



# DIAMAS

Developing Institutional Open Access  
Publishing Models to Advance  
Scholarly Communication

## The dynamics of funding Diamond OA: Opportunities and Challenges. Learnings from the DIAMAS Project and other studies

**Webinar**  
**2 April 2024, 2-3.30 CEST**



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



# DIAMAS



## Developing Institutional Open Access Publishing Models to Advance Scholarly Communication

- Starting date: Sept 2022, €3m
- 23 public service organisations from 12 European countries



# Speakers

- Victoria Brun, Research assistant, CNRS, CSI
- Mikael Laakso, Project researcher, TSV, Finland
- Iva Melinščak Zlodi, Librarian, University of Zagreb Faculty of Humanities and Social Sciences
- Vanessa Proudman, Director, SPARC Europe
- David Pontille, Senior Researcher, CNRS, CSI
- Didier Torny, Senior Researcher, CNRS, CSI

# AGENDA

- |               |  |
|---------------|--|
| 14.00 - 14.10 | Introduction. V Proudman   |
| 14.10 - 14.15 | What do we mean by sustainability? I Melinščak Zlodi                           |
| 14.15 - 14.22 | Study 1: The OA Diamond Journals Study. V Proudman                             |
| 14.23 - 14.30 | Study 2: Supporting Diamond Open Access Journals. D Torny                      |
| 14.31 - 14.37 | Study 3: Public funding of scholarly journals in Europe. M Laakso              |
| 14.38 - 14.55 | Study 4: The sustainability of Diamond OA. Lessons from DIAMAS studies. V Brun |



# DIAMAS

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# What do we mean by *sustainability*?

Iva Melinščak Zlodi



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# Do we understand each other when we speak of *sustainability* in publishing?

- no established and well accepted definition of sustainability in publishing
- prevalence of using the term in different contexts (related to environmental sustainability or sustainable development goals), even when speaking about publishing
- linguistic diversity - different connotations in different languages: long term survival, independence, reasonable development, persistence or living on without resource depletion or harm to the respective ecosystem
- a complex concept: both very abstract and very practical

# Sustainability as related to funding and resources

Issues to consider:

- 'survival' – development – evolvement
- existence implies change, dynamics and transformative practices
- continuation of operation – preservation of content
- (de)growth?
- quality – success
- Initial expectations (from modest cost recovery to having high-profit margins)
- Underlying infrastructures

# WHAT is sustainable? WHO is responsible for sustaining?

- **WHAT?**

- A journal?
- A publisher?
- A service provider or an infrastructure?
- A particular business model?
- A wider publishing system (for instance national journal publishing system)?

- **WHO?**

- Which stakeholder or group of stakeholders?
- Where is the locus of control?
- The role of communities and governance models



# Differing ways of achieving sustainability?

- More successful strategies in acquiring resources
- More efficient ways of using the available resources
- Sharing resources
- Building common infrastructures
- Resilience or adaptiveness to changed circumstances

## The definition of the sustainability of IPSPs

The **capacity** to develop and implement feasible medium-term resource strategies that facilitate the **consistent execution** of editorial tasks, incorporating **essential developmental** elements for adhering to globally recognised **quality** standards in editorial work and publishing, all while guaranteeing the **continuous accessibility** of published content. This capacity can depend on the IPSP's **internal resources and expectations**, the **contextually available funding and workforce sources**, and the **effectiveness of the strategies deployed**.

The  
OA  
Diamond  
Journals Study

Vanessa Proudman, Director SPARC Europe  
**The dynamics of funding Diamond OA:  
Opportunities and Challenges.**

2 April 2024

# ◆ The study consortium ◆



## Contributors

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## Funders



# ◆ The report & materials ◆



## Findings

<https://doi.org/10.5281/zenodo.4558704>



## Recommendations

<https://doi.org/10.5281/zenodo.4562790>



## Survey Dataset

<https://doi.org/10.5281/zenodo.4553103>

Downloaded c. 19k times

# 1. Landscape ◆ main takeaways

In summary: we have a wide archipelago of relatively small journals serving diverse communities. OA diamond journals are ...

