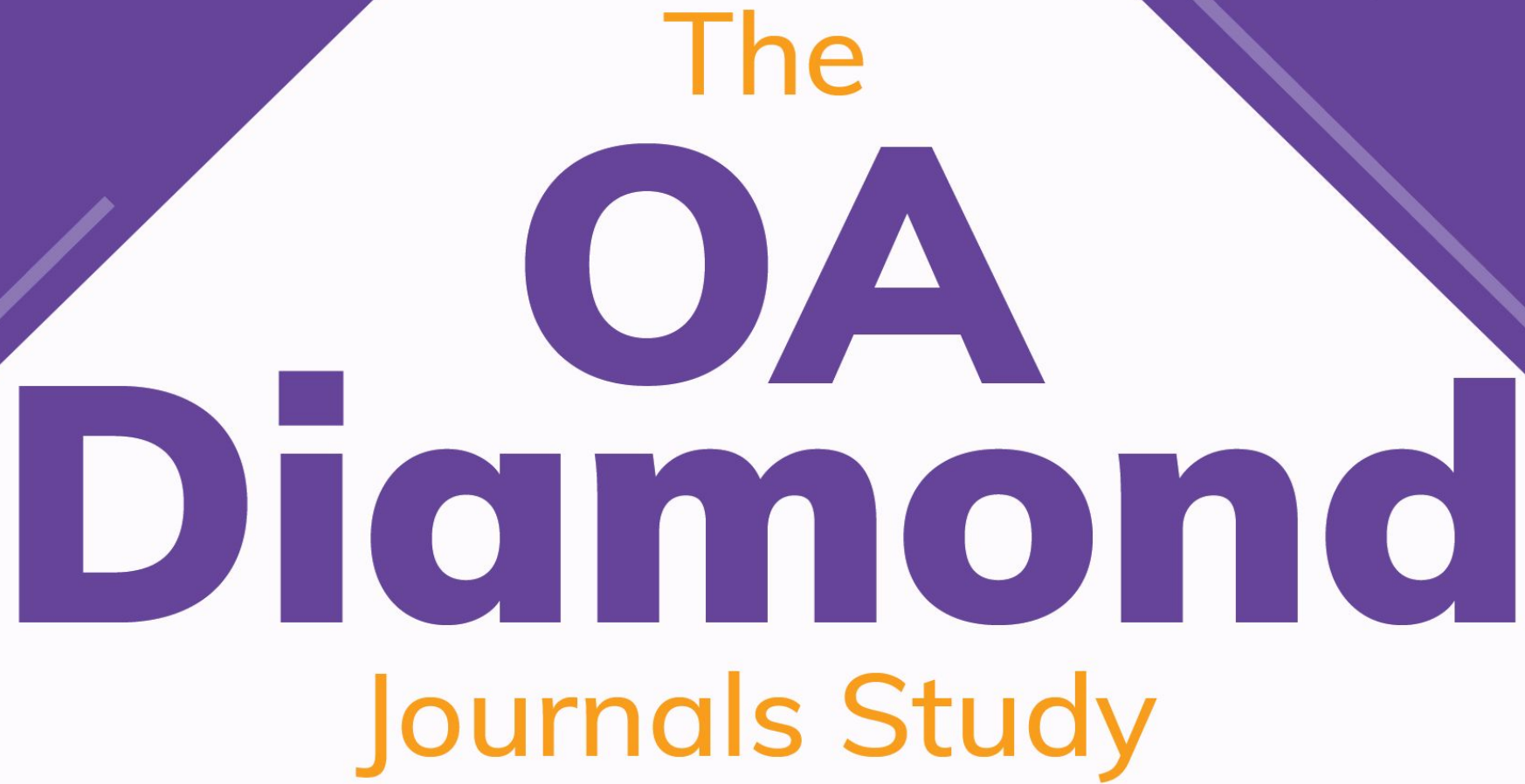


The
OA
Diamond
Journals Study

The background features four purple triangular shapes in the corners, each containing a white geometric pattern of lines and squares. The text is centered and uses a mix of purple and orange colors.

◆ The call ◆

Exploring collaborative non-commercial publishing models for Open Access: Apply to perform a study

“Call for an informed study containing an analysis and overview of collaborative non-commercial (aka “Diamond”) publishing journals and platforms.

The objective is to identify ways to support publishing initiatives wishing to implement Diamond business models.”

