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Developing Institutional Open Access Publishing Models to Advance Scholarly Communication

The DIAMAS Landscape Report

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The DIAMAS project has received funding from the European Union's HORIZON-WIDERA-2021-ERA-01 grant

Funded by the European Union

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Project background

- Earlier research showed problems with the structure of OA publishing
  - “A wide archipelago of relatively small journals serving diverse communities”
    Bosman, J., Frantsvåg, J. E., Kramer, B., Langlais, P.-C., & Proudman, V. (2021). OA Diamond Journals Study. Part 1: Findings. Zenodo. https://doi.org/10.5281/zenodo.4558704
  - Diamond OA an import part of institutional publishing
  - DIAMAS to look at institutional publishing

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The work

WP2

- Some 40 competent and interested persons from around 20 organisations participated
- Started in September 2022 and delivered the report end of November 2023

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Little to build on

- No data previously collected on institutional publishing as such
- No organisations geared to institutional publishing as such
- Had to start from scratch
- Initiated a large survey
- Institutional Publishing Service Provider (IPSP) a central term
    - Institutional Publishing (IP) activities
    - Service providers (SP) to such IPs
    - Or combinations of IP and SP

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What we did

- Created a survey
  - Trying to cover many aspects
- Tried identifying possible IPs and SPs in ERA
  - Data we had was skewed towards OA journal publishing
  - Some data relevant to OA and TA book publishing
  - Engaged networks we knew of
- Sent out to more than 5,000 e-mail addresses late March-early May 2023 in 10 different languages
  - And to e-mail lists, and to organisations asking them to distribute to their members
- Due to the earthquake, dissemination to Türkiye was postponed until September
  - Country report planned for later this year

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Some results

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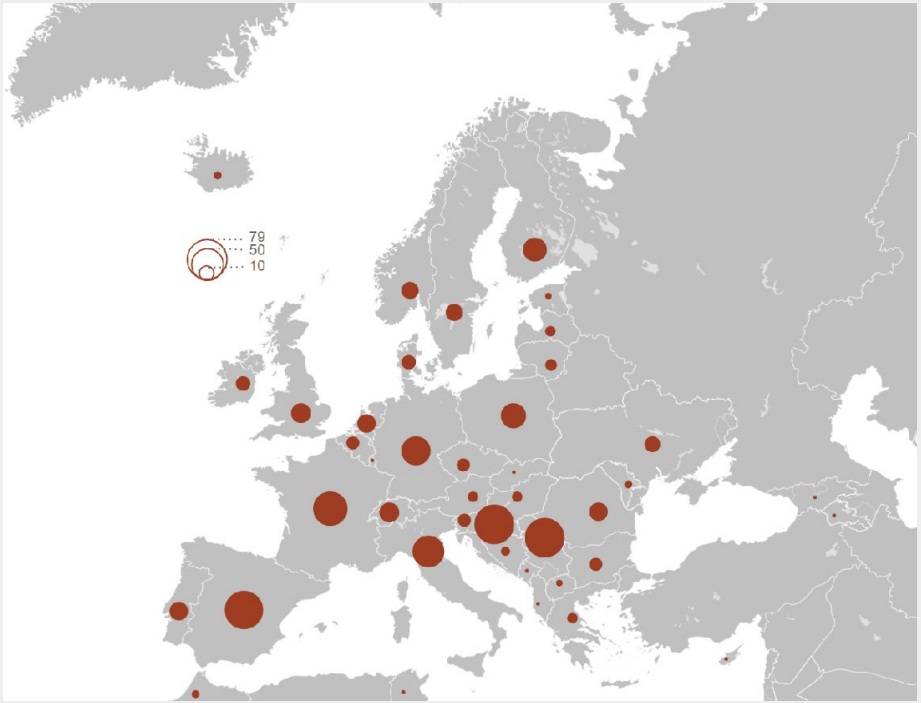
What did we get?

