

Open access and the Nordic publication indicator

Friends or enemies?

Janne Pölönen, Federation of Finnish Learned Societies

Vidar Røeggen, Universities Norway

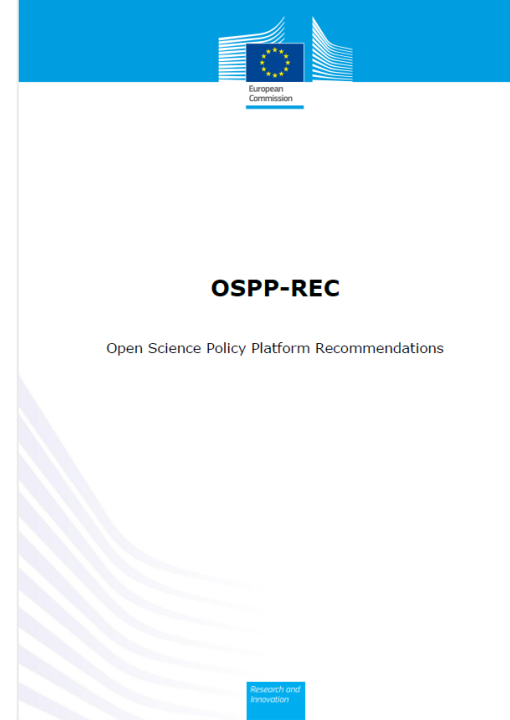
Gunnar Sivertsen, Nordic Institute for Studies in Innovation, Research and Education



cOAlition S
Making
Open Access
a reality
by 2020

A DECLARATION OF COMMITMENT
BY PUBLIC RESEARCH FUNDERS

<http://scieur.org/coalition-s>



OSPP-REC

Open Science Policy Platform Recommendations

Research and
Innovation

eua EUROPEAN
UNIVERSITY
ASSOCIATION

EUA Roadmap
on Research Assessment
in the Transition to
Open Science

JUNE 2018

**LE
RU**
PUSHING
THE FRONTIERS
OF INNOVATIVE
RESEARCH

ADVICE PAPER
No.24 - MAY 2018

Open Science and
its role in universities:
A roadmap for cultural change

LEAGUE OF EUROPEAN RESEARCH UNIVERSITIES

University of Amsterdam • Universitat de Barcelona • University of Cambridge • University of Copenhagen • Trinity College Dublin •
University of Edinburgh • University of Freiburg • Université de Genève • Universität Göttingen • University of Helsinki •
Universiteit Leiden • KU Leuven • Imperial College London • University College London • Lund University • University of Milan •
Ludwig-Maximilians-Universität München • University of Oxford • Sorbonne University • Université Paris-Dauphine •
University of Strasbourg • Utrecht University • University of Zurich



OPEN SCIENCE AND DATA

ACTION PROGRAMME FOR THE
FINNISH SCHOLARLY COMMUNITY

Open Access agenda and the Nordic Publication Indicator: Conflicting issues?

Using channel as proxy of output quality...

- **The San Francisco Declaration on Research Assessment (DORA)** general recommendation is "not to use journal-based metrics, such as JiF, as a surrogate measure of the quality of individual research articles, to assess an individual scientist's contributions, or in hiring, promotion, or funding decisions."
- **The Leiden manifesto** and the **Metric tide** –report recommend that "quantitative evaluation should support – but not supplant – qualitative, expert assessment"

Reinforcing dominant position of commercial publishers...

- DORA and responsible metrics principles are endorsed by **European Commission, League of European Research Universities, and European university Association** open science recommendations and roadmaps. EUA Roadmap on Research Assessment in the Transition to Open Science point at two main problems with the way we assess research today:
 1. The quality of an article produced by researchers is not evaluated directly, rather through a proxy, i.e., the reputation of the journal it is published in;
 2. This situation **reinforces the dominant position of commercial academic publishers** and disproportionately adds to their power in shaping the way research is funded and conducted.

Rewards and incentives for Open Access publishing...

- European research funders cOAlition S: "By 2020 scientific publications that result from research funded by public grants provided by participating national and European research councils and funding bodies, must be published in compliant Open Access Journals or on compliant Open Access Platforms."

Outline

1. How does the Nordic Publication Indicator (NPI) advance Open Access?
2. Does NPI conform to responsible metrics?
3. Is it responsible to use a proxy indicator for publication channel quality in NPI?
4. Discussion and conclusions

Public debate in leading Norwegian newspaper

Predatory journals and NPI

The screenshot shows the Aftenposten website's 'Røverforskning' (Predatory Research) section. The page features a grid of article cards. At the top, the navigation bar includes the newspaper's name, 'A-magasinet', 'Osloby', 'Sport', and 'Meninger', along with options to 'Bli abonnent' and 'Meny'. A '+ FØLG' button is located in the top right corner of the section.

The main section is titled 'Røverforskning' and contains several article cards:

- Top Left:** Article by Nils Chr. Stenseth, Professor. Title: 'Unge, usikre forskere bør spørre en forsker som har vært lenge i gamet når røvertidsskrifter frister med rask publisering.' (Young, insecure researchers should ask a researcher who has been in the game for a long time when predatory journals tempt with fast publishing.)
- Top Middle:** Article by Kristian Gundersen, Professor I. Title: 'Åpen publisering innskrenker yringsfriheten til forskere som ikke har råd til å betale' (Open publishing restricts the freedom of researchers who cannot afford to pay.)
- Top Right:** 'Dagens korte debattinnlegg' (Today's short debate piece) by Kort sagt, fredag 31. august.
- Middle Left:** Article by Håkon Lindqvist and Trond I. Steen. Title: '«Røvertidsskriftene» er bare toppen av isfjellet' (Predatory journals are just the tip of the iceberg).
- Middle Middle:** 'Dagens korte debattinnlegg' (Today's short debate piece) by Kort sagt, mandag 27. august.
- Middle Right:** Article by Dag Rune Olsen, Rektor Universitetet i Bergen. Title: 'Det er lett å la tellekantene få skylden' (It is easy to let the counting machines get the blame).
- Bottom Left:** Article featuring a logo for the 'INTERNATIONAL CONFERENCE ON COMPUTATIONAL TECHNIQUES AND METHODS'.
- Bottom Middle:** Article featuring a photo of a conference room with the text 'INTERNATIONAL CONFERENCE ON COMPUTATIONAL TECHNIQUES AND METHODS'.
- Bottom Right:** Article by Børre Fevang. Title: 'Det er lett å la tellekantene få skylden' (It is easy to let the counting machines get the blame).

The NPI and predatory journals

The NPI is definitely part of the problem!



