**DOAJ** DIRECTORY OF
OPEN ACCESS
JOURNALS

# Open Access Journals – quality, visibility and how DOAJ promotes transparency in Open Access Journal Publishing

The Use and Generation of Scientific Content –
Roles for Libraries, Budapest, Sept 12th, 2016

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# Agenda

- Introduction – some basic statements about Open Access

- How DOAJ serves Researchers, Universities, Research Funders and Libraries

- Principles of transparency and best practice in scholarly publishing

- Recent developments around DOAJ and a look into the future

- Wrap up

![DOAJ – DIRECTORY OF OPEN ACCESS JOURNALS]

# It is all about…

Making Open Access journals more attractive as publishing channels!

The mission of DOAJ is to help publishers do a better job in making their journals <span style="color:red">attractive, transparent</span> publishing channels on a global scale

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- Helping authors identify OA-journald where can safely publish
- Helping librarians in their advisory role
- Helping institutions and funders determine whether an A-journal complies with policies and mandates
- Motivating publishers to adopt best publishing practice
- Identifying questionable publishers
- Contributing to a better scholarly commuication system
- -- and more!

# OA – complicated!

- Increasing expectations from all stakeholders as OA gets momentum.

- As OA matures demands from authors, universities and research funders and libraries increase and become more differentiated and advanced.

- They want to know a lot of different things about the journals – and we facilitate that

# Licenses

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## Content Licensing

Copyright & Licensing help

45) Does the journal embed or display simple machine-readable CC licensing information in its articles? *

○ Yes
○ No

For more information go to http://wiki.creativecommons.org/CC_REL

If "No" proceed to question 47.

47) Does the journal allow reuse and remixing of content in accordance with a Creative Commons license or *other* type of license with similar conditions (Select 'Other')? *

○ CC BY
○ CC BY-NC
○ CC BY-NC-ND
○ CC BY-NC-SA
○ CC BY-ND
○ CC BY-SA
○ No
○ Other [                    ]

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

# DOAJ DIRECTORY OF OPEN ACCESS JOURNALS

# Archive arrangement

25) 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.

26) Enter the URL where this information can be found *

This field is optional if you selected "No policy in place".

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## Quality and Transparency of the Editorial Process

36) What is the URL for the Editorial Board page? *

A journal must have an editor and an editorial board. Only in the case of Arts and Humanities journals we will accept a form of editorial review using only two editors and no editorial board. Where an editorial board present, at least 5 of its members must be clearly identifiable with their affiliation information.

37) Please select the review process for papers *

38) Enter the URL where this information can be found *

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

# Rights

## Copyright and Permissions

Copyright & Licensing help

52) Does the journal allow the author(s) to hold the copyright without restrictions? *
- ◉ Yes
- ○ No
- ○ Other [                    ]

53) Enter the URL where this information can be found *
[                    ]

54) Will the journal allow the author(s) to retain publishing rights without restrictions? *
- ◉ Yes
- ○ No
- ○ Other [                    ]

55) Enter the URL where this information can be found *
[                    ]

# DOAJ DIRECTORY OF OPEN ACCESS JOURNALS — Publication charges

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

14) Enter the URL where this information can be found *

15) Amount *

16) Currency *

# DOAJ in Context

- The traditional model of scholarly communication is not sustainable and does not serve research and society
- The subscription model is essentially based on the print age!
- Technology has opened up new opportunities.
- Today should be possible to make public funded research should be accessible for all.
- But still – this is not the case!

# Issues!

- In scholarly publishing there is not market mechanisms, no competition!
- It allows publishers to steadily increase prices way above inflation.
- It prevents reseachers access to knowledge
- It leaves major parts of the world out of the loop
- It harms science, higher education, industry, innovation, our socities and the people.

# What pays off in the current system??

- As a Researcher:
- Publish in ~~quality~~ prestige journals – go for the High Impact Factor journals and you will be rewarded (promotion, tenure and grants)
- Don´t bother to much about whether or not
  - your results are actually accessible for the widest possible audience
  - your data are archived and open
  - your software is documented and available
  - your research is actually reproducable
- For your career it doesn´t really matter that much!
- As an Institution:
  - Attract the researchers above and the institution will get higher rankings and receive more grants

# By The Way …

- I think we should stop blaming the publishers
- They do what there are supposed to do:
- Exploiting the conditions offered to them and (some of them) make extraordinary good business.

