The OA Diamond Journals Study

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Utrecht University Library

slides available at https://tinyurl.com/diamond-norway-oaweek

The OA Diamond Journals Study

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/

SCIENCE EUROPE
Shaping the future of research

The study consortium

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Funders

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

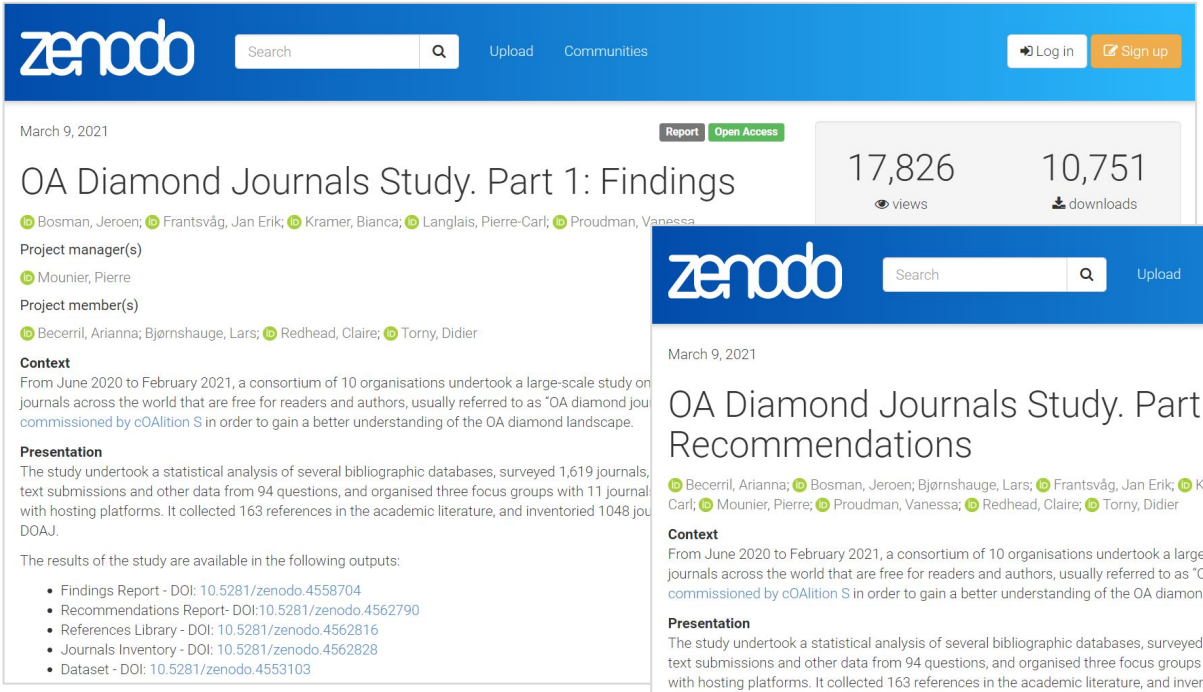
- 3 English & Spanish focus groups with journals
- 10 interviews with platforms and infrastructures

Quantitative and qualitative analysis

Study outcomes

- Findings
  - Landscape
  - Compliance
  - Dynamics
  - Sustainability
- Recommendations

The report & materials



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 outcomes

- Findings
  - Landscape
  - Compliance
  - Dynamics
  - Sustainability
- Recommendations

in presenting mode, the blocks above link to the respective parts of the presentation

1. Landscape ◆ main take aways

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

1 Numerous (up to 29,000)

2 In *relative* decline looking at article numbers

3 Concentrated in HSS but numerous in STM as well

6 Strong in Latin America and Eastern Europe

5 Relatively small & with small publishers

4 Largely written nationally but read internationally

7 Publishing ~44% of articles in full OA journals

8 Frequently strong in multilingualism

9 Diamond right from becoming online journals

in presenting mode, the blocks above link to the respective parts of the presentation

1. Landscape ◆ journals numbers, globally

Scope of definition of 'journal'	Number reported and source
Scholarly journals	104,081 (Elektronische Zeitschriftenbank) 48,970 (Microsoft Academic) 47,116 (MIAR) 38,589 (Scopus)
Active scholarly journals	56,689 (Scilit (Crossref based)) 35,616 (JournalTOCs) 34,779 (EBSCO host) 30,187 (Microsoft Academic) 25,017 (ERA journal list) 24,184 (Scopus) 21,420 (Web of Science)
Active scholarly journals, open access, not all guaranteed peer reviewed	37,333 (ROAD) 17,537 (JournalTOCs) 16,158 (Scilit (Crossref based)) 13,822 (Ullrichs)
Active scholarly journal, open access, peer reviewed	15,581 (DOAJ) 6,299 (Scopus) 4,762 (Web of Science)

Global journal number estimates, checked November 2020. Numbers are as reported at the moment of checking and not for a particular year, except for Scilit where the numbers refer to 2019. Sources: Listed in table.

1. Landscape ◆ DOAJ<>ROAD overlap

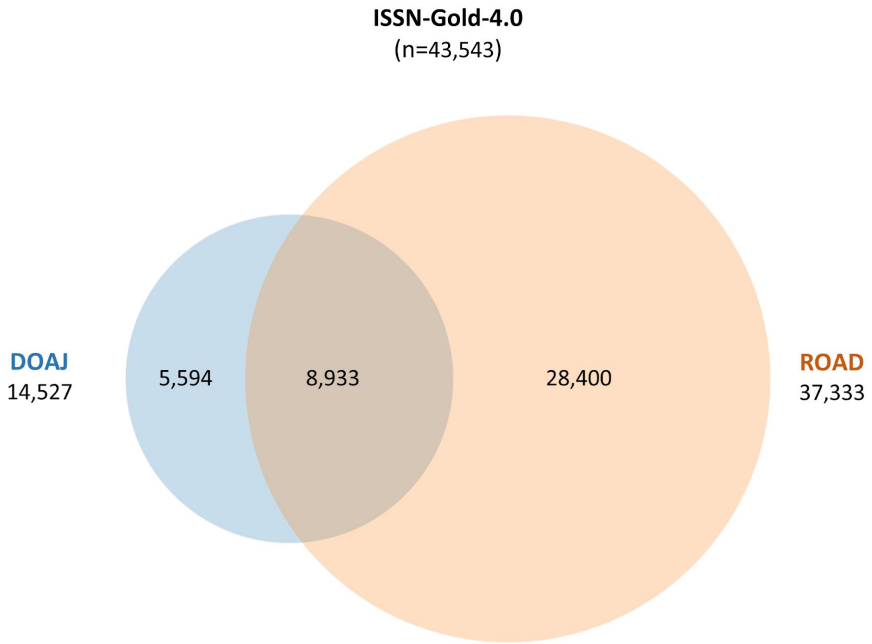


Figure 1. Overlap of journals in DOAJ and ROAD. Source: Bruns et al. 2020 (ISSN-Matching of Gold OA Journals 4.0)

1. Landscape ◆ diamond journals calculation

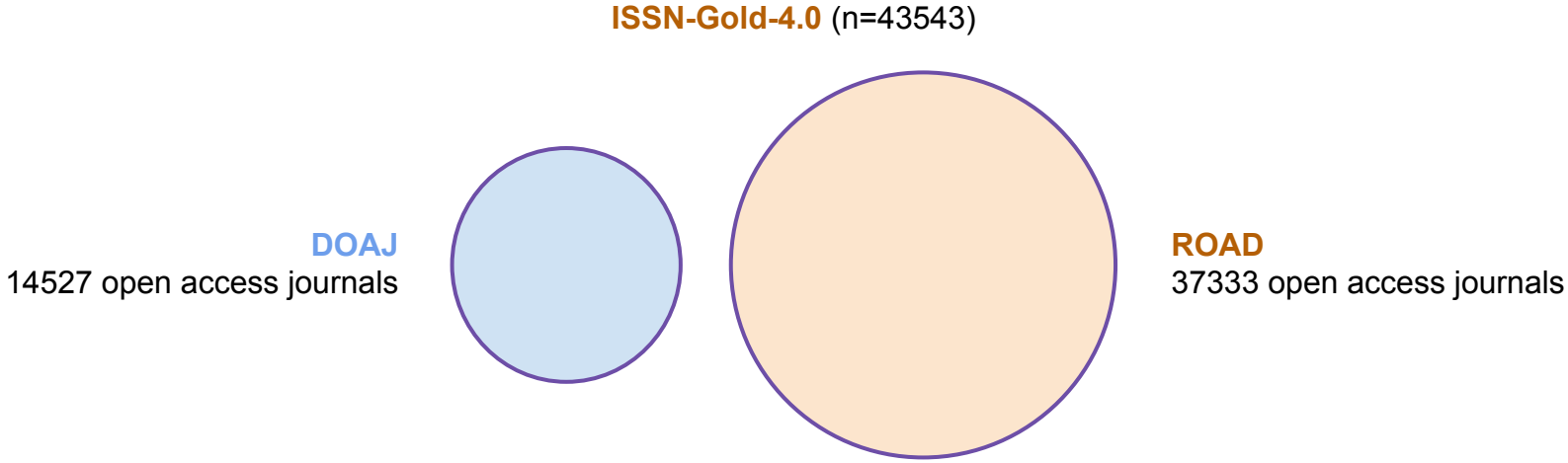


Figure 1. Overlap of journals in the Directory of open Access Journals (DOAJ) and the ROAD database of open access journals maintained by the ISSN registry. Source: Bruns et al. 2020 (ISSN-Matching of Gold OA Journals 4.0)

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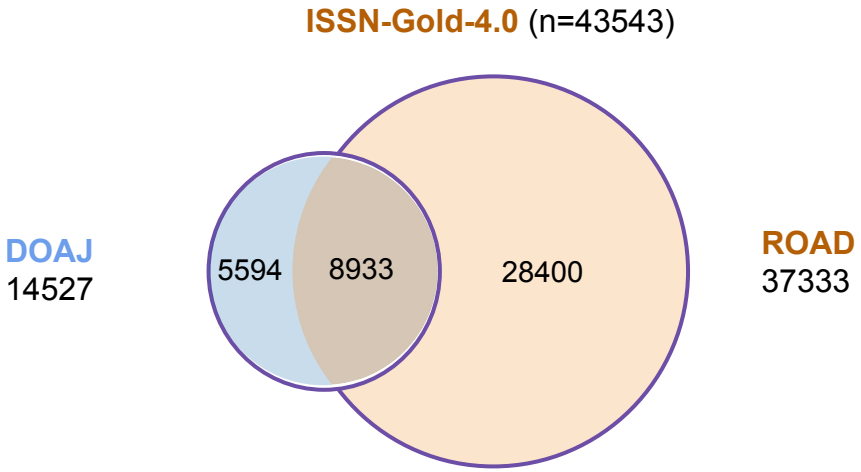

Figure 1. Overlap of journals in the Directory of open Access Journals (DOAJ) and the ROAD database of open access journals maintained by the ISSN registry. Source: Bruns et al. 2020 (ISSN-Matching of Gold OA Journals 4.0)

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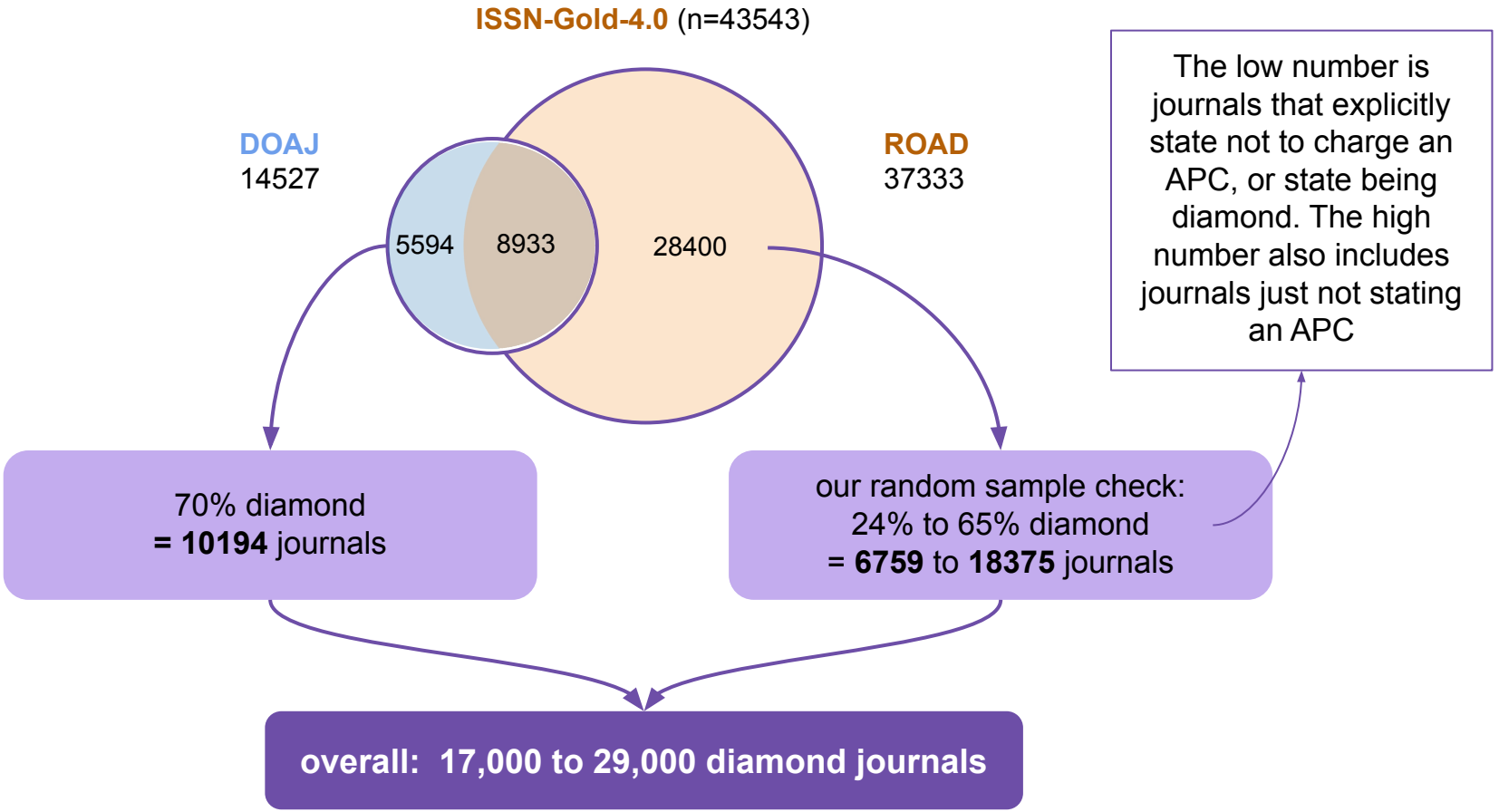


1. Landscape ◆ ROAD sample business models

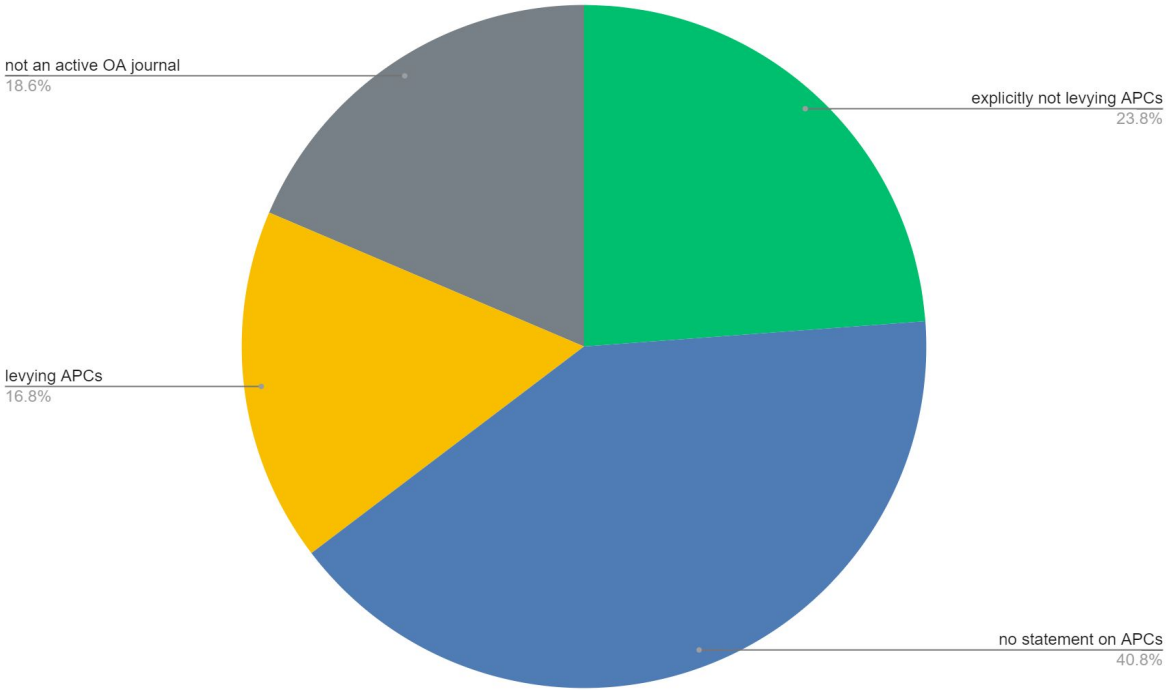


Figure 2. Business models of a sample (n=382) of journals in ROAD but not in DOAJ. Source: Manual check websites of journals in the ROAD sample

