

Policy for Open Access to Scholarly Publications: Policy component for open access to anthologies and monographs

Version 2.0

Contents

Strategic principles and the associated responsibilities	3
Policy Component: Open Access to Anthologies and Monographs	3
Definitions	6
Objectives and required actions	6
Risks of the policy component	7
Summary	8
Glossary	8
References	10
Appendix 1: Policy working group	12

Strategic principles and the associated responsibilities

Principle 1: All researchers have an equal opportunity to publish their research and, if they so choose, make it open access, regardless of field of research, funding basis, or career stage.

Monitoring: The monitoring model for open science and research

Implementation: Research organisations and funders ensure that all researchers affiliated with or funded by the organisation have an equal opportunity to publish open access, regardless of field of research, career stage or funding source of the research project.

Principle 2: When assessing scholarly publications, the quality and openness of individual scholarly publications are considered independently.

The publication channel of a scholarly publication or the openness of the channel is not relevant when assessing the quality of the content of the publication.¹ Finnish higher education institutions are widely committed to the international [DORA declaration](#) and the [CoARA agreement](#).² These emphasise that the assessment of the scholarly quality of a publication is primarily achieved by evaluating its scholarly content. Responsible bibliometrics can also be used to support the overall assessment.³

Policy Component: Open Access to Anthologies and Monographs

The policy component for open access to anthologies and monographs is part of The policy for open access to scholarly publications. The first version of [The policy component for open access to journal and conference articles](#) was published in 2019, and an update is due to start at the end of 2024. [The policy component for open access to theses](#) was published in the summer of 2024. The present policy component for anthologies and monographs has been drafted using the general structures of the policy work and respecting the freedom of the researcher. Achieving the objectives of this policy and the success of the actions described requires a sustainable funding model for open access publishing.

¹ In a similar way, the Steering Group of the Publication Forum (JUFO) has outlined that openness is not a criterion or an indicator for evaluating the scientific *quality* of publication channels, but the open access to publications is considered to increase the *accessibility* of research results and thus the *effects and impact* of science.

² <https://sfedora.org/read/read-the-declaration-suomen-kieli/>, <https://coara.eu/agreement/the-agreement-full-text/>. See also Good Practice in Researcher Evaluation, <https://doi.org/10.23847/isbn.9789525995282>.

³ <https://avointiede.fi/sites/default/files/2020-09/Kansallinen-suositus-julkaisumetriikan-vastuullisesta-kaytosta-03092020.pdf> (in Finnish).

Figure 1 below illustrates the relationship between the documents produced by the Open Science and Research Coordination, clarifying how this policy component connects to other open science documents.

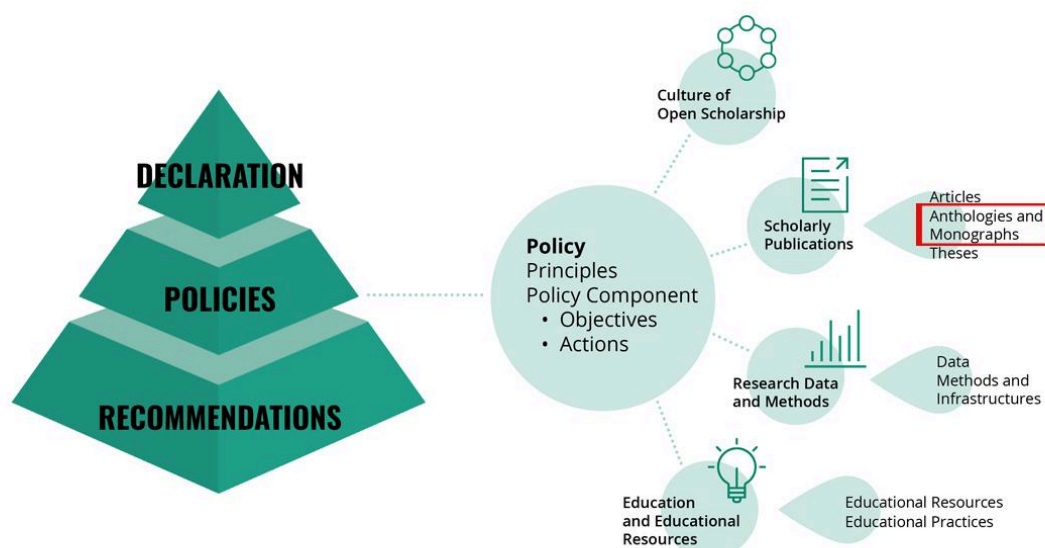


Figure 1. The relationship between the documents produced by the Open Science and Research Coordination.