Numerous  
(ca 29,000)

Relatively small

Concentrated in HSS  
but still numerous in  
STM

Often written locally  
but read  
internationally

Frequently strong in  
multilingualism

# ◆ Effectiveness ◆ Main takeaways

Strong dependence  
on volunteering

Lack of coordination  
amongst journals

More shared services  
and platforms needed

Wide diversity of  
funding models

# R: Use more shared infrastructures and services

reDalyc.org

SciELO

JOURNAL.FI

tidsskrift.dk

PKP  
PUBLIC  
KNOWLEDGE  
PROJECT

openjournals.nl

hrčak  
PORTAL HRVATSKIH ZNANSTVENIH I STRUČNIH ČASOPISA

OpenEdition  
Journals

OL



# R: Diversify journal funding streams

- Huge diversity of funding models:  
in-kind support, voluntary labour, grants, collectively-organised funding, donations, shared infrastructure, membership, freemium services, Subscribe to Open and more...
- Relying on one single source of funding is a threat to the journal's sustainability
- A balance and good combination needs to be found

# Sustainability ♦ Main takeaways

An economy that largely depends on volunteers, universities and government.  
**To keep OA free, how do they do it?**

over 60%  
< 10k euro

70% run on  
1-2 FTE

40% break-even and  
25% operate at a loss

reliance on goodwill  
of volunteers

# R: Consistently finance operations

- RPOs, national govt agencies, publishers, learned societies  
largest funders
- Support falls short of current needs for some
- Continue to fund operations, but more consistently &  
on an annual basis, including RFOs
- Libraries (and others) up collective funding

# R: Collaborate on a funding strategy

- Develop national and international funding strategies for next 5y
- Above all help journals meet industry standards, and develop shared services or infrastructure that benefit many
- Funders need guidance on funding principles and selection criteria based on a range of goals and priorities, and
- Advice on how to fund what, and beyond grants

# For more information, contact

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Findings: [10.5281/zenodo.4558704](https://doi.org/10.5281/zenodo.4558704)

Recommendations: [10.5281/zenodo.4562790](https://doi.org/10.5281/zenodo.4562790)

# OUTPUTS

[https://zenodo.org/communities/  
diamasproject](https://zenodo.org/communities/diamasproject)

Landscape Report

Zotero Group

**OUT Today**

Research Report  
into the  
financial sustainability of IPSPs

<https://zenodo.org/records/10907086>

# Supporting Diamond Open Access journals

Interest and feasibility of direct funding  
mechanisms

- Dufour, Q., Pontille, D., & Torny, D. (2023). **Supporting Diamond Open Access Journals. Interest and Feasibility of Direct Funding Mechanisms.** *Nordic Journal of Library and Information Studies*, 42(2), pp. 35–55. <https://doi.org/10.1101/2023.05.03.539231>

## OADJS follow-up study

OADJS follow-up study based on a survey sent to OADJS journals (1200), 260 exploitable answers.

1/ What are the actual monetary needs of OA Diamond Journals?