- Those who have the power to change the conditions are responsible for the current mess! We have to help them!

# What is needed is …

- More and much **stronger** funder and institutional **mandates**
- **Radical changes** in the research **evaluation system** and incentives for researchers to publish in the open!

- Today researchers are rewarded based on **Where** they publish
  - in which journals they publish
- Not based on **What** they publish
  - the actual content
- and not based on **How** they publish
  - whether it is open and reuseable or not

- That must change!!

# The scholarly system I want to see

- Research results are immediately **accessible** to everyone.

- Research is **verifiable** and **reproducable**.

- Research is evaluated based on its **actual** impact - not based on the wrapper (the journal title)

- Research findings are **evaluated in the open** after dissemination.

# This means That:

- Research will be disseminated in the open with **generous reuse permissions.**

- Research **Data** will be archived and made accessible.

- **Software** associated with research will be documented and available as well.

- Research **evaluation is transparent**.

# And this means that:

- Researchers are **rewarded**
  - not only based on citations, but as well for
- the **societal impact of their research**,
- **documenting their data and software and make it open**,
- **contributing to peer review** etc.
- In short:
- Researchers will be rewarded for **all what they do**

# The role of the librarian

Librarians want to help users and the people to build on and apply (public funded) research to make new discoveries, better treatments and solve problems in society, etc.

Librarians have been one of the most important driving forces behind the Open Access movement!

# OA and the Ethos of the Library Profession

Open Access can finally make core elements of the ethos of the library profession come true:

Instead of being gate-keepers, prohibiting "unauthorized users" accessing publicly funded research,

libraries can provide information free to all for reading, re-use and re-mix.

# Why OA 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!

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# Open Access has got momentum

- **steady growth** can be recorded in the proportion of new research papers being published in open access journals or made freely available via repositories
- more than 9.000 open access **journals**, thousands of **repositories**
- more than thousand institutions and research funders have signed the various **OA declarations**
- hundreds of open access **policies and mandates** in place

Today...

- Open access is inevitable – not a question about if, more about when and how (the implementation).
- Publishers will adapt
- We are not there yet
- There is still a lot to do!

- Libraries have
  - been instrumental in securing the momentum for Open Access.
  - advocated and lobbied for open access policies
  - provided evidence that it benefits all stakeholders
  - set up, developed and operate institutional repositories – promoted Green Open Access
  - But still – Open Access is not the default!

# Green Open Access

- Libraries (and others) have promoted Green Open Access
  - Lobbying for Open Access policies
  - Running Institutional Repositories
  - Deposting papers for Researchers
  - Etc.
- But Green OA is cumbersome, it is annoying and confusing researchers and simply going too slow
- The question is: Can repositories ever deliver OA??

- Well, what was it all about in the first place?
- It started here in Budapest!!

# Budapest Open Access Initiative

### Read the Budapest Open Access Initiative

An old tradition and a new technology have converged
scientists and scholars to publish the fruits of their rese
new technology is the internet. The public good they m
literature and completely free and unrestricted access t
access barriers to this literature will accelerate researc

## Ten years on from the Budapest Open Access Initiative: setting the default to open

## What does BOAI mean by "open access"?

Here is the definition of "open access" from the BOAI:

"By 'open access' to this literature, we mean its free availability

on the public internet, permitting any users to **read, download,**

**copy, distribute, print, search, or link to the full texts of these articles,**

**crawl** them for indexing, pass them as data to software, or use them

for any other lawful purpose, **without financial, legal, or technical**

**barriers** other than those inseparable from gaining access to the internet itself

# Open Access is…

- **Immediate** access to published content – especially scholarly articles!
- There are not many scholarly articles in the repositories.
- And  - embargo is an access barrier!
- Green Open Access is a best the second best solution – and it is not real OA!

# Something to think about!?

- Have we been too eager to see progress by seeking compromise and consensus??

- Did we give in to the so-called Academic Freedom and facilitated by Green OA, that researchers could continue publishing in the favourite journals?

- Did we refrain from telling funders and decision makers that transition is associated with investments and costs??

- Were we afraid of promoting (real) Open Access (Gold – not Hybrid!!), because the are bills to be paid??

