Trust & Transparency in Open Access Publishing

Presentation at OASPA’s 1st Asian Conference on Open Access Scholarly Publishing
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Agenda

• Putting the issue in context
• 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
The issue of so-called fake, shabby and unethical publishers has got unproportionally much attention.

A few thousand articles published in shabby OA-journals seems to be the major problem in academic publishing today.

This is obviously not the case!

But for some I can be convenient to distract the attention from the big problems.
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 (pre-publication 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 tends to be elitist, biased and can be flawed!
Impact!

• Dominant measures of impact – i.e. the Journal Impact Factor – 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.
• The real issue is how to improve the trust and transparency of open access academic publishing!
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!
This is not to say that OA-journals are problem free:

October 2013

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.

But:

February 2014

Publishers withdraw more than 120 gibberish papers

Conference proceedings removed from subscription databases after scientist reveals that they were computer-generated.
• OA-journals 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
We will help!

- 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
About DOAJ

• 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.
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 1\textsuperscript{st} 2013.
• We said we would:
  • Respond to demands and expectations by developing new \textit{tighter criteria} for inclusion
  • Reengineer the editorial back office work
  • Invite "\textit{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 - 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 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
• And we will have to do more to check and monitor for compliance!
Consultation period: Advisory Board and the public to establish key quality indicators

Developed new Application Form with extended criteria

Old form: 6 questions. New form: 56!

Released the new form 19 March 2014
The new application form

DOAJ Journal Application Form

All the information provided will help our Editorial Team with their assessment, to help them make an informed decision.

If you know a journal that should be in DOAJ, please contact the publisher and ask them to complete the application.

BEFORE YOU START, please remember that all the content of the journal you are applying about must be open access.

Basic Journal Information

1) Journal Title *

2) URL *

3) Alternative Title

4) Journal ISSN (print version) *

Only provide the print ISSN if your journal has one, otherwise leave this field blank. Write the ISSN with the hyphen "-" e.g. 1234-4321.

5) Journal ISSN (online version) *

Write the EISSN with the hyphen "-" e.g. 1234-4321.

6) Publisher *

7) Society or Institution
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
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? *
Archiving/Preservation

• 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%
26) Which article identifiers does the journal use?*

- None
- DOI
- Handles
- ARK
- Other
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
Licensing

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
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>
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 *
• 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
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.
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
Crowdsourcing the editorial work

- Network of Editors and Associate Editors under construction
- Divided into groups by language and/or subject
- Starting test pilot with Chinese, English & Spanish
- Aim is to cover as many languages as possible represented in DOAJ
Editor responsibilities include:

- Processing journal applications
- Translation work
- Regular review of indexed journals
- Handling questions or alerts from the Community

Already started translating application form into Chinese, Portuguese, Spanish
Crowdsourcing

- Associate Editor is assigned an application to review, check, verify for accuracy
- Once satisfied, the journal is flagged for acceptance
- Acceptance is confirmed by Managing Editor, a two-step process ensuring objectivity and consistency
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!

that is:

if a journal is in the DOAJ it complies with accepted standards
Thank you for your attention!

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