<https://www.coalition-s.org/exploring-collaborative-non-commercial-publishing-models-for-open-access/>



◆ The study consortium ◆



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◆ The report & materials ◆

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March 9, 2021

Report Open Access

OA Diamond Journals Study. Part 1: Findings

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Bosman, Jeroen; Frantsovåg, Jan Erik; Kramer, Bianca; Langlais, Pierre-Carl; Proudman, Vanessa

Project manager(s)

Mounier, Pierre

Project member(s)

Becerril, Arianna; Bjørnshauge, Lars; Redhead, Claire; Torny, Didier

Context

From June 2020 to February 2021, a consortium of 10 organisations undertook a large-scale study on open access journals across the world that are free for readers and authors, usually referred to as "OA diamond journals" commissioned by cOAllition S in order to gain a better understanding of the OA diamond landscape.

Presentation

The study undertook a statistical analysis of several bibliographic databases, surveyed text submissions and other data from 94 questions, and organised three focus groups with hosting platforms. It collected 163 references in the academic literature, and inventoried 1048 journals not listed in DOAJ.

The results of the study are available in the following outputs:

- Findings Report - DOI: 10.5281/zenodo.4558704
- Recommendations Report- DOI:10.5281/zenodo.4562790
- References Library - DOI: 10.5281/zenodo.4562816
- Journals Inventory - DOI: 10.5281/zenodo.4562828
- Dataset - DOI: 10.5281/zenodo.4553103

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March 9, 2021

Report Open Access

OA Diamond Journals Study. Part 2: Recommendations

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Becerril, Arianna; Bosman, Jeroen; Bjørnshauge, Lars; Frantsovåg, Jan Erik; Kramer, Bianca; Langlais, Pierre-Carl; Mounier, Pierre; Proudman, Vanessa; Redhead, Claire; Torny, Didier

Context

From June 2020 to February 2021, a consortium of 10 organisations undertook a large-scale study on open access journals across the world that are free for readers and authors, usually referred to as "OA diamond journals". This study was commissioned by cOAllition S in order to gain a better understanding of the OA diamond landscape.

Presentation

The study undertook a statistical analysis of several bibliographic databases, surveyed 1,619 journals, collected 7,019 free text submissions and other data from 94 questions, and organised three focus groups with 11 journals and 10 interviews with hosting platforms. It collected 163 references in the academic literature, and inventoried 1048 journals not listed in DOAJ.

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Key Recommendations:

Indexed in

OpenAIRE

Publication date:

March 9, 2021

DOI:

DOI: 10.5281/zenodo.4562790

Keyword(s):

open science open access scholarly communication journals

◆ The report & materials ◆



Findings

<https://doi.org/10.5281/zenodo.4558704>



Recommendations

<https://doi.org/10.5281/zenodo.4562790>



Survey Dataset

<https://doi.org/10.5281/zenodo.4553103>

◆ Study approaches ◆

Database analysis

- Directory of Open Access Journals (DOAJ)
- ROAD database of open access journals
- Walt Crawford's GOA dataset of open access journals

Survey

- survey of diamond journals with 95 questions and 1619 valid responses
- multilingual global dissemination with some bias towards Europe and Latin America

Focus groups and interviews

- 3 English & Spanish focus groups with journals
- 10 interviews with platforms and infrastructures

Quantitative and qualitative analysis

◆ Study outcomes ◆

◆ Findings

◆ Landscape

◆ Compliance

◆ Dynamics

◆ Sustainability

◆ Recommendations

5. Recommendations

List of Recommendations

Id	Topic	Recommendation	Target
R_{1.1}	Technical support	Better coordinate editorial and quality assurance service provision	Infrastructures and Institutions
R_{1.2}		Formalise legal ownership and governance rules	Institutions, Societies and Infrastructures
R_{1.3}		Increase infrastructure capacity to support bibliodiversity	Funders, Institutions and Infrastructures
R_{2.1}	Compliance	Raise awareness and understanding of open licenses and promote policy implementation	Funders, Institutions and Societies
R_{2.2}		Facilitate access to DOIs, particularly for smaller journals	Infrastructures and Institutions
R_{2.3}		Stimulate and enable journals to preserve their content	Funders
R_{2.4}		Encourage self-archiving policy registration	Funders, Institutions and Infrastructures
R_{2.5}		Improve access to formatting tools and services	Funders and Infrastructures
R_{3.1}	Capacity building	Create an OA diamond Capacity Centre	Funders, Infrastructures, Institutions and Societies
R_{3.2}		Develop an organised marketplace for OA diamond	Infrastructures
R_{3.3}		Organise an international symposium and workshop to prepare the creation of the Capacity Centre	Funders, Institutions and Infrastructure