685 responses we could use

- An uneven geographical distribution
  - But most countries adequately represented
- Our numbers indicate that a major part of IPSPs are represented
  - But the smallest ones underrepresented
- ¾ IPs, ¼ SP
- 90% publish journals
  - Most publish relatively few journals, <5



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Some major findings

- Countries are more different than regions are
- Organisation of scholarly publishing activities on a national scale very important
  - Support and administrative structures
  - Networks and organisations
  - Funding opportunities

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Finances & organisation

- >2/3 are non-commercial public organisations
  - SPs more likely to be private companies
- ≈60% IPs and SPs part of a parent organisation

- Mainly small-scale activities
  - Heavily dependent on voluntary and in-kind contributions
- The Diamond model is very common
- APC used as a revenue stream by 19% of OA journals publishers
- VAC (voluntary author contributions) used by 23.5%

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Finances & organisation cont.

- 54% of all-diamond publishers rely on fixed and permanent funding from parent organisation, 20% on periodically negotiated funding from parent
  - high reliance
- 31% rely on content and print sales
  - low reliance
- Some 70% would consider cooperating with others to save costs

  At least in some area:
  - IT services, Production services and Training, support and/or advice on publishing policies and best practice the most important, all with more than 40% inclination to cooperate

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Open Science practices

- Double-anonymous peer review most common (76%)
- Open peer review used by 17%
  - ≈30% of respondents willing to implement in the future
    - Many use OJS for journal publishing, Open peer review not yet an option in OJS
- 90% of journal output OA
  - 76% of conference output
  - 58% of academic books
- 97% of journals OA in Eastern Europe
- Academic journals the most important output, >90% of respondents using this format

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Open Science practices cont.

- 87% of respondents adhere to OA or Open Science policies on various levels
  - National, institutional, their own
  - Variation between countries, national policies not important in all countries
  - Most important for OA journals
- Only 45% consider their content well indexed, 55% want improvement
  - Satisfying technical and non-technical participation criteria together with metadata criteria a problem for 60%
  - Paying for membership and recurring charges a problem for >40%
  - More of a problem for smaller IPs
- Equity, Diversity, Inclusion and Belonging (EDIB) generally not well implemented

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Takeaways

- The typical IP is small and rather alone
- Needs better and more stable, reliable, and long-term financing
- Needs partners to co-operate with
  - Bigger could be better?
- Needs support
  - Competence must be made available
  - Advice on best practices and how to best align with these
  - Support on how to implement various practices and technical options
- Strong willingness to align with Open Science practices and good publishing practices

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Outputs available now

- A treasure trove is found at https://zenodo.org/communities/diamasproject?q=&l=list&p=1&s=20&sort=newest

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D2.1 IPSP Scoping Report 10.5281/zenodo.7890567
Defining some concepts and giving a precise geographical definition

DIAMAS Survey Questionnaire and Glossary 10.5281/zenodo.10207447
The English version of the Questionnaire used in the survey, and the accompanying glossary

D2.3 Final IPSP landscape Report: Institutional Publishing in the ERA: Results from the DIAMAS survey 10.5281/zenodo.10022183
The full-length 237-page report including short country reports

Institutional publishing in the ERA: Full country reports 10.5281/zenodo.10026206
A supplement to the above, with longer country reports for some countries

The European landscape of institutional publishing - A synopsis of results from the DIAMAS survey 10.5281/zenodo.10551709
A short version of the full-length report

Institutional publishing in the ERA: Complete country reports 10.5281/zenodo.10473494
A companion to the synopsis – the longer country reports for the countries that has one, and the shorter reports for the other countries

DIAMAS survey on Institutional Publishing - aggregated data 10.5281/zenodo.10590502
Survey data aggregated on a level that allows us to share them

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Developing Institutional Open Access Publishing Models to Advance Scholarly Communication

The diversity in open

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Where is diversity manifested?