1. Landscape ◆ DOAJ<>survey overlap

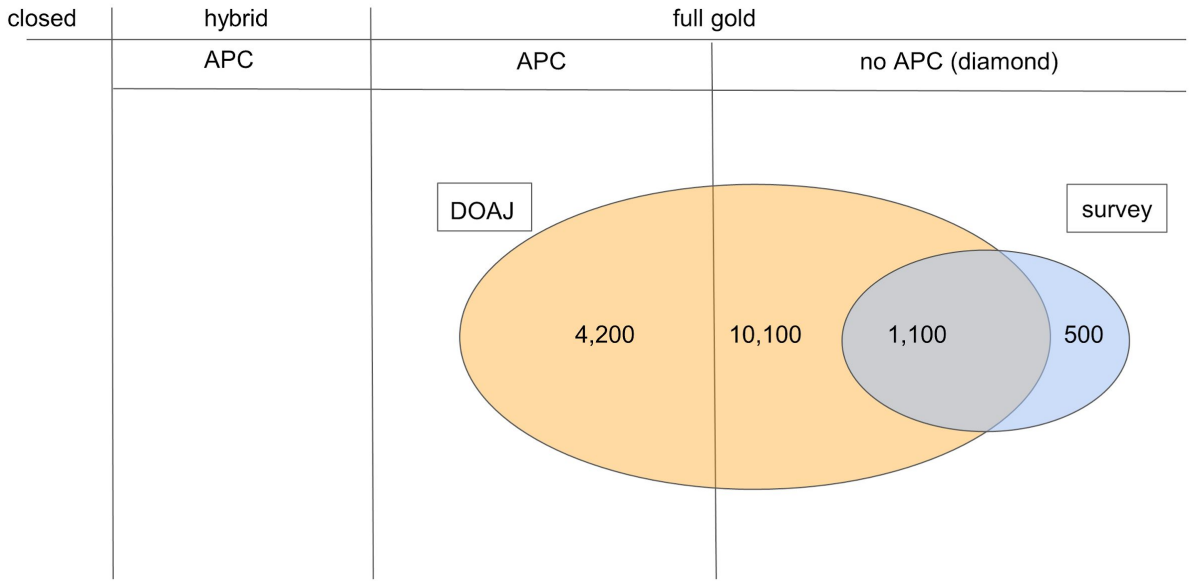


Figure 3. The overlapping sets of DOAJ and survey journals in the full journal landscape. Numbers rounded to nearest hundred. Sources: DOAJ, Survey

1. Landscape ◆ DOAJ additions by year

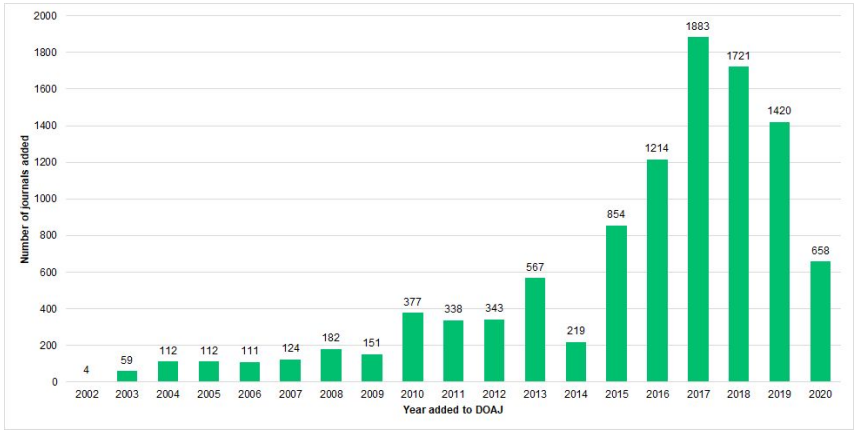


Figure 5. OA diamond journals by year of addition to DOAJ. Source: DOAJ

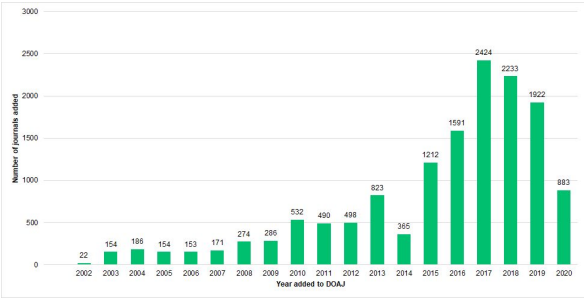


Figure 4. Open access journals by year of addition to DOAJ. Source: DOAJ

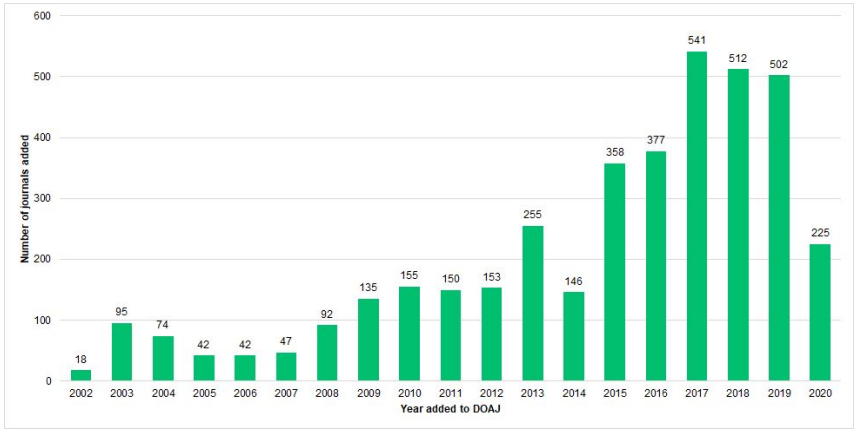


Figure 6. APC-based open access journals by year of addition to DOAJ. Source: DOAJ

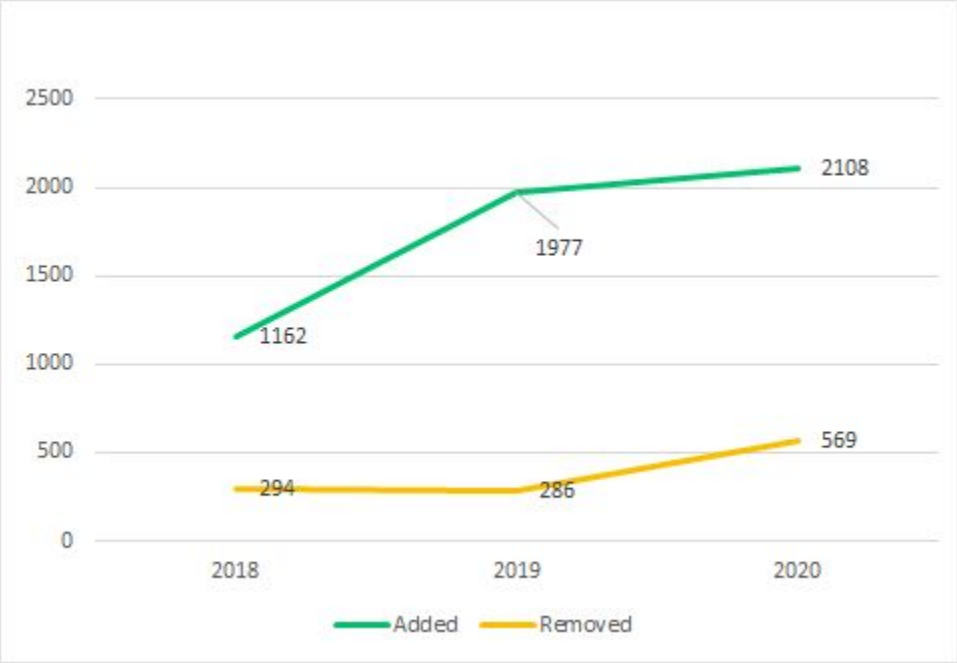


Figure 7. DOAJ: The development of the number of journals added and journals removed in the last three years (numbers include all of 2020). Source: DOAJ public spreadsheet with added and removed journals

1. Landscape ◆ launch years DOAJ journals

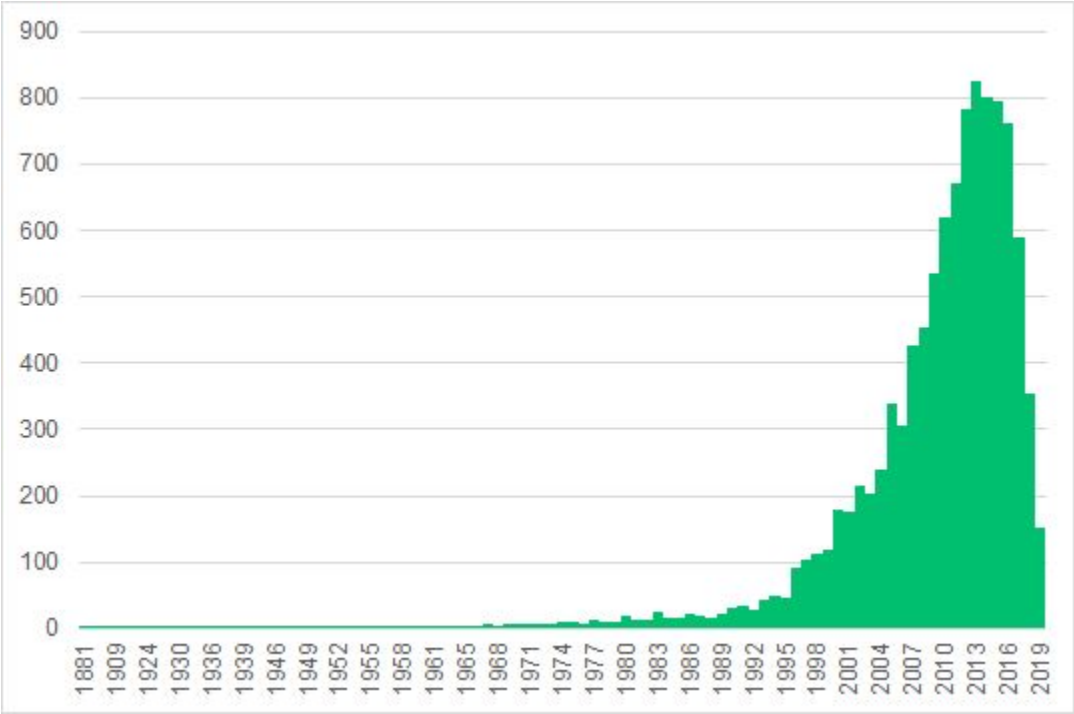


Figure 8. Launch years of (current) open access journals. Source: DOAJ. NB Content for older years probably made online open access retrospectively

1. Landscape ◆ content types (non-DOAJ)

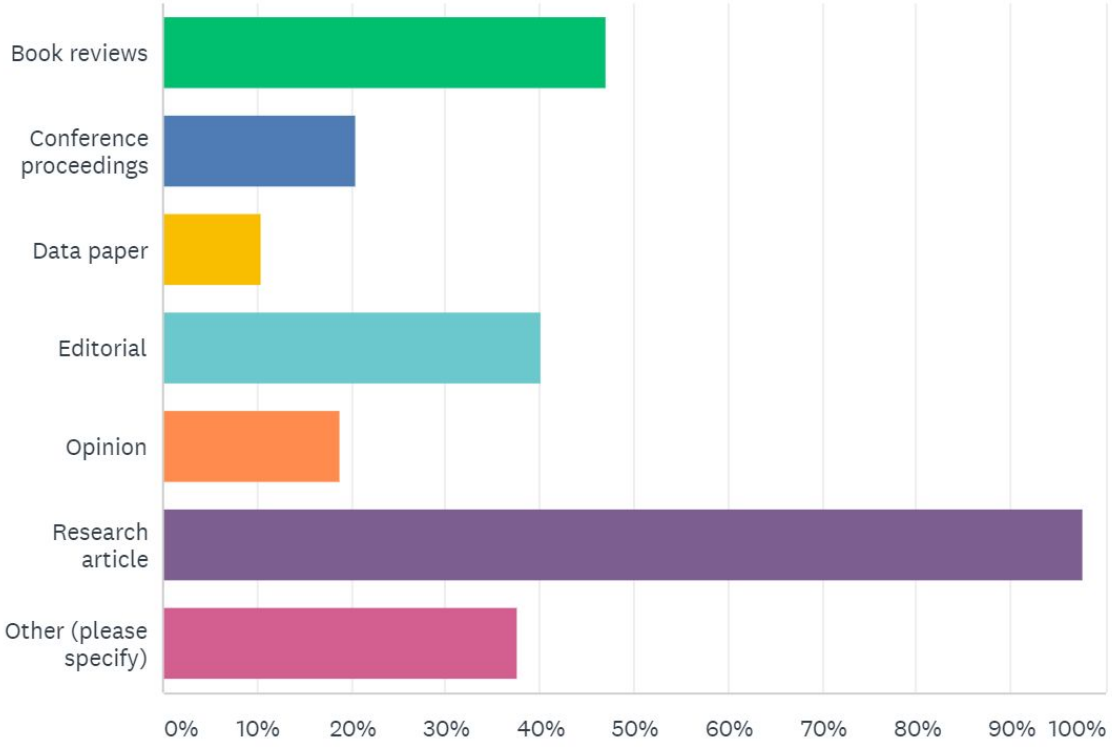


Figure 9. Content types published. Source: Survey (Q17, n=439, non-DOAJ journals only)

1. Landscape ◆ APC & diamond articles DOAJ

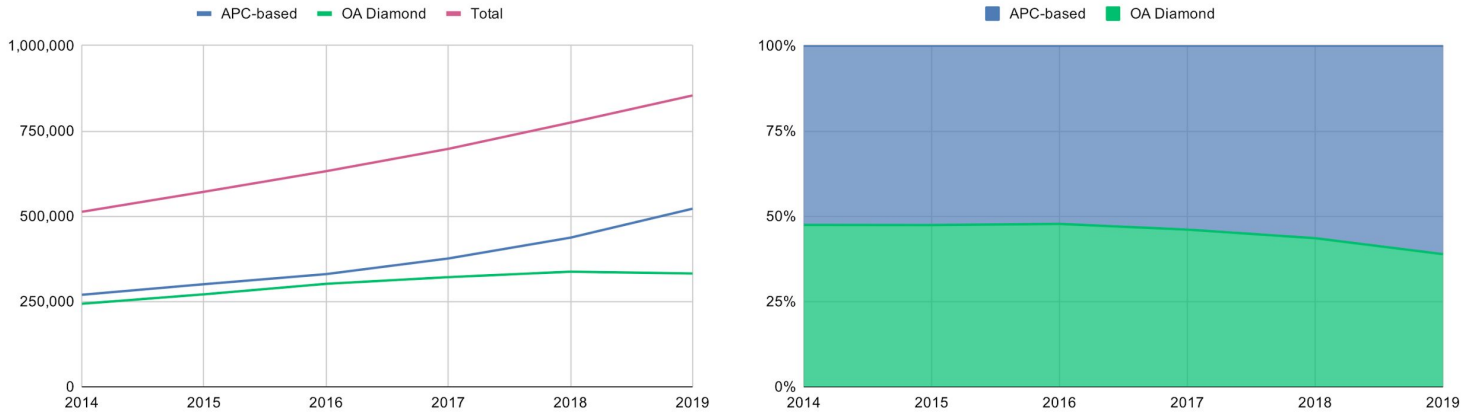
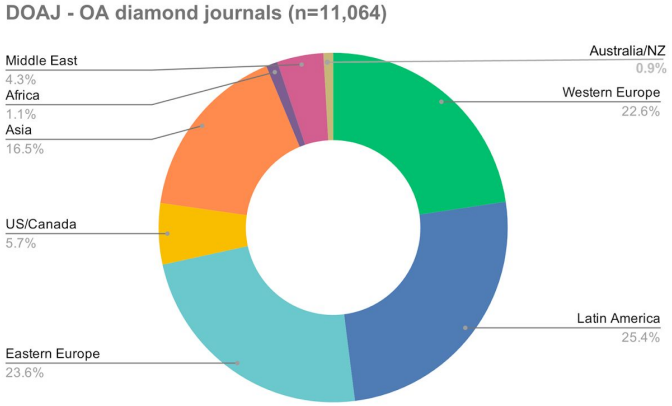
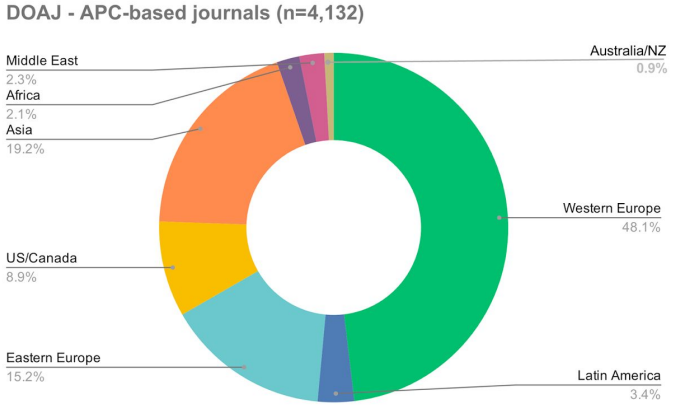
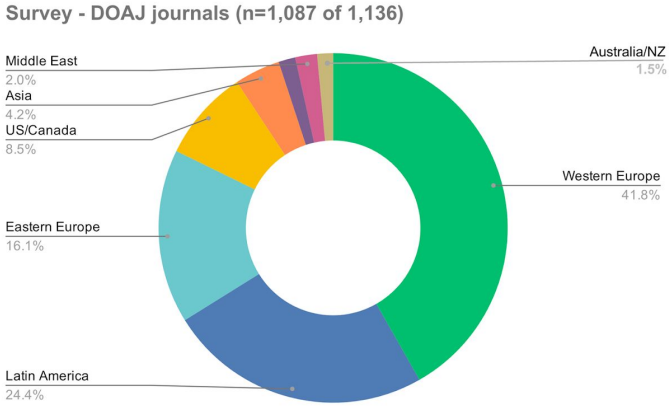


