

Reboot the system? Finnish scholarly journals, funding and infrastructure

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Jyrki Ilva <jyrki.ilva@helsinki.fi>

Making open access viable for Finnish journals

- The Kotilava project (www.kotilava.fi), 2015-2017, is a part of the Open Science and Research initiative funded by the Ministry of Education and Culture
- Based on the recommendations of a report on the potential funding models for the Finnish scholarly journals ([Ilva & Lilja 2014](#))
- The project has two main goals
 - To provide an improved Open Journal Systems -based technical platform for the Finnish journals (Federation of Finnish Learned Societies, started in September 2015)
 - To create a sustainable funding model for the journals to support their transition to Open Access (National Library of Finland, started in March 2016)

Not starting from zero...

The share of open access articles published by the employees of the Finnish research organizations in domestic publication channels and all publication channels in 2015 (source: www.juuli.fi, including both Gold and Green OA):

Publication types	OA in domestic channels	OA in all channels
Peer-reviewed journal articles (A1, A2)	25,0 %	20,3 %
Peer-reviewed articles in books (A3)	17,2 %	10,8 %

Journals and open access (1)

- About one third of the Finnish scholarly journals are already open access journals – either immediately or after a delay (delayed OA)
 - So far, many of the most prestigious journals have not moved to OA publishing
 - Many of the journals are still only available in printed form or as part of a subscription-based service
- There is a growing pressure on the journals for moving towards open access
 - Open access mandates (Academy of Finland, several universities)
 - Allowing the self-archiving of articles into open access repositories will be a requirement for receiving state funding

Journals and open access (2)

- There is actually a lot of interest in moving towards an OA model among the domestic journals
 - Journals would benefit from having more visibility to their articles, which are often relatively hard to find
 - Researchers and research organizations would benefit from easier access and (possibly) higher number of citations
- However, before the journals are willing to move ahead there should be a sustainable funding model that would enable the transition
- There is also a need for improved technical processes and publishing platforms suited to open access publishing

Improved infrastructure (1)

- The Federation of Finnish Learned Societies has been maintaining a centralized publishing platform (ojs.tsv.fi) for the journals of its member organizations since 2006
 - The service is based Open Journal Systems (OJS), a globally used open source platform developed by the Public Knowledge Project
 - The publishing platform is being modernized and re-branded during the Kotilava project, with new design and functionalities
 - The platform will be upgraded to OJS 3, a major new version of the software coming out at the end of August, 2016
 - The upgraded version of the platform is expected to be available in November, 2016

Improved infrastructure (2)

- The journals will be better integrated with national and international infrastructures
 - The article level metadata can be harvested to other systems via APIs
 - Adoption of the permanent identifiers in Finnish journals: DOIs for the articles, ORCIDs for the authors
- The use of XML format in journals
 - Additional funding received from the European OpenAIRE project for piloting the use of a XML-based publication format
- Long-term preservation will be ensured in co-operation with other national projects