- My answer is: Yes!

- While we are desparetly trying to make Green OA work, the publishers have regrouped their troops!

- After the initial OA-earthquake publishers invented Hybrid Open Access – also facilitating the freedom to publish in the traditional journals. Too expensive and often they do not deliver the services.

- Is it time to rethink strategy?

- My answer is: Yes!

- Green OA is based on the scholarly system that we want to change!
- Publishers have imposed embargoes and most institutions and funders have accepted that!
- But this is not real Open Access!
- It is delayed access – it is Green Access – and it.
- So: Will Green Access deliver, what we want?
- My answer is: No!

# Impatience

- Now some of the major players issue stronger mandates – they give preference to real OA!
    - EU research funds
    - EU Commission
    - Several European Research funders
    - Some from North America

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- Universities, Research Funders & Governments:
  - increasingly **demand real OA** – from **day one**, with **extensive re-use rights**
  - OA to publications seens as part of the Open Science/Open Scholarship agenda
  - Are questioning current research assessment practices (Impact Factor etc) and developing new models

# Bill & Melinda Gates Foundation Open Access Policy

- Publications Are Discoverable and Accessible Online – promptly!
- Creative Commons Attribution 4.0 Generic License (CC BY 4.0).
- Foundation Will Pay Necessary (Reasonable) Fees.
- Publications Will Be Accessible and Open Immediately. All publications shall be available **immediately** upon their publication, without any embargo period.
- Data Underlying Published Research Results Will Be Accessible and Open Immediately

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- An additional trend emerging in the context of Open Scholarship:

  – Research integrity – responsible researcher behaviour

  – Academic freedom versus academic responsibility!

# What pays off in the current system??

- As a Researcher:
- Publish in ~~quality~~ prestige journals – go for the High Impact Factor journals and you will be rewarded (promotion, tenure and grants)
- Don´t bother to much about whether or not
  - your results are actually accessible for the widest possible audience
  - your data are archived and open
  - your software is documented and available
  - your research is actually reproducable
- For your career it doesn´t really matter that much!
- As an Institution:
  - Attract the researchers above and the institution will get higher rankings and receive more grants

# Research Assessment

- Research assessment systems have to change
- Often based on the Journal Impact Factor (JIF)
  - subject to manipulation, gaming and fraud
  - researchers are NOT primarily rewarded for WHAT they publish, but WHERE they publish

# The Culture of the Academy

- The Culture of the Academy needs to change too!
- The concept of **Academic Freedom** is often used as an excuse for publishing in the "prestige" journals.
- It is the underlying logic of Green Access and Hybrid Open Access.
- Academic freedom applies to what you are researching, what you are investigating, the methods you apply etc.
- Based on your agreement with your institution and the grants you get, you will do your research.

# The Culture of the Academy

- It is often argued that your decisions as to **where** you publish, **how** you publish, the rights and permissions you give to readers/users etc belongs to your **academic freedom**.

- "It is my academic freedom to decide where to publish"!

- I disagree!

# Academic Responsibility

- Applies to how you **share** your research, your findings, your data, your software!!
- We need **stronger mandates** from research funders and research institutions
- Research funders and research institutions should be very specific as to how they **expect researchers to disseminate their findings!**
- **Responsible** researcher conduct is to **share** results, data and software in the open

# It should have been open in the first place!

If your papers, your data and your software are not in the open, it should not count!

Librarians/libraries have a very, very important role to play in lobbying for responsible researcher conduct and to ensure, that the culture of open and sharing becomes the core of research integrity

# To repeat…

- Open Access is/was about changing the scholarly communication system. Let´s go back to the basics!
- Fostering **competition** in scholarly publishing
- Changing in the reward and assessment systems.

- Developing of new **publishing channels**
- And making those **attractive**

- **This is what we are trying to do with the work we do with DOAJ!**

# It is all about…

Making Open Access journals more attractive as publishing channels!

The mission of DOAJ is to help publishers do a better job in making their journals <span style="color:red">attractive, transparent</span> publishing channels on a global scale

# DOAJ

- Founded 2003 at Lund University – launched May 2003 with 300 journals
- At first: very basic criteria for being listed:
  - Open access statement
  - Editorial Board
  - Peer review etc.
- Increasing expectations as OA gets momentum.
- As OA matures demands from authors, universities and research funders and libraries increase and become more differentiated and advanced.

