

# ANEE Open Science Workgroup report

## Evaluation of Open Access publication for 2018

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### Summary and Recommendations

This report evaluates the Open Access (OA) publications by the Centre of Excellence in Ancient Near Eastern Empires for 2018 and provides recommendations to ensure progress in the upcoming years. Both the University of Helsinki and the Academy of Finland require all scholarly publications, with the exception of monographs, to be OA available. Both institutions recommend Green OA publishing and do not recommend Hybrid OA publishing.

The evaluation has shown that 45,7% of ANEE's 2018 publications ( $n = 81$ ) are currently OA according to UH's criteria, but that this easily can be pushed up to 53,1%. The percentage of OA publications is roughly equal for peer-reviewed and non-refereed publications. There are 3 causes for the number of non-OA publications; (1) monographs are usually not published OA; (2) small and independent publishing houses have no OA policies readily available; and (3) some publishing houses, especially big international publishers, require longer embargo periods than the Academy of Finland's OA policy allows (max. 12 months).

Based on the evaluation, the Open Science Workgroup provides the following recommendations to ANEE in general:

- to organise a TUHAT edit-a-thon event at the beginning of each year in order to help ANEE members with updating and uploading their publications to TUHAT;
- to share a list of OA publication venues (see Appendix 2) among ANEE members;
- to publish a modified list of OA publication venues that observe the UH criteria (excl. UH fee coverage, etc.) on the ANEE website.

To ANEE members individually we recommend:

- to upload all OA publications (even those with embargoes) to the TUHAT repository. This holds also for articles/professional blog posts published on the internet that are

freely available there. If unsure, ANEE member should send both the “postprint” and “publisher’s version” to [openaccess-info@helsinki.fi](mailto:openaccess-info@helsinki.fi). HULIB employees will then check the publisher’s requirements and upload the respective file into the respective TUHAT repository.

- to get acquainted with the Open Access Research Guide published by the Helsinki University Library, which has much valuable information.<sup>1</sup>
- In the case publisher’s OA policy is unknown, to ask the publisher by email about their policy and to inform the Open Science Workgroup on its answer.

## 1. Introduction

The Centre of Excellence in Ancient Near Eastern Empires (ANEE) has placed “open science” centre-stage in its research activities.

*“ANEE ... adheres to the key principles of open science by ensuring that all its tools, datasets, and publications will be freely available to the research community and larger society under CC0 or CC-BY 4.0 license. Research results will be published either through self-archiving in institutional repositories (‘green route’) or via open access publications (‘gold route’). The research tools ... and datasets ... developed and gathered by ANEE will be shared through online, open storage services ... and regularly deposited in institutional archives ... to ensure long-term preservation and access.”*

Following one recent definition, open science is “the practice of science in such a way that others can collaborate and contribute, where research data, lab notes and other research processes are freely available, under terms that enable reuse, redistribution and reproduction of the research and its underlying data and methods.”<sup>2</sup>

Research organisations and funders worldwide now have highlighted the importance of open science and may have strict rules regarding the accessibility of publications and data. In the case of Finland, regulations are observed within the Academy of Finland<sup>3</sup> and at the University of Helsinki.<sup>4</sup>

To ensure that ANEE’s research activities and outputs adhere to such a practice, ANEE has established an Open Science Workgroup from the start of the project (since 2018). The Open Science Workgroup is led by Rick Bonnie and its members are Tero Alstola, Krister Lindén, and Caroline Wallis. Furthermore, this workgroup has close contact with the Helsinki University Library, which is the central organisation within the university informing researchers about open science practices. Information specialist Markku Roinila serves as the workgroup’s contact person.

Following the ANEE research plan, the Open Science Workgroup “ensures the openness of ANEE’s research, data, tools, and published results by advising on best practices in the field, and routinely evaluating ANEE’s outputs according to the FAIR (findability, accessibility, interoperability, reusability) guiding principles.”

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<sup>1</sup> <https://libraryguides.helsinki.fi/oa/eng>

<sup>2</sup> <https://www.fosteropenscience.eu/foster-taxonomy/open-science-definition>

<sup>3</sup> <https://www.aka.fi/en/funding/apply-for-funding/az-index-of-application-guidelines/open-science/>

<sup>4</sup> <https://www.helsinki.fi/en/research/open-science>

## 2. Open Access (OA) publications

### 2.1 Guidelines on OA publishing

In light of the university and funder requirements, the main aim of the Open Science Workgroup during 2018 has been to instruct ANEE members on OA regulations and to advocate OA publishing. This has been done through ANEE-wide workshops on OA publishing and open data practices, as well as by informing ANEE members via email about how to self-archive publications on TUHAT.