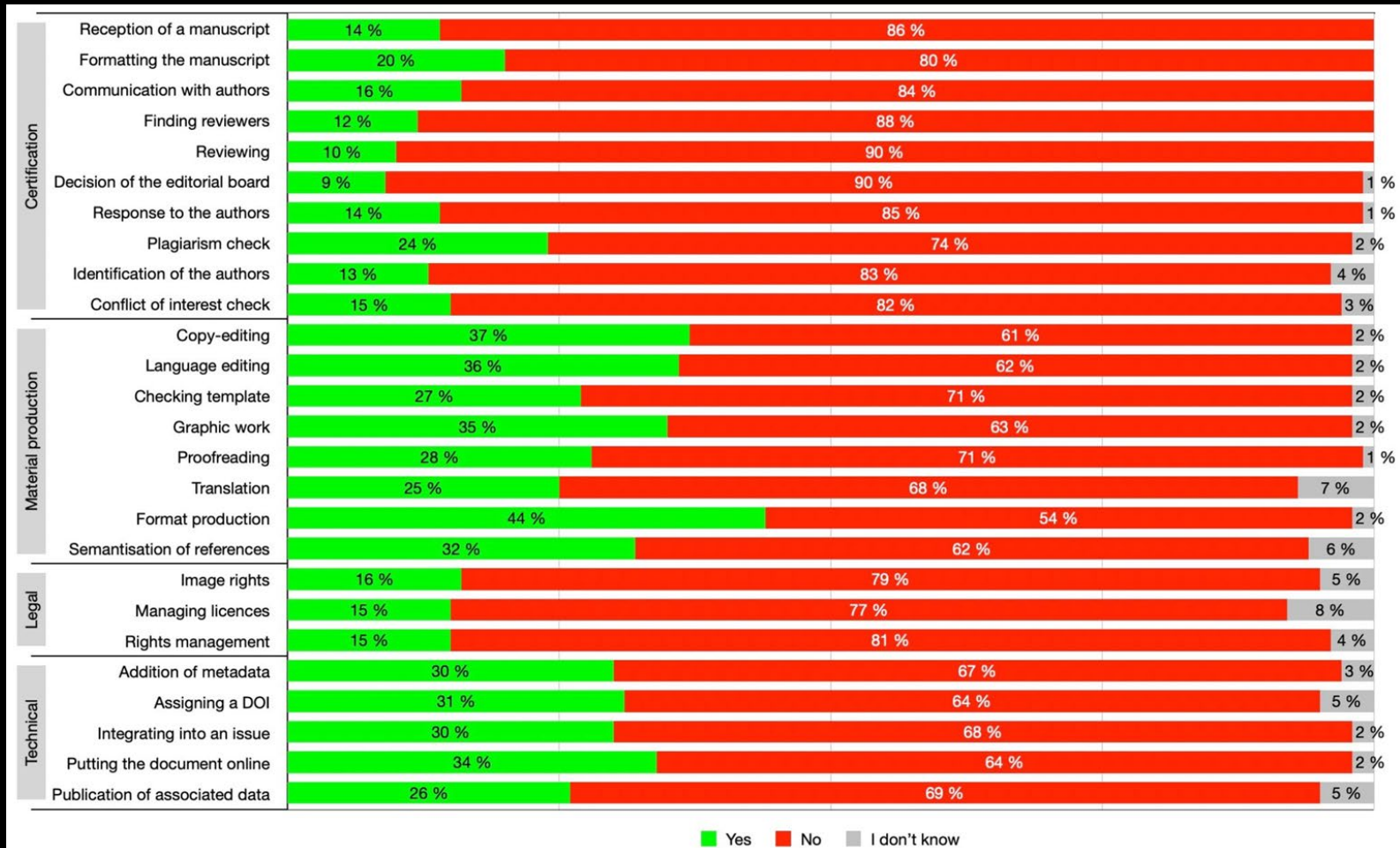
2/ What are the additional financial needs of such journals?

3/ What is OA Diamond journals' capacity to engage monetary transactions?

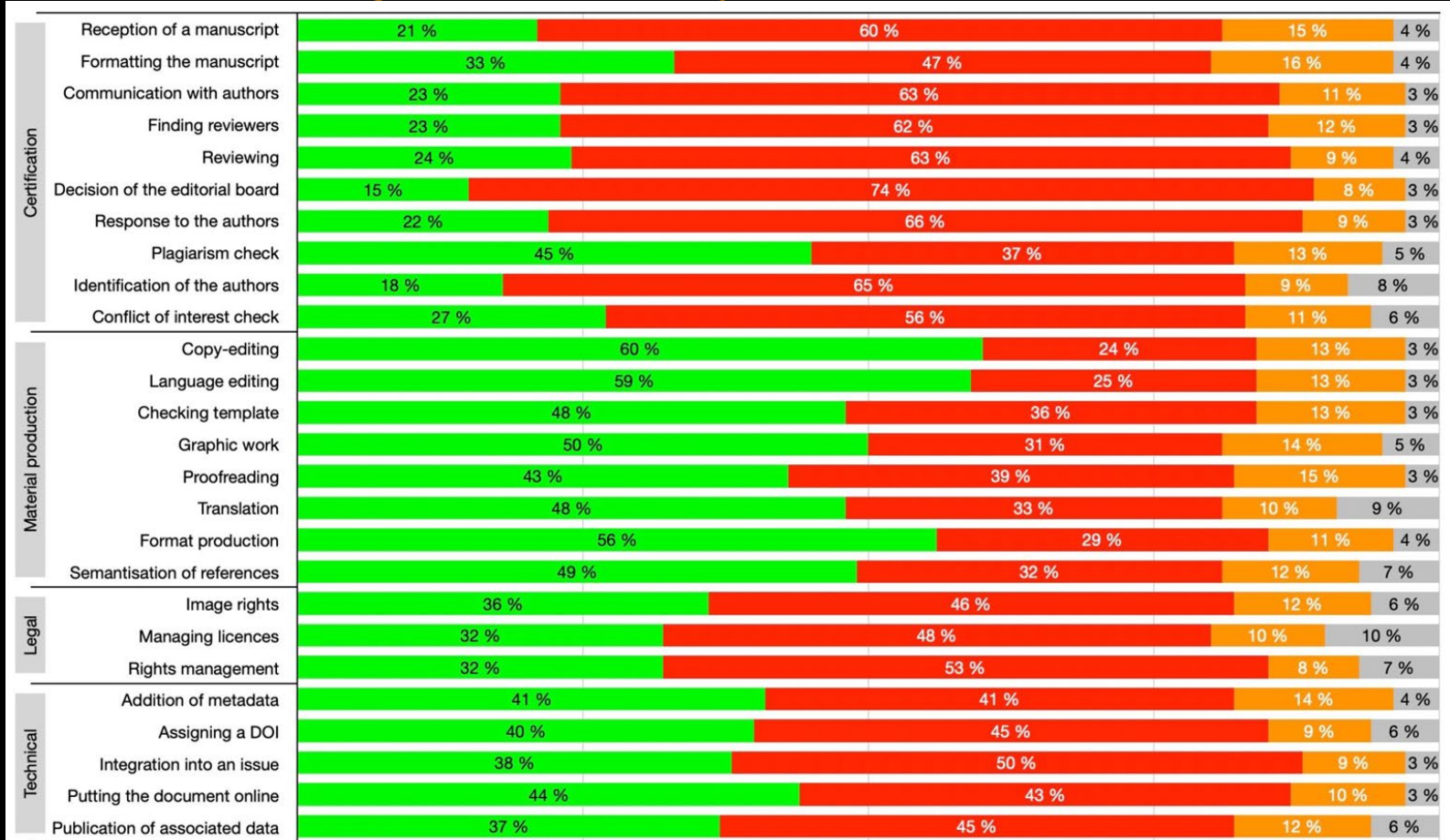
4/ What is OA Diamond journals' ability to meet RFOs requirements?