# DOAJ

- Universities, research funders and even governments began to issue open access policies and mandates with specific criteria
  - What kind of peer review?
  - Archiving?
  - Checking for plagiarism?
  - Licensing (use rights and re-use rights etc.)?
  - Article Processing Charges (APC) yes/no?
- Now stakeholders require much more detailed and granular information about the journals – in short more transparency!
- and
- Questionable publishers has entered the market to exploit Open Access

- With the increasing demands from the community it became impossible for Lund University to operate and develop DOAJ.

- A new not-for-profit company Infrastructure services for Open Access (IS4OA – www is4oa.org) established by the founder and two well known OA-publishers/advocates took over DOAJ January 1st 2013.

- IS4OA promised to respond to the increasing demands and expectations by developing new tighter criteria for inclusion and contribute to improving the transparency of the Open Access journals

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| Home | News | About IS4OA | Who we are | Contact us | |

# INFRASTRUCTURE SERVICES FOR OPEN ACCESS

## www.is4oa.org

Founded by

Caroline Sutton,

Alma Swan &

Lars Bjørnshauge

**INFRASTRUCTURE SERVICES FOR OPEN ACCESS**

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

# Why tighter criteria?

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- To create better opportunities for funders, universities, libraries and authors to determine whether a journal lives up to their mandates – transparency!

- Enable the community to monitor compliance

- Addressing the issue of questionable publishers or publishers not living up to reasonable standards both in terms of content and of business behavior.

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# 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!

# Developing new criteria

- The DOAJ team began 2013 to develop new muc more detailed criteria
  - Draft circulated to the DOAJ Advisory Board (OA-experts from OA-publishers and Library Consortia), among others Redalyc is represented on the Adv. Board.
  - Draft circulated on global e-mail lists.
  - Lots of comments received from all over the world.

# Collaborating about new criteria!

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- DOAJ was not the only organization confronted with demands on more transparency.

- DOAJ entered discussions with
  - COPE (Committee on Publication Ethics - http://publicationethics.org/
  - WAME (World Association of Medical Editors - http://www.wame.org/
  - OASPA (Open Access Scholarly Publishers Association
    - www.oaspa.org)

The result of the discussions between COPE, WAME, OASPA and DOAJ:

The Principles of Transparency and Best Practice of Scholarly Publishing

# The principles

- The Principles are very much inspired by the initial draft of the new DOAJ criteria and apply not only for Open Access publishing and has developed into de-facto standards.

## 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, and broad range in the quality of, membership applications. Our organizations have collaborated in an effort to identify principles of transparency and best practice for scholarly publications 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 will not share information about applications received. 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.

UPDATE: This is the second version of a work in progress (published June 2015); the first version was posted in January 2014. We encourage its wide dissemination and continue to welcome feedback on the general principles and the specific criteria. Background on the organizations is below.

### Principles of Transparency

1. **Peer review process**
   Journal content must be clearly marked as whether peer reviewed or not. Peer review is defined as obtaining advice on individual manuscripts from reviewers expert in the field who are not part of the journal's editorial staff. This process, as well as any policies related to the journal's peer

- https://doaj.org/bestpractice

# 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**

# Implementing new criteria

- New criteria implemented March 2014
- All new applications based on the new application form.
- All 10.000 journals listed as of March 2014 to re-apply according to the new application form.
- March 2016 the window for re-applications closed.
- 7.000 reapplied – 3.000 did not – they were removed May 2016.

# Numbers!

- Since March 2014 DOAJ have
- Accepted 3.200 journals (new and re-applications)
- Rejected 6.200 applications
- Removed 1.050 journals for failing to meet our standards
- Applications in process: 2.500 (new and re-applications)
- Re-applications waiting to get in process: 3.800
- New applications per month: 300

# How we work!

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- DOAJ Core team:
  - Managing Director
  - Community Manager
  - Editor-in-Chief
  - 4 Managing Editors
  - 50+ Voluntary Editors/Associate Editors working unpaid – distributed in editorial groups managing 20+ languages

# three-tier evaluation proces

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**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

# The DOAJ Ambassadors project

DOAJ approached by the International Development Research Centre, Canada – IDRC/CRDI - https://www.idrc.ca/EN to improve the quality and transparency of Open Access journals in the Global South – a one year project.

