

# Improving the transparency and credibility of open access publishing

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- Setting the scene – the big issues
- Elements in transparency and credibility
  - Editorial “quality”
  - Peer-review process
  - Openness/licensing
  - “Technical quality”
- How will DOAJ contribute to improved transparency and credibility of OA-journals

## Basic views

- “International” subscription based publishing excludes major parts of the world.
- It doesn’t work, doesn’t serve research and societies.
- Dominant publishers and proprietary databases constitutes a “system” excluding continents from participation
- Dominant measures of scholarship enforces this power structure.

# Science is broken!

- Raison d'etre of the work of traditional editorial boards – i.e. peer-review – belongs to the print world
- 1-2 reviewers decide what future scholars and the public might find important.
- Traditional closed peer-review supports existing power structures
- It is elitist, flawed & biased!

# Impact!

- Dominant measures of impact – i.e. the JIF – only measures impact of research on researchers and research itself.
- Determines research funding, research policy and the faith of scholars.
- Fails to embrace impact on practitioners, the public and our societies.
- Is flawed, prone to manipulation.
- What counts is not so much what you publish, but rather where you publish!

# The big problem?

- The big problem:
- is **not** whether **open access** publishing is transparent and credible!
- but rather **how** to create a scholarly communication system that **serves** research, researchers, the people and our societies!
- The good thing is, that the awareness about the problems in the existing system is growing and a lot of promising developments are underway.

- Improving the transparency and credibility of ~~open access~~ publishing!
- But: do not blame the publishers, rather blame those who allows the system to continue to exist and flourish!

## Open Access, then...

- The promises of open access
- OA can:
- remove access barriers
- reduce participation barriers
- create a truly global scholarly communication system
- reduce the total costs
- increase the impact of research on research, societies and the people!



## Issues...

- This is not to say that OA is problem free:
- Many OA-journals does not live up to reasonable
  - editorial standards
  - technical standards
  - ethical standards
- Some business models can exclude some researchers.

## October 2013

NEWS

### Who's Afraid of Peer Review?

John Bohannon

Dozens of open-access journals targeted in an elaborate *Science* sting accepted a spoof research article, raising questions about peer-review practices in much of the open-access world.

## February 2014

NATURE | NEWS



### Publishers withdraw more than 120 gibberish papers

Conference proceedings removed from subscription databases after scientist reveals that they were computer-generated.

- Should be much more transparent regarding
  - The editorial process
  - The peer-review process
  - Rights (reader rights, reuse rights, remixing rights etc.)
  - The services they provide to the author
    - Archiving
    - Identifiers
    - Discoverability

- COPE, OASPA, WAME & DOAJ:

## **Principles of Transparency and Best Practice in Scholarly Publishing**

### **Introduction**

The Committee on Publication Ethics, the Directory of Open Access Journals, the Open Access Scholarly Publishers Association, and the World Association of Medical Editors are scholarly organizations that have seen an increase in the number of membership applications from both legitimate and non-legitimate publishers and journals. Our organizations have collaborated in an effort to identify principles of transparency and best practice that set apart legitimate journals and publishers from non-legitimate ones and to clarify that these principles form part of the criteria on which membership applications will be evaluated.

These criteria are largely derived from those developed by the Directory of Open Access Journals. Note that additional membership criteria may also be used by each of the scholarly organizations. The organizations intend to share information in order to develop lists of legitimate journals and publishers. We do not intend to develop or publish a list of publishers or journals that failed to demonstrate they met the criteria for transparency and best practice.

This is a work in progress and we welcome feedback on the general principles and the specific criteria. Background on the organizations is below.

- <http://oaspa.org/principles-of-transparency-and-best-practice-in-scholarly-publishing/>

# The Principles

1. Peer review process
2. Governing Body
3. Editorial team/contact
4. Author fees
5. Copyright
6. Identification of and dealing with allegations of research misconduct
7. Ownership and management
8. Web site.
9. Name of journal
10. Conflicts of interest
11. Access
12. Revenue sources
13. Advertising
14. Publishing schedule
15. Archiving
16. Direct marketing

- Founded 2003 at Lund University – launched May 2003 with 300 journals
- Membership and Sponsor funding model introduced 2006.
- Situation 2010/2011:
- Increasing expectations as OA gets momentum.
- Difficulties in getting resources as expectations grow.
- As OA matures demands from funders and libraries increase and become more differentiated and advanced.

