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**Open access publishing for PhD students
in the social sciences at the University of Helsinki**

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Abstract

Open access publishing is usually a free route to publishing. It makes the articles available online for anyone anywhere in the world without a financial barrier. It creates more visibility and enhances research impact. Compared to non-open access, open access publications get more citations. Higher education institutes are supportive of open access in ways which researchers are unaware. The aim of this paper is to give a broad perspective of open access publishing to PhD students by highlighting the opportunities and challenges it offers. The demand for open access publishing by the funding institutions has also been highlighted. The focus of this manuscript is to inform students about the support provided for open access publishing by the University of Helsinki. The paper also provides links to useful databases and provides students with relevant information and suggestions.

List of Acronyms

AAM	Authors Accepted Manuscript
APC	Article Processing Charge
BPC	Book Processing Charge
CC	Creative Commons
DOI	Digital Object Identifier
ERC	European Research Council
OA	Open Access
PMC	PubMed Central
UH	University of Helsinki

1. Introduction

It is the night before your final essay submission for a course. You procrastinate the whole week and get it done just before the deadline, because you knew that all the information was available online and the only requirement of that essay was to cite authentic scholarly articles. However, when you actually started to look for the ‘scholarly published stuff’, you figured out that you do not have ‘access’ to many articles with abstracts that look exactly like what you wanted to read. They have an access paywall. This is all because you do not have ‘access’ to those articles in the age of digitalization.

The issue of access has been solved by the introduction of open access (OA) publishing, allowing anyone with an internet connection to read and learn from scholarly work and to maximize its impact. Open access is the term used to refer to unrestricted online access to articles published in scholarly journals (Laakso et al., 2011). It creates the opportunity to share knowledge and to reuse that to recreate new knowledge (García-Penalvo, 2010).

2. Why is open access publishing important?

2.1 Cost effective

Open access publishing is usually a free route to publishing in a journal. However, free access to everyone does not come without a cost. Thus, open access costs are also associated with article processing charges (APCs) for gold open access journals. While for green open access journals, the cost of maintaining the institutional repositories comes into play (Tenopir et al., 2017). The APCs are usually covered fully or partially by the university library services or from the funder.

2.2 Fast and secure method

Open access is a relatively faster method of publishing in a journal. However, the length of embargo period typically varies from between zero to 24 months or sometimes longer. In cases when it takes lesser than six months, then it is a relatively faster method. Also, it is a secure method, unlike commercial repositories of publishing, because the author signs a contract indicating that a license has been issued.

2.3 Demands made by funding providers

Some the funding providers in Finland, such as the Academy of Finland and the European Research Council have a requirement that open access publishing be included. Additionally, some funders, such as Kone and Marie Curie, promote open access.

2.4 Better visibility, more impact

Open access ensures better visibility because open access articles are available to everyone including citizens, public sector and private sector. Further, there are more readings, downloads and citations of open access articles, which creates more impact for open access published articles. According to a recent study (Roinila, & Kuusela, 2020):

“The state of open access publications receives 18% more citations than non-open access publications”

2.5 Promotes equality

Open access publishing is also of benefit to those who cannot afford to pay an international journal’s subscription charges. For instance, the library services in developing countries usually cannot afford the paywall access charges of journals, which is why researchers might be deprived of useful articles. However, open access publishing creates an equal access platform to the resources for the researchers, without creating a financial barrier.

3. **Kinds of open access publishing**

3.1 Gold Open Access Model

This model is an open access model in which the publication becomes openly accessible immediately (Koehler, 2006). Under the Gold Open Access Model, the document is made either totally or partially openly accessible by the publisher to whom the document has been submitted (Laakso et al., 2011). Gold Open Access is further divided into:

- a) Direct Open Access: the whole journal is published open access without limitations
- b) Delayed Open Access: most recent content is only available to subscribers, with time embargo is lifted and the content becomes Open Access.

