

# ANEE Open Science Workgroup report

## Evaluation of Open Access publication for 2019

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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 2019 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 **60,5% of ANEE's 2019 publications ( $n = 81$ ) are currently OA (either already OA or under embargo), but that this easily can be pushed up to 77,8%**. For 2018 these percentages were, respectively, 45,7% and 53,1% ( $n = 81$ ), suggesting that OA publications have become more dominant.

Among peer-reviewed publications, there are still 2 causes for the number of non-OA publications; (1) monographs are usually not published OA; (2) publishing houses have no OA policies readily available. The third cause noted last year — publishing houses require longer embargo periods — seems to be changing in the right direction, with publishing houses updating their policies to shorter embargo periods.

Note that an important guideline policy change has taken place since 2018 reporting, which is the Academy of Finland's adoption of the Plan S specification of OA publishing, which phases out the hybrid model as well as embargo periods. These changes will not yet affect ANEE but only future funded projects from 2021 onwards.

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

- to organise a workshop on the Plan S specifications of Open Access publishing that is being adopted by the Academy of Finland.

- to continue organising 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 ANEE members individually we recommend the same as in 2018:

- 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.

<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>

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.”

## 2. Open Access (OA) publications

### 2.1 Guidelines on OA publishing

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), “Scholarly 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: “The Academy of Finland requires that Academy-funded projects commit to ensuring immediate open access to their peer-reviewed articles in accordance with Plan S principles and Finland’s national policy for open access to scholarly publications.”<sup>6</sup>
3. The **Open Science National Coordination of the Federation of Finnish Learned Societies** notes: “No later than 2022, all new scientific articles and conference publications will be immediately openly accessible.”<sup>7</sup>

The Academy of Finland has recently adopted the Plan S principles for Academy projects funded after January 2021, which are currently more stringent than the University of Helsinki’s requirements. Detailed information can be found [on the Academy’s website](#). ANEE is not bound to the new Academy requirements, but — aiming for a leading role — it is important that as much as possible ANEE and its members commit to this newly adopted plan. This requires also further education of its members, e.g. through a workshop.

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

<b>Green OA</b> ( <i>also self-archiving</i> )	Depositing an article (“Publisher’s version”) or a version of it (“postprint”) into the institutional repository (UH’s Research Portal).	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	

<sup>5</sup> <https://www.helsinki.fi/en/research/research-integrity/open-science> (last accessed 21.4.2021)

<sup>6</sup>

<https://www.aka.fi/en/research-funding/responsible-science/open-science/academy-policies-on-open-science/open-access-to-scientific-publications/> (last accessed 21.4.2021)

<sup>7</sup>

<https://avointiede.fi/en/policies/policies-open-science-and-research-finland/policy-open-access-scholarly-publications> (last accessed 21.4.2021)

<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. Articles and books can be published OA by paying Article Processing Charges (APCs). Other articles and books remain behind a paywall for readers.	Immediately	Paid by authors, paid by readers	Explicitly not recommended in UH policy <sup>8</sup> ; the Academy of Finland does not allow hybrid publication <sup>9</sup>

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 currently allowed.<sup>10</sup> However, note that the “Academy is preparing to phase out embargos and adopt the Rights Retention Strategy, which enables immediate self-archiving, during 2021.”<sup>11</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> (also <i>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> (also <i>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

<sup>8</sup> “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/research-integrity/open-science>).

<sup>9</sup> “Peer-reviewed articles produced in Academy-funded projects may not be published using the so-called hybrid model, where individual articles published in subscription-based journals are made open access on payment.” (<https://www.aka.fi/en/research-funding/responsible-science/open-science/academy-policies-on-open-science/open-access-to-scientific-publications/>)

<sup>10</sup>

<https://www.aka.fi/en/research-funding/responsible-science/open-science/academy-policies-on-open-science/open-access-to-scientific-publications/>

<sup>11</sup>

<https://www.aka.fi/en/research-funding/responsible-science/open-science/academy-policies-on-open-science/open-access-to-scientific-publications/>

Researchers can always<sup>12</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.

