

Open Access Publication Policy of Wageningen University & Research

October 12, 2020 (adapted version October 3, 2017)

Wageningen University & Research (WUR) implements the objective formulated by the Dutch government, which states that publicly funded publications must be available in open access. Open access means that publications are made freely available to the general public. This can be done through a license (e.g., Creative Commons licence), or by providing free access through a 'trusted repository'¹.

The WUR Open Access policy requires staff to publish open access, in accordance with terms and conditions as stated below. This policy applies to all staff employed by Wageningen University and Wageningen Research. WUR also recommends this policy for WUR PhD candidates and students who are not employed by Wageningen University.

Broad policy outline

Publications

- 1) 'Publications' in this context is understood to mean: 'Publications aimed at the forum of (academic) researchers, whereby the publication satisfies features, such as an emphasis on the research process, a sound methodological basis and reference to earlier research results' in accordance with University Research Indicator (KUOZ) type 1².

Type of University Research Indicator (KUOZ)

¹ Trusted repository for publications: a digital archive of academic publications that is registered with and satisfies the conditions of OpenDOAR. These are the repositories of universities and reputable publishers.

² University Research Indicator (KUOZ, 2019) type 1: Definition of University Research Indicators. All the reportable outputs concern the results of research, published in the reporting year (x). Most KUOZ types can be classified into one of three main categories on the basis of their primary audience. Type 1 is aimed at the forum of researchers:

Audience/type 1 (Academic): a focus on an academic audience gives a publication specific attributes, such as an emphasis on the research process, a sound methodological basis and reference to earlier research results. These attributes may differ according to discipline. In general, an academic publication discusses the results of the author's academic research and is intended to contribute to scientific knowledge. Exceptions to this are publications, such as review articles (subtype scientific review). Although reviews are concerned with research done by others, they, nevertheless, contribute to -- as opposed to merely disseminating -- scientific knowledge because of their distinct added value.
[Type here]

a. 'Refereed' article in a journal
b. 'Non-refereed' article in a journal
c. Book
d. Book part
e. Dissertation
f. Refereed conference publication
g. Non-refereed conference publication

Registration

- 2) All employed WUR staff are obliged to register all publications to which they have contributed as either an author or a co-author by recording the metadata on the publications in the Research Information System (RIS). Non-registered publications are not counted in research evaluations.

Deposition

Publications should be deposited in the RIS within two months after publication through the specially designed work processes and agreements, along with the publication metadata recorded in the RIS. Where possible, deposition will be incorporated into the verification process of the publication metadata that are entered.

3) Refereed articles (a)

- a) If the employee is the *corresponding author*³ of an article, he/she shall, to the extent permitted, make the following article freely available to the general public:
- i) for articles that are published under a Creative Commons license, the final published PDF version. The article becomes immediately available through the WUR institutional repository; or
 - ii) for articles with copyright owned by the publisher, the final published PDF version⁴, which becomes freely available through the WUR institutional repository after an embargo period. Publications that are wholly or partly funded by the Dutch government, including all publications by Wageningen University employees, will be made freely available to the general public through the WUR institutional repository *after an embargo period (generally six months)*, following the VSNU policy. For these articles, the Taverne Amendment to the Dutch Copyright Act (Article 25fa)⁵ will be applied, which has been

³ The corresponding author is the person or persons who is / are listed as the author to be contacted in the PDF of the (online) article. Each corresponding author's name is preceded by an envelope icon (✉). The corresponding author can - but not always will - be the same person as the submitting author, i.e. the person who submits the article to the journal and who is contacted during the peer-review and production processes. Please note that generally only the submitting author and only under certain conditions, can make use of the agreements to publish Open Access at no costs or with a substantial discount.

⁴ As an alternative to the final published PDF version (also known as the version of record), the accepted manuscript version of an article may also be used. The accepted manuscript version is the post-peer review draft, accepted by the journal, prior to the typesetting by the publisher.