Both the University of Helsinki and the Academy of Finland require that all publications (with the exception of monographs) are OA:

1. Following the University of Helsinki principles of open publishing (approved 21 June 2017), “scientific publications produced at the University of Helsinki will as a rule be openly available.”<sup>5</sup>
2. the Academy of Finland (ANEE’s funder) writes: “we require that Academy-funded projects see to that the scientific publications in which the project’s results are published are open-access.”<sup>6</sup>

Researchers can publish OA through the following means, ranked in order of recommendation:

<b>Green OA</b> (also self-archiving)	Depositing an article (“Publisher’s version”) or a version of it (“postprint”) into the institutional repository (UH’s TUHAT).	Immediately or after an embargo period (12, 18, 24, or 36 months)	Free for authors, free for readers	Explicitly recommended in policies (with max. 12 months embargo)
<b>Diamond OA</b>	Publishing with a completely OA journal or OA publisher. Publishing is usually funded through sale of physical journal volumes and books.	Immediately	Free for authors, free for readers	
<b>Gold OA</b>	Publishing with a completely OA journal or OA publisher. Publishing is mainly funded through the authors, using Article Processing Charges (APCs).	Immediately	Paid by authors, free for readers	
<b>Hybrid OA</b>	Publishing with a regular, non-OA journal or publisher.	Immediately	Paid by authors, paid	Explicitly not recommended in

<sup>5</sup> <https://www.helsinki.fi/en/research/principles-of-open-publishing>.

<sup>6</sup> <https://www.aka.fi/en/funding/apply-for-funding/az-index-of-application-guidelines/open-science/>.

	Articles and books can be published OA by paying Article Processing Charges (APCs). Other articles and books remain behind a paywall for readers.		by readers	policies <sup>7</sup>
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With Green OA (self-archiving), note that the publishers provide often different embargo periods. For the Academy of Finland, only an embargo period of max. 12 months is allowed.<sup>8</sup> Furthermore, note that the file that a researcher can self-archive may differ per publisher. The table below shows the different file types, most commonly “postprint” can be self-archived (often with an embargo period) though occasionally publishers allow the “publisher’s version” to be self-archived.

<b>Preprint</b>	Manuscript before peer-review. Publisher has no rights.	Can always be archived in preprint or institutional repositories	Not OA
<b>Postprint</b> <i>(also Author Accepted Manuscript [AAM])</i>	Manuscript after peer-review revisions. Publisher holds rights.	With agreement of publisher, possible to archive in an institutional repository (sometimes with an embargo period)	OA
<b>Publisher’s version</b> <i>(also Final PDF)</i>	Manuscript after typesetting by publisher (incl. page numbers). Publisher holds rights.	With agreement of publisher, possible to archive in an institutional repository (sometimes with an embargo period)	OA

Researchers can always<sup>9</sup> self-archive “preprints” to a preprint or institutional repository, but such files are not considered “publications” and hence do not count as OA publications.

## NOTE

OA publications for the University of Helsinki means that these are uploaded to the TUHAT repository. This means, for example, that if you have published in a Diamond or Gold OA journal or in a blog post on the internet, you will need to also upload the “Publisher’s version” to TUHAT.

If unsure, please send both the “postprint” and “publisher’s version” to [openaccess-info@helsinki.fi](mailto:openaccess-info@helsinki.fi). HULIB employees will check the publisher’s requirements and upload the respective file into the respective TUHAT repository.

<sup>7</sup> “The Academy wants to emphasise that because it is expensive and liable to malpractice, *hybrid open access is only a temporary solution* and part of the transition towards full open access publishing.” (<https://www.aka.fi/en/funding/apply-for-funding/az-index-of-application-guidelines/open-science/>); “The University of Helsinki *does not recommend hybrid publication* in which the publisher is paid both the journal subscription fee and the fee for providing open access to an individual article. However, hybrid publication may be justified at the moment, if it facilitates the transfer to a fully open publication model.” (<https://www.helsinki.fi/en/research/principles-of-open-publishing>).

<sup>8</sup> <https://www.aka.fi/en/funding/apply-for-funding/az-index-of-application-guidelines/open-science/>.