- Results from the survey do not show large differences among regions
- The most important differences can be observed between individual countries within regions
- Organisation of scholarly publishing activities on a national scale is affected by
  - Funding opportunities
  - Platforms and infrastructures
  - Networks and organisations
  - Policies

Average values per groups	Journals	Books
Overall	**90.1**	**58.2**
Poland	**97.2**	**61.2**
Finland	**99.6**	**67.2**
United Kingdom	84.6	**74.0**
Croatia	**90.3**	51.6
Italy	85.1	**76.5**
Serbia	84.7	49.8
Spain	**96.3**	33.4
France	86.5	51.0
Germany	86.4	**86.2**
Switzerland	80.2	**100.0**

How much of the IPSP's published content is in Open Access?

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Why national differences matter?

- when considering future actions aimed at increasing the prevalence of open access, it is beneficial to identify gaps and recognize the leaders in OA adoption
- countries within the same region can exhibit markedly different practices
- importance of tailoring actions aimed at increasing OA content shares to the specific needs and circumstances of each country
- limitations and weaknesses of the survey: in some cases, smaller groups of respondents may have a disproportionate impact on the results

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Funding opportunities

- IPSPs were asked: Over the last three years, **how much have they relied** on certain forms of funding? And **how stable** these funding sources had been?
- all options were marked as *Not applicable* by an important share of respondents (from 41.4% to 78.3% per option)
  - no single funding source that can be recommended as the most appropriate
  - different models work in different contexts
- Fixed and permanent subsidies from parent organisations
  - reported as being most often relied upon (33.5%) and the most stable (33.5%)
  - not available to all since 41%

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Public funding mechanisms

- further stable and often relied upon resources include "*Permanent public/government funding (international, national, local)*" and "*Time-limited grants or subsidies, either private or public from outside their organisation*", (considered stable or very stable by 29%/ 22%)
- for a certain number of IPSPs, regular albeit periodical and time-limited sources of funding are available to them
    - consistent with prior research of existing national funding schemes for publishers in countries where most responding IPSPs originate from (Laakso and Multas 2023)

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External funders

- local, regional or national funders are the main funders for almost all IPSPs.
  - They are most often mentioned at least for the countries with the most respondents (Croatia, France, Serbia and Spain): ministries of science/education, Finnish Association for Scholarly Publishing, French National Fund for Open Science, CNRS , DFG (Germany)...
- except for French funders - all other funders only seem to fund IPSPs for their own country
- in some countries the 'funders market' is even more local than national
- international funders are marginal actors in the institutional publishing landscape (less than 10% of total mentions)

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National funding schemes

- Diverse sources and scopes
- Issues with transparency or timeliness
- Diverse levels of dedication to diamond OA
- Diverse aimes, values promoted and award criteria
  - Incentives for different types of publishing behaviours
- Volatility

- Need for a political and practical alignment on the European level!

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Open Access and Open Science policies

- There is a notable alignment between the prevalence of the Open Access model and strong political support for openness principles among our respondents.
- A significant number of 599 respondents adhere to various OA/OS policies, including national, institutional, their own or other policies.
- Many of them comply with policies at different levels (and often, with multiple policies)

