

# Towards a transparent and open global scholarly communication system

Presentation at the 4th NATIONAL OPEN ACCESS  
WORKSHOP October 19-21, 2015, TÜbitak, Ankara

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Upcoming events

- 21 October:**  
UCL Open Access Conference  
2015: 'Open Access Publishing  
Options' (all day)
- 14 November:**  
OpenCon2015 (all day)
- 30 November:**  
10th Munin Conference on  
Scholarly Publishing (all day)

## Latest News

1. For a European copyright that supports text and data mining for research and innovation
2. Get to know SPARC Europe's recent services
3. Times they are a changing for SPARC Europe
4. Join SPARC Europe at OAI9: Sessions on policy, monitoring, and an OA Q & A
5. Easier access to Big Data through The Hague Declaration

## For a European copyright that supports text and data mining for research and innovation

This year SPARC Europe wrote a briefing paper on Text and Data Mining (TDM) to help the European Parliament and the European Commission in their review of European Copyright Law.

Find it here: [Text and data mining for research and innovation purposes, and its importance \(2015\)](#)

or go to [SPARC Europe's other briefing papers](#).



## Get to know SPARC Europe's recent services

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 **Birgit Schmidt** 6 Sep  
@bschmid1

Proceeding of the 19th  
Elpub Conference  
published by IOS Press



# SPARC EUROPE TOOLS TO HELP YOU MAKE THE CASE FOR OPEN ACCESS

If you are talking to university management, library staff, research teams or doctoral students, SPARC Europe has tools that can help you make the case for Open Access.

## The Open Access Citation Advantage Service

This service provides evidence that Open Access increases citation rates to scientific publications. 46 of the 70 studies provide concrete examples showing that publishing Open Access will bring greater impact and visibility to research.

[www.sparceurope.org/oaca/](http://www.sparceurope.org/oaca/)

## How Open is your Research?

This visualisation tool helps you, your teams and institution discuss what openness means, how open you currently are, and where you strive to be several years from now. It does this by generating an image based on answering a few telling Open questions.

[www.sparceurope.org/howopenyourresearchis/](http://www.sparceurope.org/howopenyourresearchis/)



## The SPARC Europe Open Access Diary

This map helps show you who is making progress across Europe in Open Access in recent months ranging from research funder policies to presentations or recordings to news bulletins.

These data come from Harvard's Open Access Tracking Project.

[www.sparceurope.org/oadiaryeurope/](http://www.sparceurope.org/oadiaryeurope/)

## SPARC Europe Briefing Papers

SPARC Europe produces briefing papers that bring you up-to-date on developments that matter to Europe's Library community, its academic authors, and Open Science policy makers. Briefing paper topics include Horizon 2020 policy changes, text and data mining (TDM), peer review, OA and the social sciences, OA and the Humanities:

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10,581 Journals  
6,466 searchable at Article level  
134 Countries  
2,093,482 Articles

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## Directory of Open Access Journals (DOAJ)

DOAJ is an online directory that indexes and provides access to high quality, open access, peer-reviewed journals.

All journals that were accepted into DOAJ before March 2014 are now required to reapply. If you have a journal indexed in DOAJ, please log into your [Publisher Area](#) and follow the instructions.

## Latest News

### [Reapplications are open. Have you submitted yours yet?](#)

Just a reminder that reapplications are open and that you must submit your reapplication(s) before the end of 2015. Failure to do so, will result in your journal being removed from DOAJ. The reapplications are coming in fast. BioMed Central just submitted 220 in one go! Great work BMC. We recently sent out a first [...] [Read More...](#)

Wed, 30 Sep 2015 at 10:34

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ANKOS is as well supporting DOAJ!

## Director

DOAJ is an online

All journals that  
your [Publisher Area](#)

Article level

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## Latest News

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# A quick update about DOAJ and the work we do to improve the quality, visibility and impact of Open Access Journals

# Quality & Prestige

- Quality is often understood to mean prestige, but
- **Quality is something separate from prestige**
- **Prestige is a proxy for perceived quality**
- A journal can be of high quality without being prestigious (as it is traditionally measured)
- Good news for new or small journals:
  - prestige takes a long time to achieve,
  - quality can be achieved immediately.
- **We need to redefine what we mean by quality**

(credits to Caroline Sutton)



Publishers provide **services to authors**

Part of those services is to do what they can, so the work can achieve its fullest impact.

What is impact then?

How can it be measured?