Curt Rice, rector at
OsloMET



“We need to discuss the NPI, because it creates a pressure to publish, and focus too much on volume and not on quality”

NPI and predatory journals

Svein Stølen, rector at UIO



NPI and predatory journals

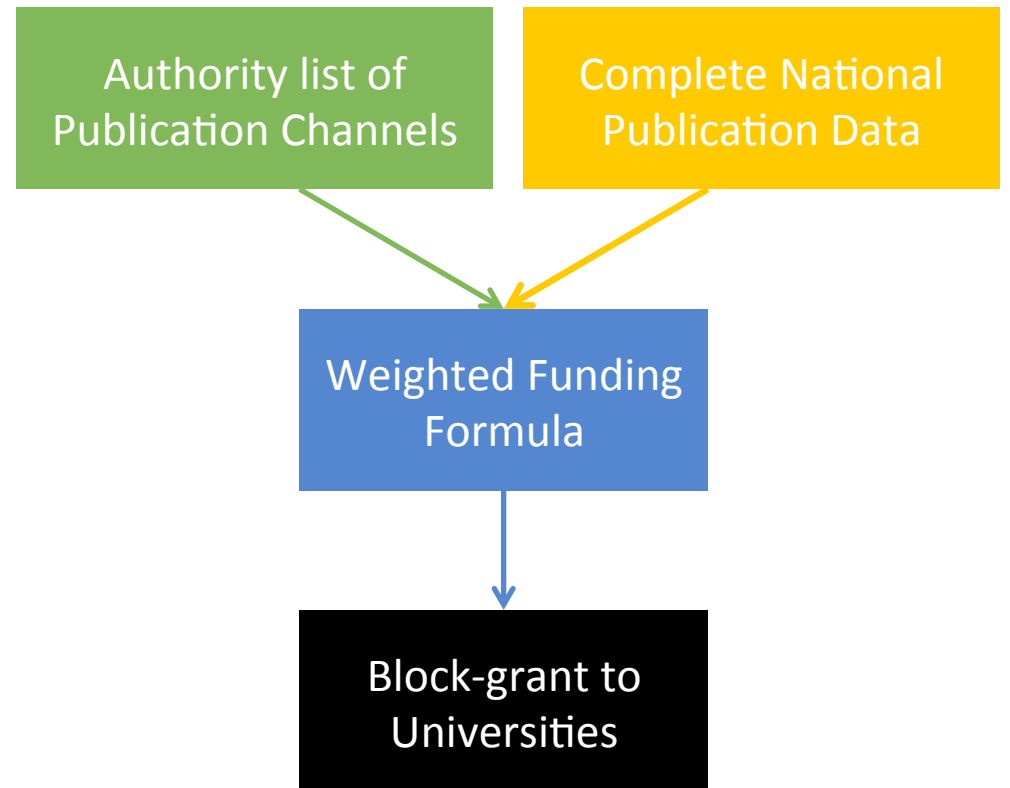
“The NPI is our guard against predatory journals!”

Anne Kristine Børresen, The National Board of Scholarly
Publishing

How does the NPI advance open access?

- Dissemination of OA information
- Inclusion of OA journals at level 1
- Effort to exclude questionable OA
- Promoting OA journals to level 2 and 3
- Exclusion of other than OA publications?
- OA in the funding formula?

Denmark, Finland and Norway use the “Norwegian model” of block-grant allocation that links national publication data to a weighted quality index of publication channels.



Dissemination of OA information

- DBH
 - Om DBH
 - Referansegruppen
 - Kontakt oss
 - About DBH
- Rapportering
- Dokumentasjon
- Statistikk
- Nøkkeltall
- KD-portalen
- NOKUT-portalen
- Webservice
- Fagskolestatistikk
- Selskapsdatabasen

Search Login Documentation 

Advanced search

Title:

ISSN or ISBN-prefix:

ITAR code:

NPI Scientific Field:

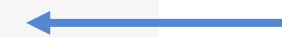
Open access:

SHERPA/RoMEO:

Scientific level:

Language:

Type:



- Reliable OA-channels
- DOAJ-indexing
- Sherpa/Romeo codes



Scientific fields: 1 [Refresh application](#)

Search

Select publication type

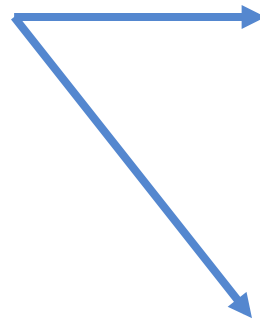
Publishing language

Country of publication

JUFOID	LEVEL	NAME	S/R	DOAJ	WOS	SCO	ERIH+	VOL
62633	3	Library and information science research	●		✓	✓		50
63427	3	Mis quarterly	●		✓	✓		75
53722	2	College and research libraries	●	✓	✓	✓		50
56765	2	Government information quarterly	●		✓	✓		75
57825	2	Information and management	●		✓	✓		75
57828	2	Information and organization	●		✓	✓		25
57843	2	Information research	●	✓	✓	✓		50

Inclusion of OA journals at level 1

- New channels added every year, allowing inclusion of emerging OA channels and platforms
- Same criteria for OA and traditional channels:
 - expert editorial board
 - reliable peer-review



JULKAISUFOORUMI
PUBLIKATIONSFORUM • PUBLICATION FORUM

NPI NORWEGIAN PUBLICATION INDICATOR

Norway:

Level 1 Criteria

1. Established procedures for external peer review. The concept of external peer review refers to various forms of editorial procedures that differ between academic fields and publication channels, and which indicate that the manuscript has been evaluated by one or more independent experts on the subject matter
2. An academic editorial board (or an equivalent) primarily consisting of researchers from universities, research institutes etc.
3. International or national authorship
Exception: Do not include local channels, understood as when more than two-third of the authors are from the same institution.

Finland:

Level 1 Criteria

1. specialized in the publication of scientific or scholarly research outcomes
2. editorial board constituted by experts
3. entire manuscripts of scientific or scholarly articles or books subject to peer review
4. registered ISSN or ISBN number
Exception: channels that are local (mainly used by researchers of a single research organization) or the quality and relevance to Finnish research community is questionable (e.g. predatory journals).