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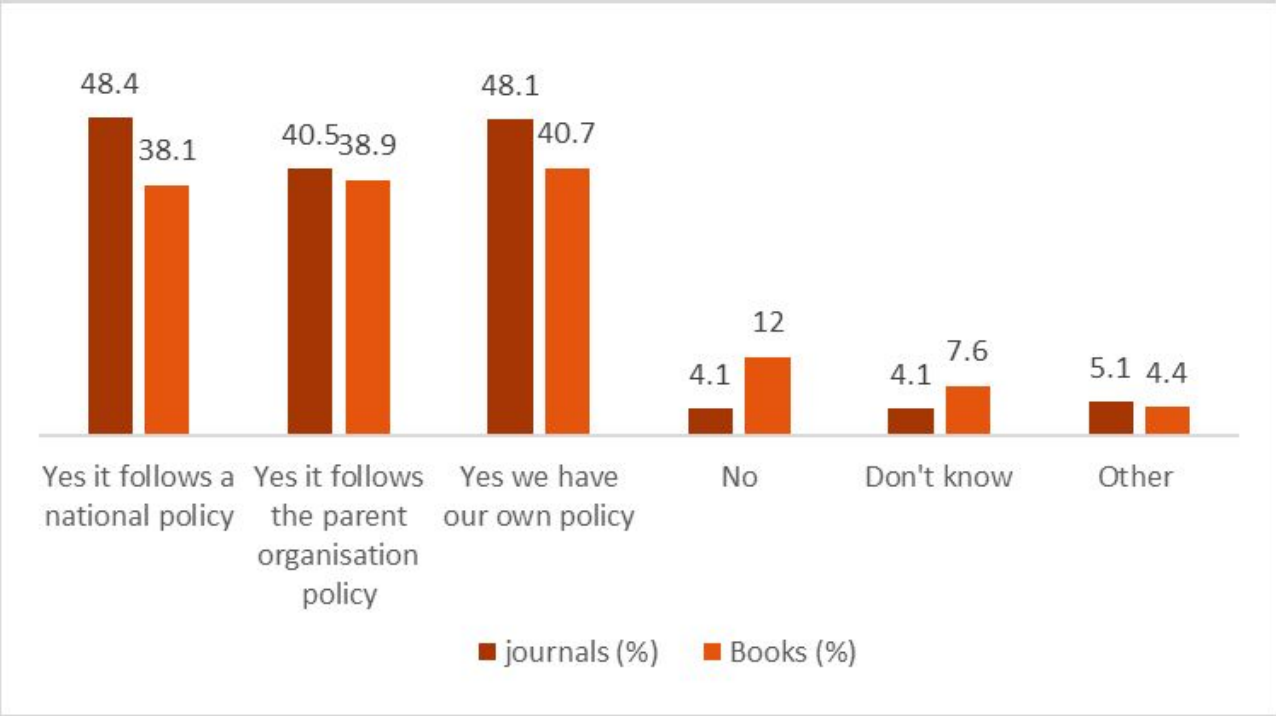
Where does policy making take place?



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Importance of the national policies?

- 10 countries most represented in the survey :
  - In 4 countries, the majority of respondents claim to adhere to OA/OS (especially France and Serbia)
  - Croatia: majority of respondents state that they follow a national OS/OA policy, even though it doesn't exist
  - in some countries with well-established and widely communicated OA/OS policies, the majority of respondents indicated that they do not follow these policies

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Role of publishing platforms

- Journal policies are infrequently found on the websites of national publishing platforms
  - scindeks.ceon.rs, journal.fi, hrcak.srce.hr, revistas.rcaap.pt, journals.openedition.org, ejournals.epublishing.ekt.gr, recyt.fecyt.es
- Journal platforms:
  - Can play a significant role in showcasing journal policies
  - Can offer guidance in developing such policies
  - Platform policies are often adopted by publishers, and this level of policymaking has a substantial impact on the institutional publishing landscape
  - Can be gathering points of publishing communities

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To conclude:

- Countries with national organisations coordinating diamond IPSPs have established mechanisms for alignment of IPSP, regardless of the type of organisation that coordinates the effort:
  - the national Hrčak portal in Croatia;
  - the Federation of Finnish Learned Societies (TSV) in Finland;
  - the national research infrastructure OpenEdition in France ;
  - the national funder FECYT in Spain
  - ...
- The survey shows that IPSPs are currently sensitive to the national context, and much less to the international or global context

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Developing Institutional Open Access Publishing Models to Advance Scholarly Communication

The DIAMAS Landscape Report: Implications for the future of Diamond publishing

Johan Rooryck | co-PI DIAMAS project,
Executive Director, cOAlition S

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- 36 months, €3m, 2022-2025
- Horizon Europe funding
- 23 scholarly organizations from 12 European countries

- Provide the research community with an **aligned, high-quality, and sustainable OA scholarly communication ecosystem**, capable of implementing OA as a standard publication practice across the ERA.
- **Create a community, supporting services, and non-technical infrastructure for Institutional Publishing Service Providers (IPSPs)** that adopt common standards, guidelines, and best practices.
- **Common standards, guidelines, and best practices** are co-created and adopted as an Extensible Quality Standard for Institutional Publishing (EQSIP).