List of Recommendations

Id	Topic	Recommendation	Target
R_{4.1}	Effectiveness	Further develop partnerships with the goal to help raise funds and seek out efficiencies	Institutions and Societies
R_{4.2}		Consider using more shared services and infrastructure	Institutions and Societies
R_{4.3}		Reflect on the mid- to long-term role of volunteers and in-kind contributions in running journals	Institutions and Societies
R_{4.4}		Diversify journals' funding streams	Institutions and Societies
R_{4.5}		Aim to consistently manage formal journal budgets	Institutions and Societies
R_{4.6}		Register OA diamond journals in DOAJ	Institutions and Societies
R_{5.1}	Sustainability	Collaborate on a funding strategy for OA diamond	Funders, Institutions and Societies
R_{5.2}		Consistently finance the operations of OA diamond journals	Funders
R_{5.3}		Invest in the future of OA diamond	Funders
	Conclusion	Towards a new OA commons	All

1. Landscape ♦ main takeaways

In summary: we have a wide archipelago of relatively small journals serving diverse communities. OA diamond journals are ...

Numerous
(up to 29,000)

In *relative* decline
looking at article
numbers

Concentrated in HSS
but still numerous in
STM as well

Strong in Latin America
and Eastern Europe

Relatively small &
with small publishers

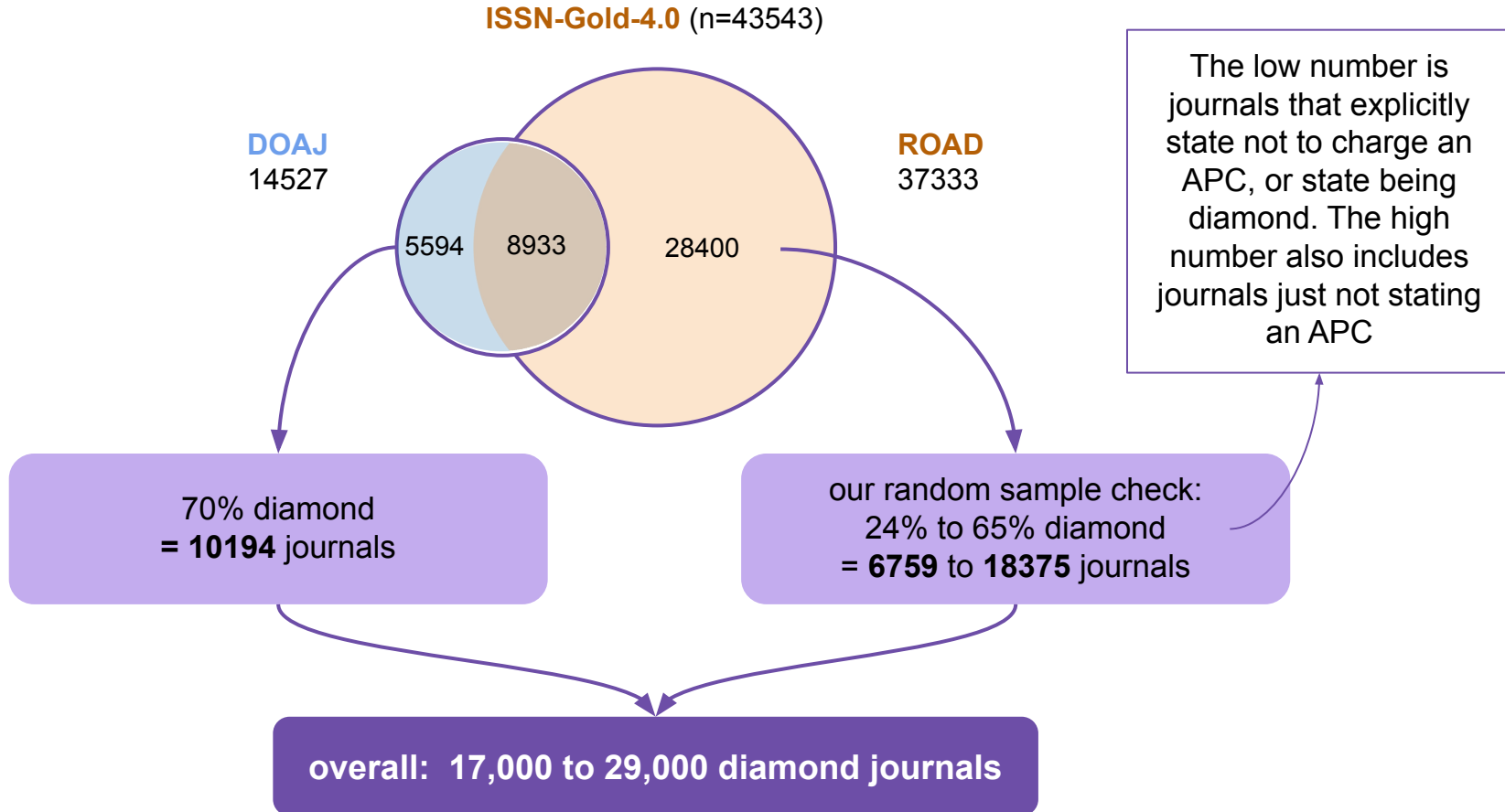
Often written
nationally but read
internationally