Effort to
exclude
questionable
OA

- **Whitelist instead of blacklist**
- **Sharing methods and information to identify questionable OA**
- **Nordic list collaboration with and sponsors of DOAJ**

DOAJ DIRECTORY OF
OPEN ACCESS
JOURNALS

Promoting OA journals to level 2 (and 3)

- Expert-panels advised to promote open access
- Too few serious alternatives among DOAJ-journals
- Most leading journals are hybrid and/or allow self-archiving

OA in level 2&3 nominations

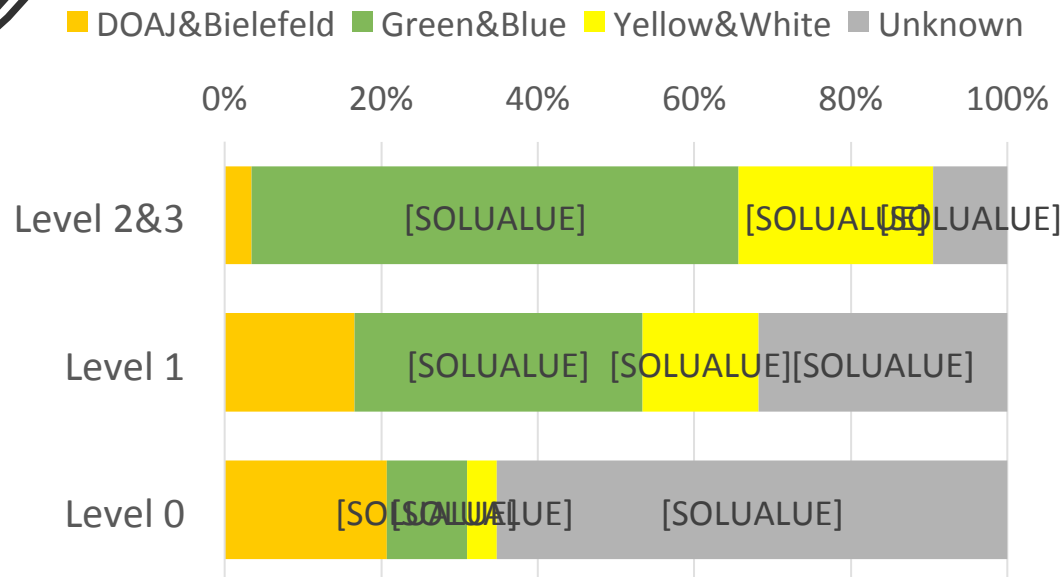
Norway:

The National Board for Scholarly Publishing support open access publishing. When open access channels meets the general requirements for level 2, to be absolute leading, and the scientific community assess the channels to hold the same reputation as alternative choices for level 2, the channels of open access should be given priority.

Finland:

If channels considered for Level 2 or Level 3 in the same field have equal impact or prestige, an open access journal or one permitting self-archiving of the peer-reviewed version of the manuscript with reasonable embargo is chosen for higher level, over the channel that does not support open access. Openness of data can also be considered an advantage.

OA of journals in different levels in Finland



OA in the funding formula?

- Indicator to promote both quality and open access
- Weights based on publication type, channel level and open access
- 1.2 extra-weight for Gold, Bronze, Hybrid and Green OA

OA-incentive in Finland

Plan is to make openly available peer-reviewed articles, monographs and edited works 20 % more rewarding to universities in terms of funding than not openly available publications.

1.2 extra-weight to all openly available peer-reviewed publications:

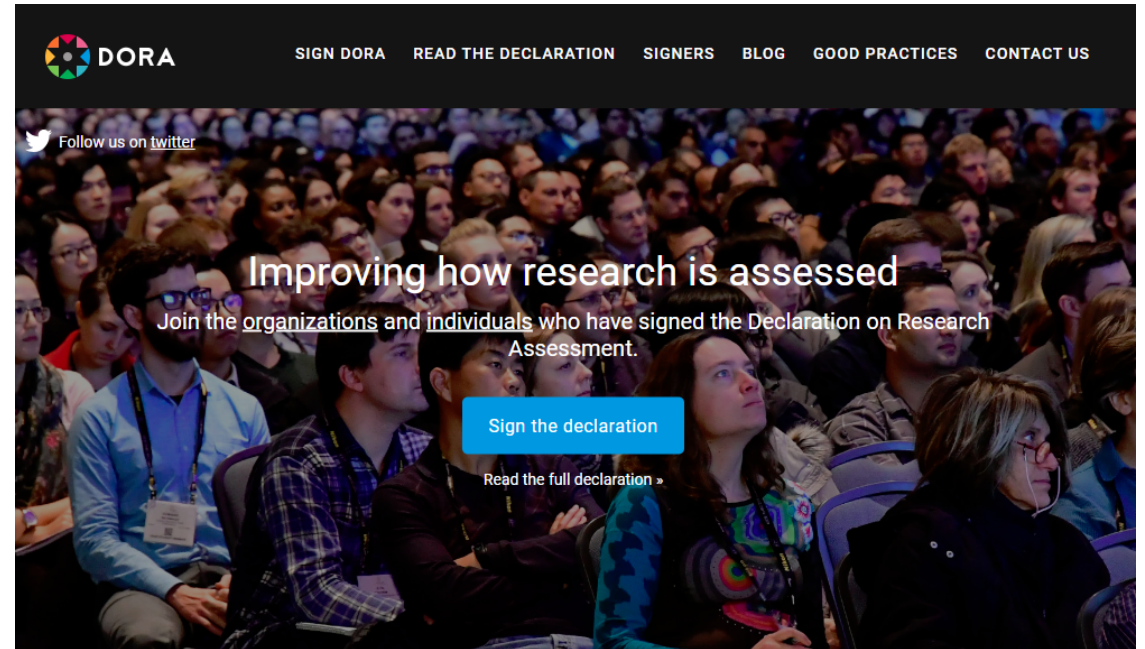
- in OA-channels where all publications are openly accessible
- in hybrid channel containing both open closed publications
- peer-reviewed version archived in organizational or field repository

Vision 2030 working-group set up by the Ministry of Education and Culture has proposed changes to the funding model of universities from 2021 onwards.

Publication type	Not OA publications				OA publications			
	Level 3	Level 2	Level 1	Level 0	Level 3	Level 2	Level 1	Level 0
Peer-reviewed monograph	16	12	4	0.4	19.2	14.4	4.8	0.48
Peer-reviewed article in journal	4	3	1	0.1	4.8	3.6	1.2	0.12
Peer-reviewed article in book	4	3	1	0.1	4.8	3.6	1.2	0.12
Peer-reviewed article in proceedings	4	3	1	0.1	4.8	3.6	1.2	0.12
Peer-reviewed edited work	4	3	1	0.1	4.8	3.6	1.2	0.12
Not-peer-reviewed monographs	0.4				0.4			
Not-peer-reviewed articles	0.1				0.1			

How does NPI conform to responsible metrics?

- Data and analysis simple, transparent and controllable
- Promotion of locally relevant research
- Consideration of field variation in publishing
- Recognizing systemic effects
- Indicator is scrutinized and updated

The image shows the top section of the DORA website. At the top left is the DORA logo, a colorful circular icon with the text 'DORA' next to it. To the right of the logo is a navigation menu with links: 'SIGN DORA', 'READ THE DECLARATION', 'SIGNERS', 'BLOG', 'GOOD PRACTICES', and 'CONTACT US'. Below the navigation is a dark banner featuring a photograph of a large audience of people sitting in a lecture hall or conference room. Overlaid on the banner is the text 'Improving how research is assessed' in a large, white, sans-serif font. Below this text is a smaller line of text: 'Join the organizations and individuals who have signed the Declaration on Research Assessment.' There are two call-to-action buttons: a blue button with white text that says 'Sign the declaration' and a white button with a right-pointing arrow and the text 'Read the full declaration >'. In the top left corner of the banner area, there is a small white Twitter icon followed by the text 'Follow us on twitter'.