Open access publishing of scholarly books and articles in anthologies has progressed much more slowly than journal articles, both internationally and in Finland. There are several reasons for this slow development, the main one being the different production and publication process for scholarly book publishing. It is, at least from the publisher's point of view, a much more expensive and complex process overall than that of scholarly journals. In addition, the life cycle of scholarly books and the life cycle of commercial use are also relevant. In this context, it is worth noting that the resources of Finnish publishers vary considerably, and they are in a different position compared to international operators pursuing commercial profit.

In Europe in particular, there has been much discussion at least since the 2010s about developing open access to scholarly books, but by spring 2024, only a few recommendations aimed at promoting open access to books have been published. On 2.9.2021, the international research funding consortium [COAlition S](https://www.coalition-s.org/) published its [Plan S recommendation](#) on scholarly books.⁴ Some major research funders, such as the [Bill & Melinda Gates Foundation](#) and [UK Research and Innovation](#), have also extended their open access requirements to include monographs and articles in anthologies.⁵ More specific national programmes or strategies for the development of open access to scholarly books have been

⁴ <https://www.coalition-s.org/>,
<https://www.coalition-s.org/coalition-s-statement-on-open-access-for-academic-books/>.

⁵ <https://www.gatesfoundation.org/about/policies-and-resources/open-access-policy>,
<https://www.ukri.org/publications/ukri-open-access-policy/uk-research-and-innovation-open-access-policy>.

developed in at least [France](#), [Switzerland](#), [Austria](#) and the [Netherlands](#).⁶ The common feature of the above recommendations on openness is that they all include funding directly to cover the costs of open access to books.

In addition to the demand for open access to scholarly books and articles in anthologies, there has been debate regarding the bibliodiversity, diversity and multilingualism of scholarly publishing. Under the pressure of calls for openness, the importance of the scholarly book as a means of scholarly communication has also been increasingly appreciated, especially as a creator of cultural meaning and as a preserver of national languages and national identity. [The Helsinki Initiative on Multilingualism in Scholarly Communication](#) notes that infrastructures for scholarly communication in national languages are fragile. The initiative argues that these infrastructures should also be provided for in the world of open access publishing.⁷

Finnish scholarly publishers are a key part of the infrastructure of Finnish scholarly communication. In order to keep this infrastructure viable, Finland too needs funding models that enable the open publication of books.

Open science has broad societal implications (see e.g. [What is open science?](#), link in Finnish). Openly accessible scholarly works are more widely read and cited than fee-based publications, both in the academic world and outside the scholarly community.⁸ In the US, as many as more than half of all downloads of open access scholarly articles come from outside the academic research and education community.⁹

Wide-ranging open access to scholarly books and articles in anthologies has implications for the way science and research are done: open digital scholarly resources enable information retrieval and analysis based on text mining. The openness of science and research, and of research results, allows for the verifiability and reproducibility of research and is therefore a key fundamental principle affecting the quality and impact of science and research.¹⁰

In spring 2024, the open access publication of scholarly books and anthologies is still fragmented and unestablished. The research community is looking for solutions to create sufficiently stable models. A good example of a functioning service is [Edition.fi](#), a service for editing and publishing scholarly books run by the Federation of Finnish Learned Societies.

⁶ France: <https://www.ouvrirelascience.fr/second-national-plan-for-open-science-npos/>, Switzerland: <https://oa100.snf.ch/en/funding/guidelines/>, Austria: <https://www.fwf.ac.at/en/research-funding/open-access-policy/open-access-to-peer-reviewed-publications>, the Netherlands: <https://www.nwo.nl/en/open-access-publishing>.

⁷ <https://www.helsinki-initiative.org/en>. See also myös Pölönen (2021) <https://urn.fi/URN:NBN:fi-fe2021121661234>.

⁸ See Emery et al. (2017), <https://www.springernature.com/gp/open-research/journals-books/books/the-oa-effect>.

⁹ See Hicks et al. (2022), <https://doi.org/10.1073/pnas.2107760119>.

¹⁰ Agreement on Reforming Research Assessment 2022, <https://scienceeurope.org/our-resources/agreement-reforming-research-assessment/>.

Definitions

The policy component for open access to anthologies and monographs applies to Finnish and international peer-reviewed scholarly monographs (current publication type **C1** in the publication data collection of the Ministry of Education and Culture, peer-reviewed book) and individual articles in anthologies (current publication type **A3**, book section, chapters in scholarly books), in which the corresponding author¹¹ works at or is affiliated with a Finnish research organisation or funded by a Finnish research funder.¹² In this policy, “researcher” refers to a researcher employed at or affiliated with a Finnish research organisation, or one conducting research funded by a Finnish research funder.

“Immediate open access” refers to the publishing of a peer-reviewed¹³ version of an article or a book with open access in the publisher’s channel. The repository route using the researcher’s/organisations publication channel according to the publishers’ terms and conditions is also possible, but this does not necessarily mean immediate open access. Immediate open access does not directly address the rights to reuse research data in publications, and these should be defined separately.