Publishing ~44% of
articles in full OA
journals

Frequently strong in
multilingualism

Diamond right from
becoming online
journals

1. Landscape ◆ diamond journals calculation



2. Technical support ♦ main takeaways

In summary: there is a mix of scientific strengths and operational challenges. Diamond journals often show ...

A lack of legal ownership documents

Lack of capacity for monitoring and reporting

A variety of peer review types

A need to professionalize peer review processes

Compliance with editorial quality guidelines

Lack of using anti-plagiarism software

Using standard OJS software, but run on variety of platforms

Indexation in main databases is their biggest challenge

2. Technical support ♦ indexation

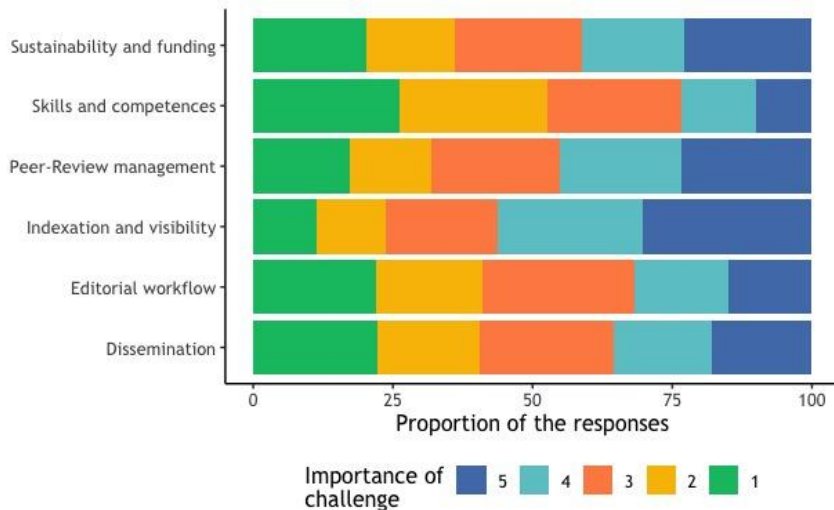


Figure 22. Importance of the challenges by share of respondents (1=not important, in green, 5=very important, in dark blue)

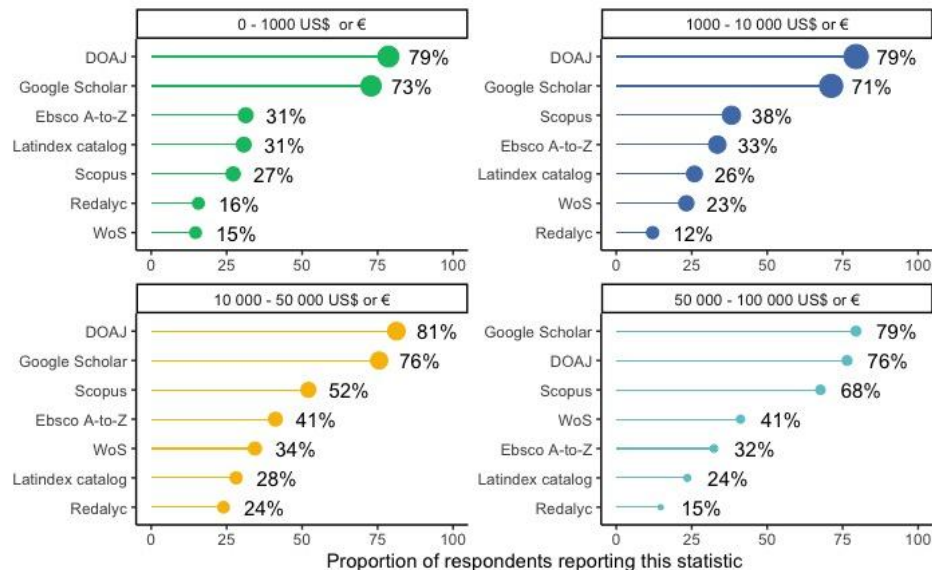


Figure 23. Share of indexation (Q81) per annual costs (Q66)

Indexation is the main challenges quote by the respondents to the survey. Inclusion is directly correlated with the size and resources of the journals. 400 journals are not even included in the DOAJ.