Figure 10. DOAJ article numbers from 2014-2019 by open access model, absolute (left) and as shares of DOAJ total (right). Source: GOA(5)

1. Landscape ◆ publisher locations







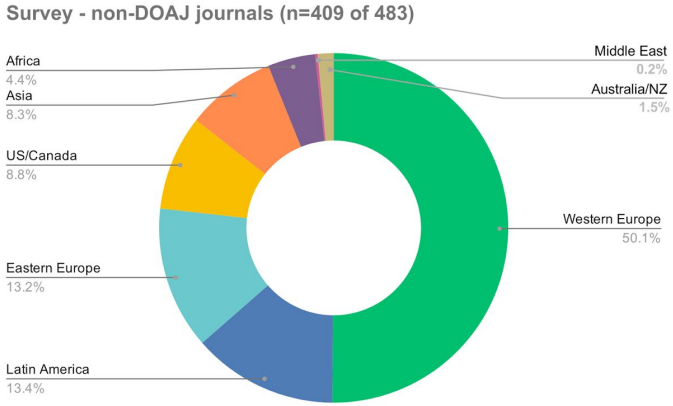


Figure 11. Journals by location of publisher. Note: All regions are based on the assignment of Walt Crawford in GOA(5). Source: DOAJ and Survey (Q14)

1. Landscape ◆ diamond shares x location

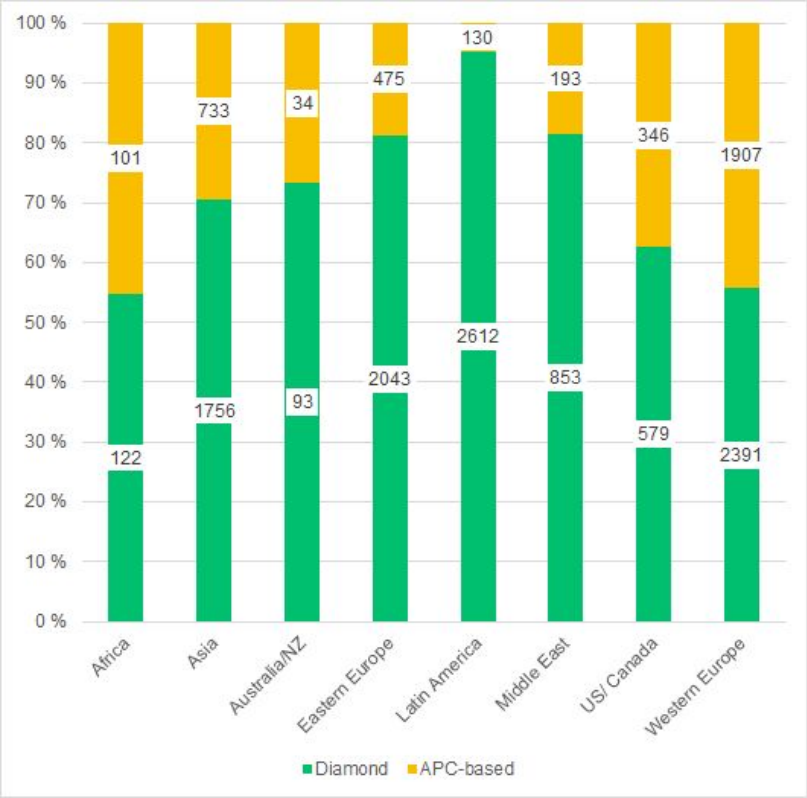
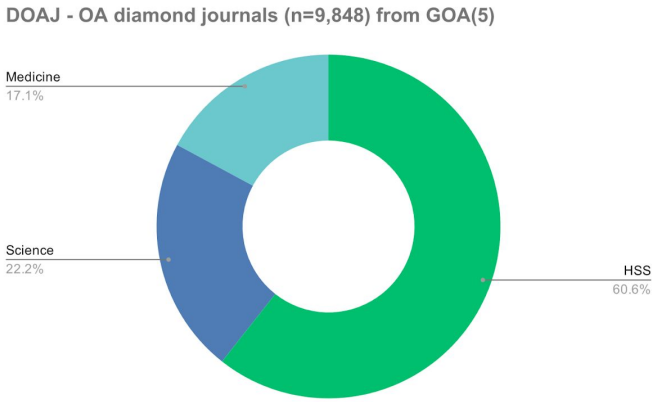
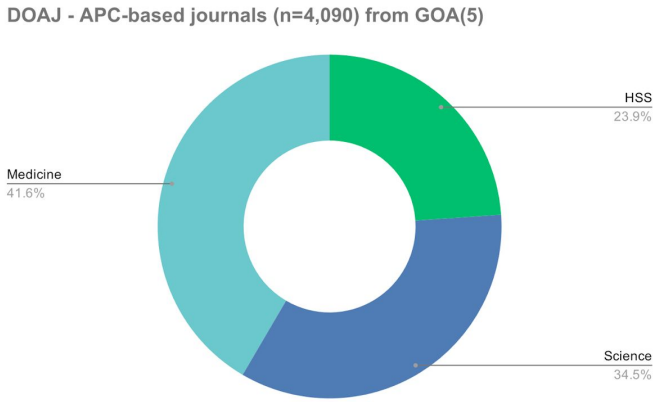
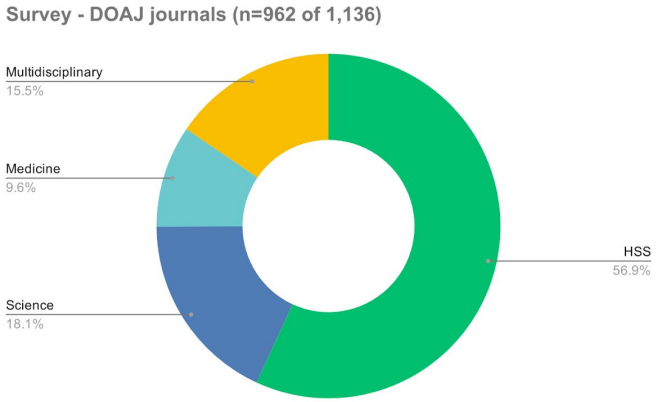


Figure 12. Shares of OA diamond and APC-based open access models in DOAJ-listed journals. Source: DOAJ

1. Landscape ◆ journals x discipline







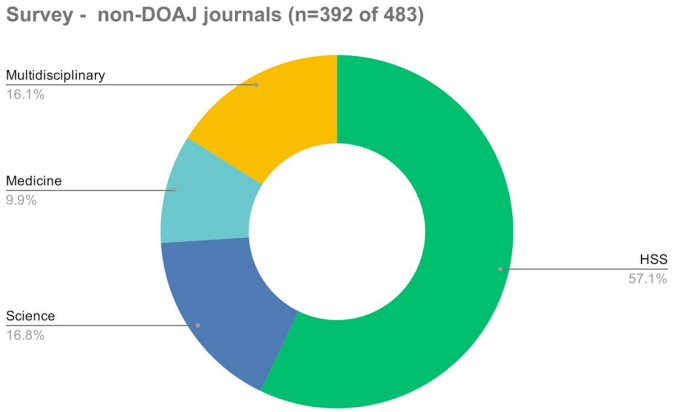


Figure 13. Journals by discipline. Sources: DOAJ, GOA(5) and Survey (Q40)

1. Landscape ◆ journals x discipline x model

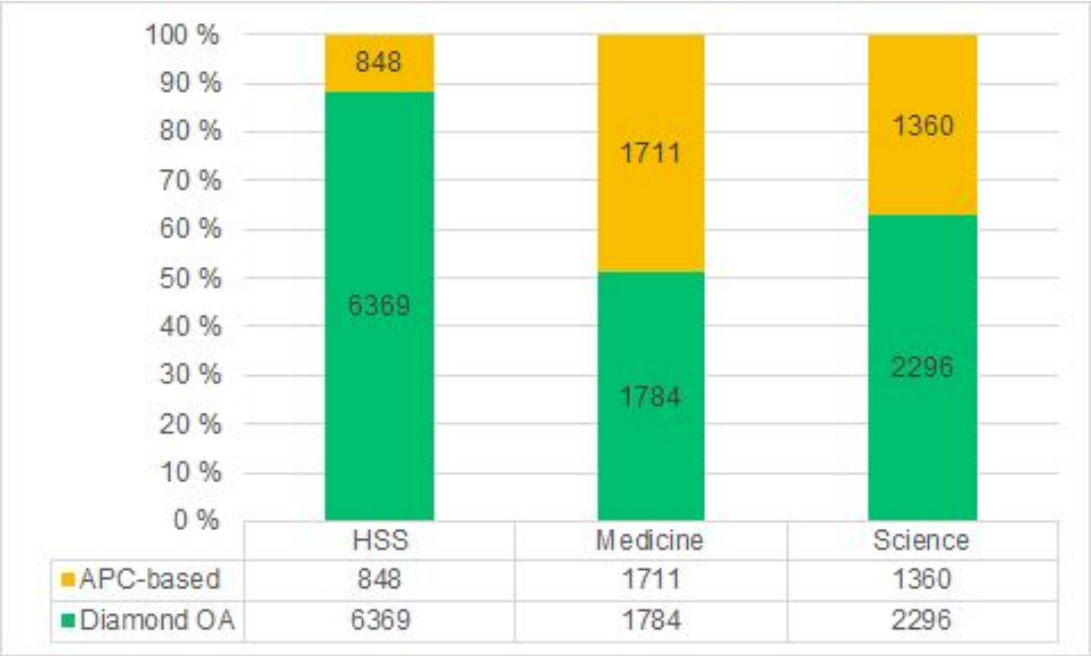


Figure 14. Journals by funding models for the three disciplinary groups. Source: DOAJ and GOA(5)

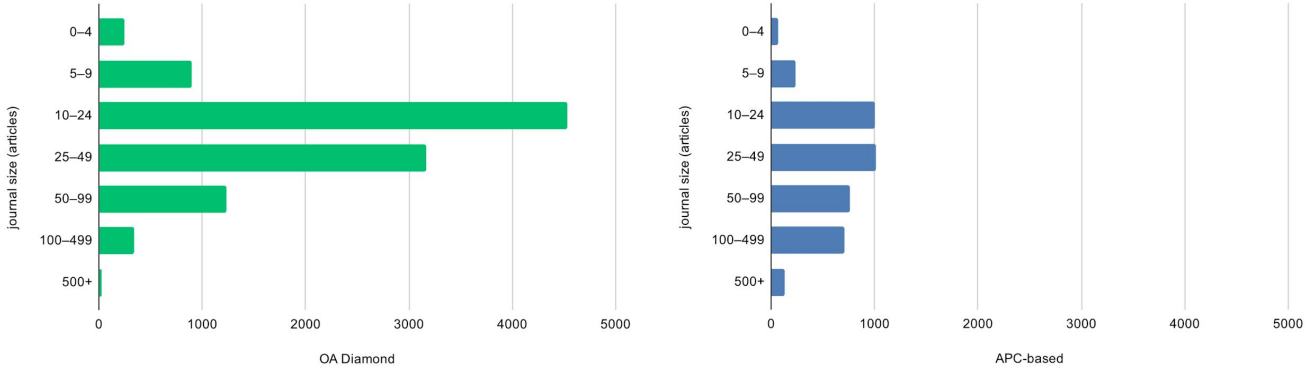


Figure 17. Number of journals by journal size in terms of number of articles per annum. Source: DOAJ

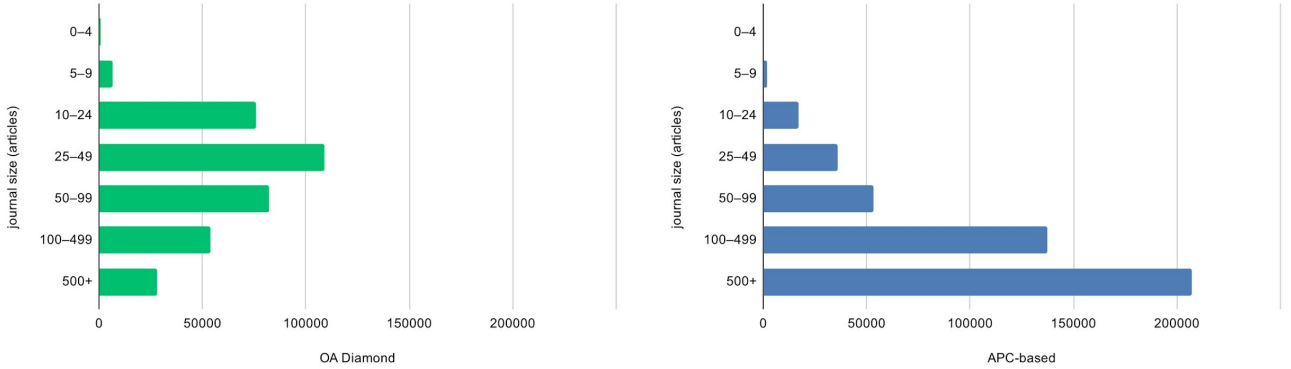


Figure 18. Number of articles published by journal size in terms of number of articles per annum. Source: DOAJ

1. Landscape ◆ journals by publisher size

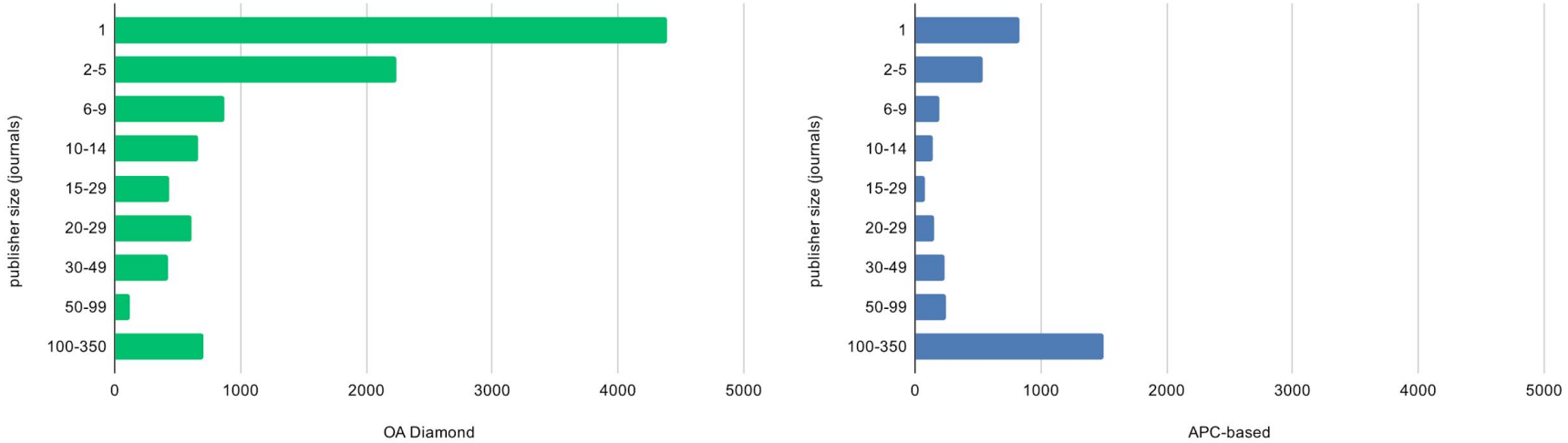


Figure 15. Number of journals by publisher size in terms of journals published (size determined using the sum of OA diamond and APC-based journals). Source: DOAJ

1. Landscape ◆ Diamond & APC publisher types

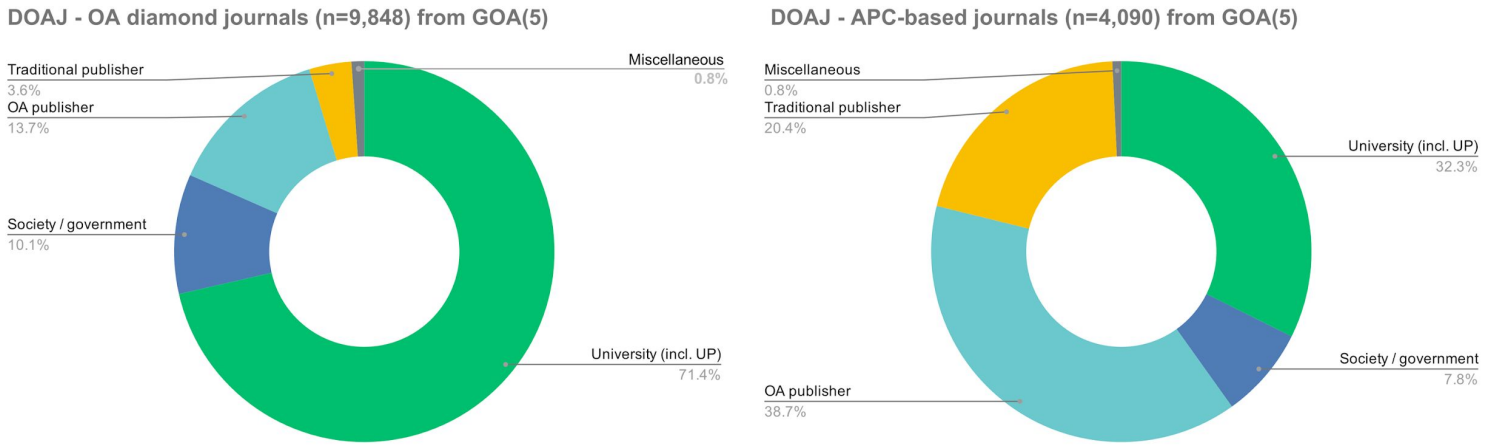


Figure 16. Open access publishers by type for the OA diamond sector (left) and the APC-based sector (right). Source: GOA(5)