## INFRASTRUCTURE SERVICES FOR OPEN ACCESS

[www.is4oa.org](http://www.is4oa.org)



Founded by  
Caroline Sutton,  
Alma Swan &  
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## INFRASTRUCTURE SERVICES FOR OPEN ACCESS

**A not-for-profit Community Interest Company  
(C.I.C.), registered in the United Kingdom.**





- IS4OA took over DOAJ January 1<sup>st</sup> 2013.
- We said we would:
- Respond to demands and expectations by developing new tighter criteria for inclusion
- Reengineer the editorial back office work
- Invite “associate editors” to contribute to evaluation of journals to be listed

## Why tighter criteria?

- To create better opportunities for funders, universities, libraries and authors to **determine** whether a journal lives up to standards – transparency!
- Enable the community to monitor compliance
- Addressing the issue of fake publishers or publishers not living up to reasonable standards both in terms of content and of business behavior.

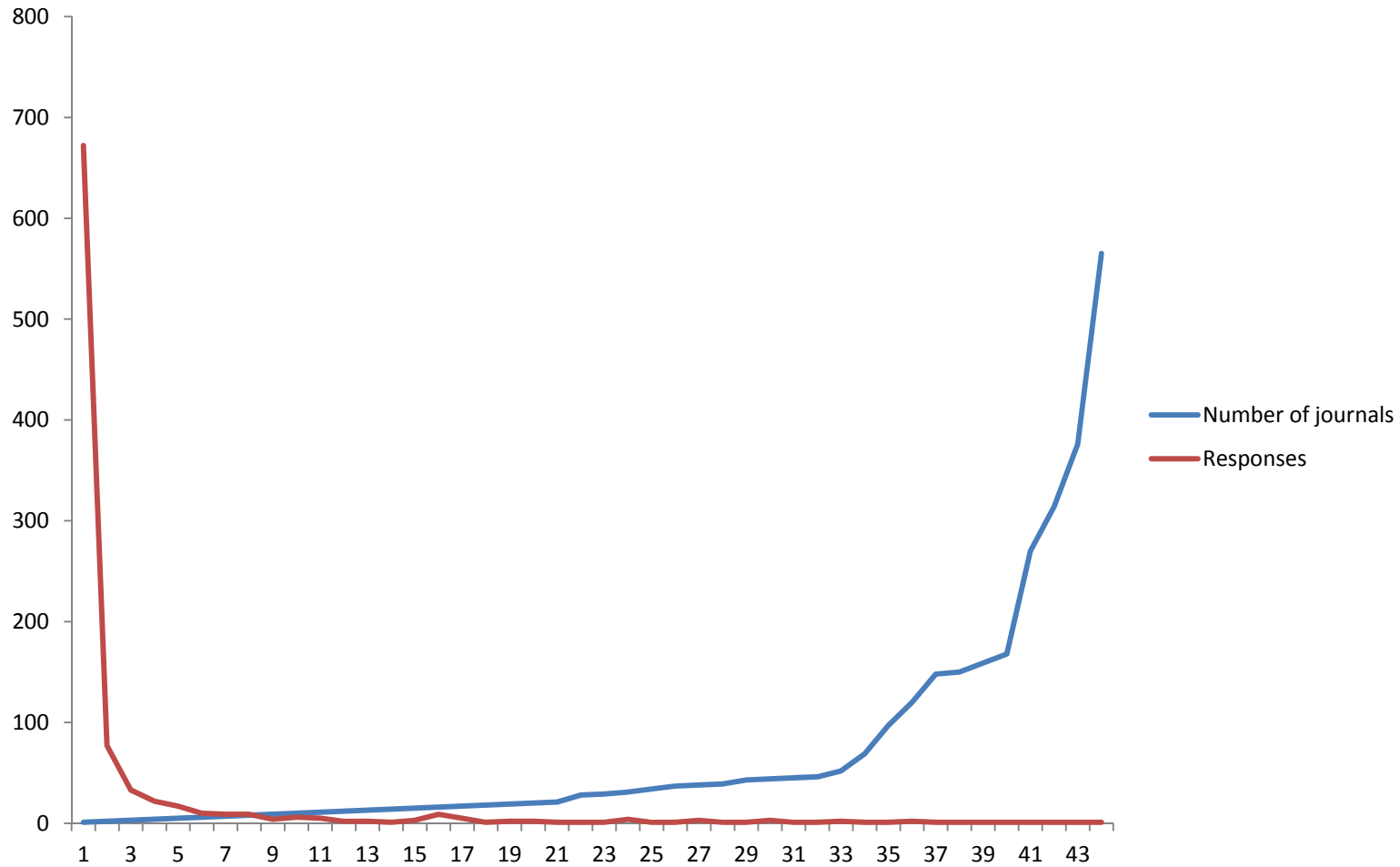
## Why tighter criteria?