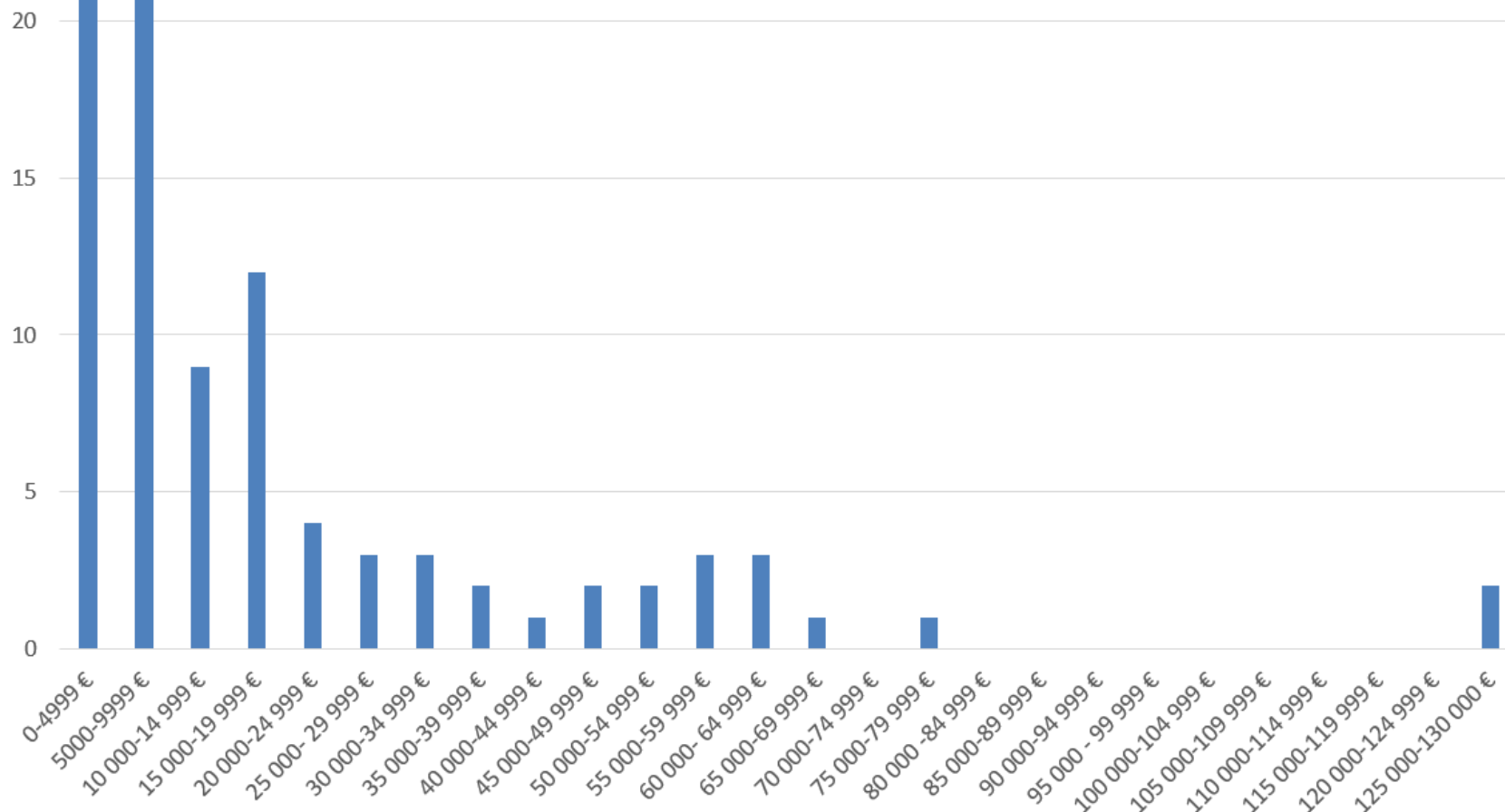


Small publishers, small money

- Most of the 100+ Finnish scientific journals are published by small scholarly societies
 - Most of them operate with very little - or in some cases, no - money
- The life of the journals largely depends on unpaid work
 - A few of the more affluent journals may have a part-time or full-time editor or subeditor who has a salary

Differences in revenue

The revenues of 90 Finnish scholarly journals in 2014.
Source: Federation of Finnish Learned Societies



Current sources of revenue

- The main sources of income are subscriptions, membership fees and state funding
 - Individual subscriptions and society membership fees important for many journals
- State funding is distributed by the Federation of Finnish Learned Societies
 - About one million euros a year, some of which goes to book publishers
 - The journals need to have other income as well – the funding covers a percentage of total income
 - Meant to cover deficits – not available to journals that make a profit or break even

Do we need to reboot the system?

Reboot system

Are you sure you want to reboot the system?