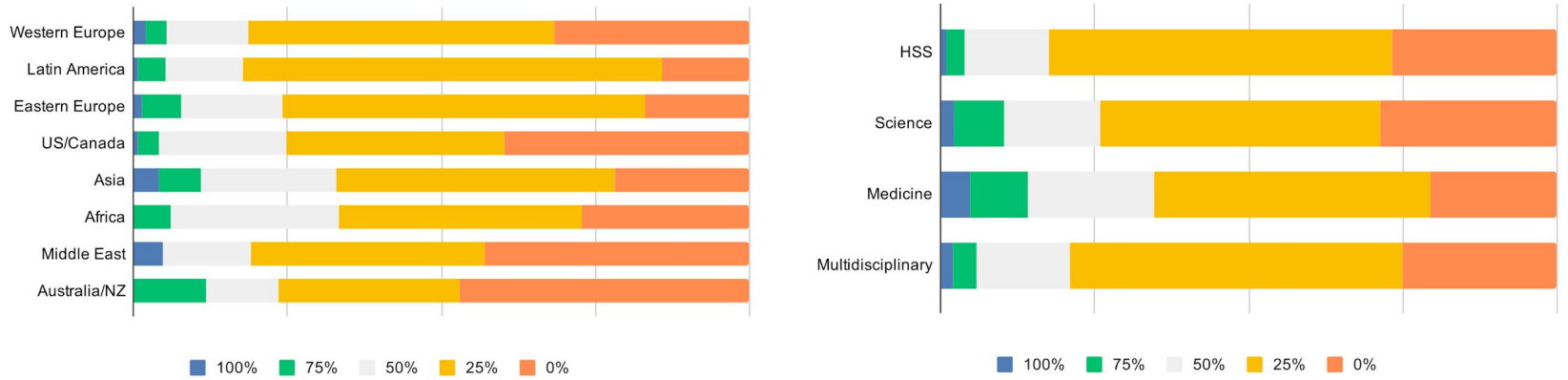


Figure 20. Proportion of authors from inside the journal's owning organisation (by region/discipline of journal). Source: Survey (Q36, n=1,371 (region), n=1,278 (discipline))

1. Landscape ◆ authors from journal country

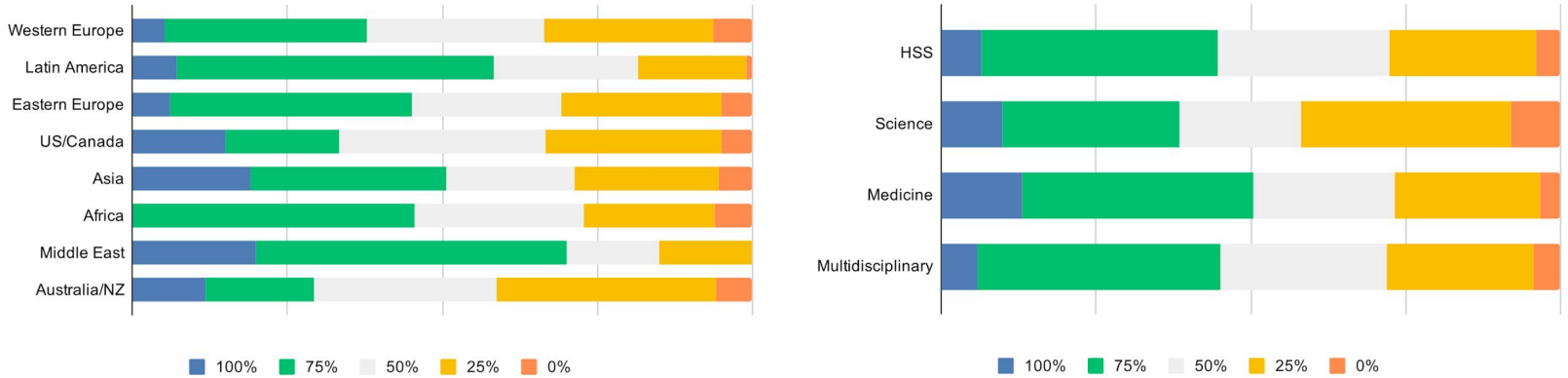


Figure 19. Proportion of authors from the same country as the journal (by region and discipline of journal). Survey (Q37, n=1,365 (region), n=1,269 (discipline))

1. Landscape ◆ readers from journal country

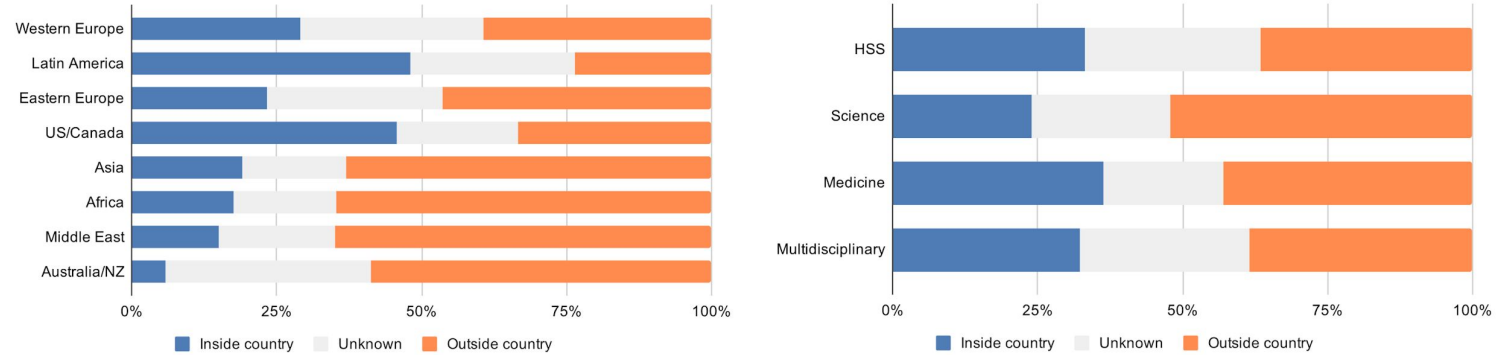


Figure 21. Share of journals stating their readership is mainly inside or outside their country (by region and discipline of journal). Survey (Q80, n=1,274 (region), n=1,202 (discipline))

1. Landscape ◆ multilingualism x model

Figure 22. Percentage of OA diamond and APC-based journals using one language or two or more languages. Source: DOAJ

Figure 23. Percentage of OA diamond journals that report publishing in one language or two or more languages. Source: Survey (Q18)

1. Landscape ◆ indexing (survey)

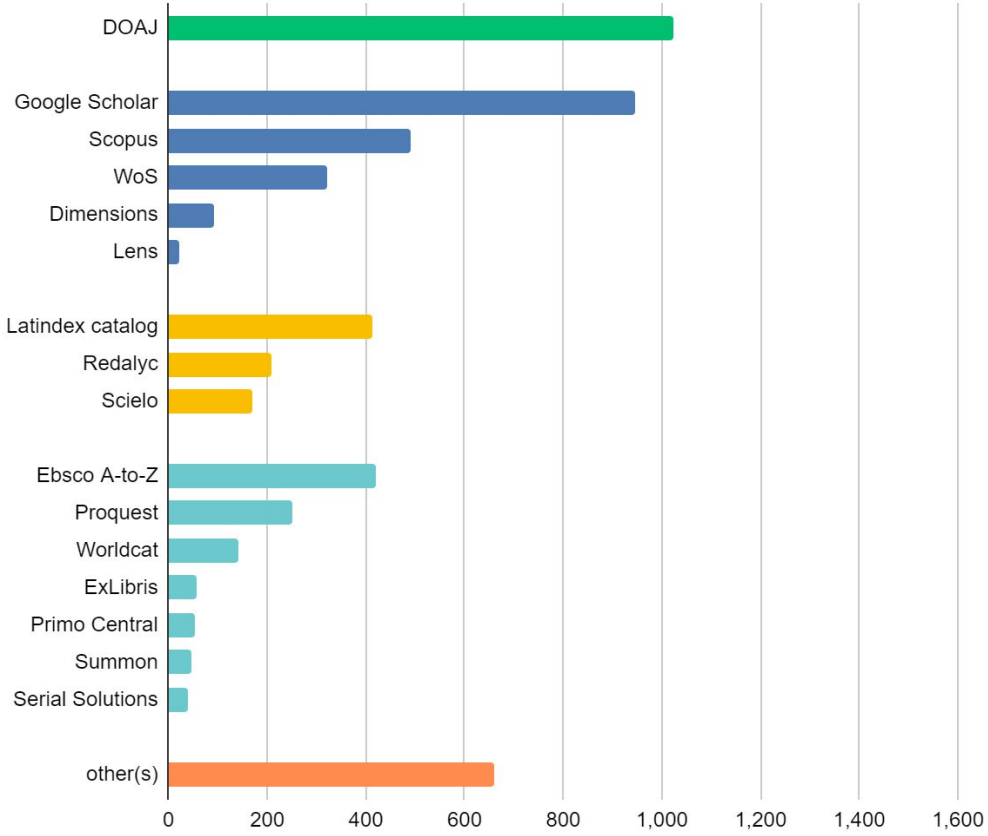


Figure 24. Databases that index their OA diamond journal, as reported by respondents: DOAJ (green), multidisciplinary bibliographic databases (blue), regional databases (yellow), library systems, including discovery systems (light blue), others (orange).

Source: Survey (Q81, n=1,359)

1. Landscape ◆ journal development (survey)

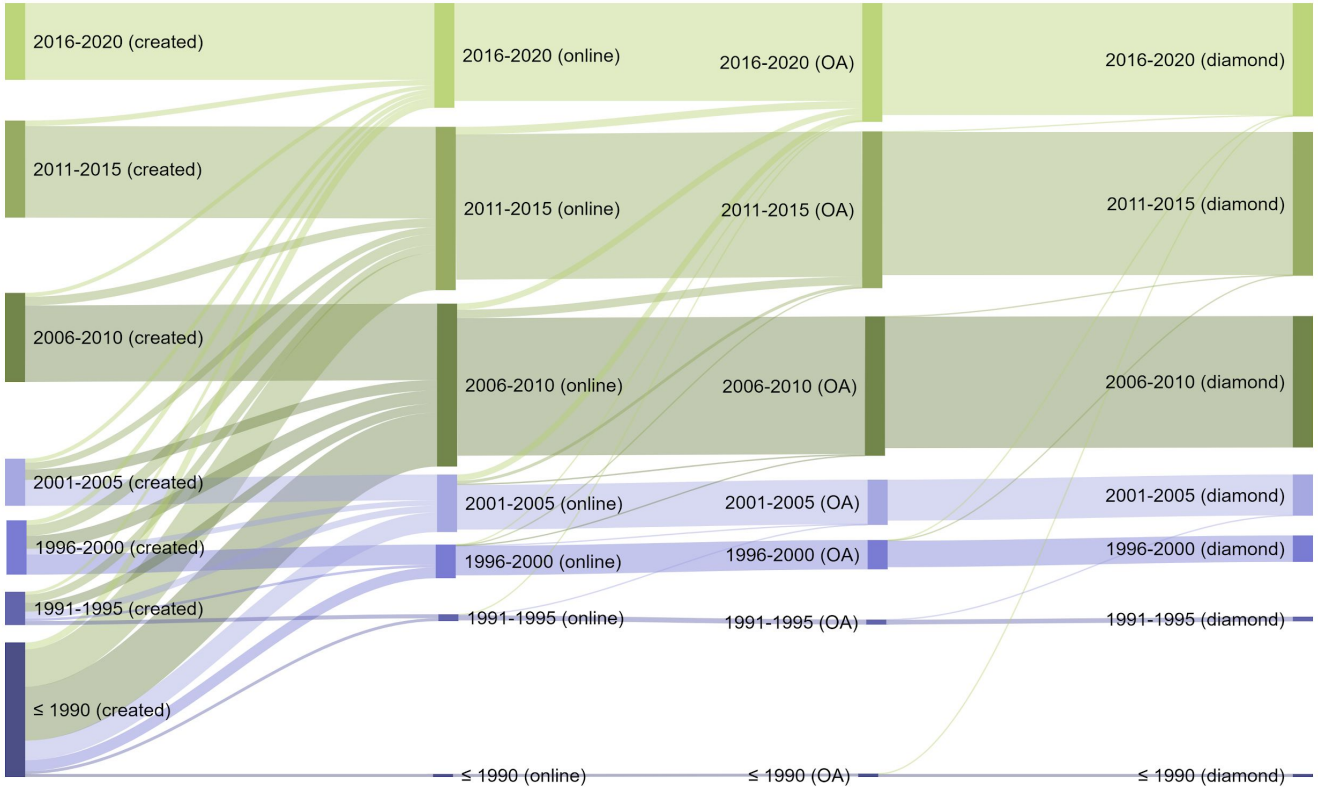


Figure 25. Years journals were created, made available online, made available open access, and made available as OA diamond. NB Data points that appear to go backwards in time have been omitted (e.g. OA diamond date preceding OA date). Source: Survey (Q30, Q31, Q32 and Q33, n=1,550)

1. Landscape ◆ size development x size

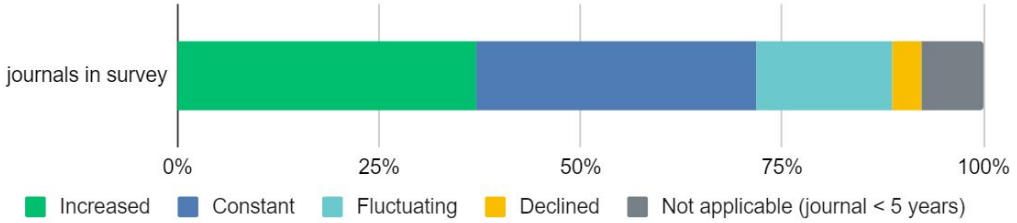


Figure 26. Journals by development of number of articles over the last five years. Source: Survey (Q38, n=1,463)

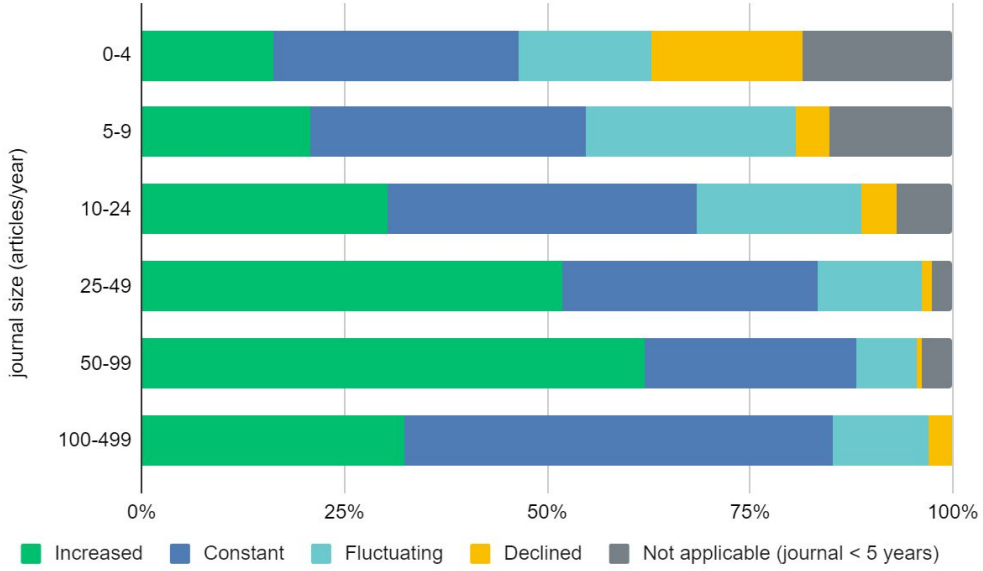


Figure 27. Journals by development of number of articles over the last five years and by journal size group. Source: Survey (Q38, n=1,463)

1. Landscape ◆ size development x discipline

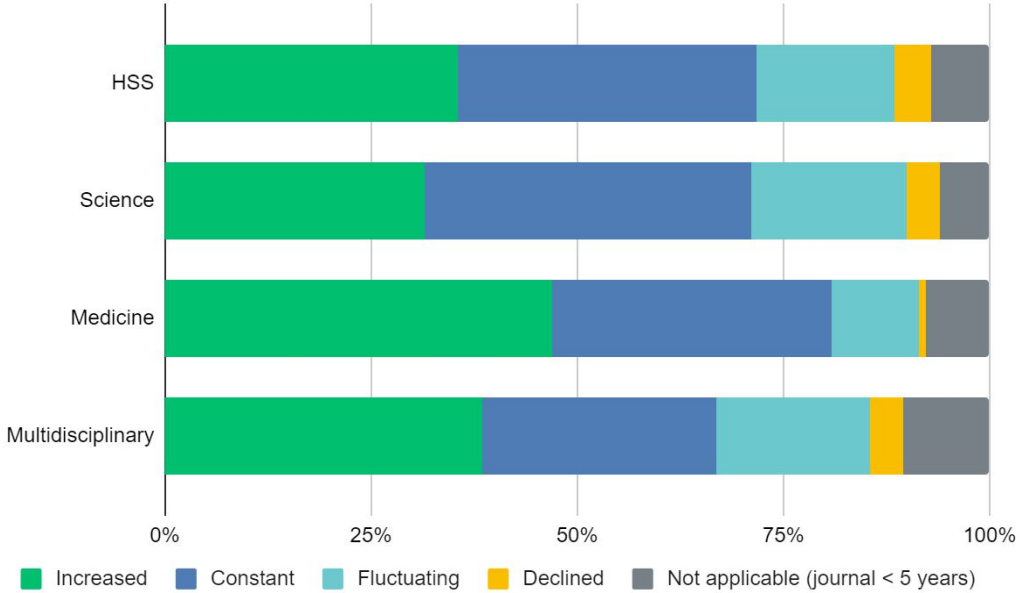


Figure 28. Journals by development of number of articles over the last five years and by disciplines. Source: Survey (Q38, n=1,463)