Publishers or journals ask the author for an article processing charge (APC) or book processing charge (BPC) in the Gold Model. Authors have to pay that fee themselves or find institutional resources with which to pay. The University of Helsinki Library offers some discounts in high quality journals (see Appendix A). This list is updated regularly, but authors must check the deals/discounts that are available.

3.2 Green Open Access Model

This model ensures free route to open access publishing. The author deposits the article, or the author accepted manuscript (AAM) version of it in either

- a) in the institutional repository, or
- b) on the author's personal webpages
- c) in a subject specific repository e.g. PubMedCentral, ArXiv, etc.

After posting the manuscript, the author must wait for the embargo period which can take up to 12 months (Koehler, 2006). In this method, the full text version of a journal article can be accessed through search engines like Google Scholar to the potential reader (Laakso et al., 2011). The library services of the University of Helsinki do this archiving for the author; the author just has to email the AAM/post print (see Figure 1) file to the library.



Figure 1: The workflow of the article in the publishing process.

Image source: [University of Sheffield Library](#)

3.3 Hybrid Open Access Model

The Hybrid Model is a bit confusing and it often requires the institutions or libraries to pay twice for the same content known as double dipping. It includes APC or BPC paid by author or institution.

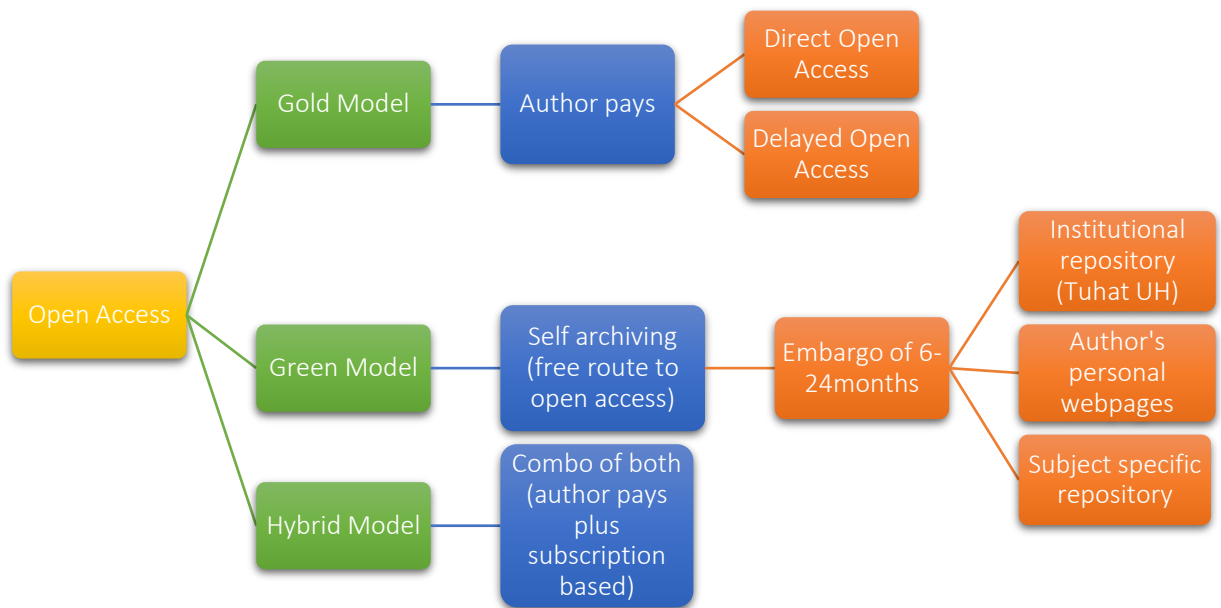


Figure 2: The three types of Open Access publishing

4 Licensing

The licensing step should not be overlooked in the OA process in order to avoid copyright infringement (Koehler, 2006). Creative Common (CC) licenses are the standard for open access work. The license allows the copyright of the work to remain with the author. However, if the data contain sensitive information that can identify confidential information, the data must be anonymized before sharing. There are several types of CC licenses and in the UH self-archival platform, authors can choose which license is best suited to their research work after [reading up about them](#). Overall, the University of Helsinki encourages the CC 0 license in which the author gives up all copyright to promote open science. One thing that should be noted is that you can choose multiple licenses for sharing different parts of the work, such as text and photos.

