, research policy officer.

AUAS Library
- Johannes Botman, information specialist, Sports and Nutrition;
- Renger Dijkstra, information specialist, Primary Education Teacher Training/Educational Theory;
- Jaroen Kuijper, information specialist, Information Technology and Communication & Multimedia Design;
- Elisabeth Roos, Nursing information specialist, Mensendieck Exercise Therapy;
- Frans Westgeest, information specialist, BSK, CMV, MWD, TP;
- Hilde van Wijngaarden, coordinator, Education & Research Support.

External organisations
- Erik van Aert, policy officer for open access and open data, Netherlands Organisation for Scientific Research (NWO);
- Veronica Arnaiz Rivas, Faculty of Law, UvA and contact person for the publication of the faculty series on SSRN;
- Jasper Bedaux, Digital Production Centre, UvA.

Appendix I: Terms/definitions in this memorandum

- **digital preservation**: maintenance, management and continued availability of digital information that enables continuous consultation and interpretation of articles, books, monographs, doctoral theses, grey literature (such as reports), etc. (based loosely on a definition established by Digital Heritage Netherlands);
- **'Golden Road'**: publications are made openly accessible via publication in open access journals (from 'Budapest Open Access Initiative');
- **'Green Road'**: publications (both final author's versions and publisher's versions) are made openly accessible by means of authors including them in repositories and indicating that they are freely accessible to all (from 'Budapest Open Access Initiative');
- **AUAS publications**: publications in which the affiliation 'Hogeschool van Amsterdam' or 'Amsterdam University of Applied Sciences' is clearly stated;
- **open access**: free of all access restrictions. The author or copyright holder of a piece of work grants all of its users free, irrevocable and worldwide access. Users are also permitted to copy, use, display, split up and distribute the work, and they can also create new pieces of work derived from the original work, using any digital medium and for any purpose, on the condition that the name of the original author or copyright holder is stated (from the 'Berlin Declaration'). In practice, two varieties exist:
    1. Material is published online and included in at least one online repository (a freely accessible digital archive) or open access journal and the publication is and remains openly accessible –free of charge –to anyone with an internet connection.
    2. The author grants the user permission to use/reuse the content (provided source references are correctly stated);
- **permanent accessibility**: the combination of open access and digital preservation.
- **publications**: all texts or other products of methods of publishing research that are made available digitally, such as articles, books, reports, dissertations, blogs, project proposals, methodologies, workflows, software, project reports, presentations, designs, tools, videos, infographics, etc. in any format, such as PDF, EPUB, JPEG, MPG, etc.;
- **repository**: a digital storage facility for data or publications.

Appendix II: Berlin Declaration on Open Access

Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities
The Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities of 22 October 2003 was written in English. It is one of the milestones of the Open Access movement. The wording of the English version shall prevail.

Preface
The Internet has fundamentally changed the practical and economic realities of distributing scientific knowledge and cultural heritage. For the first time ever, the Internet now offers the chance to constitute a global and interactive representation of human knowledge, including cultural heritage and the guarantee of worldwide access.
We, the undersigned, feel obliged to address the challenges of the Internet as an emerging functional medium for distributing knowledge. Obviously, these developments will be able to significantly modify the nature of scientific publishing as well as the existing system of quality assurance.
In accordance with the spirit of the Declaration of the Budapest Open Access Initiative, the ECHO Charter and the Bethesda Statement on Open Access Publishing, we have drafted the Berlin Declaration to promote the Internet as a functional instrument for a global scientific knowledge base and human reflection and to specify measures which research policy makers, research institutions, funding agencies, libraries, archives and museums need to consider.

Goals
Our mission of disseminating knowledge is only half complete if the information is not made widely and readily available to society. New possibilities of knowledge dissemination not only through the classical form but also and increasingly through the open access paradigm via the Internet have to be supported. We define open access as a comprehensive source of human knowledge and cultural heritage that has been approved by the scientific community.
In order to realize the vision of a global and accessible representation of knowledge, the future Web has to be sustainable, interactive, and transparent. Content and software tools must be openly accessible and compatible.

Definition of an Open Access Contribution
Establishing open access as a worthwhile procedure ideally requires the active commitment of each and every individual producer of scientific knowledge and holder of cultural heritage. Open access contributions include original scientific research results, raw data and metadata, source materials, digital representations of pictorial and graphical materials and scholarly multimedia material.

Open access contributions must satisfy two conditions:

1. The author(s) and right holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship (community standards, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now), as well as the right to make small numbers of printed copies for their personal use.

2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in an appropriate standard electronic format is deposited (and thus published) in at least one online repository using suitable technical standards (such as the Open Archive definitions) that is supported and maintained by an academic institution, scholarly society, government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, inter-operability, and long-term archiving.

Supporting the Transition to the Electronic Open Access Paradigm

Our organizations are interested in the further promotion of the new open access paradigm to gain the most benefit for science and society. Therefore, we intend to make progress by

- encouraging our researchers/grant recipients to publish their work according to the principles of the open access paradigm.
- encouraging the holders of cultural heritage to support open access by providing their resources on the Internet.
- developing means and ways to evaluate open access contributions and online-journals in order to maintain the standards of quality assurance and good scientific practice.
- advocating that open access publication be recognized in promotion and tenure evaluation.
- advocating the intrinsic merit of contributions to an open access infrastructure by software tool development, content provision, metadata creation, or the publication of individual articles.

We realize that the process of moving to open access changes the dissemination of knowledge with respect to legal and financial aspects. Our organizations aim to find solutions that support further development of the existing legal and financial frameworks in order to facilitate optimal use and access.

Signatory: 273 26.11.2009 Hoger Beroeps Onderwijs Raad Doekle Terpstra

Appendix III: Example of an AUAS series

Source: http://www.hva.nl/kc-techniek/publicaties/content/publicatiereeks/terugschakelen-naar-ketendenken.html or http://www.hva.nl/binaries/content/assets/subsites/kc-techniek/lectoraat-techniek/terug-schakelen-naar-ketendenken.pdf.

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Appendix IV: Example of a front cover

For example, see http://liu.diva-portal.org/smash/get/diva2:872193/FULLTEXT01.pdf.

Title
Authors
University of Applied Sciences (HvA) Pre Print / Post print

N.B.: When citing this work, cite the original article.

Original Publication:

Authors, Title, Year, Journal Title, (volume), number, pages.
http://dx.doi.org/10.1016/j.bbalip.2015.09.006

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Title

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Affiliations

Email addresses

Email addresses:

§Corresponding author

Abbreviations

apo –apolipoprotein, CETP - cholesteryl ester transfer protein, CVD –cardiovascular disease,
DCF - 2,7-dichlorofluorescein, DCFH - 2,7 dichlorofluorescin, HDL –high density lipoprotein,
HDL-C –high density lipoprotein cholesterol, LDL/VLDL –low-/very low- density lipoprotein,
SR-B1 - scavenger receptor class B type 1, TBS - Tris-buffered saline, WB –Western blot

Keywords

•xxxxx

Highlights

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•xxxx