Objectives and required actions

Objective 1: The Finnish research community aims to ensure that all new scholarly monographs and articles in anthologies are immediately openly accessible no later than 2030.

Actions required by the objective:

- A. Research organisations strive to achieve immediate open access in direct contract negotiations with publishers.
- B. Research organisations may accept reasonable fees to guarantee immediate open access to monographs and individual articles in anthologies when there is no separate agreement with the publisher.
- C. Research organisations and publishers enable the repository route through their own open access repositories or those maintained by another party. The repository route is subject to the publishers’ terms and conditions. It is a means to achieve open access when monographs or articles in anthologies cannot be published open access at a reasonable cost.

¹¹ The role of corresponding author should be agreed on in accordance with the recommendation of the Finnish National Board on Research Integrity (TENK), [Agreeing on authorship – Recommendation for research publications](#). However, researchers working in or affiliated with Finnish research organisations who participate in joint international projects are encouraged to actively aim for the role of corresponding author, thus promoting the achievement of the objectives of open science.

¹² Regarding the open access information in the publication data collection by the Ministry of Education and Culture, it should be noted that it includes all publications where one or more authors are researchers affiliated with the reporting organizations.

¹³ Pre-prints, i.e. non peer-reviewed draft publications, that are saved in a publicly accessible database do not fulfil the criteria of open access. Publications kept in international open access repositories fulfil the criteria of open access after they have been peer reviewed.

- a. The repository route also enables long-term availability and preservation in national systems for long-term preservation.
- b. The repository route ensures the long-term availability of publications, and it is therefore recommended to use the repository route according to the publishers' terms and conditions, regardless of how publications were originally made open access.
- D. No later than 2028, research funders will enable including the costs of open access to monographs and anthology articles in funding.
- E. Research organisations and research funders seek to channel funding to ensure open science towards the development of sustainable open publishing channels, the sustainable conversion of existing publishing channels into open ones, and support for the establishment of those that are already open.
- F. The National Open Science and Research Coordination ensures that the research community develops sustainable models for open access publishing.

Objective 2: The total cost of scholarly publication channels and individual publications is transparent and publicly available.

Actions required by the objective:

- A. Research organisations monitor APC costs for open access monographs and articles in anthologies, and report them in OpenAPC. The total costs are monitored as part of the national open science and research monitoring.
- B. Research organisations pursue contractual terms with publishers to enable the publishing of cost data.
- C. The total costs of scholarly publications and publication channels are transparent and publicly available.

Objective 3: No later than 2028, the research community has established a sustainable funding model that enables immediate open access to anthologies and monographs.

Actions required by the objective:

- A. The National Open Science and Research Coordination ensures that the research community develops sustainable funding mechanisms which guarantee that scholarly book publishing in the domestic languages continues to be possible.

Risks of the policy component

The risks related to the objectives and measures of this policy component are described in the [overall risk analysis for policy work](#) produced by the Open Science Coordination.¹⁴

¹⁴<https://docs.google.com/spreadsheets/d/1vsRYD5WFgWm-SW-VwcEVbTh-iJU7uOgm/edit?usp=sharing&ouid=115438037927881023520&rtpof=true&sd=true>.

Summary

The development and requirements of open access to books can be viewed from two perspectives, depending on whether the book is published by a Finnish or a non-Finnish publisher. Finland has a strong tradition of domestic scholarly book publishing, and maintaining it and ensuring its long-term viability is crucial for bibliodiversity. This requires sustainable solutions from the entire research community. Alongside demands for open access, research funders and organisations need to build funding solutions that support the whole open access infrastructure. At the same time, publishers and publishers need to build new operating models that enable open access.

The opportunities for open access book publishing abroad largely depend on the operating models and principles of the chosen publisher. Often this too is a matter of funding for open access. To ensure the sustainable development of open access to scholarly books, it is crucial to consider the future that the scholarly community aims to support. Will funding be directed towards traditional open access familiar from transformative agreements and hybrid models, or will it support new and emerging open access infrastructures that build a new world of open access book publishing? In other words, it is a question of funding allocation.

Glossary

The definitions of the Helsinki Term Bank for the Arts and Sciences (HTB) have been used to assist in defining the terms in this glossary.

Anthology

An edited scholarly book consisting of articles, usually by several authors. An anthology usually has one or several editors, who are responsible for selecting and combining the material. The book has an ISBN identifier.

ESAC

Efficiency and Standards for Article Charges. An international infrastructure that maintains information on the costs of open access publishing and the related agreements.

Long-term availability

Preserving the understandability of material and taking the necessary preservation measures to ensure that it can be used and understood in the future.

Monograph

An edited book that has been peer-reviewed and fulfils the definition of a scholarly book. The book has an ISBN identifier.