Yes

No

- If we want the journals to survive - and flourish - after they make the transition to OA, making small adjustments to the current model is not enough
- If the journals risk losing subscription income, they need new sources of revenue

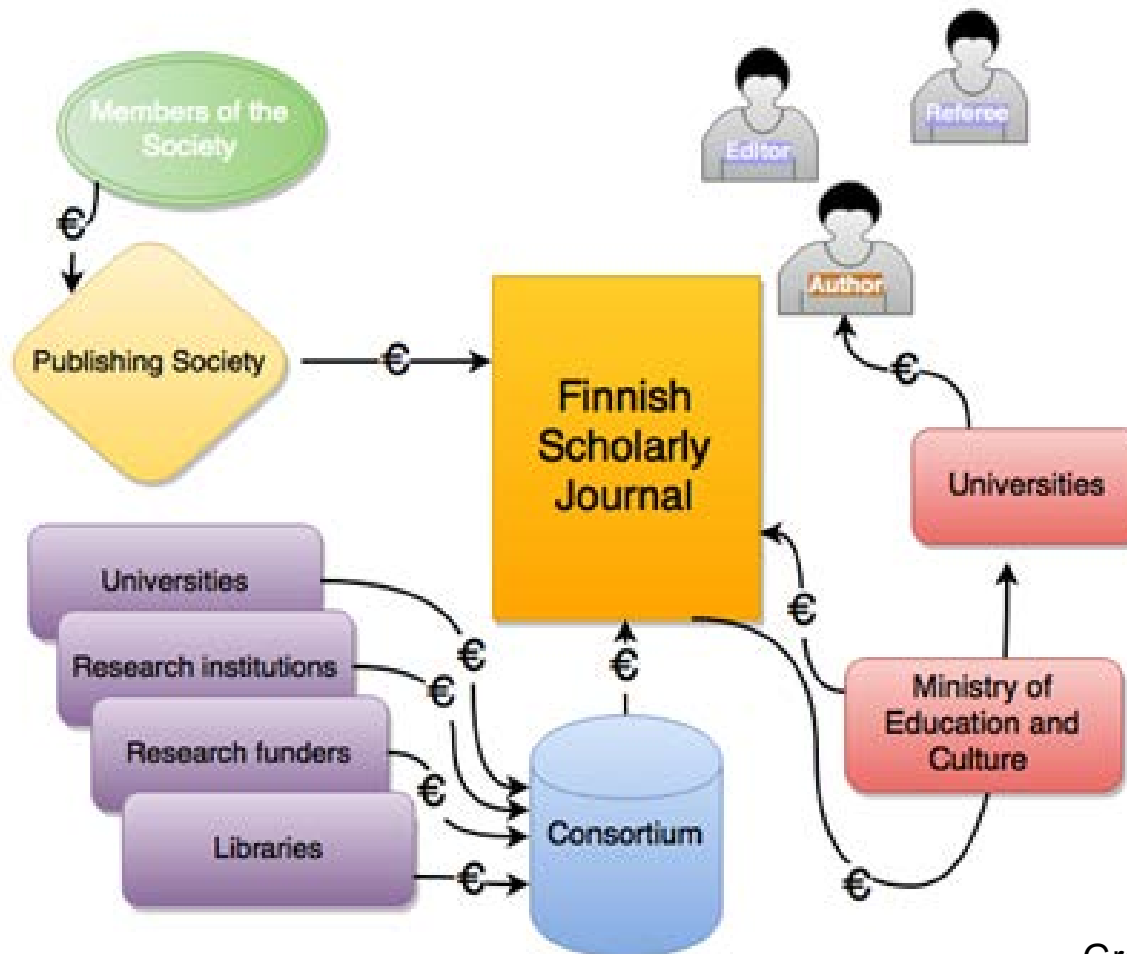
We can do this together

- This is something that could actually be solved fairly easily on a national level – but only if we are willing to work together
 - The Finnish domestic journals are mostly run by researchers, not by big commercial publishers
 - There are no elseviers or wileys or springers with large-scale business interests in the way
 - The amount of money that is needed is not huge

A national consortium to fund the journals?

- The aim of the Kotilava project is to create a national consortium which would provide funding to the journals
 - The journals generally agree that a consortium-based funding model would be the preferred solution for them (Ilva & Lilja 2014)
 - Adoption of article processing charges (APCs) is not seen as desirable
 - The organizations that benefit from the work the journals are doing are seen as potential funders: e.g. universities, universities of applied sciences, research institutes, research funders
- The continuation of state funding is also seen as essential
 - The income received from the consortium and the state funding would compliment each other

The way it might work...