# Quality & Prestige

- **Impact** begins with dissemination and discoverability.
- Publisher services:
  - Indexing, persistent identifiers, metadata provision, archiving, marketing etc.
- **Measuring** impact:
  - Much more than citations
  - Usage statistics, media coverage, social media coverage, storytelling about application of the work, etc.
- **The digital environment has changed what can be measured and this ought to have implications for our understanding of impact**

- Quality is about the services that the publisher provides to the author
- Elements in quality
  - Editorial "quality"
  - Peer-review process
  - Openness/licensing
  - "Technical quality"
  - "Dissemination" quality

## Issues...

- Many (OA-)journals do not live up to reasonable
  - editorial standards
  - technical standards
  - ethical standards
- Many (OA) journals are **underperforming** in terms of the service they provide to their authors
- Many so-called ”publishers” are exploiting the publish and perish pressure on 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, such as
    - 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.

- <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**

# It is all about...

Making Open Access journals more  
attractive as publishing channels!

# Trusted OA-journals!

- DOAJ is responding to the demands and expectations by **implementing stronger criteria** for inclusion
  - To create better opportunities for funders, universities, libraries and authors to **determine** whether a journal lives up to standards – **transparency!**
  - To enable the community to **monitor compliance**
  - To address the issue of **questionable** publishers or publishers not living up to reasonable standards both in terms of **content** and of **business behavior**.



## Why stronger 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

# New criteria

- To **motivate and encourage** OA-journals to address:
  - “Editorial Quality”
  - “Openness”
  - “Technical quality”
  - “Dissemination quality”
- They are much more detailed
- Publishers will have to do more to be included
- **It is about good OA-journals!**

- The new application form:
- <http://doaj.org/application/new>

## DOAJ Journal Application Form

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

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

BEFORE YOU START, please remember that **all** the content of the journal you are applying about **must** be available **immediately** upon publication.

Basic Journal Information		Quality and Transparency of the Editorial Process	
1) Journal Title *	<input type="text"/>	34) What is the URL for the Editorial Board page? *	<input type="text"/>
2) URL *	<input type="text"/>		The journal must have either an editor or an editorial board with at least 5 clearly identifiable members and affiliation information. We may ask for affiliation information and email addresses as part of our checks.
3) Alternative Title	<input type="text"/>	35) Please select the review process for papers *	<input type="text"/>
4) Journal ISSN (print version) *	<input type="text"/>		
	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.	36) Enter the URL where this information can be found *	<input type="text"/>
5) Journal ISSN (online version) *	<input type="text"/>		This field is optional if you have selected "None" above.
	Write the EISSN with the hyphen "-" e.g. 1234-4321.	37) What is the URL for the journal's Aims & Scope *	<input type="text"/>
6) Publisher *	<input type="text"/>		

Oct 19th 2015 Lars Bjørnshauge

Capture a Rectangul

# We are asking about...

- The editorial board
- The peer review process
- Archiving/preservation
- Plagiarism
- Openness
  - Licensing and copyright
  - Re-use rights
- Charges
- ... and much more

# And we check ...

- Current staff:
  - Managing Director (part time)
  - Community Manager (part time)
  - Editor- in-chief
  - two Managing Editors (part time)
- 100+ Volunteers, working unpaid a few hours per week
- Now adding two part-time paid publication specialists!



# three-tier evaluation proces



**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

# Transparency!

- Much more detailed information about the journals

# Organic Photonics and Photovoltaics

2299-3177 (Online)



[Homepage](#)

**Publisher:** De Gruyter Open

**Country of publisher:** Poland

**Platform/Host/Aggregator:** De Gruyter Online

**Date added to DOAJ:** 14 Apr 2015

**LCC Subject Category:** Technology: Engineering (General). Civil engineering (General): Applied optics. Photonics

**Publisher's keywords:** organic materials synthesis, fundamental opto-electronic properties, photonic devices, organic semiconductors and conductors, interfacial materials

**Language of fulltext:** English

**Full-text formats available:** PDF

## PUBLICATION CHARGES

Article Processing Charges (APCs): [No](#)

Submission Charges: [No](#)

Waiver policy for charges? [No](#)

[Less](#)

## EDITORIAL INFORMATION

[Blind peer review](#)

[Editorial Board](#)

[Aims and scope](#)

[Instructions for authors](#)

Time From Submission to Publication: 16 weeks

## OPEN ACCESS & LICENSING

Type of License: CC BY-NC-ND

[License terms](#)