⁵ Taverne Amendment to Dutch Copyright Act: see <https://www.openaccess.nl/en/in-the-netherlands/you-share-we-take-care>.

implemented by all Dutch universities and under which short scientific works may be made freely available through a Dutch institutional (university) repository after a reasonable time period; or

- iii) If a publication is already available in open access in a 'trusted repository'¹, employees only need to supply a link to the publication by the 'persistent identifier'⁶ (DOI) as long as this refers to that repository.
- b) If the employee is *not the corresponding author*³ of an article, he/she is not obliged to make articles freely available to the general public. However, the research funder of the article may have its own Open Access requirements that deviate from this policy (e.g., funding regulations). In this case, the author will need to take those requirements into account.

Non-corresponding authors can also rely on the Taverne Amendment to the Dutch Copyright Act (Article 25fa)⁵.

If a publication is already freely available to the general public in a 'trusted repository', the employee shall, to the extent permitted, deposit the final published PDF version of the article through the RIS of WUR or supply a DOI to the publication.

4) **'Non-refereed' articles (b), books (c) and book parts (d)**

Employees are strongly encouraged to deposit professional publications and books or book chapters through the RIS, where possible.

5) **Dissertations (e)**

WUR PhD dissertations are published through the Wageningen University & Research institutional repository. A 1-year embargo period (with possible extension) can be requested by the PhD candidate if the (draft-)articles in the dissertation still have to be published and if there is a risk that an article will be rejected because it does not involve original work. An embargo period can also be requested by the PhD candidate in the case of particular interests of Wageningen University or Wageningen Research, such as commercial interests with a patent application.

6) **Conference publications (f)**

Metadata of conference publications can only be registered in the RIS when the publication's PDF version is also deposited through the RIS and is freely available to the general public, such as through a Creative Commons license.

In cases where a conference publication is intended as the forerunner of an article that is yet to be published, there is the risk that if the conference publication is made freely available, the article will be rejected because it does not involve original work. In this case, the author is not obligated to deposit the conference publication through the RIS on the condition that publication's metadata are also not registered. This will also mean that the publication will not be counted for evaluation.

Costs of open access publishing

7) **Central funding within WUR**

- a) **Prepaid Open Access.** In association with the partnership between UKB (consortium of Dutch university libraries and the National Library of the Netherlands) and VSNU, the WUR Library ensures that arrangements for

⁶ Persistent identifier: a permanent reference to and unique label for a digital object that is independent of the storage location, for example, DOI (Digital Object Identifier).

publishing open access without extra costs are included, wherever possible, in the current licensing agreements with publishers (prepaid Open Access).

WUR staff is obliged to use prepaid Open Access options when publishing in the journals that have these options. These options can be found per journal on the WUR Journal Browser website under the 100% discount option. For this work process, WUR corresponding (submitting) authors should use a correct WUR affiliation and a WUR email address. Prepaid Open Access usually applies under the specific condition that the corresponding author is affiliated with WUR.

b) **Discount on Open Access.** WUR Library annually proposes additional institutional discount arrangements with publishers, based on the volume of publications, and it organises the financial settlement for these arrangements. WUR Library cannot be held responsible for changes in APC eligibility during the submission and acceptance processes due to changes in ownership of journals or exceeding limited APC quota.

8) **Decentralised funding within WUR**

Gold/Hybrid Open Access. Costs for Open Access publishing in journals for which no institutional discount is stipulated will be borne by the chair group or institute in question (decentralised expenditures).

9) **Funding by research funder.** If a research funder requires open access and the article is to be published in a journal with no institutional discount, then the publication costs will be stipulated in the funding application and requested from the funder in question.

Quality

10) A list of Hybrid and Gold Open Access journals is published on the WUR Journal Browser website. This list includes information on the quality of the journals. WUR staff are advised to consult this list before submission.

Monitoring

11) WUR Library collects key indicators from the RIS to monitor its Open Access objectives and reports on this yearly to the WUR Executive Board. The percentage of Open Access articles with a WUR corresponding author will be included in the evaluation of Wageningen University and Wageningen Research groups.
WUR Library ensures the implementation of Open Access agreements with publishers.