Graph: Johanna Lilja 2016

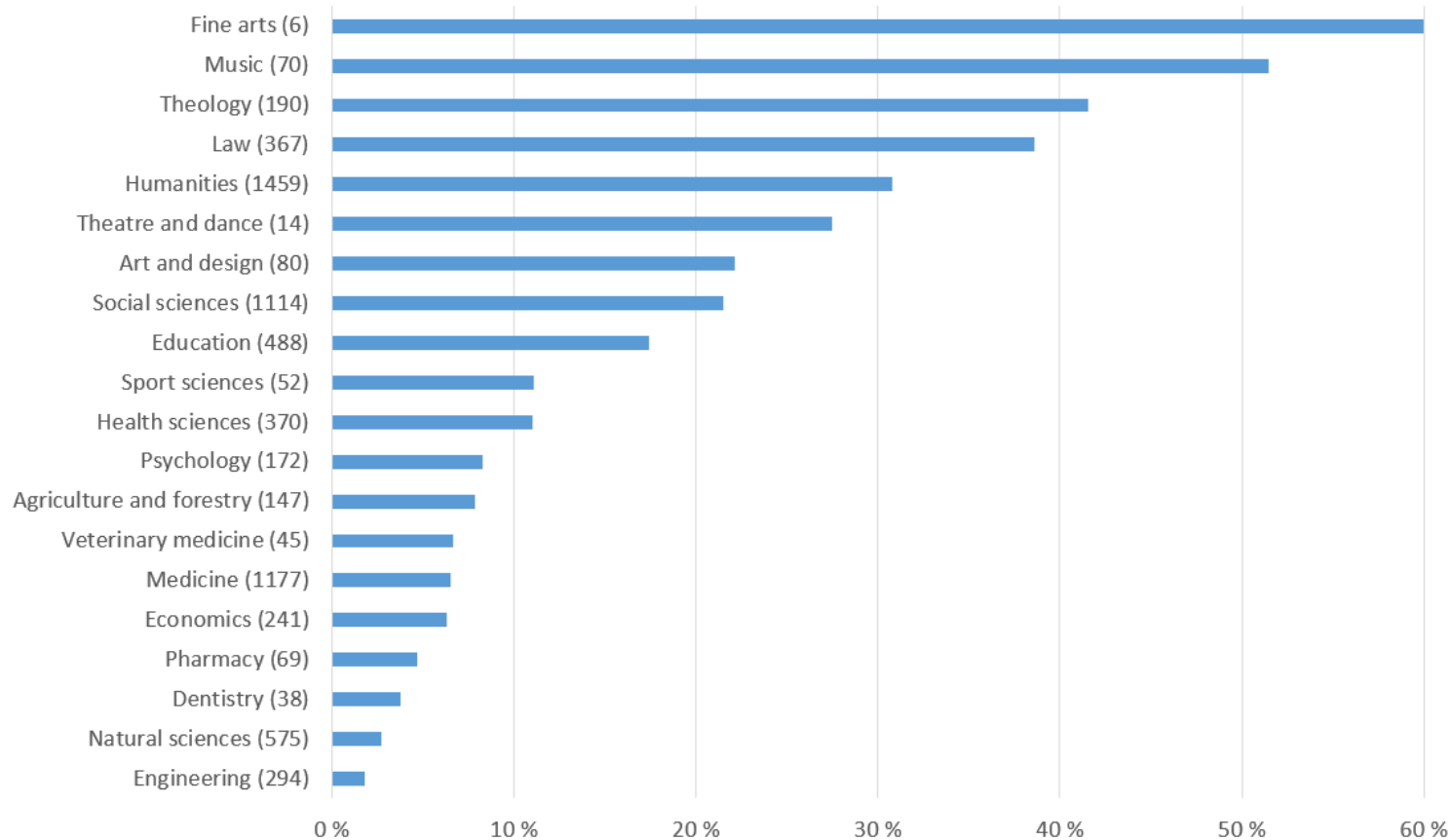
How to motivate the funders?