Open access

The publication in its entirety is available on the Internet free of charge and without restrictions to read, print and copy at least for non-commercial use.

Publication

A research output published in a publication channel.

Publication channel

The medium through which a publication reaches its readers, and for which a publication must receive a publishing decision from the owner.

Repository route

The storing of a publication or a draft accepted for publishing in an open access repository that is independent of the original publisher.

References

Agreement on Reforming Research Assessment. Science Europe, the European University Association & Karen Stroobants, 2022.

<https://scienceeurope.org/our-resources/agreement-reforming-research-assessment/>

Bill & Melinda Gates Foundation. Open Access policy.

<https://www.gatesfoundation.org/about/policies-and-resources/open-access-policy>

(Accessed 11.6.2024).

Coalition for Advancing Research Assessment (2022). Agreement on Reforming Research Assessment. <https://coara.eu/agreement/the-agreement-full-text/> (Accessed 26.6.2024).

cOAlition S (2021). cOAlition S statement on Open Access for academic books.

<https://www.coalition-s.org/coalition-s-statement-on-open-access-for-academic-books/>

The Dutch Research Council. Open Access Publishing.

<https://www.nwo.nl/en/open-access-publishing> (Accessed 11.6.2024)

Emery, C., Lucraft, M., Morka, A. & Pyne, R (2017). The OA effect: How does open access affect the usage of scholarly books?

<https://www.springernature.com/gp/open-research/journals-books/books/the-oa-effect>

Fathallah, J. 2022. Open Access Monographs: Myths, Truths and Implications in the Wake of UKRI Open Access policy. *LIBER QUARTERLY*, Jan. 2022. DOI:

<https://doi.org/10.53377/lq.11068>

Hicks, D., Zullo, M., Doshi, A., & Asensio, O. (2022). Widespread use of National Academies consensus reports by the American public. *PNAS*, Feb. 22, 2022.

<https://doi.org/10.1073/pnas.2107760119>.

Ministry for Higher Education and Research (2021). Second French Plan for Open Science.

<https://www.ouvrirlascience.fr/second-national-plan-for-open-science-npos/> (Accessed 11.6.2024).

Open Science and Research Coordination, Federation of Finnish Learned Societies (2019).

Open access to scholarly publications. National Policy and executive plan by the research community in Finland for 2020–2025 (1): Policy component on open access to journal articles and conference publications. <https://doi.org/10.23847/isbn.9789525995329>.

Open Science and Research Coordination, Federation of Finnish Learned Societies (2020).

Good practice in researcher evaluation. Recommendation for the responsible evaluation of a researcher in Finland. <https://doi.org/10.23847/isbn.9789525995282>.

Pölönen, J. (2021). Kansalliset julkaisukanavat mahdollistavat tiedejulkaisemisen kotimaisilla kielillä. Tietolinja (2021) : 2. <https://urn.fi/URN:NBN:fi-fe2021121661234>.

Swiss National Science Foundation. Funding Guidelines.

<https://oa100.snf.ch/en/funding/guidelines/> (Accessed 11.6.2024).

UK Research and Innovation (2023). Open Access Policy.

<https://www.ukri.org/publications/ukri-open-access-policy/uk-research-and-innovation-open-access-policy/> (Accessed 11.6.2024).

Appendix 1: Policy working group

Patricia Berg, The Society of Swedish Literature in Finland
Tiina Jounio, University of Oulu
Kimmo Jylhä, Vastapaino
Leena Kaakinen, Gaudeamus
Mari Katvala, University of Oulu
Kirsi Keravuori, Finnish Literature Society
Mervi Kivirinta, Diaconia University of Applied Sciences
Riitta Koikkalainen, National Library of Finland (chair 2024–)
Kalle Korhonen, Kone Foundation
Simo Kyllönen, University of Finland
Mikael Laakso, Hanken School of Economics
Hanna Lahdenperä, Federation of Finnish Learned Societies (sec. 2024–)
Ari Muhonen, University of Eastern Finland
Susanna Nykyri, Tampere University, Tampere University Press
Pekka Olsbo (chair –2023), University of Jyväskylä
Markku Roinila, University of Helsinki
Tomi Rosti, University of Eastern Finland (chair, 2024–)
Sami Syrjä, Federation of Finnish Learned Societies (sec. –2023)
Jennica Thylin-Klaus, The Society of Swedish Literature in Finland
Marko Tikka, Tampere University
Anna-Maija Tuulainen, University of Jyväskylä
Saija Vanhanen, Turku University of Applied Sciences
Jussi Varkemaa, Research Council of Finland
Anna-Mari Vesterinen, Helsinki University Press
Johanna Vuorelma, University of Helsinki
Esa Väliaverronen, University of Helsinki
Jussi Ylikoski, University of Turku