LEIDEN MANIFESTO FOR RESEARCH METRICS

[Home](#) [Video version](#) [Translations](#) [Blog](#)

10 principles to guide research evaluation with 15 translations, a video and a blog

Research evaluation has become routine and often relies on metrics. But it is increasingly driven by data and not by expert judgement. As a result, the procedures that were designed to increase the quality of research are now threatening to damage the scientific system. To support researchers and managers, five experts led by [Diana Hicks](#), professor in the School of Public Policy at Georgia Institute of Technology, and [Paul Wouters](#), director of CWTS at Leiden University, have proposed 10 principles for the measurement of research performance: the Leiden Manifesto for Research Metrics published as a comment in Nature.

Hicks, Wouters, Waltman, de Rijcke, Rafols, Nature, April 23, 2015

Data and analysis simple, transparent and controllable

- Universities can check the data on basis of which they are funded
- Data is accessible to also to researchers and public
- Authority list with level ratings is openly available

The purpose of the Norwegian Publication Indicator (NPI) is to promote high-quality research and provide an overview of and insight into research activity.



The National Board of Scholarly Publishing
The National Board of Scholarly Publishing (NPU) is responsible for the administration and development of the NPI and reports to the board of the Norwegian Association of Higher Education Institutions (UHR). UHR's strategic academic units (scientific panels) assess the publication channels' level

The Norwegian Register for Scientific Journals, Series and Publishers
The registry is operated jointly between The National Board of Scholarly Publishing (NPU) and NSD - Norwegian Centre for Research Data on behalf of the norwegian Ministry of Education and Research. NSD has operational responsibility. NPU has approval authority of

Cristin
Cristin is a national system for registering and reporting the research activity of institutions in the institute sector, the health trusts and the university and u sector. Cristin is also national coordinati access activities an consortiums of a re electronic resource

Statistics
NSD is responsible for statistics on scientific publications for the university and university college sector.

vipunen EDUCATION STATISTICS FINLAND

Home All levels and sectors Pre-primary and basic education General upper secondary

University education > Publications

Publications

The publication reports for university e

APPLICANTS AND SELECTED CANDIDATES
STUDENTS AND DEGREES
STUDY PROGRESS
PLACEMENT AFTER GRADUATION

JUULI Julkaisutietoportaa

Suomi Svenska English

Search: [input] All Fields Find Advanced Retain current filters

Showing 1 - 20 of 2,275 for search: "", query time: 0.06s Sort Title

Narrow Search

Remove Filters

- Year of Publication: 2017
- Type of Publication: , A Peer-reviewed scientific articles, 0
- Publication Forum Class: 3

Institution

- University (2,093)
 - University of Helsinki (744)
 - University of Turku (345)
 - Aalto University (293)
 - University of Oulu (249)
 - University of Eastern F... (247)
 - University of Jyväskylä (244)
 - University of Tampere (206)
 - Tampere University of T... (86)

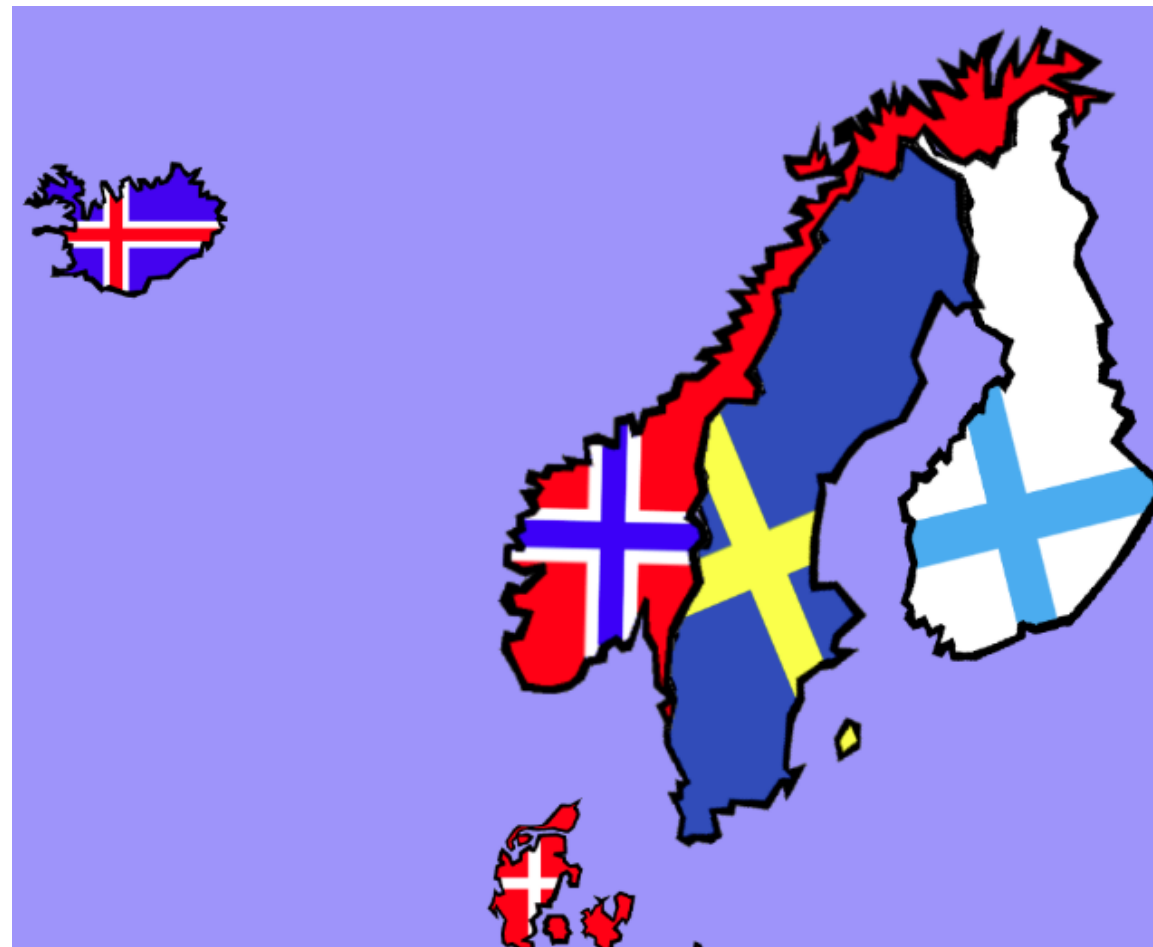
1 **A 2-Year Follow-Up After a 2-Year RCT with Vitamin D and Exercise: Effects on Falls, Injurious Falls and Physical Functioning Among Older Women**
by: Uusi-Rasi, Kirsti; Patil, Radhika; Karinkanta, Saija; Kannus, Pekka; Tokola, Kari; Lamberg-Allardt, Christel; Sievanen, Harri
journals gerontology series biological sciences medical sciences, 2017
A1 Journal article (refereed), original research
Get full text