2. Compliance ◆ main take aways

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

1 Only 37% comply with over half of the criteria

2 Compliance overall is lower than that of APC-based journals

3 Bigger journals seem to have better compliance

4 Some 37% use a CC-BY licence

5 Some 49% embed machine readable licenses

6 Some 40% use a standard archiving system

7 Less than 25% provide XML/HTML formatted articles

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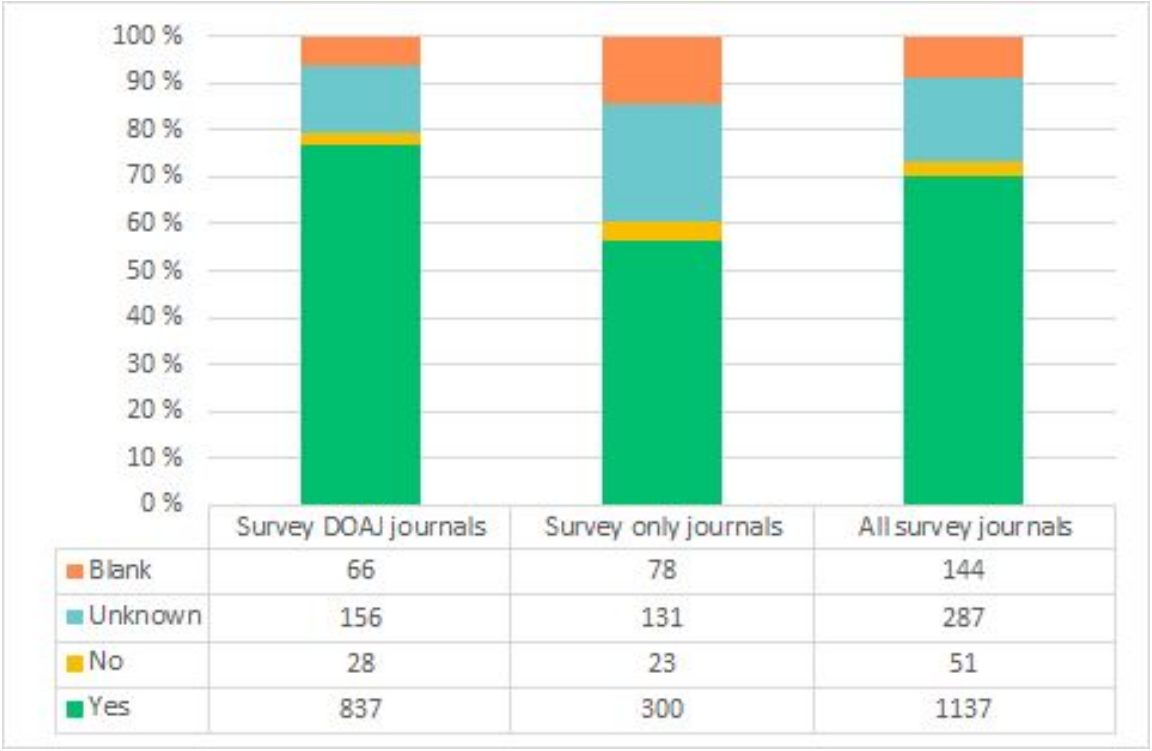
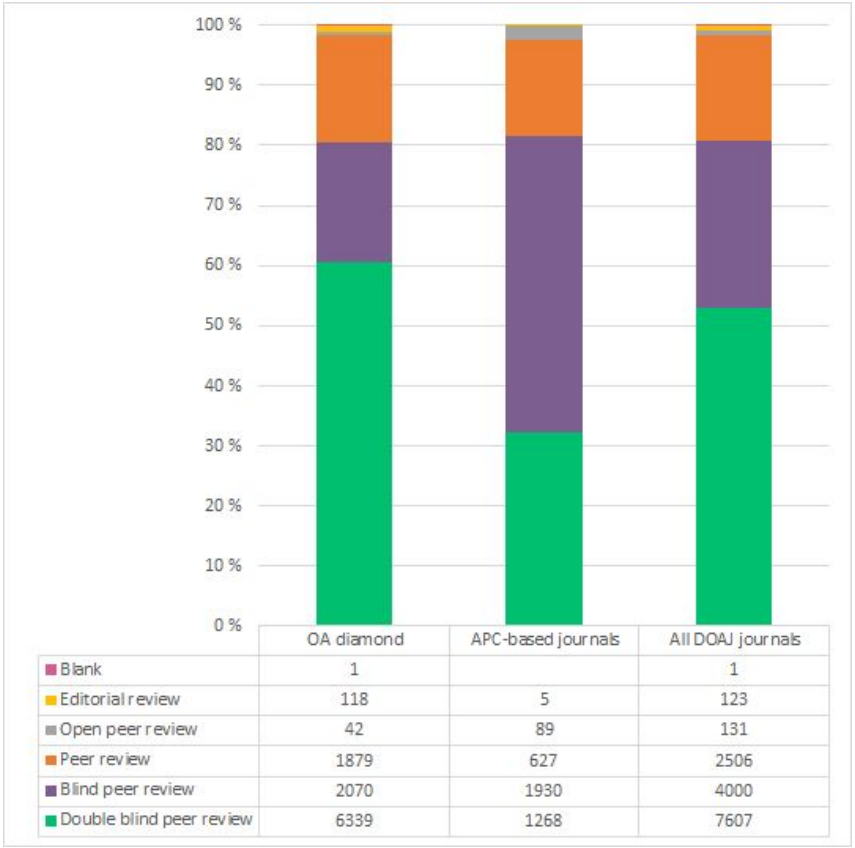
2. Compliance ◆ COPE compliance



	Survey DOAJ journals	Survey only journals	All survey journals
Blank	66	78	144
Unknown	156	131	287
No	28	23	51
Yes	837	300	1137

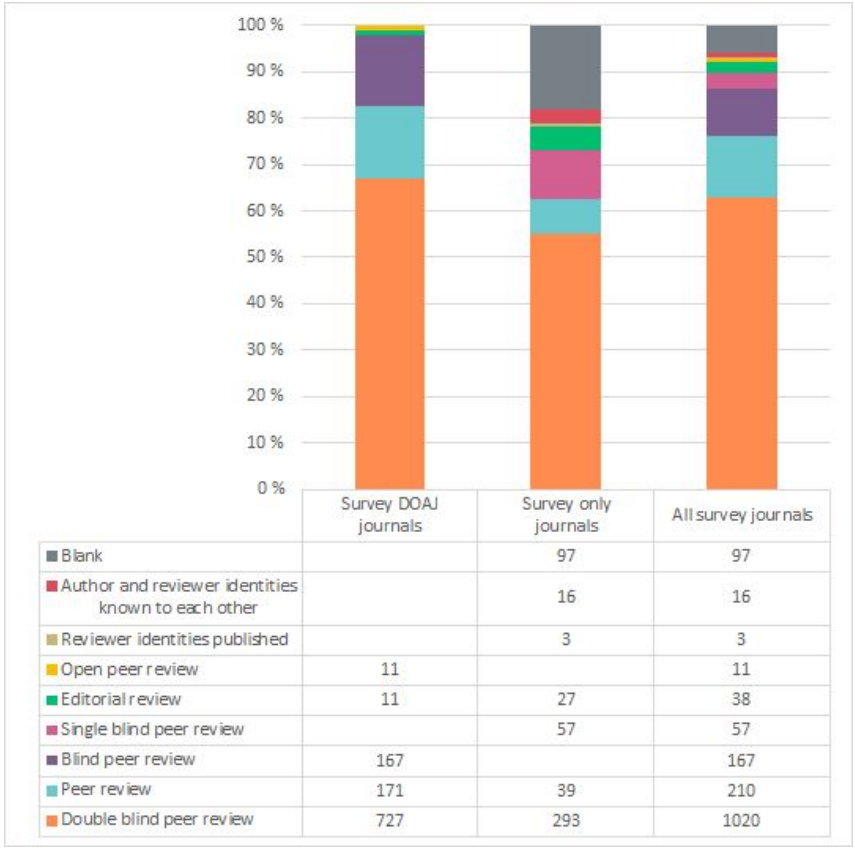
Figure 1. Q52 Compliance with COPE principles

2. Compliance ◆ review types x model



	OA diamond	APC-based journals	All DOAJ journals
Blank	1		1
Editorial review	118	5	123
Open peer review	42	89	131
Peer review	1879	627	2506
Blind peer review	2070	1930	4000
Double blind peer review	6339	1268	7607

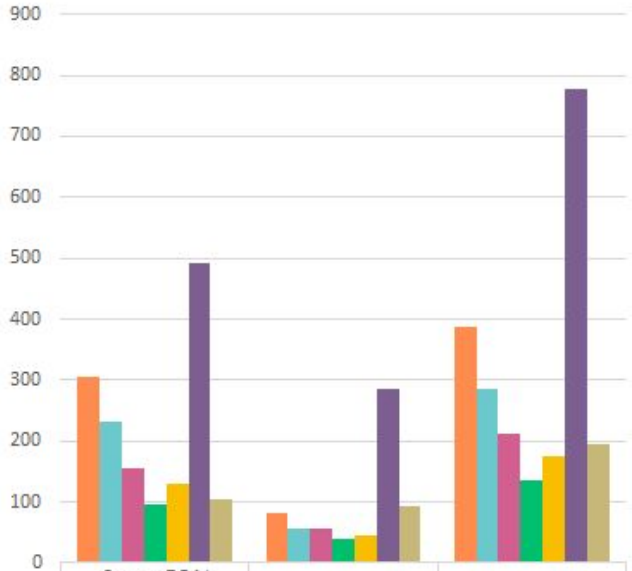
Figure 2. Review types used by journal group in DOAJ



	Survey DOAJ journals	Survey only journals	All survey journals
Blank		97	97
Author and reviewer identities known to each other		16	16
Reviewer identities published		3	3
Open peer review	11		11
Editorial review	11	27	38
Single blind peer review		57	57
Blind peer review	167		167
Peer review	171	39	210
Double blind peer review	727	293	1020

Figure 3. Review forms used by survey journals organised by those in DOAJ and those not

2. Compliance ◆ reporting statistics



	Survey DOAJ journals	Survey only journals	All survey journals
The average time between submission and publication	306	82	388
The approval rate	231	55	286
Other	156	55	211
The number of reviews requested	96	39	135
The number of reviews received	129	46	175
None of them	492	285	777
Blank	104	92	196

Figure 4. Basic statistics published on editorial management related to submission and rejection

2. Compliance ◆ reporting statistics

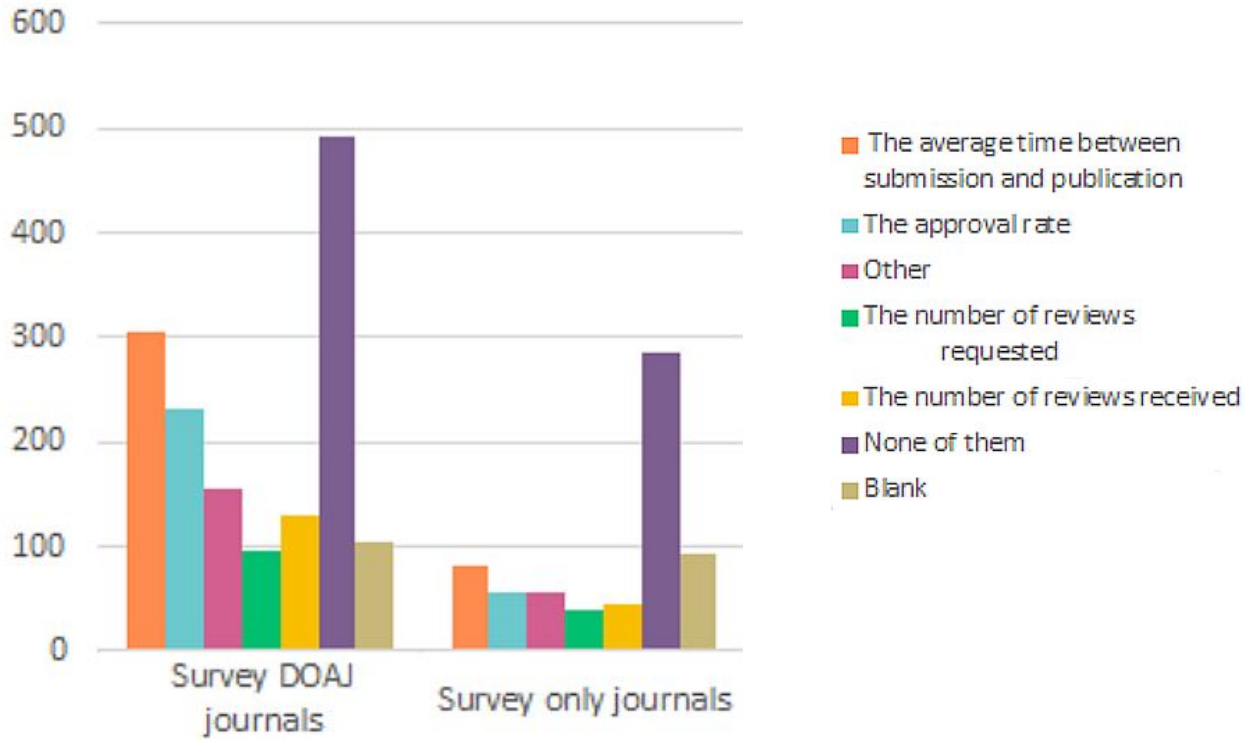
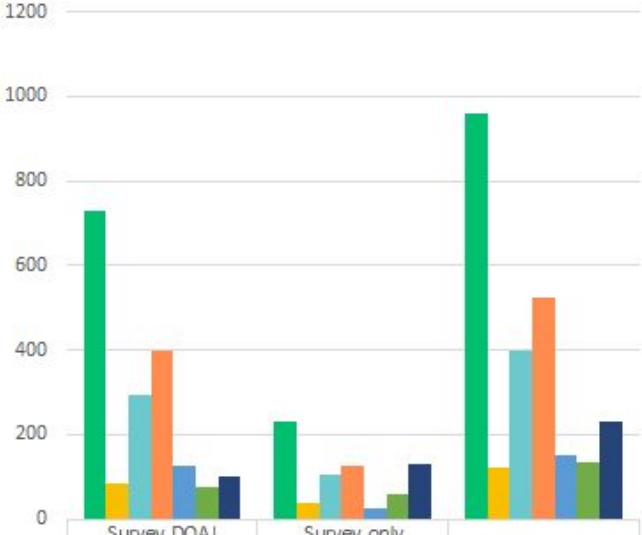


Figure 4. Basic statistics published on editorial management related to submission and rejection

2. Compliance ◆ PIDs x model

	OA diamond	APC-based	All DOAJ journals
None	4,675	577	5,252
URN	14		14
Handle	58	7	65
DOI	5,702	3,335	9,037

Figure 5. Use of article identifiers by journal category in DOAJ



	Survey DOAJ journals	Survey only journals	All survey journals
Crossref DOIs	730	230	960
Datacite DOIs	86	38	124
Other DOIs	293	107	400
ORCID	399	125	524
Grant ID	126	26	152
Other, please specify	76	59	135
Blanks	102	129	231

Figure 6. Use of article identifiers by journal category in the survey

2. Compliance ◆ PIDs x model

	OA diamond	APC-based	All DOAJ journals
None	4,675	577	5,252
URN	14		14
Handle	58	7	65
DOI	5,702	3,335	9,037