[Open Access Statement](#)

Year Open Access Content Began: 2013

Does the author retain copyright? [Yes](#)

Does the author retain publishing rights? [De Gruyter Open allows authors the use of the final published](#)

## BEST PRACTICE POLICIES

Permanent article identifier: DOI

Checks for plagiarism: [Yes](#)

Content digitally archived in: [Portico](#)

Deposit policy registered in: [Sherpa/Romeo](#)

Electronically embedded licenses? [Yes](#)

- Much more detailed information about the journals
- DOAJ SEAL for best practice in OA publishing
- Publicly available lists of:
  - Recently added journals
  - Recently removed journals
  - Journals who say they are indexed in DOAJ but are not

- A global list of peer-reviewed Open Access journals – all subjects and languages
  - journals undergo evaluation based on a set of criteria
  - + 10.600 titles
- An aggregation of article level metadata
  - Publishers upload article metadata into DOAJ
  - 64% of the journals do so
  - Currently 2.100.000 records

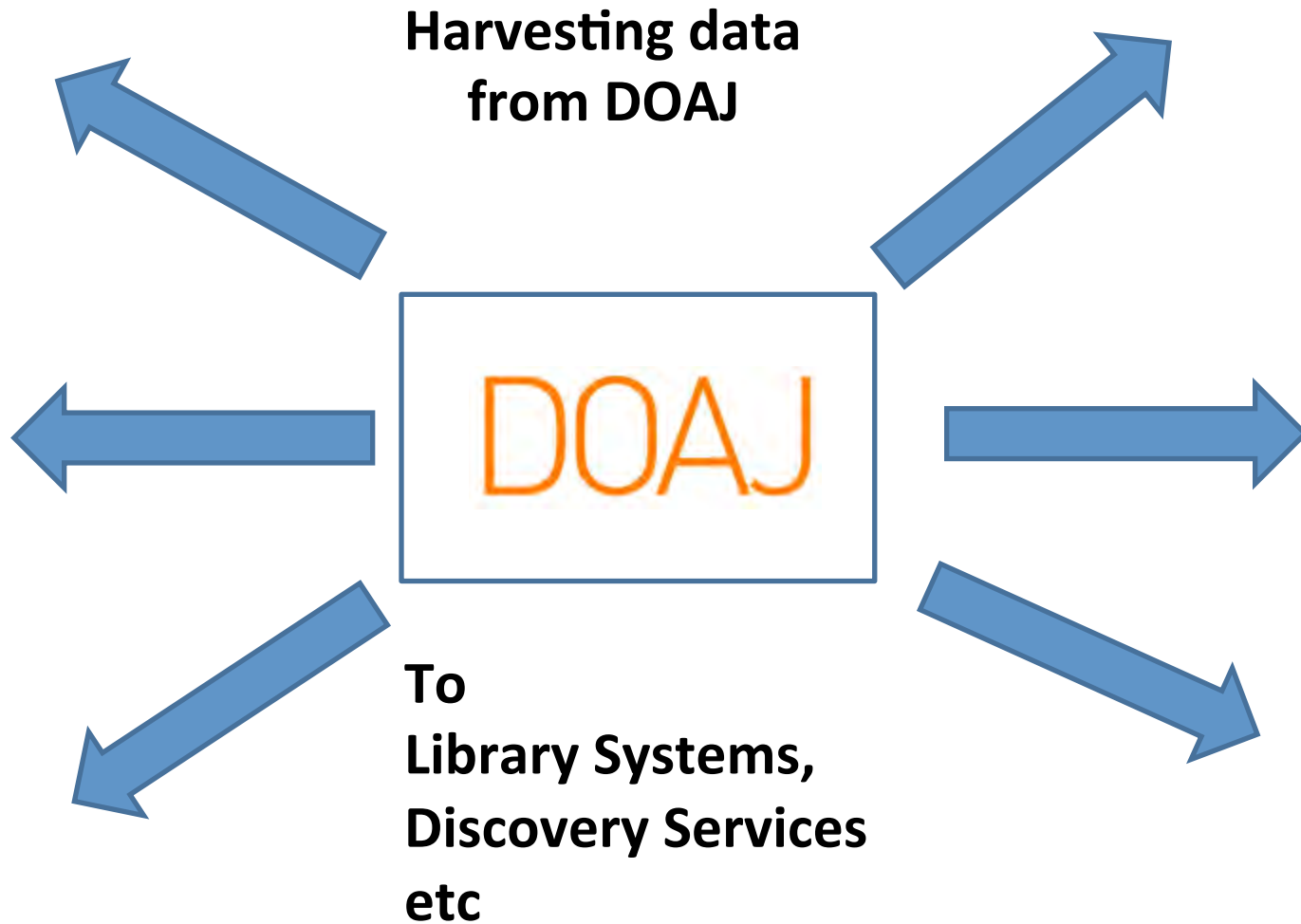


# Dissemination & Visibility



**Publishers upload  
article metadata**





# It's all about...

Changing an unsustainable scholarly communication system in ways that it can **serve science, our societies and the people** on a **global** scale