2 **20-Year Risks of Breast-Cancer Recurrence after Stopping Endocrine Therapy at 5 Years**
by: Pan, Hongchao; Gray, Richard; Braybrooke, Jeremy; Davies, Christina; Taylor, Carolyn; McGale, Paul; Peto, Richard; Pritchard, Kathleen I.; Bergh, Jonas; Dowsett, Mitch; Hayes, Daniel F.; Joensuu, Heikki
new england journal medicine, 2017
A1 Journal article (refereed), original research
Get full text

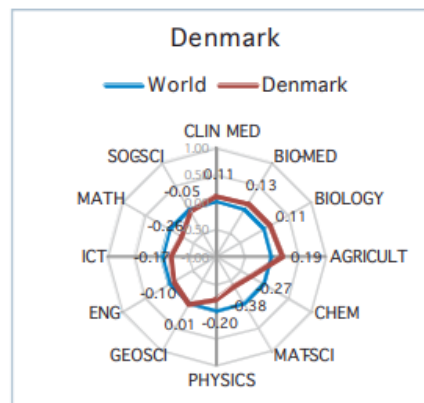
3 **The 2015 outburst of the accretion-powered pulsar IGR J00291+5934: INTEGRAL and Swift observations**
by: De Falco V, Kuiper L, Bozzo E, Galloway DK, Poutanen J, Ferrigno C, Stella L, Falanga M
Astronomy and Astrophysics, 2017

Promotion of locally relevant research

- Indicator can include all publication languages
- National language channels can be included at levels 1 and 2
- Adaptation to national research profiles and interests



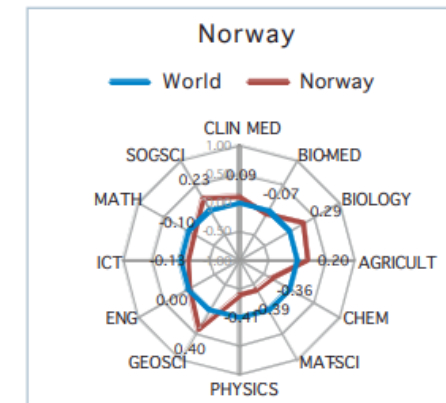
RSI FOR DENMARK, 2004-2008



RSI FOR FINLAND, 2004-2008



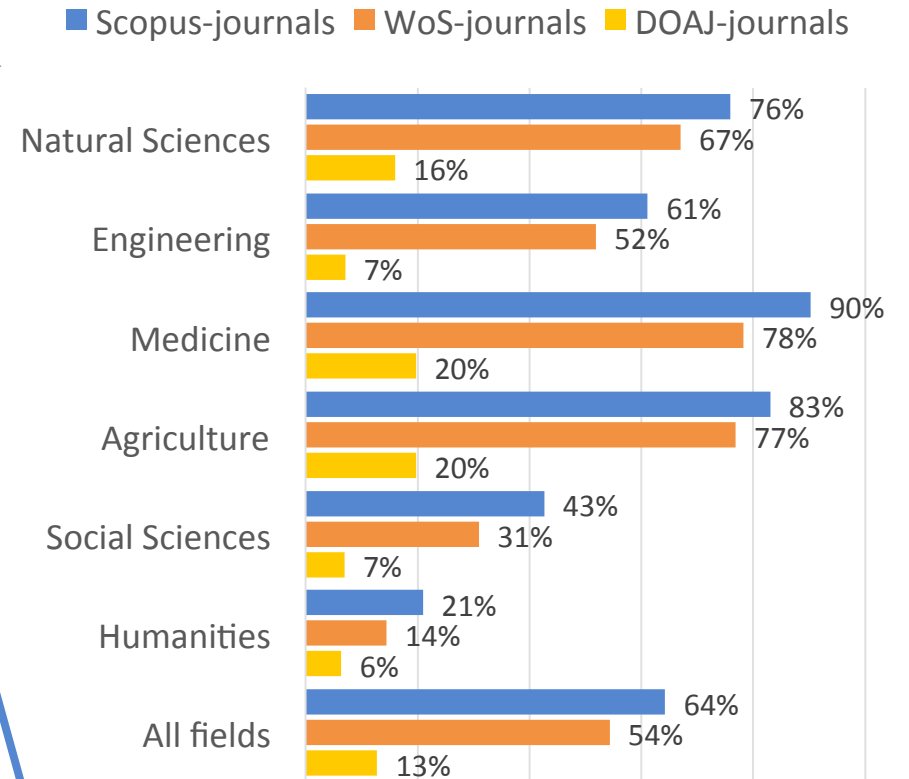
RSI FOR NORWAY, 2004-2008



Consideration of field variation in publishing

- Complete coverage of peer-reviewed outputs in all fields
- Indicator can take into account all publication types
- Indicator can give different weights per publication type (article vs. monograph)
- Publications can be fractionalized by author and/or organization

Coverage of the peer-reviewed output of Finnish universities 2016-2017



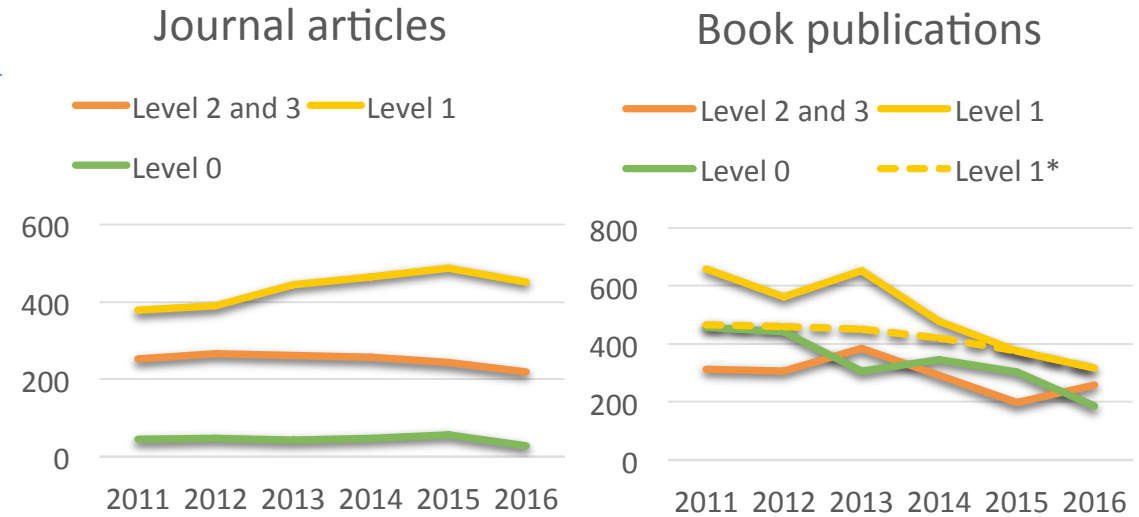
Resultater fordelt på publikasjonsform og kvalitetsnivå

Forskningssektor	Monografi			Antologikapittel			Artikkel			Grand Total
	Nivå 1	Nivå 2	Total	Nivå 1	Nivå 2	Total	Nivå 1	Nivå 2	Total	
Universiteter og høyskoler	172	62	234	2 713	990	3 703	13 451	4 089	17 540	21 477
Helsesektoren	2		2	39	5	44	3 255	947	4 202	4 248
Instituttsektoren	14	17	31	459	184	643	3 458	983	4 441	5 115
Grand Total	184	75	259	2 996	1 117	4 113	15 961	4 700	20 661	25 033

Recognizing systemic effects

- Data enables monitoring of possible systemic effects
- Indicator can be subject to self-evaluation and external evaluation

Number of peer-reviewed Finnish language SSH outputs in different levels 2011-2016.