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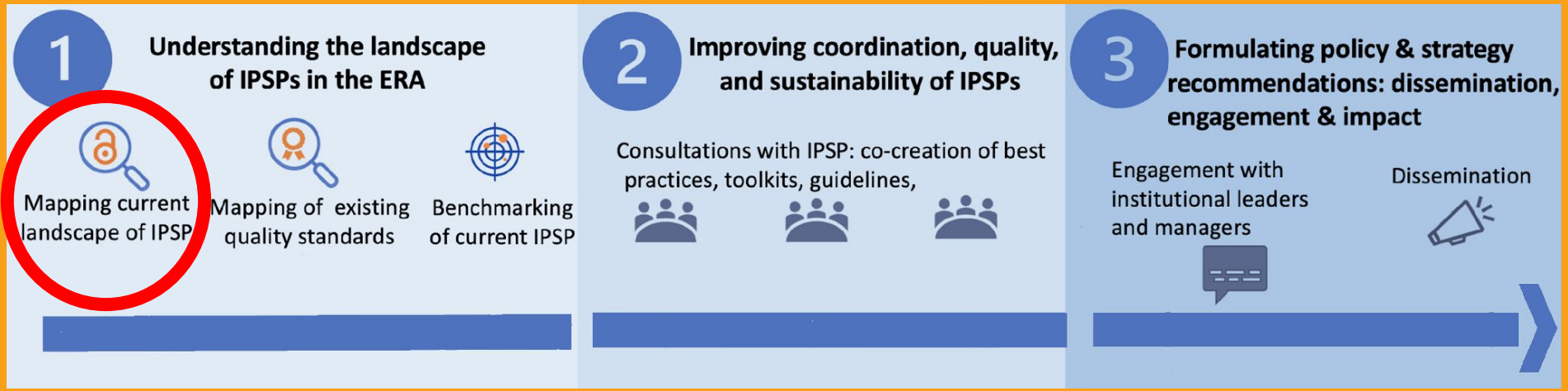
1
Understanding the landscape of IPSPs in the ERA
Mapping current landscape of IPSP
Mapping of existing quality standards
Benchmarking of current IPSP
2
Improving coordination, quality, and sustainability of IPSPs
Consultations with IPSP: co-creation of best practices, toolkits, guidelines,
3
Formulating policy & strategy recommendations: dissemination, engagement & impact
Engagement with institutional leaders and managers
Dissemination

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The DIAMAS Landscape Report: what did we learn?

Findings about Institutional Publishers (IPs)

- The typical IP is small and often isolated
- Needs better, more reliable, and more long-term financing
- 70% are willing to cooperate to save costs
- Needs support for aligning best practices and achieve sustainability
- Strong willingness to align with Open Science and good publishing practices

The national level is very important

- The number of Diamond journals in a country has a strong correlation with a national organisation serving these journals and their IPs:
  - OpenEdition (France, 521 journals)
  - FECYT (Spain, 600 journals)
  - TSV (Finland, 200 journals)
  - HRCAK (Croatia, 500 journals)

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Similar tendencies in Diamond worldwide:

- At the regional level:
  - Latin America SciELO (1654 journals)
  - Redalyc-Amelica (1580 journals).
  - Relawan Jurnal (Indonesia) (20.000 journals, 2000 in DOAJ)

- African Journals Online (AJOL) (600 journals)