# Currently paid acts



# Willingness to pay in an ideal world



■ Yes
 ■ No
 ■ Maybe
 ■ I don't know

## Capacity to engage in transactions

Types of transaction capacity	Receiving side	Spending side	Receiving and spending
Direct transaction capacity	178	185	151
Mediated transaction capacity	25	16	12
Conditional transaction capacity	15	15	15
<b>Total transaction capacity (N)</b>	<b>218</b>	<b>216</b>	<b>178</b>
<b>Total transaction capacity (%)</b>	<b>86%</b>	<b>85%</b>	<b>70%</b>

**Table 2 Total transaction capacities (N=254)**

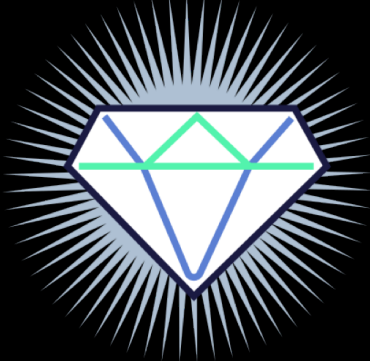
## Capacity to answer RFOs requirements

56% of the journals declare that they carry out minimal **acknowledgment of research funding**

36% claim to be currently **able to produce a report**, while 40% consider they could not

73% of the respondents which currently do not have the reporting capacity **would agree to report in case of regular income.**

Conclusion



currently underfunded  
useful for article production  
able to manage income  
willing to report



# Public funding of scholarly journals in Europe

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MIKAEL LAAKSO



BY

# Background

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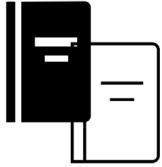
- ✓ Data collected during 2021
- ✓ Funded by the Finnish Association for Scholarly Publishing
- ✓ Main findings recently published here:

Laakso, M., & Multas, A-M. (2023). European scholarly journals from small- and mid-size publishers: Mapping journals and public funding mechanisms. Science and Public Policy.. <https://doi.org/10.1093/scipol/scac081>

- ✓ Open dataset of journals from the study:  
<https://doi.org/10.5281/zenodo.7180290>

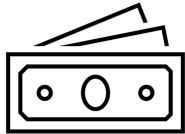
# The 2 key components of the study

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## **1) Establish the volume and key bibliometric characteristics of small- and mid-sized journal publishers present in European countries**