- To motivate and encourage OA-journals to
  - be more explicit on editorial quality issues
  - be more explicit on rights and reuse issues
  - improve their “technical” quality fostering improved dissemination and discoverability
- To promote standards and best practice
- Lack of transparency and credibility hurts all OA-publishers!

## New criteria

- New tighter criteria address:
- **“Quality”**
- **“Openness”**
- **“The delivery” or “Technical quality”**
- They are much more detailed
- Publishers will have to do more to be included
- Criteria will be **binary** (either in or not in!)

# The long tail!



- Does your organisation or your journal(s) have an arrangement for long term preservation and availability (LPTA) or partake in any LPTA program?
- Yes: 14%
- No – I'm not interested: 41%
- Would you be interested in DOAJ providing/facilitating a fee-based LPTA service?
- I'm interested. Tell me more: 49%

23) What digital archiving policy does the journal use? \*

- No policy in place
- LOCKSS
- CLOCKSS
- Portico
- PMC/Europe PMC/PMC Canada
- A national library
- Other

Select all that apply. Institutional archives and publishers' own online archives are not valid

24) Enter the URL where this information can be found \*

This field is optional if you have only selected "No policy in place" above

25) Does the journal allow anyone to crawl the full-text of the journal? \*

- Yes
- No

## Permanent Identifiers (DOIs)

- Has your journal(s) implemented DOIs:
- Yes: 35%
- No: 55%
- Don't know: 10%



# Permanent Identifiers

26) Which article identifiers does  
the journal use? \*

- None
- DOI
- Handles
- ARK
- Other

# Editorial "quality"

- **QUALITY AND TRANSPARENCY OF THE EDITORIAL PROCESS**
- The journal must have an editor or an editorial board, all members must be easily identified
- Specification of the review process
  - Editorial review, Peer review., Blind peer review, Double blind peer review, Other (please specify)
- Statements about aims & scope clearly visible
- Instructions to authors shall be available and easily located
- Screening for plagiarism?
- Time from submission to publication

## Quality and Transparency of the Editorial Process

34) What is the URL for the Editorial Board page? \*

The journal must have either an editor or an editorial board with at least 5 clearly identifiable members including affiliation information and email addresses.

35) Please select the review process for papers \*

36) Enter the URL where this information can be found \*

This field is optional if you have selected "None" above.

Specify what kind of review process is applied: Editorial review, Peer Review, Blind Peer Review, Double Blind Peer Review, Open Peer Review

# Plagiarism etc

39) Does the journal have a policy of screening for plagiarism? \*

Yes

No

If "No" proceed to question below

40) Enter the URL where this information can be found \*

41) What is the average number of weeks between submission and publication? \*

## How Open is the Journal?

Please remember that **all** the content of the journal you are applying about **must** be available **immediately** upon publication.

42) What is the URL for the journal's Open Access statement? \*

# Reuse/remix

45) Does the journal allow reuse and remixing of its content, in accordance with a CC license? \*

- CC-BY
- CC-BY-NC
- CC-BY-NC-ND
- CC-BY-ND
- CC-BY-SA
- No

Other

For more information go to  
<http://creativecommons.org/licenses/>

46) Which of the following does the content require? (Tick all that apply.)