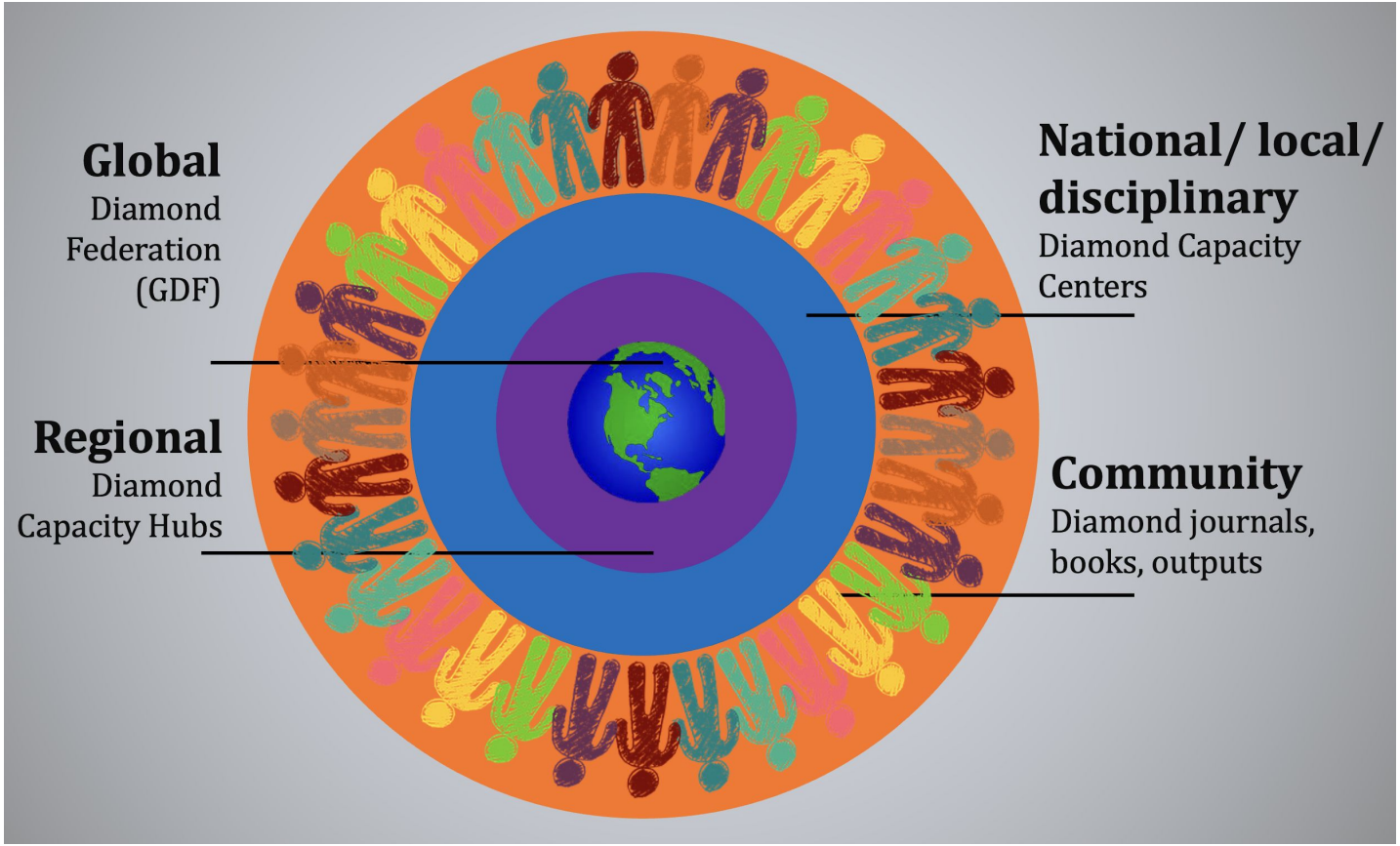
- North America:
  - Érudit (Quebec, 343 journals)
  - eScholarship (California, 94 journals)