The Ulrichsweb publications database was used for this



## **2) Collect information about country-level public funding mechanisms for scholarly journals active in Europe**

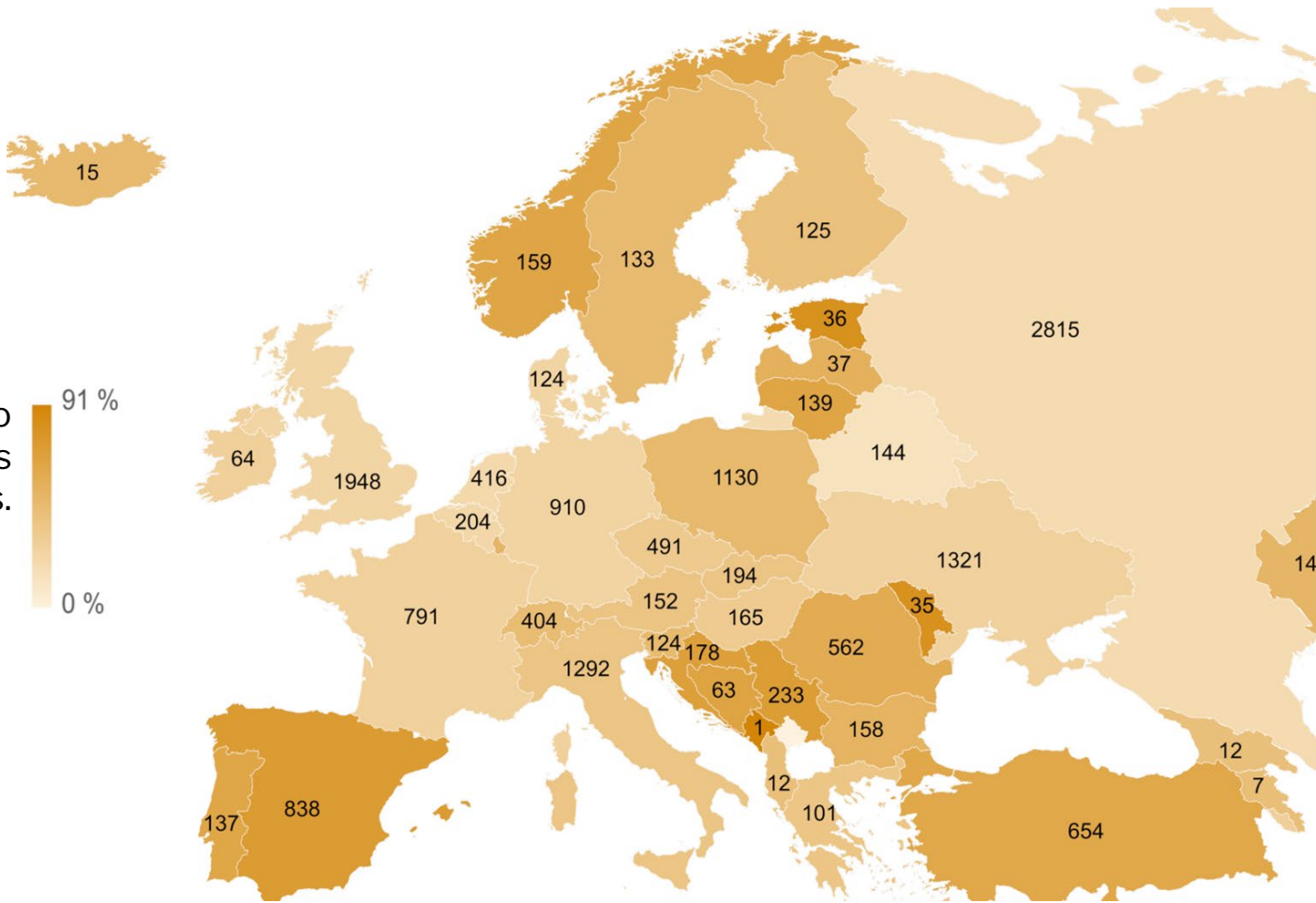
Manual data collection was required, which included explorative web searches, consultations with scholarly publishing experts in the countries of interest. Survey to 30 random journals in each country + open preprint for several months to collect additional leads.



# Number of journals from small- to mid-sized publishers

The degree to which journals are Open Access.