- Attribution
- No Commercial Usage
- No Derivatives
- Share Alike

47) Enter the URL on your site where your license terms are stated

47) Enter the URL on your site  
where your license terms are  
stated

48) Does the journal allow readers  
to 'read, download, copy,  
distribute, print, search, or link to  
the full texts' of its articles? \*

Yes

No

From the [Budapest Open Access Initiative's definition  
of Open Access](#)

## Copyright and Permissions

50) Does the journal allow the author(s) to hold the copyright without restrictions? \*

Yes

No

Other

51) Enter the URL where this information can be found \*

52) Will the journal allow the author(s) to retain publishing rights without restrictions? \*

Yes

No

Other



# Deposit policy

49) With which deposit policy directory does the journal have a registered deposit policy? \*

- None
- Sherpa/Romeo
- Dulcinea
- OAKlist
- Héloïse
- Diadorum
- Other

Select all that apply.

| <b>Journals charging APCs</b> |              |
|-------------------------------|--------------|
| <b>Subject</b>                | <b>APC's</b> |
| All Subjects                  | 26%          |
| Medicine                      | 41%          |
| Science                       | 42%          |
| Technology                    | 34%          |
| Social Sciences               | 18%          |
| Education                     | 9%           |
| Language & Literature         | 3%           |
| Phil, Psych. & Religion       | 8%           |
|                               |              |

# Charges

- 13) Does the journal have article processing charges (APCs)? \*

Yes  
 No

If "No" proceed to question below

14) Amount \*

15) Currency \*

- 16) Does the journal have article submission charges? \*

Yes  
 No

If "No" proceed to question below

- 21) Does the journal have a waiver policy (for developing country authors etc)? \*

Yes  
 No

- 22) Enter the URL where this information can be found \*

## A delicate balance!

- Respecting different publishing cultures and traditions
- Not primarily exclude, but rather facilitate and assist the smaller journals to come into the flow
- **While at the same time** promoting standards, transparency and best practice

- Promoting best practice (anno 2014) – qualifiers for the DOAJ SEAL:
- Archiving arrangement with an archiving organisation
- Provision of permanent identifiers
- Provision of article level metadata to DOAJ
- CC-BY (embedded machine readable in article metadata)
- CC-BY or CC-BY-NC
- Deposit policy registered in a deposit policy directory

# The DOAJ SEAL

To qualify for the Seal the journal must:

1. have an archival arrangement in place with an external party. ([scroll to digital archiving policy question](#)) If 'No policy in place' is selected, the journal will not qualify for the Seal.
2. provide permanent identifiers in the papers published. ([scroll to article identifiers question](#)) If 'None' is selected, the journal will not qualify for the Seal.
3. provide article level metadata to DOAJ. ([scroll to metadata provision question](#)) If 'No' is selected or the journal fails to provide metadata within 3 months, the journal will not qualify for the Seal.
4. embed machine-readable CC licensing information in its article level metadata. ([scroll to embedded licensing data question](#)) If 'No' is selected the journal will not qualify for the Seal.
5. allow reuse and remixing of its content in accordance with a CC-BY or CC-BY-NC. ([scroll to licensing question](#)) If CC-BY-ND, 'No' or 'Other' is selected the journal will not qualify for the Seal.
6. have a deposit policy registered in a deposit policy directory. ([scroll to deposit policy question](#)) If 'No' is selected the journal will not qualify for the Seal.

A journal cannot apply for the Seal. The Seal will be awarded to a journal by the DOAJ Editorial staff depending on the information provided in the application form.

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## To conclude!

- We believe that the new application criteria will improve the transparency and credibility of OA-journals
- We will continue to contribute to the momentum of open access publishing by
  - carefully promoting standards, transparency and best practice
  - without losing the **global** view
  - collaborating
- This will benefit **all** open access publishers!

But!

- “upgrading” DOAJ is a major effort:
- major system development work
- implementing a new way of working – putting associate editors to work
- we will only be able to do this, if we get more financial support from the community.
- Support the work we are doing!



**Our ambition: DOAJ to be the  
white list!**

and make other lists superfluous –  
that is:

if a journal is in the DOAJ it complies  
with accepted standards

Thank you for your attention!



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DOAJ DIRECTORY OF  
OPEN ACCESS  
JOURNALS

