Encouraging OA-publishers to do a better job. How DOAJ tries to help out!

Presentation at the STM event Beyond Open Access, London Dec 5th 2014

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• Founded 2003 at Lund University – launched May 2003 with 300 journals
• Funded by initial one-off grants - membership and sponsor funding model introduced 2006.
• A lot has happened since then:
• Declarations, institution and funder open access policies and mandates, OA-publication funds, “innovative” and unethical companies enter the academic publishing market etc.
• Help is needed!
• Authors and their advisors want tools to choose proper publishing channels
• Funders want to be able to judge which publishing channels comply with their requirements
• Managers of OA-publication funds wants guidance for selecting eligible publishing channels for supporting APC-payments
• In short: Where can I find the proper OA-journals and transparent information about their practice?
Situation 2010/2011:
- Increasing expectations as OA gets momentum.
- As OA matures demands from funders and libraries increase and become more differentiated and advanced.
- Requirements for a service like DOAJ increase
- Becomes difficult for a single university to be responsible for a global service.
www.is4oa.org

Founded by
Caroline Sutton,
Alma Swan &
Lars Bjørnshauge
A not-for-profit Community Interest Company (C.I.C.), registered in the United Kingdom.
• IS4OA took over DOAJ January 1st 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 promote best practice.
• To create better opportunities for funders, universities, libraries and authors to determine whether a journal lives up to reasonable standards.
• To provide much more granular information about the journals - transparency.
• Enable the community to monitor compliance.
• Addressing the issue of questionable publishers not living up to reasonable standards both in terms of services and of business behavior.
Reasonable standards?

• When looking for reasonable standards we discovered that others were trying to do the same thing.

• We entered discussions with COPE, OASPA and WAME and drafted the Principles of Transparency and Best Practice in Scholarly Publishing

• [http://doaj.org/bestpractice](http://doaj.org/bestpractice)
Our statement!

• 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.
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
New criteria

• The new application form:
• [http://doaj.org/application/new](http://doaj.org/application/new)
New Criteria

• Have inspired and were inspired by the Principles....
• Was drafted in consultation with the DOAJ Advisory Board and discussed heavily in the community.
• Are way more detailed – the existing criteria was merely 6 questions, now publishers have to respond to 52 questions!
• Is a compromise
• Will have to be updated in 2-3 years.
New Criteria

• The purpose is
  – to motivate and encourage publishers to be much more transparent
  – Not to stigmatize but rather push them in the right direction.

• An issue here is the global nature of the DOAJ
  – covering all subjects, more than 50 languages and journals published in more than 130 countries.
New criteria

• New tighter criteria deal with:
  • “Quality”
  • “Openness”
  • “The delivery” or “Technical quality”
• They are much more detailed
• Publishers will have to do more to be included
• Journals must have:
  – An Open Access statement
  – Comply with the BOAI definition
  – A peer-review process, and tell us what kind of process
  – An editor/editorial board with clearly identifiable members
  – Licensing and copyright information
  – Aims and scope
  – Published at least 5 articles to qualify
They must tell us!

• Journals must tell us whether they have:
  – Charges, what kind, how much, waiver policy etc.
  – Archiving, if yes, with which organization
  – Persistent identifiers, if yes, which
  – Usage statistics
  – In what formats content is provided
  – Screening for plagiarism
  – Average number of weeks btw. submission and publishing
They must also tell us!

• Journals must also tell us whether they have:
  – Machine readable CC-license info displayed
  – Which CC-license is used
  – If no cc-license is used, then specify the permissions
  – A deposit policy, if yes where this is registered
  – A policy that allows authors to hold the copyright without restrictions
  – A policy that allows the authors to retain the publishing rights
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, Open Peer Review, Other

• Statements about aims & scope clearly visible

• Instructions to authors shall be available and easily located

• Screening for plagiarism?