Towards Diamond OA infrastructure

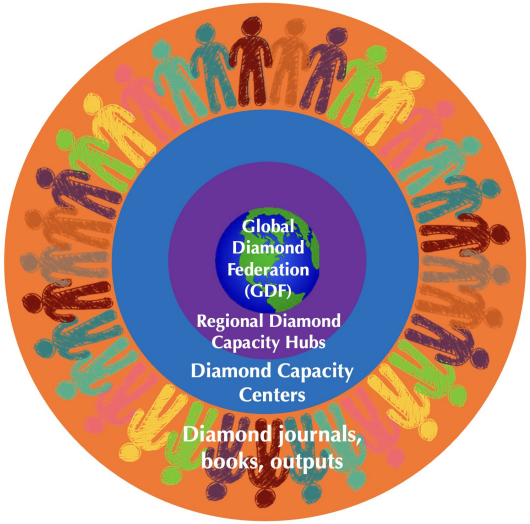
- **May 2023:** EU Council Conclusions:
  "Authors should not have to pay fees (…) Non-profit scholarly publishing models should be supported…"
- This has accelerated the momentum to build **a common infrastructure** for not-for-profit, scholar-led OA publishing.
- This infrastructure must be international and long-term sustainable. It must integrate existing services and be capable of supporting bottom-up Diamond initiatives.
- Such an infrastructure should be a **distributed** one:
  a central **European Capacity Hub** linked to a set of national and regional **Capacity Centers** who deliver services and guarantee quality standards of Diamond OA journals in various languages and for a variety of disciplines.
- This European Capacity Hub would itself be a regional capacity hub among others worldwide.

Building capacity for Diamond Open Access

- A globally federated structure that includes 4 levels:



Building capacity for Diamond Open Access



Journals

- Editorial and scientific work: soliciting reviews, making decisions.
- Apply international quality standards and guidelines.
- Ensure ownership over content and community-driven governance of the journal: continuity editorial team/ board.

Diamond Capacity Centers (DCC) (first line help)

- Help journals with tools, administration, platform, copy-editing/ typesetting, finances, governance/ownership, guidelines, best practices, training.
- Help journals reach alignment with quality standards/ guidelines.
- Multilingualism/ national language(s) is/are handled at this level

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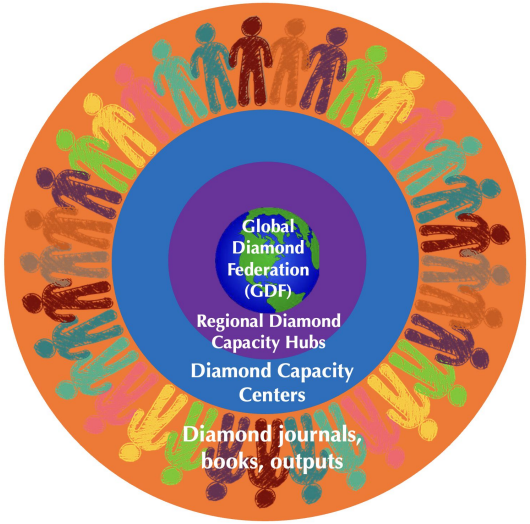
Building capacity for Diamond Open Access



Regional Diamond Capacity Hubs (DCH)

- Ensure alignment of DCC: pool resources at the regional level; coordinate services, standards, and practices
- Ensure complementarity and subsidiarity of DCC: streamline, create efficiencies, organize exchanges of electronic publishing specialists across the region

Global Diamond Federation (under auspices of UNESCO)

- Explore technological interoperability of platforms and adopt common technical standards.
- Explore exchanges of services and financial complementarity across regions.
- Support mutual learning between DCHs
- Set priorities for global expansion of Diamond OA.

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Looking forward

- Diamond Open Access ensures equity by not charging
  fees to authors or readers.
- Diamond Open Access allows researchers to take back
  control of scholarly content.
- Diamond journals and their Institutional Publishers need to be better aligned and supported, and are willing to cooperate.
- A well organized national, regional, and globally distributed infrastructure for Diamond Open Access publishing, based on best practices, can realize this goal.