# Where are we with open access?

- OA has got **momentum**
- steady growth in the proportion of new research papers are made freely available via **repositories** or published in **open access journals**
- thousands of repositories and more than 10.000 open access journals,
- more than thousand institutions and research funders have signed the various **OA declarations**
- hundreds of open access **policies** and **mandates** in place

# Progress towards Open Access?

- OA Journals
- Green OA
- OA Monographs
  - New models
- Libraries are doing a great job here!!
- Let's take a look at what it was/is all about!!

# Budapest Open Access Initiative

[Home](#)

[BOAI10  
Recommendations](#)

[Translations](#)

[Background](#)

## Read the Budapest Open Access Initiative

An old tradition and a new technology have converged scientists and scholars to publish the fruits of their research. The new technology is the internet. The public good they make available is literature and completely free and unrestricted access to it. Removing access barriers to this literature will accelerate research.

**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

# Real Open Access is...

**Immediate** (no embargo) access to  
published content – especially  
**scholarly articles!**

# Green Open Access

- Where are we with Green OA & repositories?
- Repositories are very important
- Do a lot of great things for the institutions
- But will Green OA solve the problem of access to scholarly articles??



# PASTEUR4OA – policies, mandates and access

- Investigating the performance of the **best, most mature repositories** with the **strongest Open Access mandates**:
  - Deposit rates (institutional repositories) –
- Based on published scholarly articles according to Web of Knowledge in 2011-2013 measured Autumn 2014
- 122 institutions with mandates adopted 2011 or earlier and 10 institutions without a mandate – potentially 350.000 articles

# Results!

- Results based on the 122 repositories with the strongest OA mandates:
- Of the 350.000 articles:
- 77% had no records at all!!
- 8% were Metadata only
- 12% were Open Access
- 3% were Restricted Access
- That is: 15% Full text!

# Green OA - Repositories!

- Deposit rates in general are - with very few exceptions - **depressing!**
- Will repositories ever deliver OA??
- I am not saying that repositories are no good, there indeed are, but what I am saying is that
- Green OA/repositories will not solve the problem of **immediate open access** to **scholarly articles** and
- that was it what all about from the beginning!

# OA monographs

- OA Monographs
  - A number of interesting models!
  - Knowledge Unlatched
  - Open Library of Humanities
  - etc. etc.
  - Directory of Open Access Books ([www.doabooks.org](http://www.doabooks.org))

# Open Access Journals

- Different business models
- Majority subsidized – by universities and research funders
- Minority based on Article Publishing Charges
  - Most OA-article though based on APC's – 66%
- DOAJ the Whitelist of good Open Access journals on a global scale

# We are making progress?

- Green OA – a transition model
- OA Monographs
  - New models
- OA Journals
  
- The academic community is slowly reclaiming the responsibility of the dissemination of research results

# But still...

It is going too slow!  
OA still is not the default!  
I am impatient!

# Why is it going so slowly??

After all hundreds of universities and funders has signed OA-declarations and issued OA-policies and mandates-



# A closer look..

- Research is funded upfront – paid for (primarily with public money)
- Dissemination (publishing) of research results is **not** funded upfront
- It is **outsourced** (primarily to commercial publishers)
- at least in Western Europe and North America
- in other parts of the world (Latin America for instance), this is not the case

# Outsourcing

- Nothing wrong with outsourcing!
- It is feasible when **others** (in this case the publishers) **have the expertise** to do things **better** than you can do it yourself. When you outsource, you
- Enter a marketplace, where **market mechanisms** are in place
- Do **procurement**, State your **requirements**
- Set the **conditions**, the desired **service levels & the pricing**
- **This is obviously not the case in scholarly publishing!**