## *2.2 OA Publications in 2019*

The Open Science Workgroup has evaluated how much of ANEE’s scholarly output during 2019 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 2019 and that the publications have been marked as “published”. We have used the “Open Access status” and “Peer review” filters in TUHAT in order to explore the dataset.

During 2019, ANEE has produced 81 publications, of which 45 (55,5%) are “peer reviewed”, 22 (27,2%) are “non peer reviewed” and 16 are “other” (incl. podcasts, trade journals, videos, PhD thesis; 19,8%). In terms of OA results, the table below shows that in 2019, 60.5% of ANEE publications have been published OA, which means that it fulfills the OA criteria set by UH. Fourteen publications (17,3%) 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.

<b>OA publications</b>	<b>(n)</b>	<b>(%)</b>
No	18	22,2 %
No (but is possible)	14	17,3 %
Yes	49	60,5 %
<b>Total</b>	<b>81</b>	<b>100 %</b>

<b>peer-reviewed OA publications</b>	<b>(n)</b>	<b>(%)</b>
No	11	24,5 %

<sup>12</sup> Occasionally, publishers try to claim embargo periods for “preprints”, but note that publishers do not hold the rights over “preprints” (the authors do!).

No (but is possible)	5	11,1 %
Yes	29	64,4 %

<b>Total</b>	<b>45</b>	<b>100 %</b>
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Peer-reviewed publication type	No	No (but is possible)	Yes	Total
Book	2		3	5
Book chapter	3	2	9	14
Edited volume	5			5
Encyclopedia entry			1	1
Journal article		3	16	19
Special issue	1			1
<b>Total</b>	<b>11</b>	<b>5</b>	<b>29</b>	<b>45</b>

Peer-reviewed OA publication type	Book	Book chapter	Edited volume	Encyclopedia entry	Journal article	Special issue	Total
(Green)		1			2		3
(Diamond)					2		2
Diamond					5		5
Gold					2		2
Green		8			3		11
Hybrid	3	1		1	6		11
Not OA	2	3	5			1	11
<b>Total</b>	<b>5</b>	<b>13</b>	<b>6</b>	<b>1</b>	<b>19</b>	<b>1</b>	<b>45</b>

To explore issues of OA publishing, we show in the table below a breakdown of the peer-reviewed non-OA publications by ANEE in 2019 ( $n = 11$ ) by publication type and publisher's OA policy.

Publisher's allow rarely for books (2), edited volumes (5), or special issues (1) to be entirely OA (in some cases it is possible, but with high publishing fees). This explains why these types 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 chapters (3) 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. However, the more important OA publishing gets, the more publishers will add adequate policy information on their websites. One reason we noted in our 2018 report — publisher’s Green OA policy has a too long embargo period, i.e. >12 months — seems less of a problem. For instance, while Brill already changed its policy some time ago (from 36 to 12 months), now also De Gruyter has changed its policy (from 18 to 12 months).

<b>Publication type and Publisher’s OA policy</b>	<b>(n)</b>
<b>Book</b>	<b>2</b>
<b>Book chapter</b>	<b>3</b>
Suomalaisen Kirjallisuuden Seura (unknown policy)	1
Yale University Press (unknown policy)	1
Zaphon (unknown policy)	1
<b>Edited volume</b>	<b>5</b>
<b>Special issue</b>	<b>1</b>
<b>Total</b>	<b>11</b>

## Appendix

The following link provides access to a PDF of ANEE publications currently non-OA but that can be made OA (by uploading the right version of document and/or setting the embargo period)

- [https://helsinki-my.sharepoint.com/:b:/g/personal/bonnie\\_ad\\_helsinki\\_fi/EXiKMD68RWVGjQTE0bNMczkBKPrfVTe0SY80kh7ZhbrzDA?e=gT5Zua](https://helsinki-my.sharepoint.com/:b:/g/personal/bonnie_ad_helsinki_fi/EXiKMD68RWVGjQTE0bNMczkBKPrfVTe0SY80kh7ZhbrzDA?e=gT5Zua)