AARHUS
UNIVERSITET

EVALUERING AF DEN NORSKE PUBLICERINGSINDIKATOR

DANSK CENTER FOR FORSKNINGSANALYSE, AARHUS
UNIVERSITET

PÅ OPDRAG AF UNIVERSITETS- OG HØGSKOLERÅDET

Evaluering af den bibliometriske
forskningsindikator

Gunnar Sivertsen og Jesper Schneider

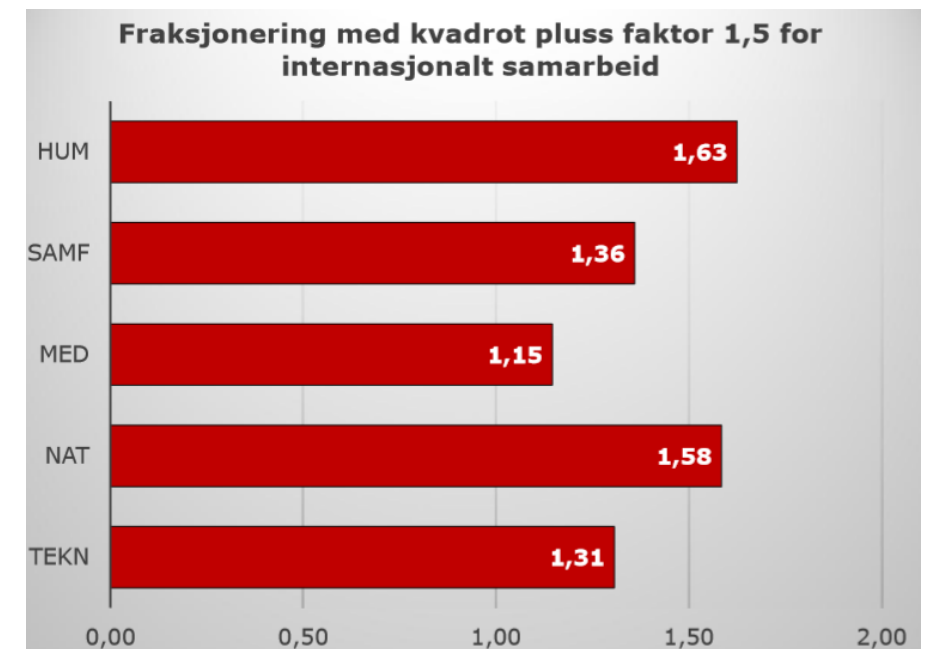
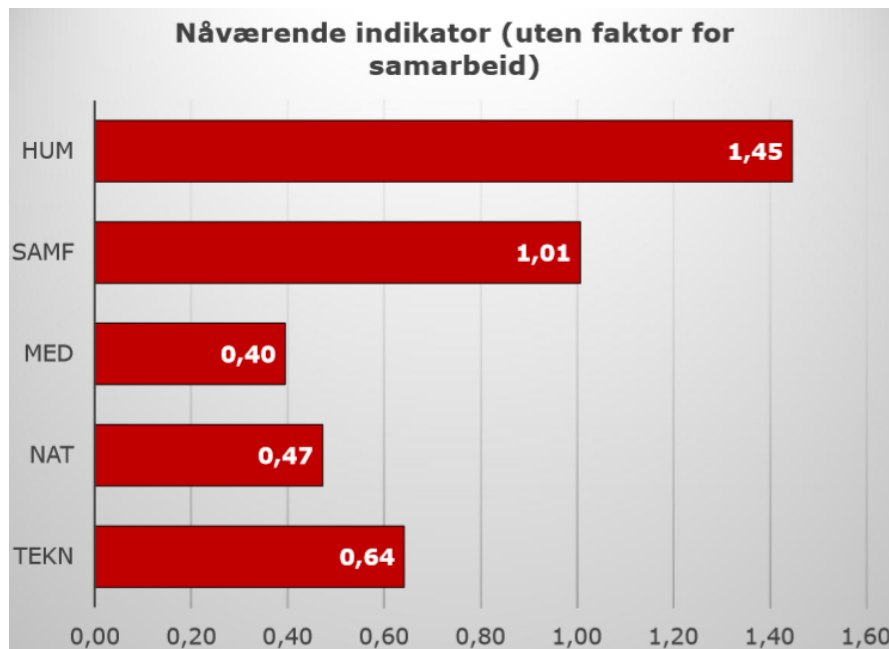
Rapport 17/2012

NIFU

Indicator is scrutinized and updated

- Indicator is subject to public debate and inspection
- Level ratings of publication channels are regularly updated
- Funding model and formula can be updated

Performance-based funding indicators	Share (%)	
	2017	2021
Education	41	42
• Master's degrees	13	19
• Bachelors' degrees	6	11
• Study credits in open university, specialization studies, studies based on cooperation and in non-degree programmes	2	5
• Number of students who have gained at least 55 study credits	10	
• Student feedback	3	3
• Number of employed graduates	2	4
• Master's degrees awarded to foreign nationals	1	
• Student mobility to and from Finland	2	
Research	33	34
• PhD degrees	9	8
• Scientific publications	13	14
• International teaching and research staff	2	
• Competed research funding	9	12
Other education and science policy objectives	28	24
• Strategic development	12	15
• Field-specific funding	9	
• National duties	7	9



Den Bibliometriske Forskningsindikator

Den Bibliometriske Forskningsindikator (BFI) giver et overblik over den danske forskningsproduktion. BFI er samtidig en del af den performancebaserede finansieringsmodel for nye basismidler og fordeler midler til danske universiteter baseret på produktionen af forskningspublikationer. For at en publikation kan udløse point, skal den leve op til BFI's definition af en forskningspublikation og være udgivet i en kanal optaget på en af BFI-listerne.