<sup>9</sup> Occasionally, publishers try to claim embargo periods for “preprints”, but note that publishers do not hold the rights over “preprints” (the authors do!).

## 2.2 OA Publications in 2018

The Open Science Workgroup has evaluated how much of ANEE’s scholarly output during 2018 has been published OA, and has examined how to improve this rate during subsequent years. The data comes from the publications listed in TUHAT under the Research Group “ANEE” and filtered using the year 2018. Since some still unpublished manuscripts were entered into TUHAT during 2018, these have been omitted from the results. The TUHAT data was exported into a CSV file and then imported into MS Excel, to which additional data was entered manually. We distinguished the publications by type (e.g., journal article, book, etc.), by peer review, by open access type, and whether it fulfills UH’s OA policy (i.e., is the publication uploaded to TUHAT).

In terms of results, the table below shows that in 2018, 45.7% of ANEE publications have been published OA, which means that it fulfills the OA criteria set by UH. Six publications (7,4%) are essentially OA available, but are not yet uploaded to the TUHAT repository (although the publisher allows this). Therefore they at present do not count as OA. We recommend that these publications will be uploaded to the TUHAT repository.

OA publications	(n)	(%)
No	38	46.91 %
No (but is possible)	6	7.41 %
Yes	37	45.68 %
<b>Total</b>	<b>81</b>	<b>100.00 %</b>

During 2018, ANEE has produced 81 publications, of which 54 (66,7%) are peer reviewed. In terms of OA publishing, peer-reviewed and non-peer-reviewed publications are roughly in balance, especially once the six peer-reviewed publications that can be considered OA have been uploaded to the TUHAT repository. If the latter is considered, this would bring OA non-peer-reviewed to 51.9% and OA peer-reviewed to 53,7%.

Non-peer-reviewed OA publications are primarily published through Diamond and Green OA means. The peer-reviewed OA publications are also primarily published through Diamond and Green OA means, and lesser through Gold and Hybrid OA means. The lack of Gold and Hybrid among the non-peer-reviewed OA publications is likely due to the fact that most for-profit science publishers focus on peer-reviewed publications.

### *Information on non-peer-reviewed ANEE publications*

OA publications	(n)	(%)
No	13	48.15 %
Yes	14	51.85 %
<b>Total</b>	<b>27</b>	<b>100.00 %</b>

Publication type	Not OA	OA	Total
Book chapter	9		9
Book review	3		3
Editorial		4	4
Journal article	1	10	11
<b>Total</b>	<b>13</b>	<b>14</b>	<b>27</b>

OA publication type	Book chapter	Book review	Editorial	Journal article	Total
Diamond				9	9
Green		1	4	1	6
Not OA	9	2		1	12
<b>Total</b>	<b>9</b>	<b>3</b>	<b>4</b>	<b>11</b>	<b>27</b>

*Information on peer-reviewed ANEE publications*

OA publications	(n)	(%)
No	25	46.30 %
No (but is possible)	6	11.11 %
Yes	23	42.59 %
<b>Total</b>	<b>54</b>	<b>100.00 %</b>

Publication type	No	No (but is possible)	Yes	Total
Book	3		1	4
Book chapter	8	3	9	20
Edited volume	4		1	5
Encyclopedia entry	2		1	3
Journal article	7	3	10	20
PhD thesis			1	1

Special issue	1			1
<b>Total</b>	<b>25</b>	<b>6</b>	<b>23</b>	<b>54</b>

OA publication type	Book	Book chapter	Edited volume	Encyclopedia entry	Journal article	PhD thesis	Special issue	Total
(Green)		3			3			6
Diamond	1	6	1		3	1		12
Gold					3			3
Green		2		1	2			5
Hybrid		1			3			4
Not OA	3	8	4	2	6		1	24
<b>Total</b>	<b>4</b>	<b>20</b>	<b>5</b>	<b>3</b>	<b>20</b>	<b>1</b>	<b>1</b>	<b>54</b>

To explore issues of OA publishing, we show in the table below a breakdown of the non-OA publications by ANEE in 2018 ( $n = 38$ ) by publication type and publisher's OA policy.

Publisher's allow rarely for books (3), edited volumes (4), or special issues (1) to be entirely OA (in some cases it is possible, but with high publishing fees). This explains why these type of publications largely remain non-OA. However, since institutional and funder policies on OA publications exclude monographs, this is not a problem at present.

In terms of individual articles (8), chapters (17), reviews (3), and encyclopedia entries (2), the reason for non-OA is different.