5 International initiatives supporting Open Access

Open access publishing has been highly supported by the international community and the following important declarations are based on that:

- i. Budapest Open Access Initiative
- ii. Bethesda Declaration
- iii. Berlin Declaration
- iv. IFLA Declaration
- v. cOALition S

In September 2018, a group supported by the European Commission and the European Research Council (ERC) came up with the aim to make all publications open access and immediately available without embargo, effective from 2021 (cOALition S, n.d.). To achieve this aim, they came up with Plan S consisting of a target and ten principles. The group consists of both private and public funders. The Academy of Finland is also one of the funders. The funders are going to support open access research in every way possible and will not support hybrid models of publishing. They will provide high quality open access platforms for publishing, support publication fees and copyright ownership, ensure transparency in the process, monitor compliance, assess the research on intrinsic value and not on journal metrics like impact factor.

6 The demand of funding applications

4.1. Academy of Finland

Since the beginning of 2016, the Academy of Finland has required Academy-funded projects to be committed to open access publishing (section 4.3 of application ‘open science’). It is a requirement that the research plan of the grant applications submitted to the Academy of Finland should include a publication plan aligned with the open access publishing policy of the Academy (Academy of Finland, n.d.).

In case of gold publishing, the researcher will pay the APC with Academy funding and that will be mentioned in the research costs of the project application. However, the publisher is required to submit the article immediately to get it published.

The funding can also cover hybrid publication but due its pitfalls of malpractice and high cost, the Academy termed it a ‘temporary solution and part of transition towards full open access’ (Academy of Finland, n.d.).

In case of green access publishing, the Academy follows the embargo period of no more than 12 months in the humanities and social sciences and less (up to six months) in other disciplines.

With regards to data management, it has to be made available as soon as possible after the publication or if it cannot be made openly available, it should be stored as metadata in a Finnish or intentional data repository. The costs of storing and sharing the research data and material must be included as overhead costs of the project in the application.

4.2. Kone Foundation

The Kone Foundation recommends the open access publishing and data management. The foundation provides examples of open access repositories such as ResearchGate and Academia. Kone is also willing to pay for open access publishing, but it forbids the use of hybrid platforms/journals (Koeensaatio, n.d.).

4.3. Marie Curie

Marie Curie requires electronic copies of research publications to be available within six months of the date of publication through [Europe PubMed Central](#) (Europe PMC) (Mariecurie, 2020). Europe PMC is an open and free access digital archive. The policy applies only to peer reviewed, original research and systematic reviews and does not cover book chapters, editorials, etc. Marie Curie expects to cover the expenses of open access publishing in the case of sole funder and requests the inclusion of OA fees in the application. In the case of gold open access, Marie Curie will cover the APC while in the case green open access, the foundation is strict about the six-month embargo period rule.

4.4. European Research Council (ERC)

ERC is a keen supporter of open access publishing. It is mandatory for all ERC projects to be open access shortly after their publication. The recommended repository is PMC for the publications from Physical and Engineering sciences while the council has no specific recommendation for the social sciences and humanities. Apart from PMC, the open repositories of ERC include [arXiv](#), [OAPEN library for open source](#), [Zenodo](#), [Figshare](#), [Dryad](#) and [OpenAIRE](#) (ERC, n.d.).

7 Commercial repositories for Green OA

Commercial repositories like Academia.edu or ResearchGate increase the visibility of researchers and their work. The authors can get feedback from their community and can initiate discussions. However, it is always advisable to approach commercial repositories after archiving to an institutional repository (Helda at the UH). Also, permission to share the articles on these repositories should be checked with the publishers and funders. It should be kept in mind that these repositories do not ensure permanent or long-term storage and high-quality checks. An author's work can be misused in these repositories and their policies can also change for time to time, denying free access.