91 %  
0 %



# Notable examples of public funding

Inclusive government subsidies for (non-profit) peer-reviewed journals	Government funding to a limited pre-defined set of journals	Competitive grants by national research funders (length often between 1-3 years)	Notable countries with no dedicated public funding source for journals
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Finland

Spain  
(50% of costs of journals within SSH disciplines up to a certain level)

Norway

Austria  
Belgium  
Bulgaria  
Croatia  
Denmark  
France  
Italy  
Poland  
Romania  
Serbia  
Slovenia  
Sweden

Germany (only transitory funding)  
United Kingdom  
The Netherlands  
Greece

# Interested in more detail?

## There is a supplement linked from the article page

### Supplementary data

[scac081\\_Supp](#) - zip file

	Type of funder	Funder name	URL	Evaluation-based funding	Open access criteria	Continuous/One-time	Indication of Scope	Comments	Technical platform(s)	Journals
Northern Europe										
Denmark	National research funder	Independent Research Denmark	<a href="https://dff.dk/en">https://dff.dk/en</a>	Yes	Yes				<a href="http://tidsskrift.dk">tidsskrift.dk</a>	175
Estonia									<a href="http://ojs.utlib.ee/">http://ojs.utlib.ee/</a>	21
Finland	National co-operative body of scholarly societies	Federation of Finnish Learned Societies	<a href="https://www.tsv.fi/en/grants/publishing-and-international-activities-scientific-societies/application-instructions">https://www.tsv.fi/en/grants/publishing-and-international-activities-scientific-societies/application-instructions</a>	No	Yes	Continuous (annual)		Funding for 1 year at a time. The funding that is distributed is a government subsidy funded by the Ministry of Education and Culture	<a href="http://journal.fi">journal.fi</a>	112

# Some observations on the nature of the funding instruments

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- There was large diversity observed in how (and if) countries reserve and distribute funds to journals active in the countries, ranging from continuous inclusive subsidies to competitive grant funding or nothing at all. A lot of support for individual diamond OA journals seems to be managed indirectly by universities without earmarked government funding.
- Funding models do often have OA requirements for the journals. However, some funders require additional income for funding to be granted which is a challenge if a diamond OA model is desired (e.g. Finland).
- **In Europe there could be potential to develop international funding mechanisms and consortia to support non-profit diamond OA journals, particularly for journals that publish also in English and are not only of national interest.**

*Thank you!*

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# The sustainability of Diamond OA

## Lessons from DIAMAS studies

Victoria Brun, research assistant at CNRS  
David Pontille, senior researcher at CNRS  
Didier Torny, senior researcher at CNRS

DIAMAS webinar, 2nd April 2024



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# Aim

**What does financial sustainability mean for institutional publishing in Europe?**



# Methodology

Literature review

2 quantitative surveys  
(N=685 and N=383)

6 focus groups

15 interviews



# Diamond IPSPs funders

- Who do Diamond IPSPs rely on?
  - Two-thirds on a parent organisation
  - One-third on public national or regional organisations
  - Very few on VAC, sales or loans
- IPSPs change their practices to meet funders requirements

# Financial burden of income management

## Reporting

- Most IPSPs track their expenses and revenues
  - to meet public subsidy requirements
  - to follow the formal accounting practices of their parent organisations
- > It requires time and skills, there are time lags

## Fundraising

- brings precariousness and instability
- requires employee time

# Centrality of workforce

- IPSPs rely more on in-kind work than monetary resources
- The most frequent in-kind support from parent organisation:
  - IT services, facilities and premises
  - human resource management
  - financial and legal services
  - salaries of permanent staff
- Importance of people commitment

# Wished and actual collaboration

- Most current outsourced services: production and IT
- 60% express their wish to collaborate more to save costs
- Several reasons
  - importance of voluntary and in-kind support for external services
  - operability of local scale
  - administrative obstacles

# Infrastructure

- IPSPs use:
  - shared global infrastructures with commercial publishers (DOAJ, Crossref and ORCID)
  - hosting/publishing solutions (OJS, Open Monograph)
- A diversity of use types
- 60% report financial constraints in providing adequate resources for the infrastructure and publishing services

# Desired outlook

- What IPSPs would fund with more funding
  - permanence in personnel to develop publishing functionalities or services
  - editorial and technical practices
- IPSPs
  - consider public bodies, RFOs and institutions should fund more institutional publishing
  - massively reject author-pays models

# Diamond ecosystem

An archipelago

IPSPs are diverse

No universally applicable good practices or standards

Preserve cultural, societal diversity, multilingualism

A need for more funding, in cash and personnel



# What needs to be done

- strengthening of permanent public government funding
- developing international funding
- limiting time-limited grants
- providing funds for infrastructures
- supporting and recognising in-kind and voluntary work



# MORE INFO

<https://diamasproject.eu>

[https://zenodo.org/communities/  
diamasproject](https://zenodo.org/communities/diamasproject)

[Zotero Group](#)  
on funding practices

# OUT NOW

Research Report into the  
financial sustainability of IPSPs

[https://zenodo.org/records/  
10907086](https://zenodo.org/records/10907086)