Figure 5. Use of article identifiers by journal category in DOAJ

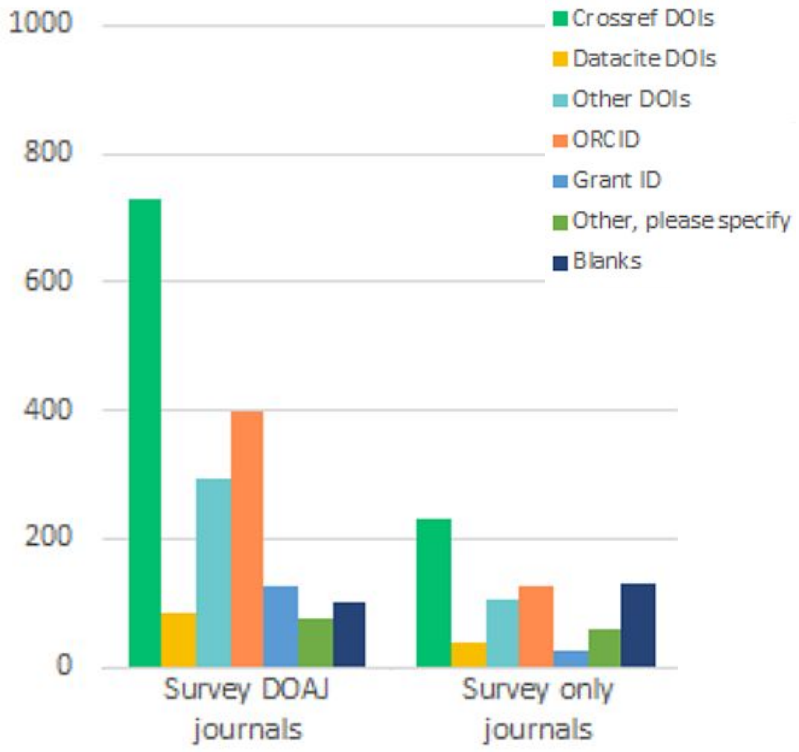
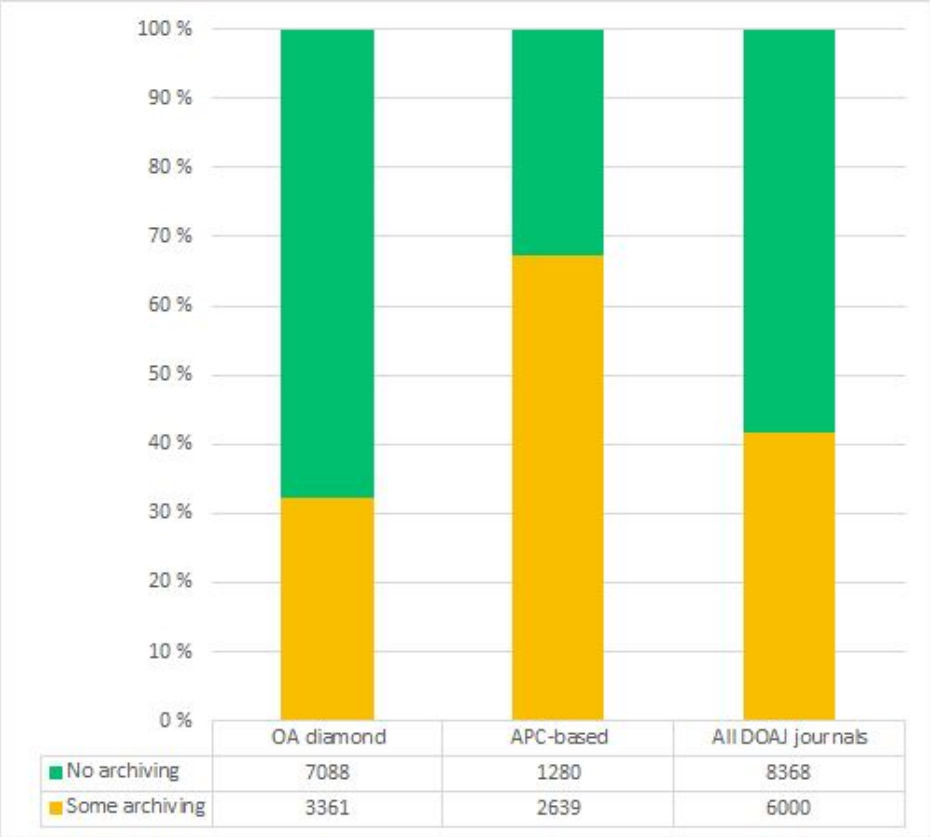


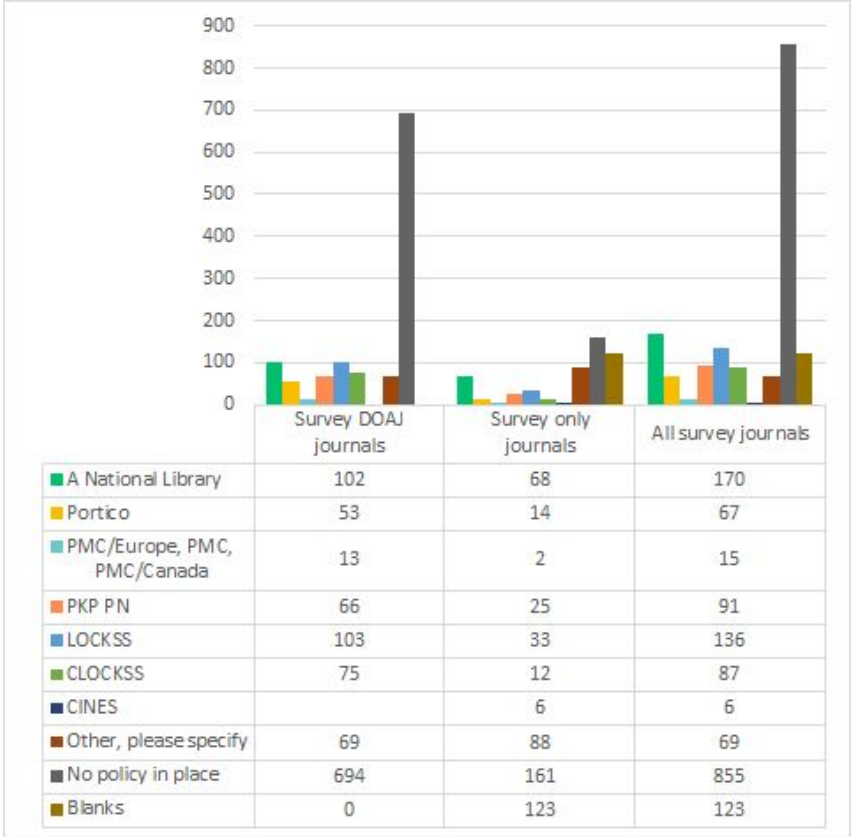
Figure 6. Use of article identifiers by journal category in the survey

2. Compliance ◆ archiving x model



	OA diamond	APC-based	All DOAJ journals
No archiving	7088	1280	8368
Some archiving	3361	2639	6000

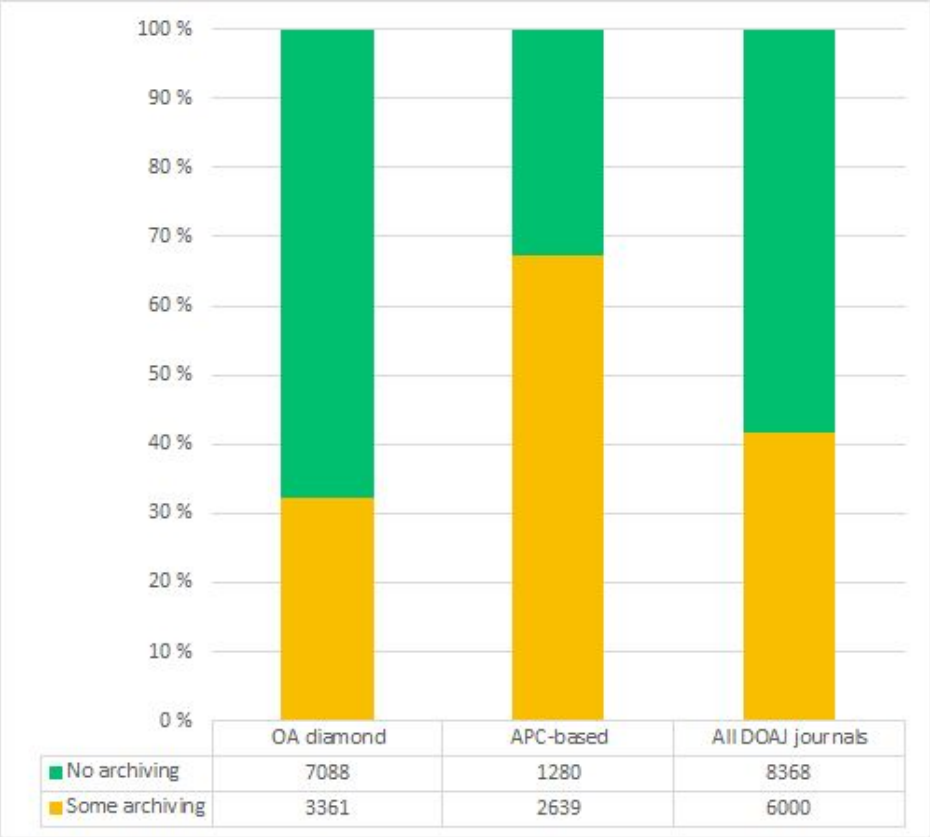
Figure 7. Archiving in place by journal category in DOAJ



	Survey DOAJ journals	Survey only journals	All survey journals
A National Library	102	68	170
Portico	53	14	67
PMC/Europe, PMC, PMC/Canada	13	2	15
PKP PN	66	25	91
LOCKSS	103	33	136
CLOCKSS	75	12	87
CINES		6	6
Other, please specify	69	88	69
No policy in place	694	161	855
Blanks	0	123	123

Figure 8. Archiving solution by journal category in survey

2. Compliance ◆ archiving x model



	OA diamond	APC-based	All DOAJ journals
No archiving	7088	1280	8368
Some archiving	3361	2639	6000

Figure 7. Archiving in place by journal category in DOAJ

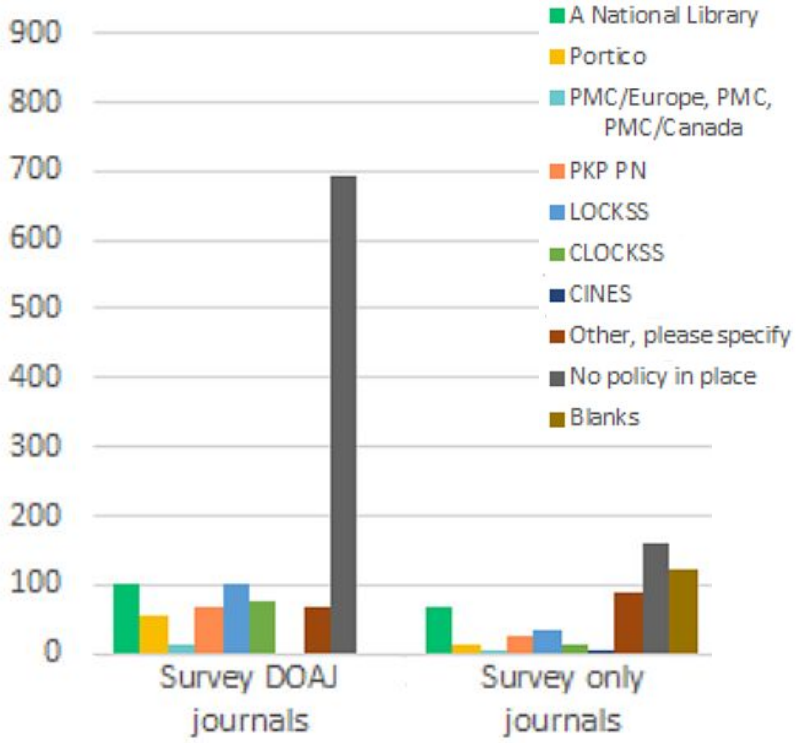


Figure 8. Archiving solution by journal category in survey

2. Compliance ◆ article metadata in DOAJ

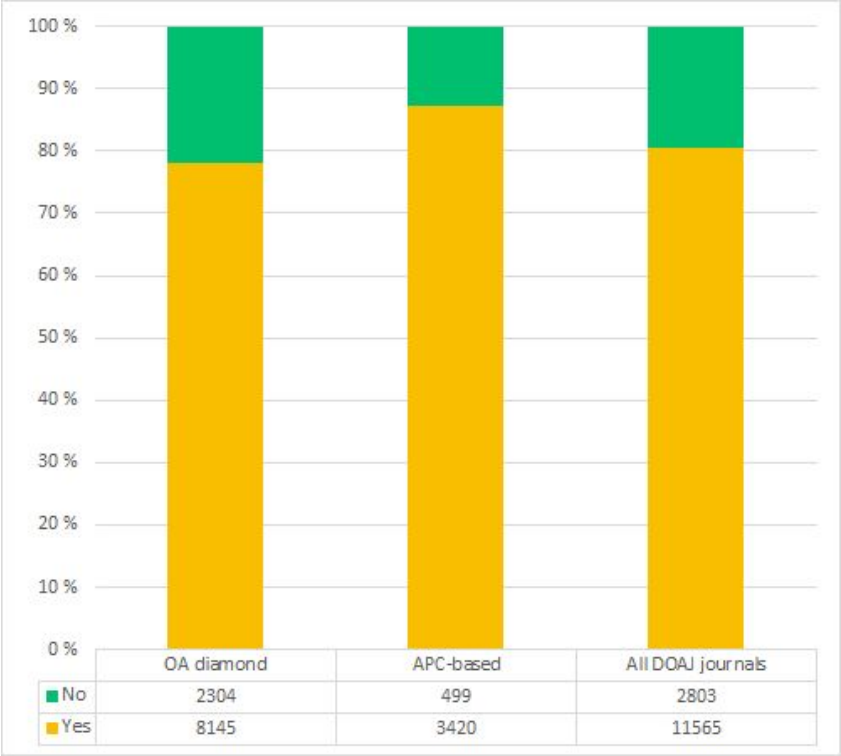


Figure 9. Article level metadata deposit in DOAJ by journal category

2. Compliance ◆ self-archiving policies in Sherpa

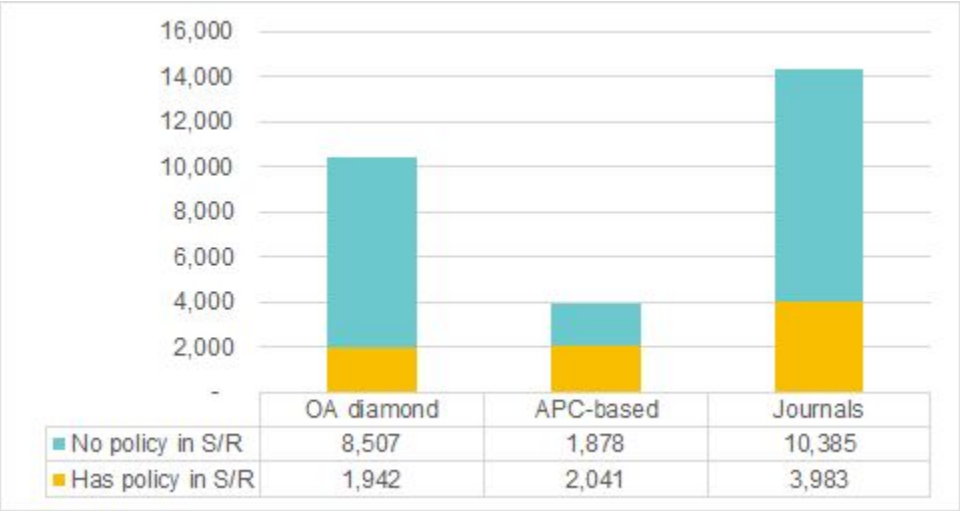


Figure 10. Self-archiving policy in Sherpa Romeo by journal category

2. Compliance ◆ JATS XML deposit

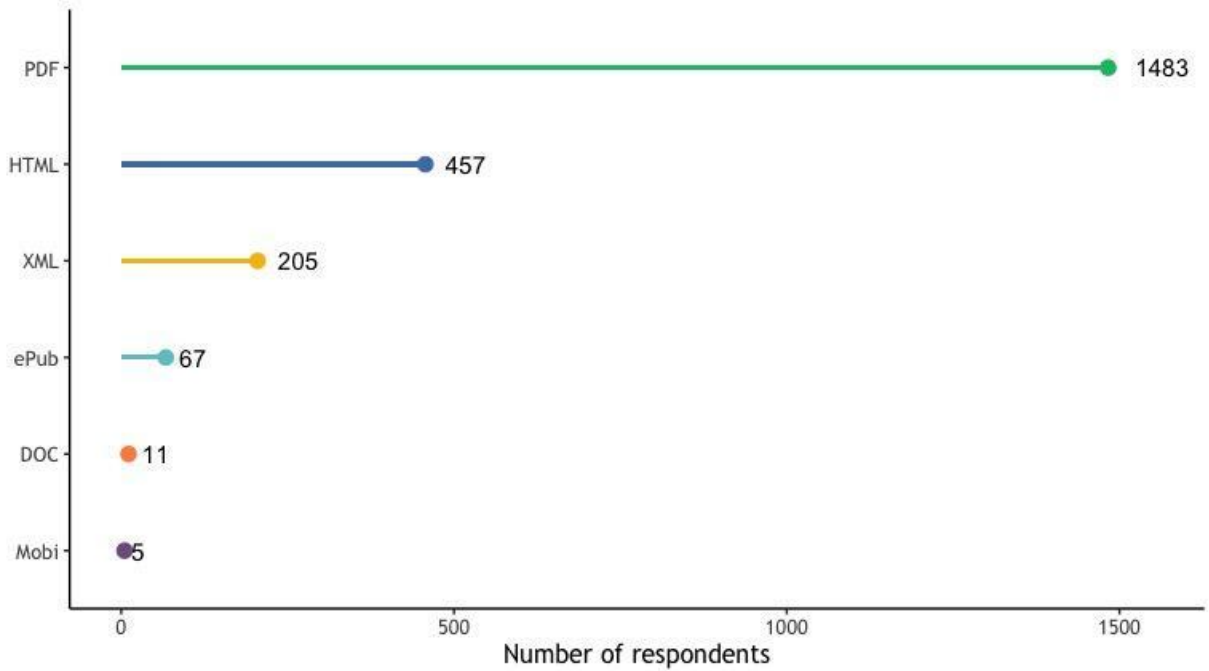


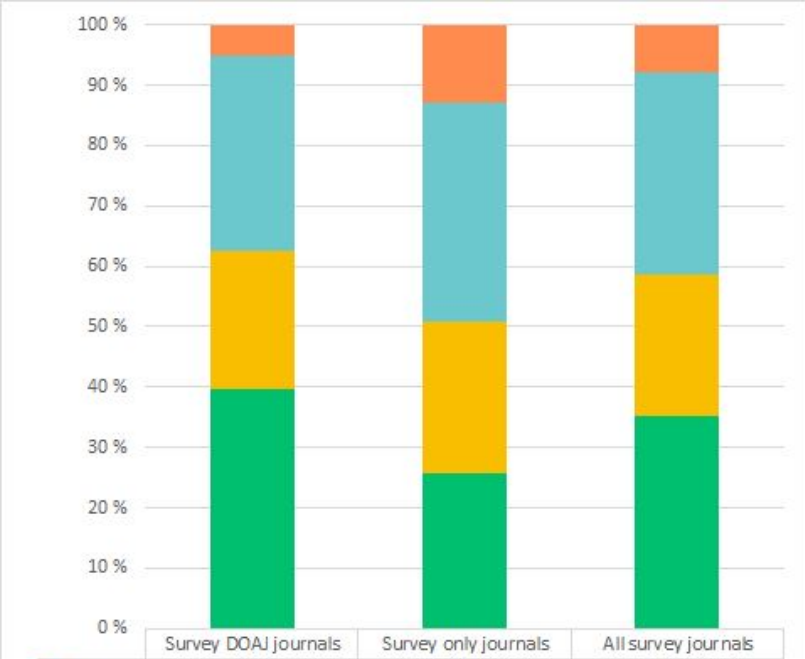
Figure 16. Formats used by the respondents (one respondent can use several formats)