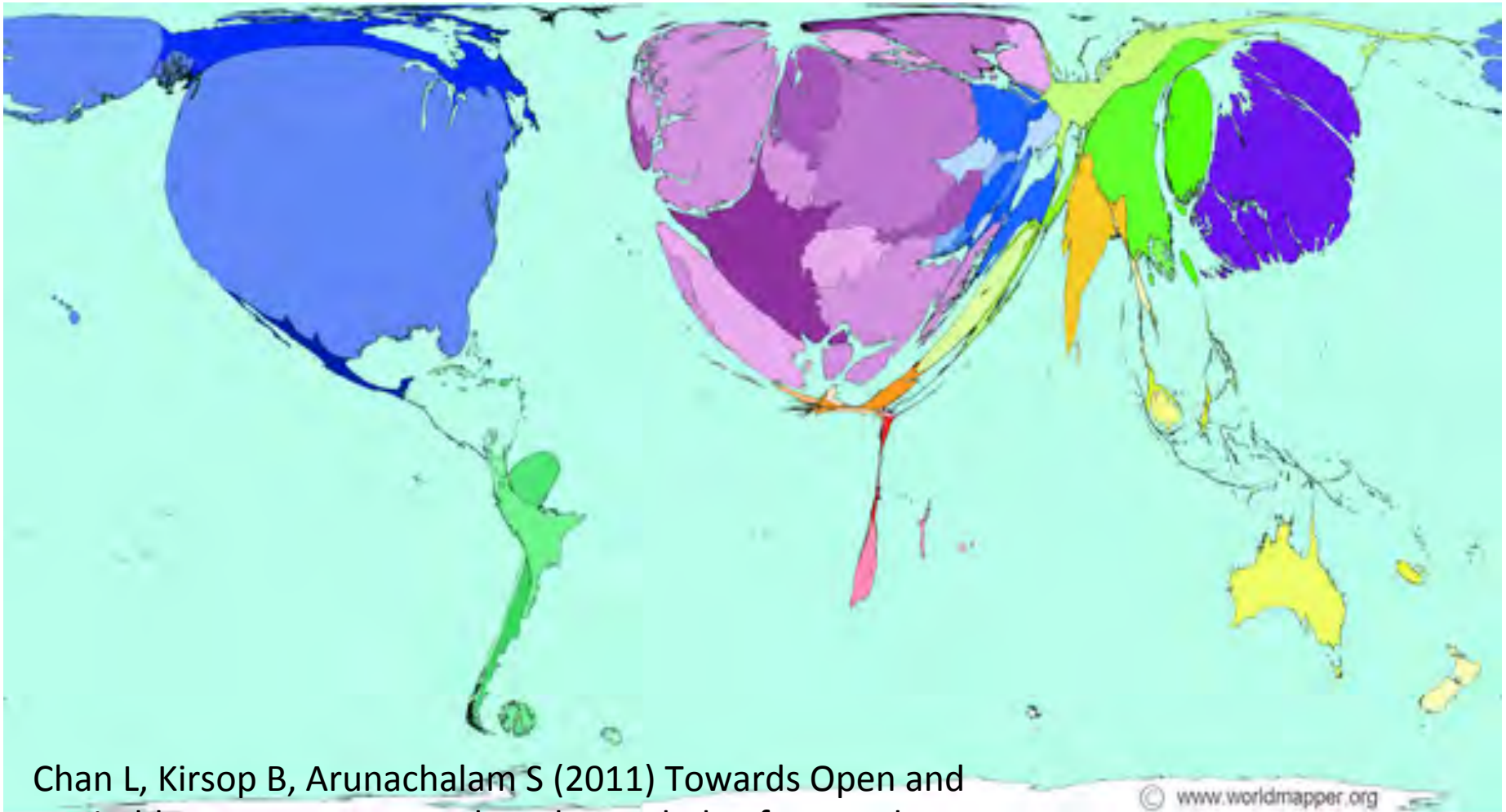
# Consequences!