- If you are a research organization or a funder, why should you start giving money to the domestic journals?
- Publish or perish – one of the basic facts of academic life
 - Journals are important: the universities have largely outsourced the evaluation of research quality to the journals
- The current university funding model makes the benefits very concrete
 - 13% of total state funding (200 million euros a year) is distributed based on the number and quality of the publications
 - The universities receive a substantial sum of money for each peer-reviewed research article

Domestic journals as publication channels

- About 8% of the peer-reviewed journal articles produced by Finnish researchers are issued in domestic journals
 - If we count the non-peer-reviewed content as well, the total share of the domestic journals is 15%
 - The domestic journals are very important for many research fields, including the humanities, social sciences, law, theology
 - On the other hand, domestic publications are rare in high-volume fields like natural sciences and engineering

The share of domestic journal articles in different fields



Peer-reviewed articles (publication types A1 and A2) published in domestic journals at the Finnish universities in 2011-2015, as a percentage of the total number of peer-reviewed journal articles, listed by the field of education. The number of domestic articles in brackets after the name of the field. Source: www.juuli.fi.

Research libraries and open access funds

- The administration of open access payments to the international publishers is currently a big issue for the libraries
 - The handling and monitoring of APCs requires a lot of work
 - According to [Naukkarinen \(2016\)](#) we can make educated guesses on how much we pay, but we don't really know
- "Double dipping" is a problem for the libraries - paying both OA charges and license fees for the same content
 - The profits of the major publishers are rising - new money from the research funders which support the payment of APCs
- "Total cost of publication" – all of the publications-related costs should be added together to get the full picture
 - Offsetting deals with the publishers - using the licensing money to open up the organizational research output

Research libraries and domestic journals

- The total revenue of the 90 journals receiving state funding is about 1,9 million euros
- The Finnish research libraries currently spend relatively little money on the acquisition of these domestic journals
 - There are no large-scale "Big Deals" with the publishers
 - Income from individual subscribers and membership fees generally much more important to the Finnish journals
- [Schimmer, Geschun & Vogler \(2015\)](#) claim that there is enough money in the system for a full-scale transition to open access
 - For the Finnish journals this is not really true
 - It is not possible to fund the transition using the money the libraries are currently spending on the domestic journals

The aims of the new funding model?

- The research organizations may end up paying more than they do now, but they should feel that they get compensated for that
 - In return for the funding the journals will pledge to follow certain standards in e.g. openness, licensing, peer review, infrastructure
 - The researchers will have competitive high-quality publication channels, which provide visibility and metrics for their work
- The funding model will be a compromise between different interests
 - There are big differences in the cost structures and operational cultures of the journals, and in the long run there may be winners and losers
 - This should be OK, as long as the model is fair and transparent
- We should not only think in terms of survival – we should aim for a financial model that is better than the current one

An article-based funding model? (1)

- An article-based funding model would seem to be the best choice
 - The bigger journals with more articles would get more money than the small ones
 - The organizations with more publications would pay more
 - The money would be collected and distributed based on the number of articles published by the researchers affiliated with an organization

An article-based funding model? (2)

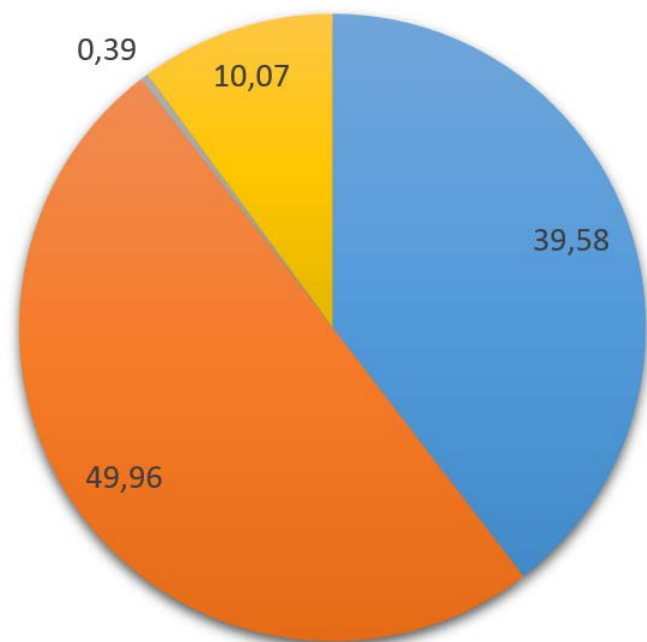
- Article-level metadata (with affiliations) needed for the collection and distribution of the money
 - Could be collected automatically from e.g. OJS or the journals could report it via the Arto ingest form to the Arto database
 - The research organizations could use this metadata in their own current research information systems
 - Money would be paid only for the content that is reported