2. Compliance ◆ JATS XML deposit

HTML or XML	OA diamond	APC-based	Total
No	7,835	1,434	9,269
Yes	2,614	2,485	5,099
Total	10,449	3,919	14,368
Percentage of journals that offer this format	25.0 %	63.4 %	35.6 %

Table 4. HTML or XML as full-text format by DOAJ journal category

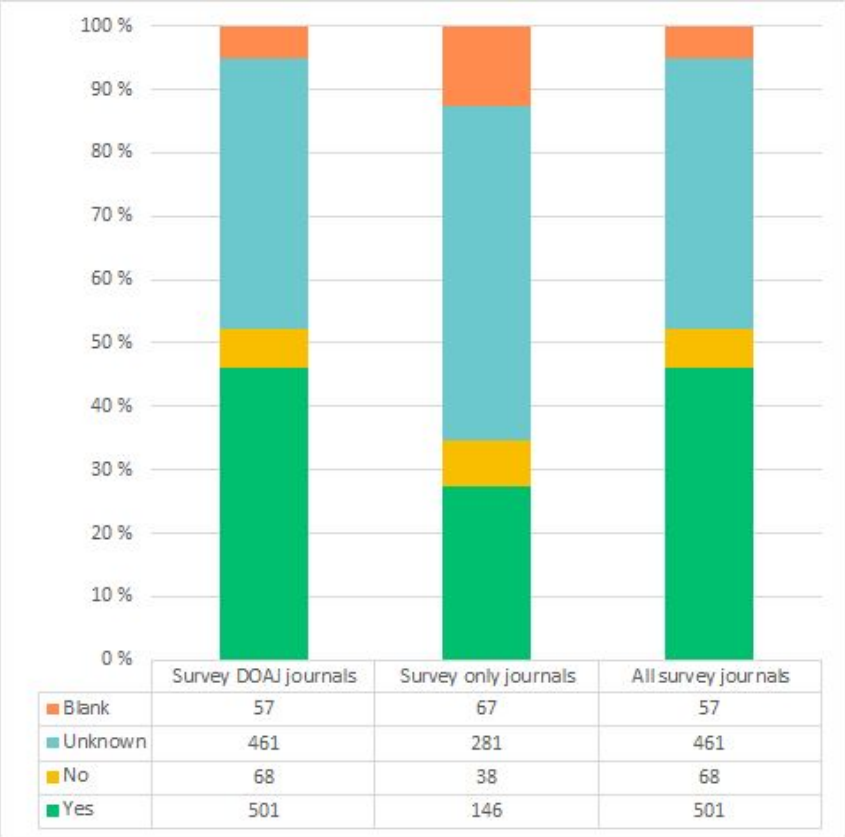
2. Compliance ◆ JATS XML deposit



	Survey DOAJ journals	Survey only journals	All survey journals
Blank	57	69	126
Unknown	349	193	542
No	250	133	383
Yes	431	137	568

Figure 11. JATS XML automatic deposit by journal type in survey

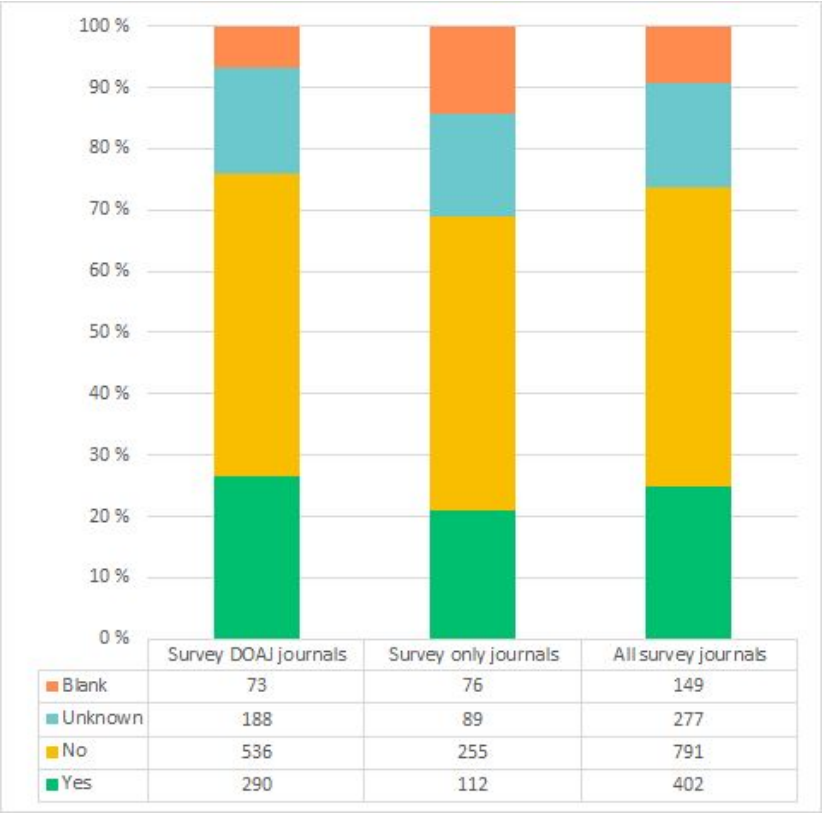
2. Compliance ◆ OpenAIRE compliant metadata



	Survey DOAJ journals	Survey only journals	All survey journals
Blank	57	67	57
Unknown	461	281	461
No	68	38	68
Yes	501	146	501

Figure 12. OpenAIRE metadata standards compliance by survey journal category

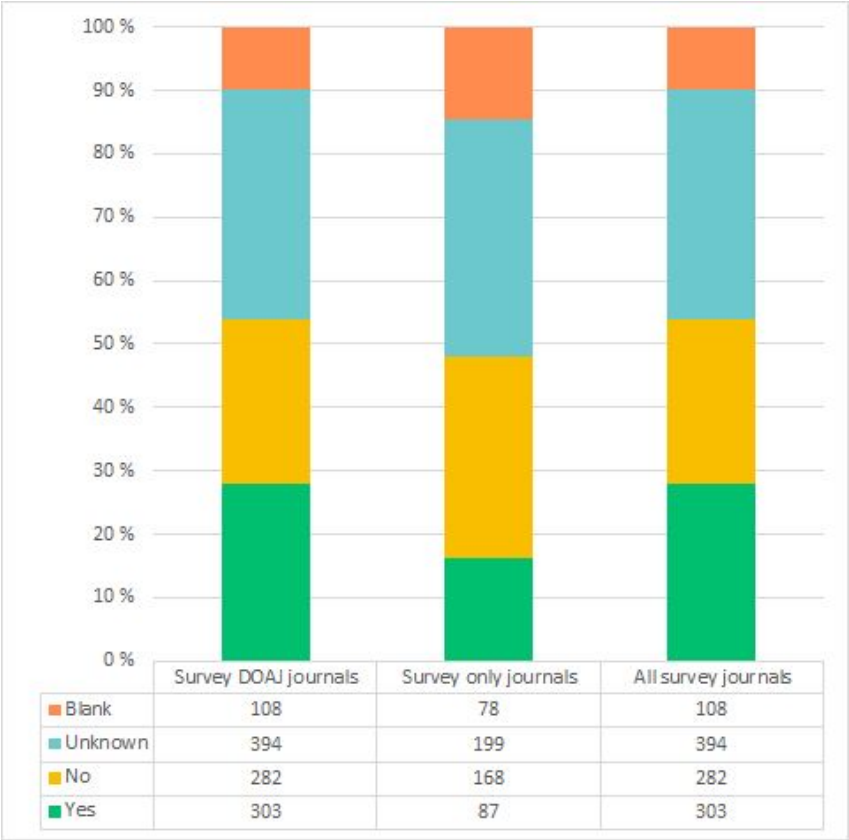
2. Compliance ◆ data linking requirement



	Survey DOAJ journals	Survey only journals	All survey journals
Blank	73	76	149
Unknown	188	89	277
No	536	255	791
Yes	290	112	402

Figure 13. Journal requirements on linking to data etc. by survey journal category

2. Compliance ◆ open citation data supply



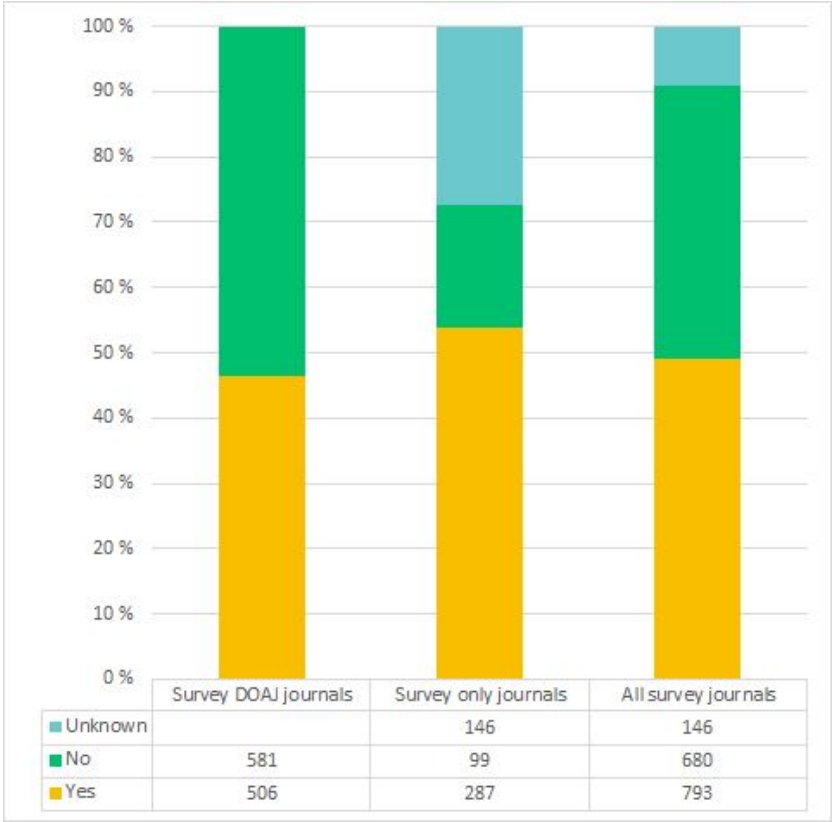
	Survey DOAJ journals	Survey only journals	All survey journals
Blank	108	78	108
Unknown	394	199	394
No	282	168	282
Yes	303	87	303

Figure 14. Citations made available according to I4OC standards by survey journal category

2. Compliance ◆ embedded licenses

	OA diamond	APC-based	All DOAJ journals
No	5916	1033	6949
Yes	4533	2886	7419

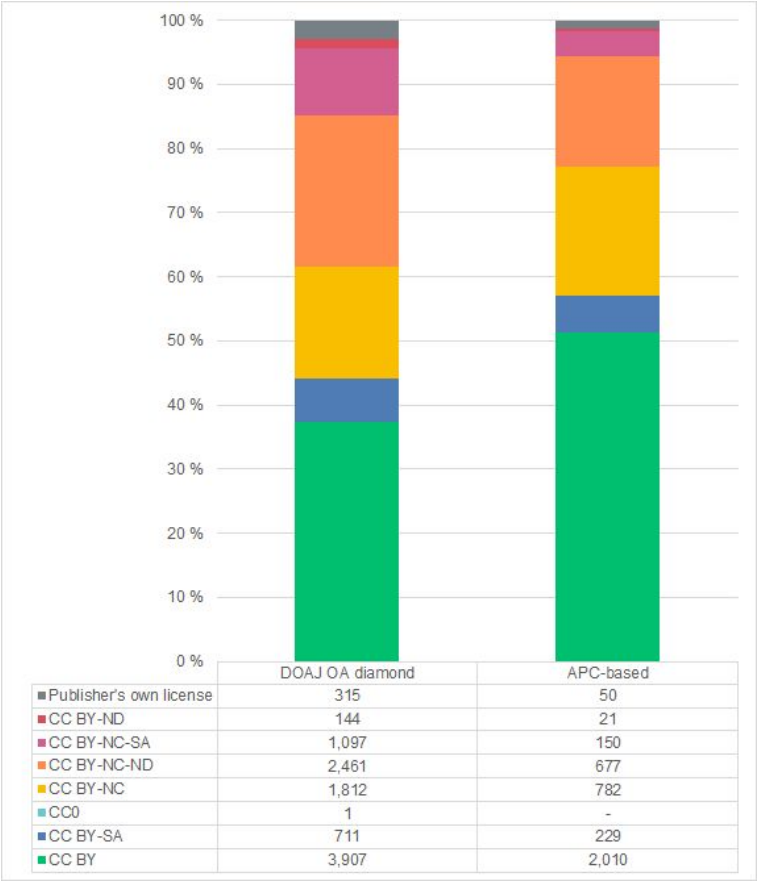
Figure 15. Embedded license by journal category in DOAJ



	Survey DOAJ journals	Survey only journals	All survey journals
Unknown		146	146
No	581	99	680
Yes	506	287	793

Figure 16. Embedded license by survey journal category

2. Compliance ◆ license types



	DOAJ OA diamond	APC-based
Publisher's own license	315	50
CC BY-ND	144	21
CC BY-NC-SA	1,097	150
CC BY-NC-ND	2,461	677
CC BY-NC	1,812	782
CC0	1	-
CC BY-SA	711	229
CC BY	3,907	2,010

Figure 17. License type by journal category in DOAJ

License	Number of journals	Percentage
CC0	12	0.9 %
CC BY	563	41.7 %
CC BY-SA	87	6.4 %
CC BY-NC	189	14.0 %
CC BY-NC-SA	116	8.6 %
CC BY-ND	29	2.1 %
CC BY-NC-ND	367	27.2 %
Total	1350/1363	106.5 %

Table 8. Survey journals applying Creative Commons licenses

2. Compliance ◆ copyright retention

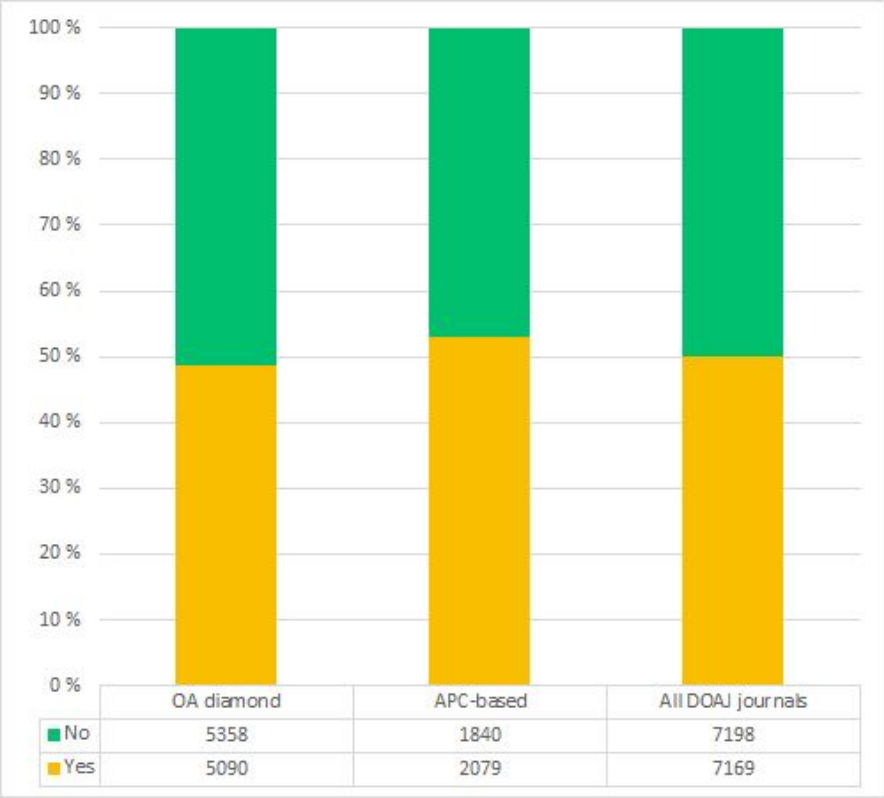


Figure 18. Author copyright retention policy by journal category in DOAJ

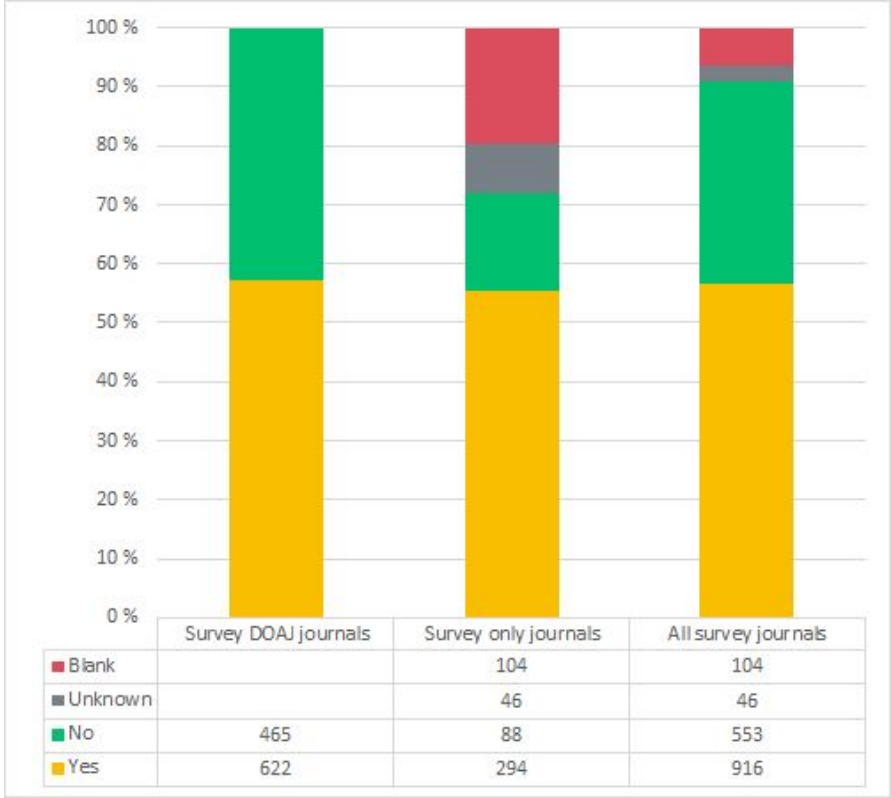


Figure 19. Survey journals that allow authors to retain copyright without restrictions by journal group

2. Compliance ◆ Plan S compliance summary

	OA diamond		APC-based		Total	
Requirement	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

2. Compliance ◆ compliance x size

In general, smaller journals score lower on these criteria than larger ones, OA diamond lower than APC-based, university-based lower than journals with professional publishers, and HSS journals lower than science and medicine journals. Structurally, the smaller journals tend to be more OA diamond, university-based and in HSS, so it is basically the same factors manifesting themselves in various ways.