8 How the University of Helsinki supports OA

Higher education institutions are supportive of open access which the researchers are unaware of (Creaser, 2010).

University of Helsinki has a self-archived publication platform known as HELDA. In this archive the publication is added through the [Tuhat research database](#). Hybrid publications are not recommended although they are only accepted if they facilitate the transition to a fully open publication model. Master's, licentiate and doctoral dissertations are published openly at the University of Helsinki. The University requires an ORCID id to be linked to the TUHAT profile and use that id while publishing the academic articles and other written work.

The Faculty of Social Sciences fully supports open access publishing by covering the publication fee up to €2000 per publication. The cost of open access publishing will not be covered if the researcher can pay it from his/her project funding or if the researcher is not the first author or has not made the major contribution in the research work. To apply for support, an author must fill in the form mentioned in the useful links below.

9 Risks for researcher

Although there are some benefits of Open Access publishing, but they do come with some risks and reservations for researchers:

- Since it is an open access publication, it is free for commercial use; this could lead to the reproduction of work without the author's permission
- Some researchers are concerned that depositing in the institutional repository would be considered illegal (Self-archiving is NOT illegal)
- Although funding applications and library services encourage avoiding hybrid publications, often top journals are mostly hybrid journals (requires APC) which could cause reservations for researchers
- Usually open access publishing is a faster method, but some journals have an unreasonably long embargo period, which is a cause of concern for the researchers
- In the case of green open access, the institutional depository demands authors' accepted manuscript (AAM), however this version of the manuscript usually does not include a Digital Object Identifier (DOI) which is a reservation for researchers
- The awareness and demand for Open access publishing is increasing with time but there are still publishers who deny self-archiving completely which is a hindrance to embracing open access publishing completely

10 Main tips for PhD students

- Include open access publishing fees in the funding applications. Mention this explicitly.
- For green access publishing, which is free of charge, if you are confused about the process which is self-explanatory in Tuhat, just send the AAM/post print file which is peer reviewed to the library email id: openaccess-info@helsinki.fi and the archiving will be done by them.
- Communicate clearly the OA requirements and process before the writing process with co-authors of your publication to avoid any confusions later.
- In the case of the gold access model, beware of predatory journals. Always check the Publication Forum classification of the journal before aiming for the relevant journal and avoid those with a 0 rating.
- Save all the versions of the article; you might be needing them for self-archiving.
- Avoid journals for which the peer review process is nonexistent or is nominal.
- Avoid hybrid publications as much as you can. Funders, institutions do not support them. The Faculty of Social Sciences especially does not support the expense of hybrid publication.
- Create/update your ORCID id and link that to TUHAT. Use that in all your publications/written work. It is your identity in the academic world.
- Choose the license for your open access data and open access research very carefully, for any queries you can always use library services.
- If you cannot afford or find a deal (from university services) to cover the article processing charges, you always have the open access option to self-archive in the TUHAT institutional repository.
- The University of Helsinki also offers courses to learn more about open science.

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Appendix A

	Purpose	Links
1	Articles/Book processing charges and discounts for UH researchers	https://libraryguides.helsinki.fi/apc/journals_discounts (updated regularly)
2.	Directory for open access journals	https://doaj.org/
3.	University info id	openaccess-info@helsinki.fi
4.	Open Access guide at UH website	https://libraryguides.helsinki.fi/oa/eng
5.	To see publishers conditions for open access from journal by journal basis	https://v2.sherpa.ac.uk/
6.	A video explaining Open Access	https://youtu.be/L5rVH1KGBCY
7.	Faculty of Social Sciences Open Access publishing support form	https://elomake.helsinki.fi/lomakkeet/81804/lomake.html