An article-level funding model? (3)

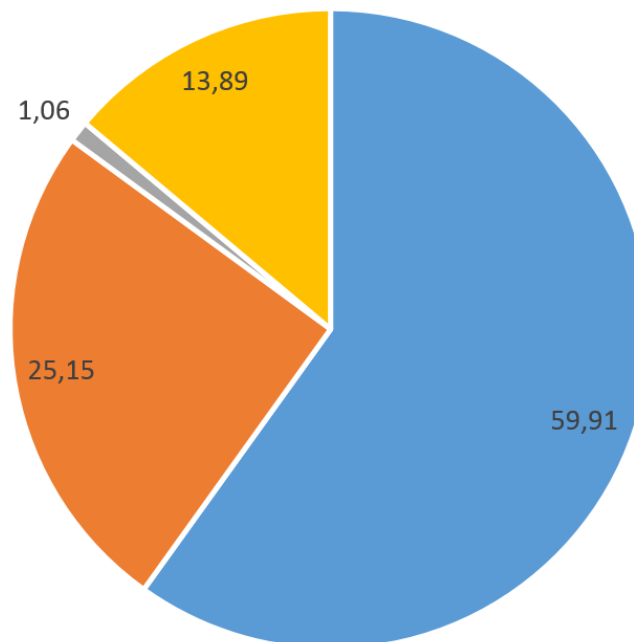
- Would all peer-reviewed articles have the same price or would there be different price categories?
 - In 2014 the 90 journals receiving state funding published 1383 articles, for which the average article price would have been ~1500 euros
 - There were big differences in the cost structures of the journals
- The income from the new model should cover significant part of the costs, but not all of them, at least not for all journals
 - The societies could continue subsidising the costs from e.g. membership fees and the rest would come from the state funding
 - Moving to open access might also enable the journals to cut some of their present costs

Differences in cost structures

Cost structures of journals receiving state funding in 2014 (%). Revenue class A (0–9 999 €, N=92, n=42)



Cost structures of journals receiving state funding in 2014 (%). Revenue class C (30 000 € <, N=92, n=20)



■ salaries ■ printing and distribution ■ marketing ■ other

Open access - options for saving money?

- Getting rid of the print version?
 - The annual printing and distribution costs for the 90 Finnish journals receiving state funding have been about 600.000 euros (30% of the total costs)
 - Some journals do have a very substantial subscriber base
 - Print is no problem as long as the printing and distribution costs are covered by the subscription and membership income
- Salaries paid to the editors and subeditors have been another major cost for many journals
 - This should be supported even in the new system - we can not expect to build a sustainable system on unpaid work alone
 - However, it might be possible to use shared resources
- Using a shared technical infrastructure would help as well

Non-peer-reviewed content?

- In addition to the peer-reviewed articles, most of the domestic journals publish other content as well
 - Review articles, discussion, book reviews, news items
 - Journals are also a forum for interaction within a research field
 - Academia is supposed to be a community, not just an article-producing factory
- Should the non-peer-reviewed content be taken into account in some way in the funding model?
 - A small sum of money paid for these as well?

212 Kirjallisuutta – Litteratur

Tiede julkaisemisen vankina

KARVONEN, ERKKI, TERTTU KORTELAINEIN & JARMO SAARTI (2014). *Julkaise tai tuhoudu. Johdatus tieteelliseen viestintään*. 240 s. Vastapaino, Tampere.