# The DOAJ Ambassadors project

- 15 wonderful and committed Ambassadors recruited to
  - Promote DOAJ
  - Handle applications and re-applications of journals to be listed in DOAJ
  - Promote best publishing practice and
  - Help identifying and spotting questionable and unethical publishers
- Ambassadors are
  - based in China, India, Russia, Egypt, Ethiopia, Burkina Faso, Algeria, South Africa and Mexico – covering Asia, Middle East, Africa and Latin America
  - And reaching out to publishers and the academic community in their regions!
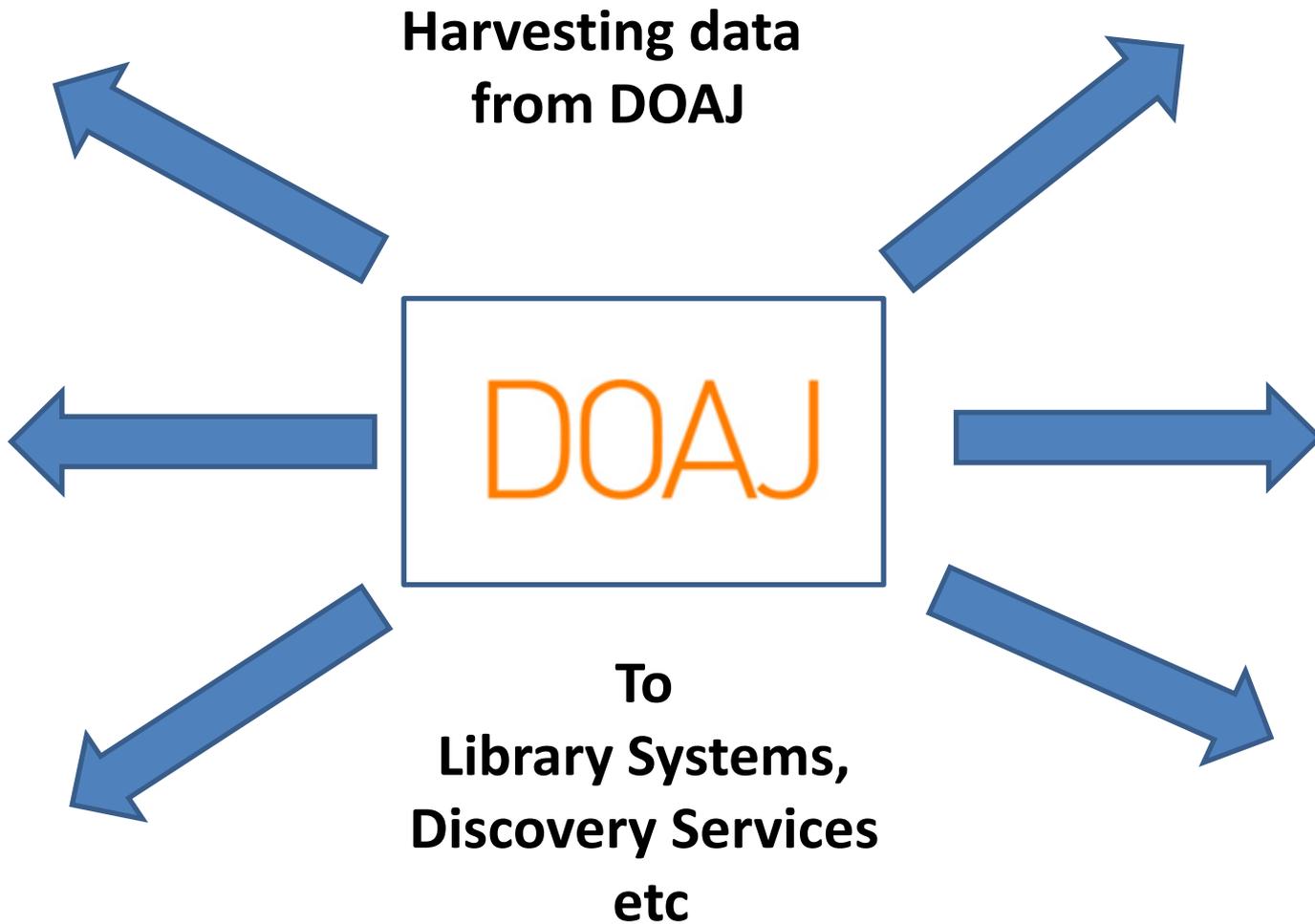
# DOAJ – much more than a list of journals!