På denne hjemmeside foregår behandlingen af BFI-listerne, herunder inddelingen af kanalerne på niveau 1, 2 og 3, samt høst, kvalitetssikring og optælling af forskningspublikationer for de otte danske universiteter. For at kunne tilgå en eller flere af disse moduler skal man være oprettet som bruger med særlige rettigheder. Skriv til [BFI-sekretariatet](#), hvis du har spørgsmål eller behov for hjælp.

Læs mere om Den Bibliometriske Forskningsindikator her:

[Den Bibliometriske Forskningsindikator på Uddannelses- og Forskningsministeriets hjemmeside](#)

[BFI's regler](#)

[BFI-lister](#)

[Organisering](#)

[Spørgsmål og svar](#)

Læs retningslinjerne for forskningsregistrering til Den Bibliometriske Forskningsindikator her:

[Dansk version](#)

[Engelsk version](#)

[Links til den Norske og Finske model:](#)

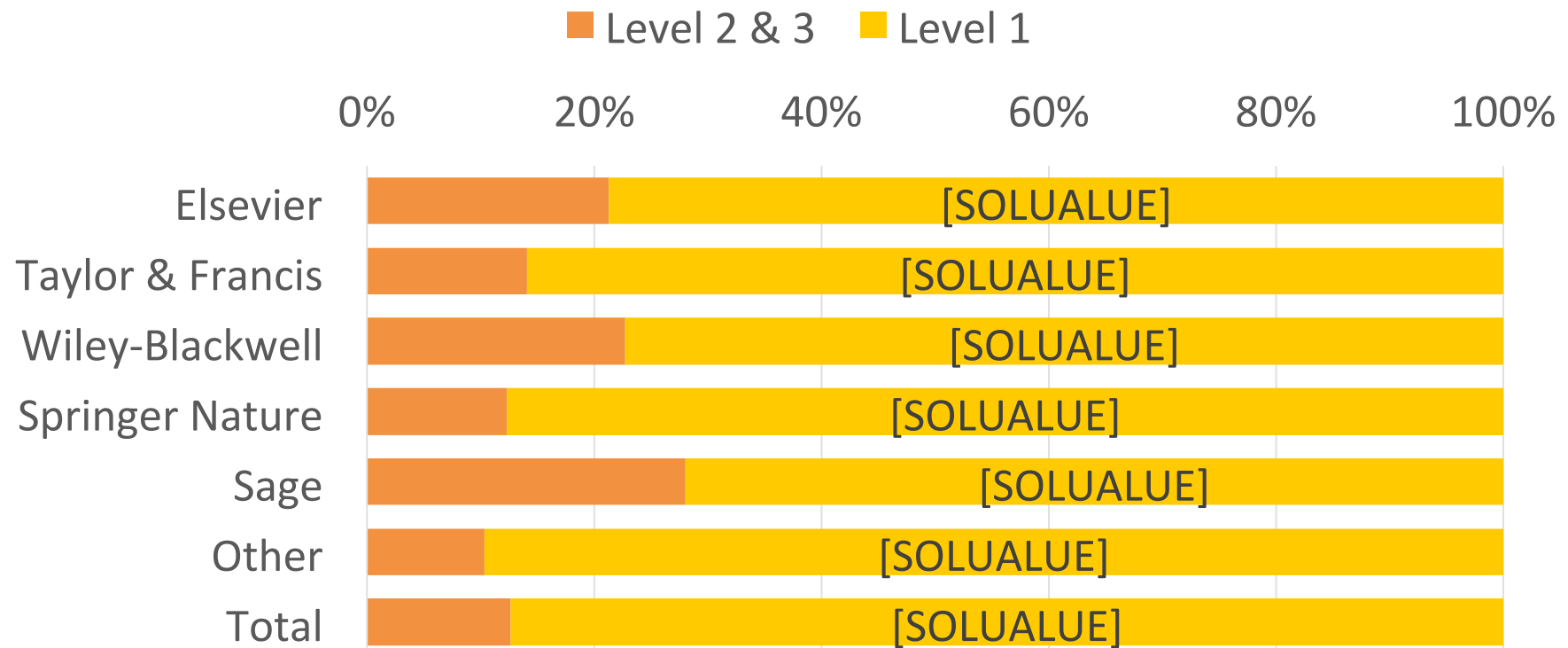
- Channel rating is not based on publisher
- Expert-based rather than JIF-based rating
- Macro level funding-scheme
- Responsible use at individual level

Is it responsible to use channel as proxy in NPI?

Rating is not based on publisher

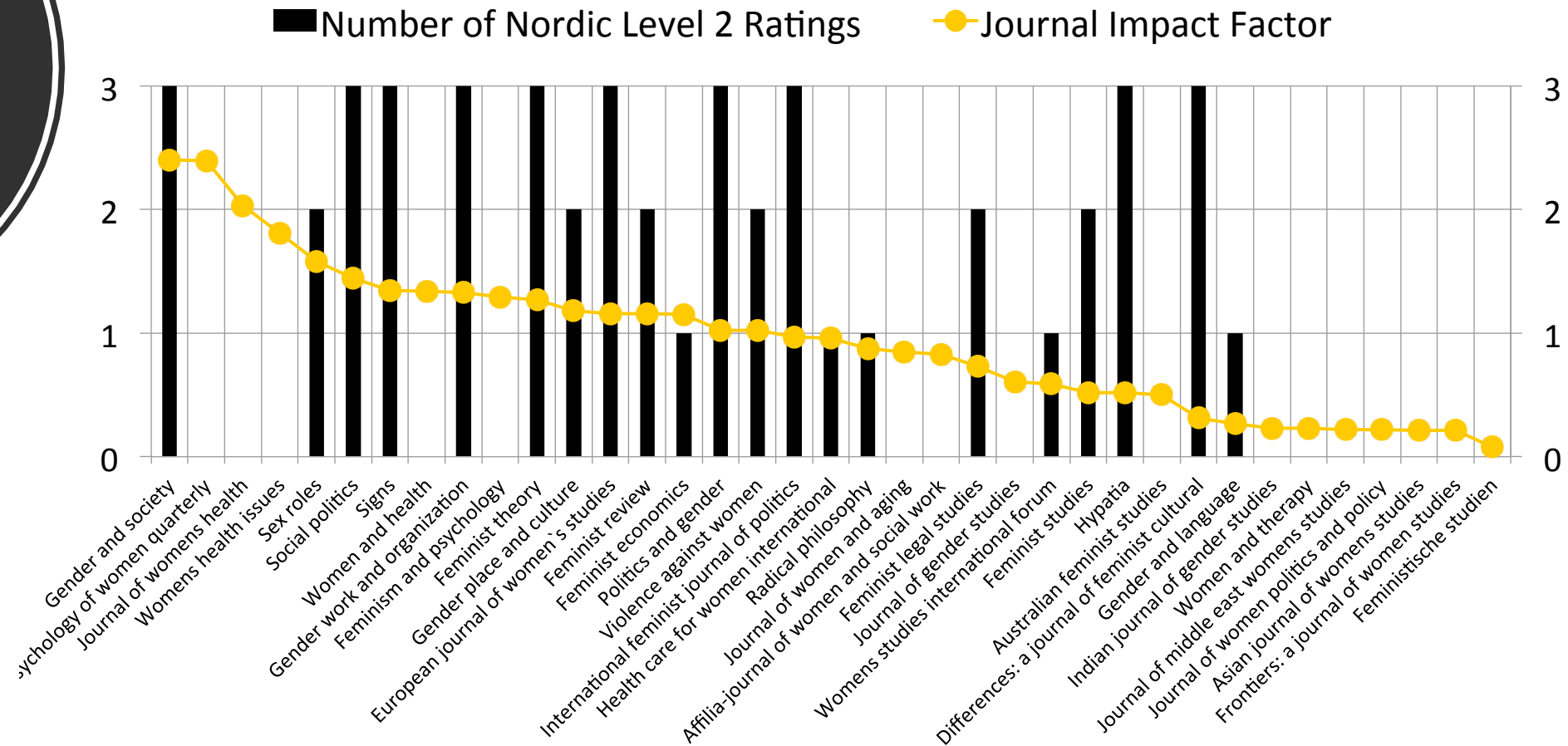
- Publisher does not determine the rating of journals
- The big 5 have some advantage at level 2
- Vast majority of the big 5 journals are at level 1