• Time from submission to publication
Specify what kind of review process is applied: Editorial review, Peer Review, Blind Peer Review, Double Blind Peer Review, Open Peer Review
Openness

- Openness, Reuse & Remixing rights, Licensing, Copyrights and Permissions!

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? *
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
Archiving/Preservation

• Archiving is important – too many OA-journals do not have an archiving arrangement
Permanent Identifiers (DOIs)

- From a survey we did 2013:
- Has your journal(s) implemented DOIs:
  - Yes: 35%
  - No: 55%
  - Don’t know: 10%

26) Which article identifiers does the journal use? *
- None
- DOI
- Handles
- ARK
- Other
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? *
49) With which deposit policy directory does the journal have a registered deposit policy? *

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

Select all that apply.
<table>
<thead>
<tr>
<th>Subject</th>
<th>APC’s</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Subjects</td>
<td>26%</td>
</tr>
<tr>
<td>Medicine</td>
<td>41%</td>
</tr>
<tr>
<td>Science</td>
<td>42%</td>
</tr>
<tr>
<td>Technology</td>
<td>34%</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>18%</td>
</tr>
<tr>
<td>Education</td>
<td>9%</td>
</tr>
<tr>
<td>Language &amp; Literature</td>
<td>3%</td>
</tr>
<tr>
<td>Phil, Psych. &amp; Religion</td>
<td>8%</td>
</tr>
</tbody>
</table>
Charges

13) Does the journal have article processing charges (APCs)? *
   - Yes
   - No

   If "No" proceed to question below

14) Amount *
   [Enter amount]

15) Currency *
   [Select 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
DOAJ SEAL

- 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.
Where are we now?

• The new application form was implemented March 2014.
• Experience so far: it is not easy to complete a application!
• The fact that an application cannot be submitted unless you are able to properly fill in the application form is already filtering out many questionable publishers.

• Since March: 450 journals added (170 removed)
and...

- We are now enrolling dozens of associate editors from all over the world to help us.
- We now operate a three-tier evaluation process
Three-Tier Evaluation Process

**Managing Editor**

**Associate Editors**: reviewing applications, communicate with publishers, recommend inclusion/rejection

**Editors**: allocating applications to Associate Editors, recommend inclusion/rejection

**Managing Editors**: allocate applications to Editors & decide on inclusion/rejection
Editorial Teams (Dec 2014)

Current teams
- English (3 teams)
- Spanish (3 teams)
- Portuguese
- Russian
- Turkish
- Chinese
- Indonesian
- Ukranian
- Italian
- Polish
- Farsi

New teams shortly
- Arabic (2 teams)
- French
- German
- Hindi
- More to come!
What comes next?

• Shortly ready to announce the re-applicatiuon process – all listed journals have to re-apply to stay listed!
• Tool for bulk-upload for multi-journal publishers (10+ journals) will be tested by Springer & SciELO
• Re-application process expected to be completed by the end of 2015
• Spring 2015:
  – All information provided will be publicly available
    • Searchable
    • Computable (API)
  – OpenURL
Benefits of being listed!

• From the survey mentioned earlier:
  • Important/extremely important benefits of being listed:
    • Increased visibility : 97%
    • Increased traffic : 85%
    • Prestige : 86%
    • Certification : 87%
    • Eligibility for support from OA-publication funds: 64%
    • Better promotion : 80%
    • Increased submissions : 72%
So!!

• Starting out in 2003 with some 300 journals the DOAJ has developed into an important service with some 10,000 journals.

• Now we are significantly upgrading the DOAJ in response to increasing demand and hot issues.

• We are now developing our back office systems and enrolling dozens of associate editors from the community to help us
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

• 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.
  • If you think we are doing good work – then support us!
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

If it isn´t in the DOAJ – watch out!
Thank you for your attention!

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Thanks to all the Library Consortia, Universities and Publishers and our Sponsors for the financial support to DOAJ!

We have vacancies here!

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