◆ Recommendations ◆ Technical support

Recommendation	Target
Better coordinate editorial and quality assurance service provision	Infrastructures and Institutions
Formalise legal ownership and governance rules	Institutions, Societies and Infrastructures
Increase infrastructure capacity to support bibliodiversity	Funders, Institutions and Infrastructures

3. Compliance ♦ main takeaways

In summary: OA diamond journals are on the road to full compliance with Plan S.
Of the OA diamond journals ...

Only 37% comply with
over half of the criteria

Compliance overall is
lower than that of
APC-based journals

Bigger journals seem
to have better
compliance

Some 37% use a
CC BY licence

Some 44% embed
machine readable
licenses

Some 20% use a
standard archiving
system

Less than 25% provide
XML/HTML formatted
articles

3. Compliance ◆ Plan S compliance summary

Requirement	OA diamond		APC-based		Total	
	Yes	No	Yes	No	Yes	No
License	44.1 %	55.9 %	57.1 %	42.9 %	47.6 %	52.4 %
Peer review	100.0 %	0.0 %	100.0 %	0.0 %	100.0 %	0.0 %
Author copyright	49.4 %	50.6 %	53.0 %	47.0 %	50.3 %	49.7 %
Article PID	55.3 %	44.7 %	85.3 %	14.7 %	63.6 %	36.4 %
Permanent preservation OK	19.1 %	80.9 %	56.0 %	44.0 %	28.9 %	71.1 %
Machine-readable license	43.6 %	56.4 %	73.6 %	26.4 %	51.6 %	48.4 %

Table 10. DOAJ journals conforming to Plan S requirements by DOAJ journal category, percentages

◆ Recommendations ◆ Compliance

Recommendation	Target
Raise awareness and understanding of open licenses and promote policy implementation	Funders, Institutions and Societies
Facilitate access to DOIs, particularly for smaller journals	Infrastructures and Institutions
Stimulate and enable journals to preserve their content	Funders
Encourage self-archiving policy registration	Funders, Institutions and Infrastructures
Improve access to formatting tools and services	Funders and Infrastructures

◆ Effectiveness ◆ main takeaways

Lack of knowledge about own financial situation and costs

Strong dependence on volunteering

Wide diversity of funding models

More shared services and platforms needed

Lack of coordination amongst journals

Dependency on narrow funding streams

◆ Recommendations ◆ Effectiveness

Recommendation	Target
Further develop partnerships with the goal to help raise funds and seek out efficiencies	Institutions and Societies
Consider using more shared services and infrastructure	Institutions and Societies
Reflect on the mid- to long-term role of volunteers and in-kind contributions in running journals	Institutions and Societies
Diversify journals' funding streams	Institutions and Societies
Aim to consistently manage formal journal budgets	Institutions and Societies
Register OA diamond journals in DOAJ	Institutions and Societies

◆ R.4.2 ◆ Use more shared infrastructures and services

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◆ Recommendations ◆ Capacity-building

1. Funders, Infrastructures, Institutions and Societies
Create an OA Diamond Capacity Centre
2. Funders, institutions, and Infrastructures
Organise an international symposium and workshops to prepare the creation of the Capacity Centre
3. Infrastructures **Develop an organised marketplace for OA diamond**

5. Sustainability ♦ main takeaways

In summary:

An economy that largely depends on volunteers, universities and government.

To keep OA free, how do they do it?

over 60%
< 10k euro

70% run on
1-2 FTE

reliance on goodwill of
volunteers

40% break-even and
25% operate at a loss

a lack of knowledge of
their own financial
situation

◆ Recommendations ◆ Sustainability

Recommendation	Target
Collaborate on a funding strategy for OA diamond	Funders, Institutions and Societies
Consistently finance the operations of OA diamond journals	Funders
Invest in the future of OA diamond	Funders

◆ R5.3 Invest in the future

- To help create a new more **resilient, interconnected and thriving** OA publishing system
- Aside from investing in operations: Investment through **development funds**
- Above all helping journals **meet industry standards**, and **develop shared services or infrastructure** that benefit *many* increasing the **visibility** and **quality** of OA diamond
- Thereby helping provide a **viable alternative** to the current system, supporting **diversity** and encouraging **academic independence**, and **innovation**

◆ Next steps ◆

- stakeholder engagement: a series of webinars and workshops
- a larger event on the OA Diamond Capacity Centre
- a follow-up study on funding models and mechanisms that work **now** for 1) journals and 2) funders and developing **new ones** for the future