- In scholarly publishing there is not market mechanisms, no competition
- This allows publishers to steadily increase prices way above inflation.
- It prevents researchers access to knowledge
- It leaves major parts of the world out of the loop

# Science – a global enterprise!



# .. Or is it really??



Chan L, Kirsop B, Arunachalam S (2011) Towards Open and Equitable Access to Research and Knowledge for Development. PLoS Med 8(3): e1001016. doi:10.1371/journal.pmed.1001016  
<http://127.0.0.1:8081/plosmedicine/article?id=info:doi/10.1371/journal.pmed.1001016>

Oct 19th 2015

Lars Bjørnshauge

# Consequences!

- In scholarly publishing there is not market mechanisms, no competition
- This allows publishers to steadily increase prices way above inflation.
- It prevents researchers access to knowledge
- It leaves major parts of the world out of the loop
- Harms science, higher education, industry, innovation, our societies and the people.
- **Competetion must be fostered in scholarly communication.**

# 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!!**

# What is needed is ...

- Fostering **competition** in scholarly publishing
- Development of new **publishing channels**
- And making those **attractive**



## 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!

# 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 too much about whether or not
  - your results are actually accessible for the widest audience
  - your data are archived and open
  - your software is documented and available
  - your research is actually reproducible
- **For your career it doesn't really matter that much!**
- As an Institution:
  - Attract the researchers above and the institution will receive more grants

The scholarly system I (and others) want to see:

- Characteristics:
- Research results are immediately **accessible** to everyone.
- Research is **verifiable** and **reproducible**.
- Research is evaluated based on its **actual** impact - not based on the wrapper (the journal)
- 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**.

# 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**

**What is needed is a system wide change:**

A change in the **rewards** system and  
system of incentives

A change in the **culture** of research

It should be regarded as **bad behavior,**  
**unethical behavior and academic misconduct**

**not** to publish in the open,  
**not** to make your data available and  
**not** to document you software.

No more, no less!

**Published research results incl. data and  
software that are not open**

**Should not count in evaluation, promotion and  
tenure**

**No more, no less!**



# Academic Freedom

- **Now, what does all this mean for Academic Freedom??**
  - 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.
- It is often argued that your decisions as to **where** you publish, **how** you publish, the **permissions** you give etc belongs to your academic freedom.
- “No one should tell me 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

# Who can change the system?

- The current scholarly communication system and especially the **current reward systems**, the **system** that motivates the **behavior of researchers** has developed **behind the scenes of the actors**.
- There are many stakeholders, some cannot really change the system and some can.
  - Younger researchers have to comply with the dominant system to make a career
  - Libraries and researchers can demonstrate new promising dissemination channels and business models

# Who can change the system?

Those **who have the power to change** the game are those who

decide about promotion and

facilitate the distribution of funding for research,

namely:

**Research Funders and Presidents of universities and research centers, Vice-Chancellors, Deans, Department Heads etc.**

# Can they really change the culture?

- One obvious problem is of course that those, who today are decision makers in research funding organizations and research institutions, like universities, have made their career in the system and the culture, that has to change!
- To some extent there is a generation problem!

Signing OA-declarations is only a beginning!  
Soft OA-policies don't deliver!

Universities and research funders should put  
their money and power where their mouth is!

# I am calling for...

- **A coalition of responsible research funders and research institutions, who**
- will take the **open agenda** further and mandate the open in its widest possible sense
  - Open publications, open data and open software
- **immediately will change the reward system** within their domain and **evaluate** contributions
  - **not** based on **where** you publish, but based on
  - **what** you publish and
  - **how** you publish
- and foster competition, by introducing price caps on APCs

# I am calling for...

- **A coalition of responsible research funders and research institutions, who**
- will either reclaim the responsibility for dissemination of research
- and/or
- will foster competition based on proper outsourcing with price caps etc
  
- BTW: there will be plenty of opportunities for publishers in this scenario



# A coalition of responsible research funders and research institutions!!

I know that this is a long shot!

But shall we really **continue to try to do repair** on a system that essentially has its **origin in the print age**, that is **unsustainable** and that **does not serve science**

**or** should we **build new system**, that can actually serve science for the 21<sup>st</sup> century?

# Q & A

- Q: Have we been too eager to see progress by seeking compromise and consensus??
- Q: Did we refrain from telling funders and decision makers that transition is associated with investments and costs??
- Q: Were we afraid of promoting (real) Open Access (Gold – not Hybrid!!), because there are bills to be paid??
- Answers : Yes, Yes and Yes!

# What to do?

- Continue the excellent work with repositories, operating and publishing OA-journals and OA-monographs
- And be bold and tell the policymakers that
  - current strategies will not deliver real OA
  - that rewards systems must change
  - the transformation of systems might cost
- And that they have the responsibility to fix the broken system!

# Out of the box!!

If we were to invent a system of  
scholarly communication

what would it look like?

I have given my shot on this!

Thank you for the opportunity  
and your attention!

[lars@doaj.org](mailto:lars@doaj.org)