Share and number of 5 largest publishers' journals at levels 1-3 in Finland



Expert-
based rather
than JIF-
based rating

- Rating of journals and book publishers is entrusted to field-specific expert-panels representing the national research communities
- High Journal Impact Factor does not guarantee Level 2 or 3.

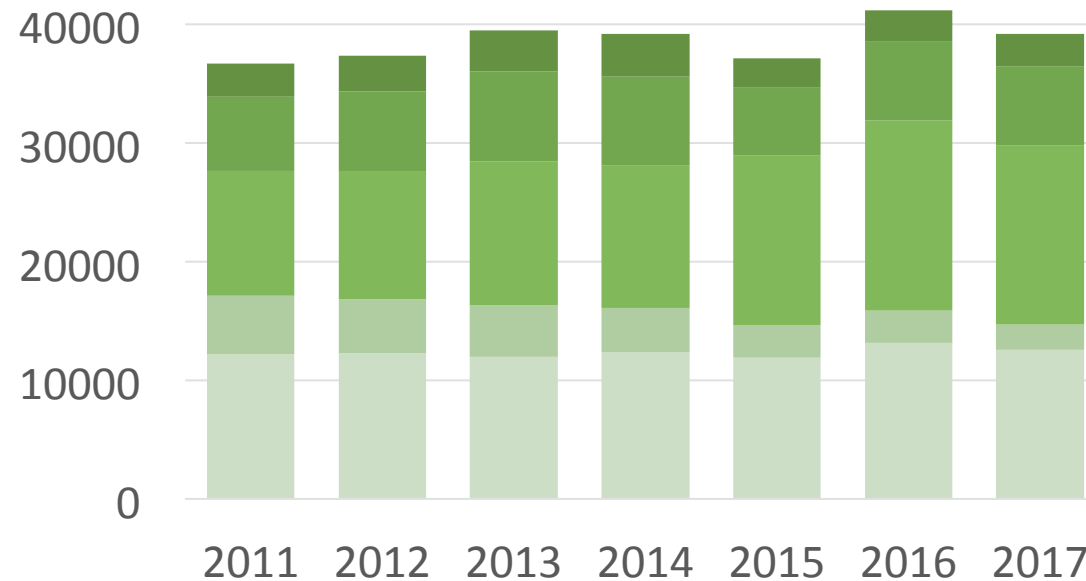


Macro level funding-scheme

- Indicator is designed to distribute funding to universities at the macro level
- The scale of outputs warrants the channel based indicator's use in place of expert-evaluation

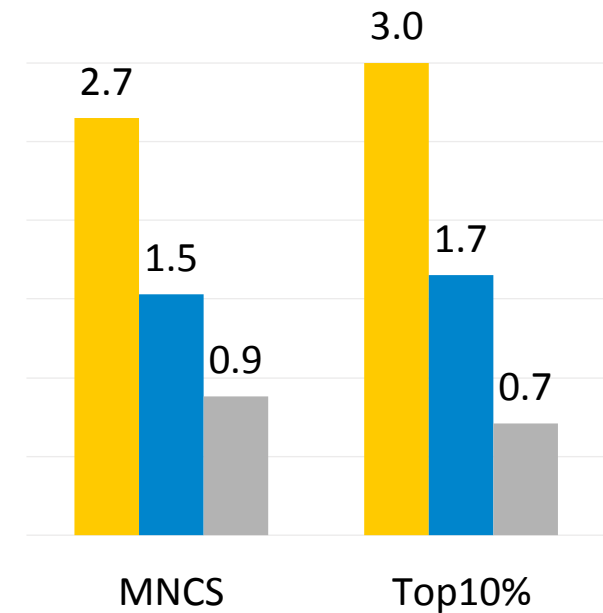
Number of yearly outputs included in the Finnish funding model

Other Level 0 Level 1 Level 2 Level 3



MNCS and Top10%-index WoS output 2011-2013

Level 3 Level 2 Level 1





Responsible
use at
individual
level

- Indicator is not suited for the evaluation of individual researchers
- It is possible to produce national level guidelines

Norway:

Recommendation – The publication indicator used at local level or for individual researchers

“As a rule then, the indicator should not be used as a decisive basis for budget resource allocation, career development, the distribution of tasks, internal resources and benefits, nor in employment contexts. Academic managements must also take into consideration the researchers' contributions related to education, dissemination and innovation, as well as the employees' professional and social contributions to the academic community.

Pure mechanical application of the indicator is discouraged.”

Finland:

Publication Forum Steering-group:

“The Publication Forum classification is too approximate to be used as a tool for evaluating or comparing the publications or merits of individual researchers... The classification cannot substitute for peer evaluation as a criterion or grounds for decisions on an individual researcher's recruitment, financing or rewarding.”

- Federation of Finnish Learned Societies has set up a working-group to establish national guidelines for responsible evaluation of researchers

Discussion and conclusions

- NPI involves consultation of the expert-panels representing the research community with the implementation of OA agenda.
- Level ratings of journals and book publishers rely on expert-assessment, not just publisher brand or the Journal Impact Factor.
- NPI framework is dynamic and flexible, the authority list and the funding formula can recognize and promote both OA and quality
- NPI supports responsible metrics in terms of data coverage, transparency, publishing cultures, scrutiny and updates.
- The scale of outputs warrants the use of NPI instead of expert-evaluation at macro level funding scheme.
- Content-based expert-evaluation of research takes place in other evaluation contexts (research assessments and project funding).
- DORA, Leiden manifesto and Metric Tide concern the responsible use of metrics at the level of individual researchers