Tutkimustyön käytäntöjen muutos on ollut yksi yliopistopolitiittisen keskustelun kiivaampia puheaiheita viime vuosina. Monesti keskustelun ydintemäksi on valikoitunut tieteellisen julkaisemisen luonne. Yliopistojen rahoitusuudat on sidottu entistä tiiviimmin yliopistojen julkaisutuotantoa luotaaviin mittareihin ja tutkimustyön muodot ovat räätälöityneet miellyttämään näitä mittareita. Sivutuotteena ei ole syntynyt ainoastaan mittavia julkaisuluetteluita, vaan myös tutkijoita jatkuvasti kuormittava paine julkaista oikeanlaisia tekstejä oikeanlaisissa foorumeissa oikeanlaisella aikataululla. Jos kehityksessä tahdotaan nähdä vain mustaa ja valkoista, kiteytyy akateemisen kilpailutalouden ydinsanoma nykyisin karuun mutta johdonmukaiseen käskyyn: *Julkaise tai tuhoudu!*

Tämä kärkevä väittäma on kolmen tieteellisen viestinnän asiantuntijan kirjoittaman teoksen yläotsikko. Informaatiotutkijat Erkki Karvonen ja Terttu Kortelainen sekä Itä-Suomen yliopiston kirjastonjohtaja Jarmo Saarti avaavat tieteellisen julkaisemisen lähtökohtia, muotoja ja kehityssuuntia yhdistäen oppikirjamaista ainesta ja kriittistä tiedekulttuuritutkimusta. Teos toimii lupauksensa mukaisesti johdantona tieteelliseen viestintään, mutta nohtii samalla ilmai-

Monialaisesta otteestaan huolvan johdonmukainen ja syvällir julkaisuprosessin rautalankamall hieman väärässä paikassa teokse lukijakunta koostunee rutinoitun jen välisenä liimana on kirjoitt luodata lukijoita ja koko akateen viä julkaisemisen käytäntöjä sel kunnallisesti painavaa tiedettä Barthesia lainaten kirjoittajat ha julkaisukäytäntöjen myytnomai:

ajallisesenvarai: sä on sel ohjautuv koetaan tieente ten lähti töjä tule muutoks jan velv tavoittel yhteistä tajat lop tävät, pa

Teoks mutta ju viestinnä olon läl alaisteta Vaikka j tyyliit, k yleisöt tain ja aikaisemis vää ja pe tu julkai: teellisen ja se pr tulokset teellisen



International journals published in Finland?

- There are also a fairly high number of Finnish journals that are aimed for an international audience
 - Some of these have a high profile in their fields
 - In some cases there are very few authors from the Finnish research organizations
- Are there strong enough incentives for the Finnish organizations to fund them?
 - Will there be a need for additional funding (possibly APCs)?



Funding and editorial independence?

- The journals should retain their editorial independence even if they get funding from the research organizations
 - An affiliation should have no effect on the publishing decisions
- Quality vs. quantity
 - In an article-based model the journals would earn more money if they publish more articles
 - Should there be mechanisms to make sure that the journals don't sacrifice quality for quantity?
 - Or can we just trust the integrity of the journals?

A sustainable model?

- Sustainable funding
 - The publishers should be able to trust that the consortium will be around for the long term
- Sustainable administration and maintenance
 - Resources are needed for the administration of the consortium
 - To keep the costs at a reasonable level, the model should be as uncomplicated and automated as possible
 - The maintenance and future development of the centralized technical infrastructure also requires stable resources

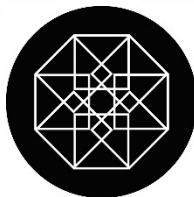
What next?

- The Kotilava project will continue the development of the technical infrastructure and the funding model
 - A preliminary funding model is planned be piloted with 12 journals in 2017, with external project funding
 - The principles and details of the final model will be discussed with the Finnish research organizations, research funders, libraries and publishers
- Contact persons:
 - Technical infrastructure - Antti-Jussi Nygård, Federation of Finnish Learned Societies, [antti-jussi.nygard\[at\]tsv.fi](mailto:antti-jussi.nygard@tsv.fi)
 - Funding model - Riitta Koikkalainen, National Library of Finland, [riitta.koikkalainen\[at\]helsinki.fi](mailto:riitta.koikkalainen@helsinki.fi)

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