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- A global list of peer-reviewed Open Access journals – all subjects and languages
  - journals undergo evaluation based on a set of criteria
  - 9.200 titles (August 2016)
- An aggregation of article level metadata
  - Publishers upload article metadata into DOAJ
  - 70% of the journals do so
  - Currently 2.270.000 records
- All DOAJ services and data are free for all to use, download and re-use

**Publisher upload
article metadata**

DOAJ

**Harvesting data
from DOAJ**

DOAJ

**To
Library Systems,
Discovery Services
etc**

# Collaboration!

- COPE, OASPA, WAME – the principles of transparency and best practice of scholarly publishing

- Keepers' Registry – certified archiving organizations

- (OJS) PUBLIC KNOWLEDGE PROJECT

- RESEARCH4LIFE – screening OA-journals

- ISSN

- OASPA, STM, ALPSP, LIBER etc:



- www.thinkchecksubmit.org

Think. Check. Submit. is a campaign to help researchers identify trusted journals for their research. It is a simple checklist researchers can use to assess the credentials of a journal or publisher.

# Benefits of being listed!

- 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%

# Others say that DOAJ is important!

- Listing in DOAJ is usually a criteria for being supported by Open Acces publication funds at universities and research funders

- The Nordic countries are turning to DOAJ to develop their lists of certified publishing channels.

**New Science Europe Principles on Open Access Publisher Services**

## 1. Indexing

Journals have to be listed in standard databases like Directory of Open Access Journals / DOAJ ( http://doaj.org/ ), Web of Science ( http://ip-science.thomsonreuters.com/mjl/ ), Scopus or PubMed ( http://www.ncbi.nlm.nih.gov/nlmcatalog/journals ).[1]

HINARI will list only journals that have been accepted for inclusion by Directory of Open Access Journals? facmed-unikin.net/a-propos-de-do … @DOAJplus

## Open Access Policy for FWF-funded projects

As a signatory of the ⊖ *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities*, the FWF is committed to advancing sustained Open Access to scholarly publications and research data. To this end, the FWF **requires and supports** all project leaders and project staff members to make their peer-reviewed research results freely available through the Internet.

### I. Mandatory Open Access Options for Research Publications

**1) Gold Open Access:**
Open Access to publications is ensured through direct publication in an Open Access venue. The publisher should apply the highest level of the principles of ⊖ HowOpenIsIt. In any case, however, the publication has to be made available using the ⊖ *Creative Commons Attribution CC-BY* licence (or an equivalent open licence). Journals have to be listed in the ⊖ Directory of Open Access Journals (DOAJ) [1].

- We are global and <span style="color:red">we want to help</span>!
- Respecting different publishing cultures and traditions
- Not primarily exclude, but rather <span style="color:red">facilitate and assist</span> the journals to come into the flow
- <span style="color:red">While at the same time</span> promoting standards, transparency and best practice

# Funding

- DOAJ is independent and entirely dependent on funding from the community
- Universities, university libraries and library consortia can support DOAJ with a yearly membership fee - https://doaj.org/supportDoaj
- Smaller publishers can as well support DOAJ via a yearly membership fee – minimum £ (GBP) 200/year - https://doaj.org/support
- Larger publishers can sponsor DOAJ.

# Funding

- 150+ University libraries from 28 countries

- 16 Library Consortia from 13 Countries

- 30 smaller publishers

- 30 Sponsors  - publishers and aggregators

Our ambition: DOAJ to be **the** authoritative list of good Open Access Journals!

and make other lists superfluous – that is:

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

if not: take care!

# Wrapping up!

- OA has got momentum – it is inevitable
- OA still not the default – more work to do
- Libraries
  - have played and important role so far
  - focus on real (Budapest) Open Access
  - lobby for
    - Real OA mandates
    - Changes in research assessment
    - Responsible researcher behaviour, research integrity – the culture of open and sharing

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