The main reason appears to be that the publisher's policy on Green OA self-archiving remains unknown and is not mentioned on their respective websites nor on the Sherpa/Romeo database. It can be noted that this is primarily an issue in the case of relatively small and independent publishing houses (note the lack of large publishers such as Brill, T&F, Elsevier). These smaller publishing houses often lack the expertise on OA publishing and may lose valuable customers when following OA policies.

This problem could be solved by asking the publisher directly regarding its policy and having this statement available to all ANEE researchers.

The other reason is that the publisher's Green OA policy has a too long embargo period (>12 months). This is primarily the case with larger publishing houses, such as Springer and Taylor & Francis.

This problem is less easy to solve and would require advocating to these publishers for shorter embargo periods. This is something that is done on an institutional or national level. One way ANEE can contribute to this is by publishing a list of OA publishers in its research fields on its website that follow the 12-month embargo period policy. If other publishers want to be mentioned on that list, it would require them to change their policy.

That publishers are aware of these embargo period policies was recently shown to us by a change in policy by Brill, which changed its embargo period from 36 months to 12 months, and thereby now fulfills to most funders' OA publishing criteria.

<b>Publication type and Publisher's OA policy</b>	<b>(n)</b>
<b>Book</b>	<b>3</b>
(blank)	3
<b>Book chapter</b>	<b>17</b>
Atlante (unknown policy)	1
Edita (unknown policy)	1
Gaudeamus (unknown policy)	4
Haminan kaupunginmuseo (unknown policy)	1
Harrassowitz Verlag (post-print embargo 18 months)	1
IEEE Metrology (unknown policy)	1
IES (unknown policy)	3
L'Harmattan (unknown policy)	1
Springer (post-print embargo 12 months; handbooks 24 months)	1
Ugarit Verlag (unknown policy)	2
Zaphon (unknown policy)	1
<b>Book review</b>	<b>3</b>
Oswald Sprengher Society (Free articles but behind registration page)	1
RBL (Green OA policy is 18 months embargo)	1
T&F JCAH (post-print embargo 18 months, except editorials)	1
<b>Edited volume</b>	<b>4</b>
(blank)	4
<b>Encyclopedia entry</b>	<b>2</b>
Springer (post-print embargo 12 months; handbooks 24 months)	2

months)	
<b>Journal article</b>	<b>8</b>
Archaeopress JGA (unknown policy)	1
Kosmopolis (unknown policy)	1
SES (unknown policy)	1
T&F (post-print embargo 18 months)	1
T&F Palestine Expl Quarterly (post-print embargo 18 months)	1
T&F Stu Theo (post-print embargo 18 months)	1
Tiede & editys (first 3 years closed)	1
Zeitschrift des Deutschen Palestinavereins (unknown policy)	1
<b>Special issue</b>	<b>1</b>
(blank)	1
<b>Total</b>	<b>38</b>

## Appendix 1: List of publications 2018

The following link provides access to the list of ANEE publications used for this report (can be accessed only through the University of Helsinki network):

- [https://helsinkifi-my.sharepoint.com/:x:/g/personal/bonnie\\_ad\\_helsinki\\_fi/ERelw\\_2Q6G1HiiOSSPpH2pkBqMHnjvXynpujn4VMKl1omw?e=KMhbKC](https://helsinkifi-my.sharepoint.com/:x:/g/personal/bonnie_ad_helsinki_fi/ERelw_2Q6G1HiiOSSPpH2pkBqMHnjvXynpujn4VMKl1omw?e=KMhbKC)

The 6 yellow highlighted publications are currently not considered OA, but can be uploaded to the TUHAT repository and thus make them OA.

## Appendix 2: List of journals

The following link provides access to the list of ANEE publications used for this report (can be accessed only through the University of Helsinki network):

- [https://helsinkifi-my.sharepoint.com/:x:/g/personal/bonnie\\_ad\\_helsinki\\_fi/EdQwMDP\\_dZHVAstMRz9EWTd0BroYceXVKPYa9fTuh3u2rHQ?e=7wz4Wh](https://helsinkifi-my.sharepoint.com/:x:/g/personal/bonnie_ad_helsinki_fi/EdQwMDP_dZHVAstMRz9EWTd0BroYceXVKPYa9fTuh3u2rHQ?e=7wz4Wh)

If ANEE members are aware of publishers/journals that should be included in this list, please add the journal name in the respective Excel sheet.