Size has to do with the possibility and operational need to gain competence: the larger the journal, the larger the need for competence and the better the possibilities to achieve competence. APCs enable the journal to pay costs and buy competence, either by outsourcing functions or by hiring persons in the organisation. This does not mean APCs are the solution, but it indicates that funding, beyond in-kind contributions, must be considered vital to ensure strong and healthy OA diamond journals. It also points to a need for journal owners of all kinds to organise journals so that resources are pooled and competence built up collectively for a number of journals.

2. Compliance ◆ Plan S compliance summary

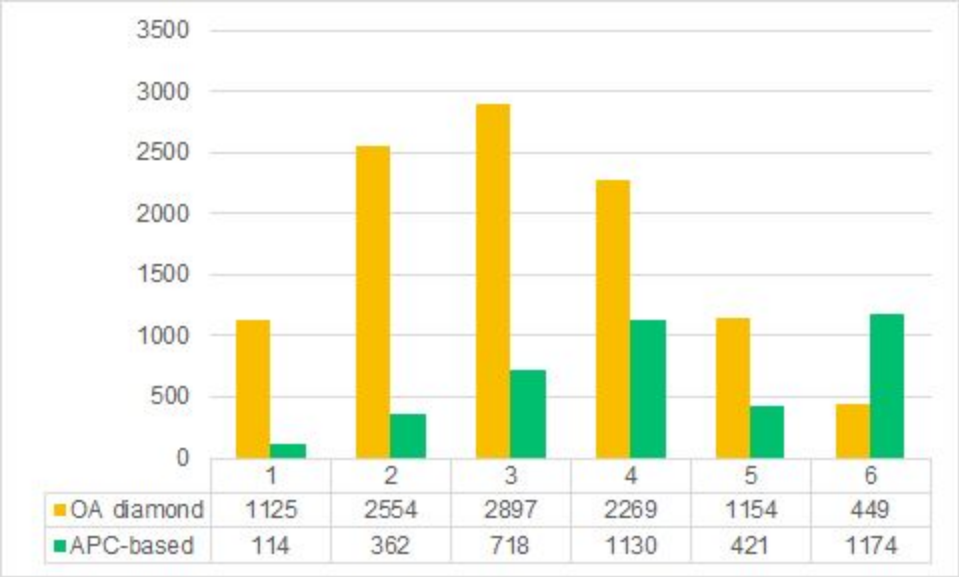


Figure 20. DOAJ journals grouped by **number of requirements** satisfied, by DOAJ journal group

Requirements checked:

License
Peer review
Author copyright
Article PID
Permanent preservation OK
Machine-readable license

3. Dynamics ◆ main takeaways

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

1. A lack of legal ownership documents
2. Lack of capacity for monitoring and reporting
3. A variety of peer review types
4. A need to professionalize peer review processes
5. Compliance with editorial quality guidelines
6. Lack of using anti-plagiarism software
7. Using standard OJS software, but run on variety of platforms
8. Indexation in main databases is their biggest challenge

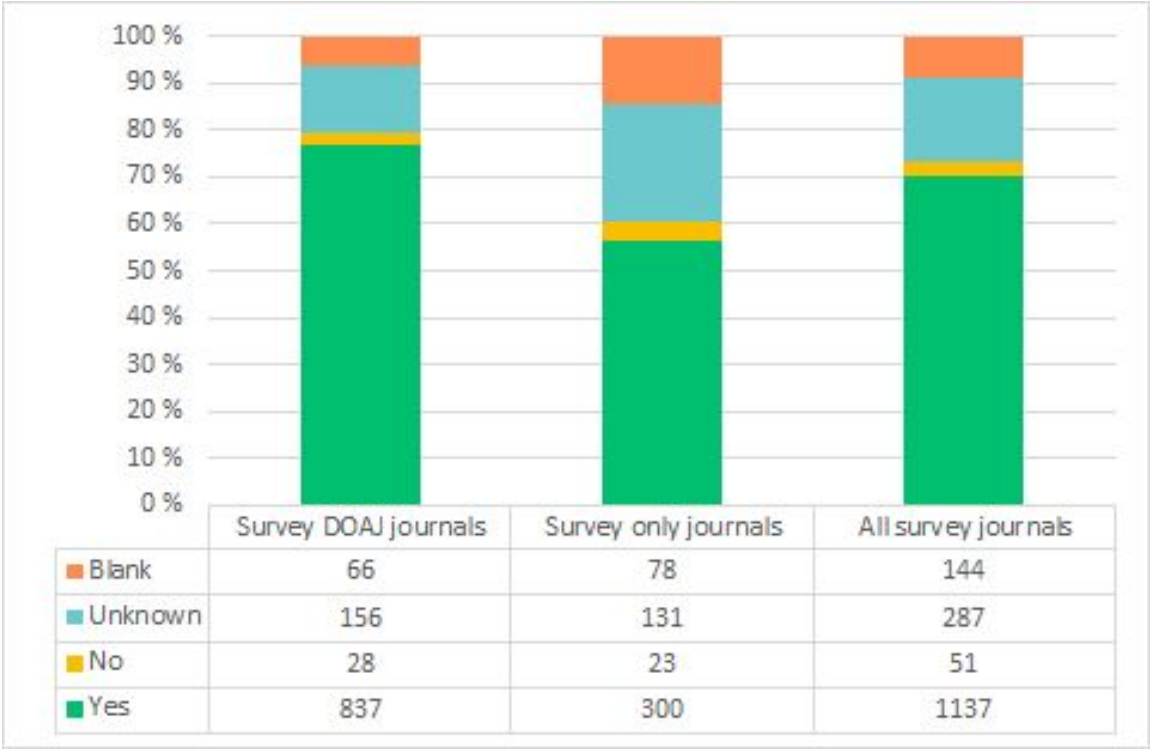
in presenting mode, the blocks above link to the respective parts of the presentation

3. Dynamics ◆ anti plagiarism software

✔ **Use of an anti-plagiarism tool.** This service is already largely used by the respondents to the survey (820 "Yes" versus 589 "No" and 70 "Unknown"). Thanks to the partnership of Crossref with Authenticate, this service is relatively inex-

pensive. Yet it adds up to the financial pressure incurred by small journals. Seven respondents have explicitly suggested that funders could provide anti-plagiarism service for free: "Supporting the use of plagiarism detection tools accessible or free of charge for open access scientific journals"; "Provide free anti-plagiarism software"; "Achieve a significant reduction or removal of the fees in dollars for (...) anti-plagiarism tools"; "Be able to pay anti-plagiarism software (now we use a borrowed one)"; "Provision of access to plagiarism detection software"; "Free plagiarism detection service"; "Paying the anti-plagiarism software on time." Nine other respondents raised the issue of the amount spent on anti-plagiarism software in other free text questions.

3. Dynamics ◆ COPE compliance



	Survey DOAJ journals	Survey only journals	All survey journals
Blank	66	78	144
Unknown	156	131	287
No	28	23	51
Yes	837	300	1137

Figure 1. Q52 Compliance with COPE principles

3. Dynamics ◆ ownership

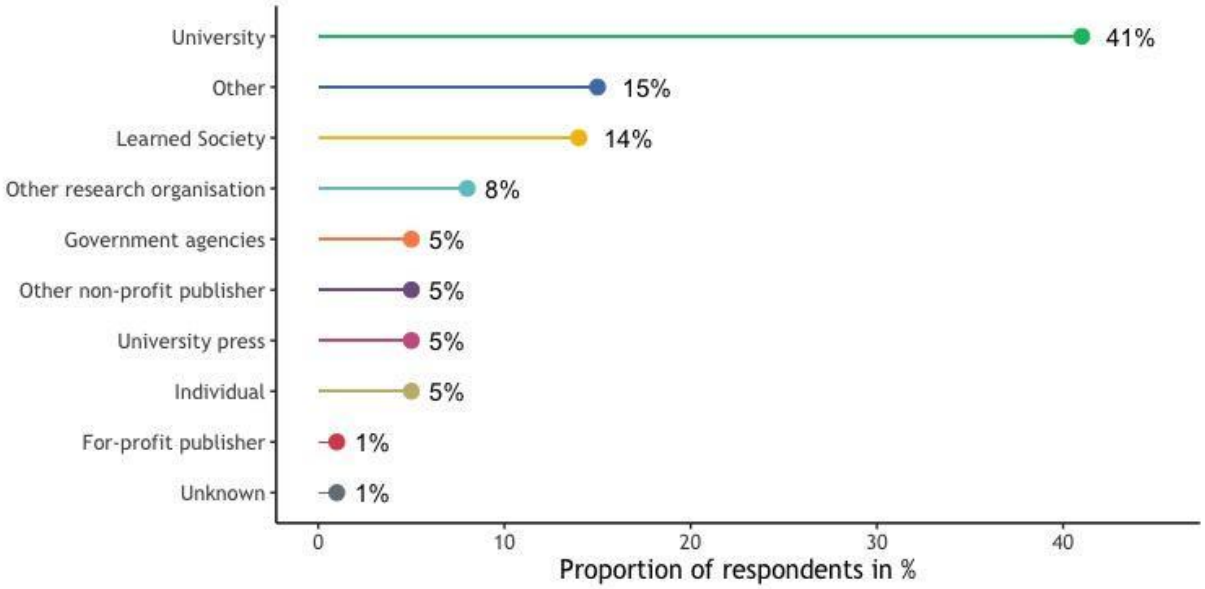


Figure 1. Who owns the journal in the survey? (Q34)

3. Dynamics ◆ ownership x resources

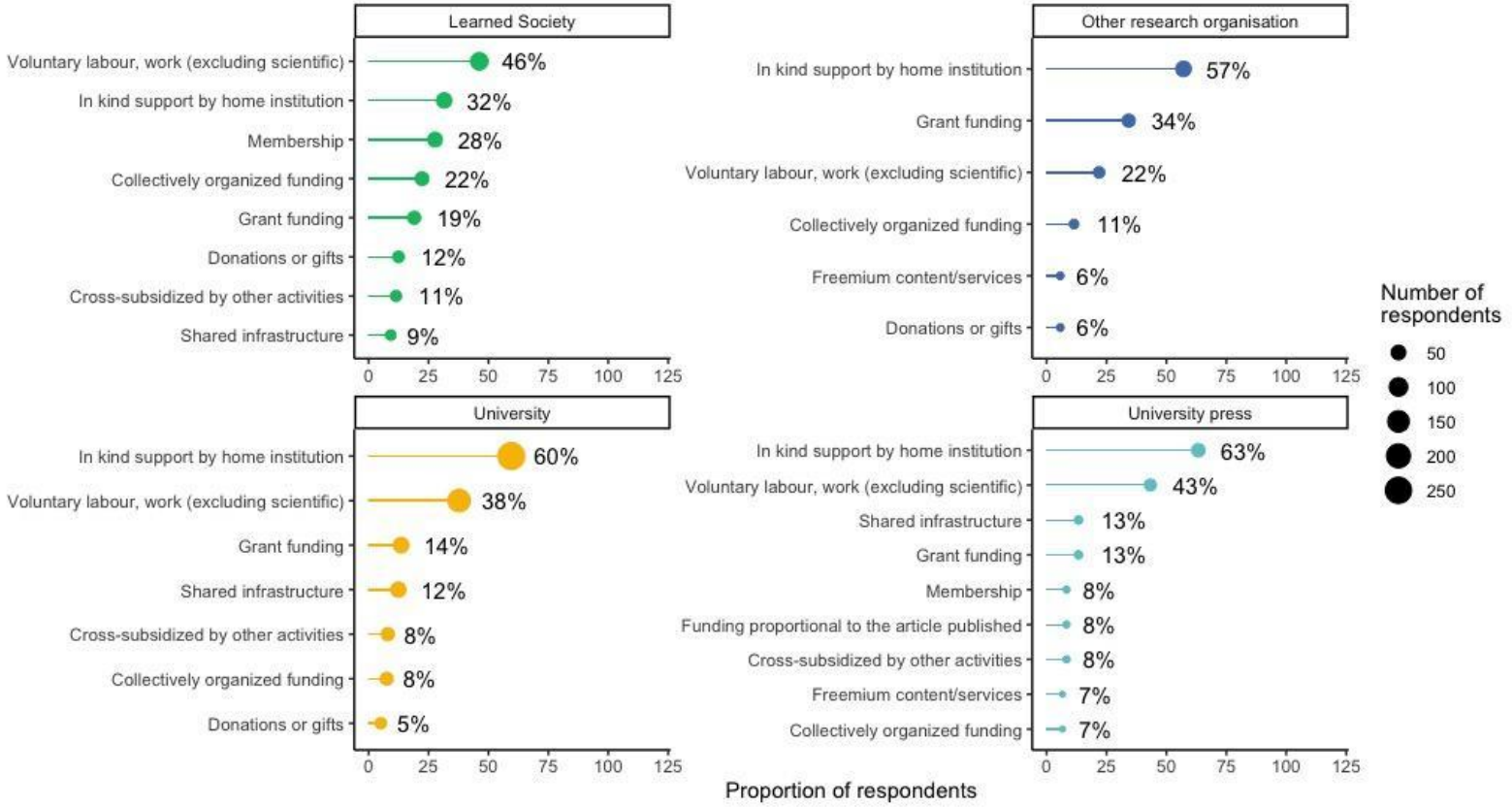


Figure 2. Relationship between ownership (Q34) and resources (Q62)

3. Dynamics ◆ legal ownership document

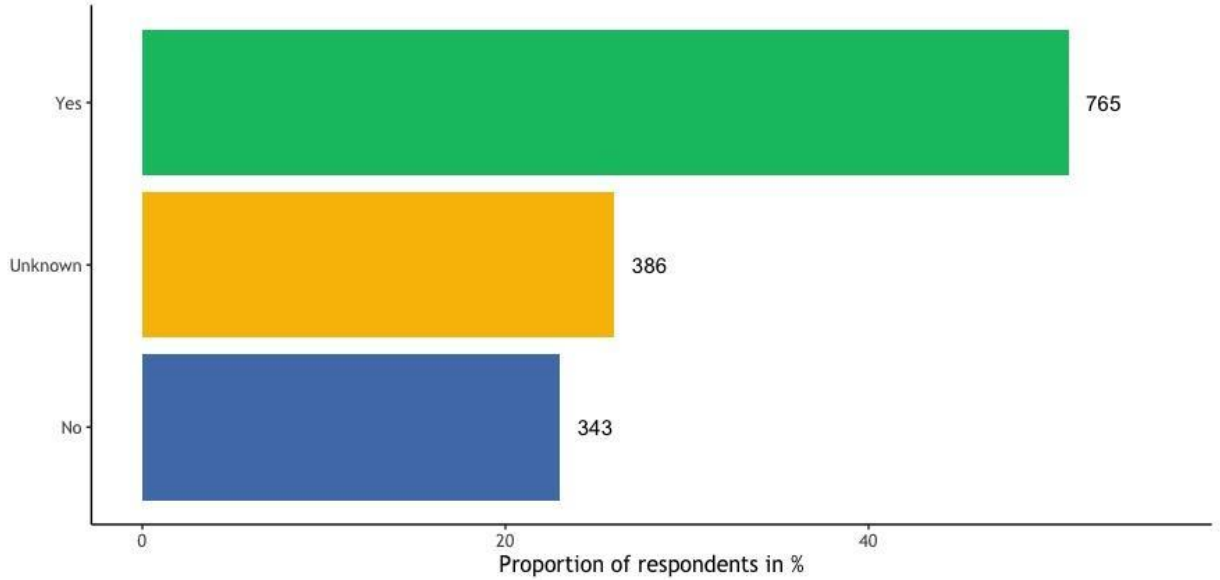


Figure 3. Is there a document establishing legal ownership? (Q35)

3. Dynamics ◆ ownership x staff/costs

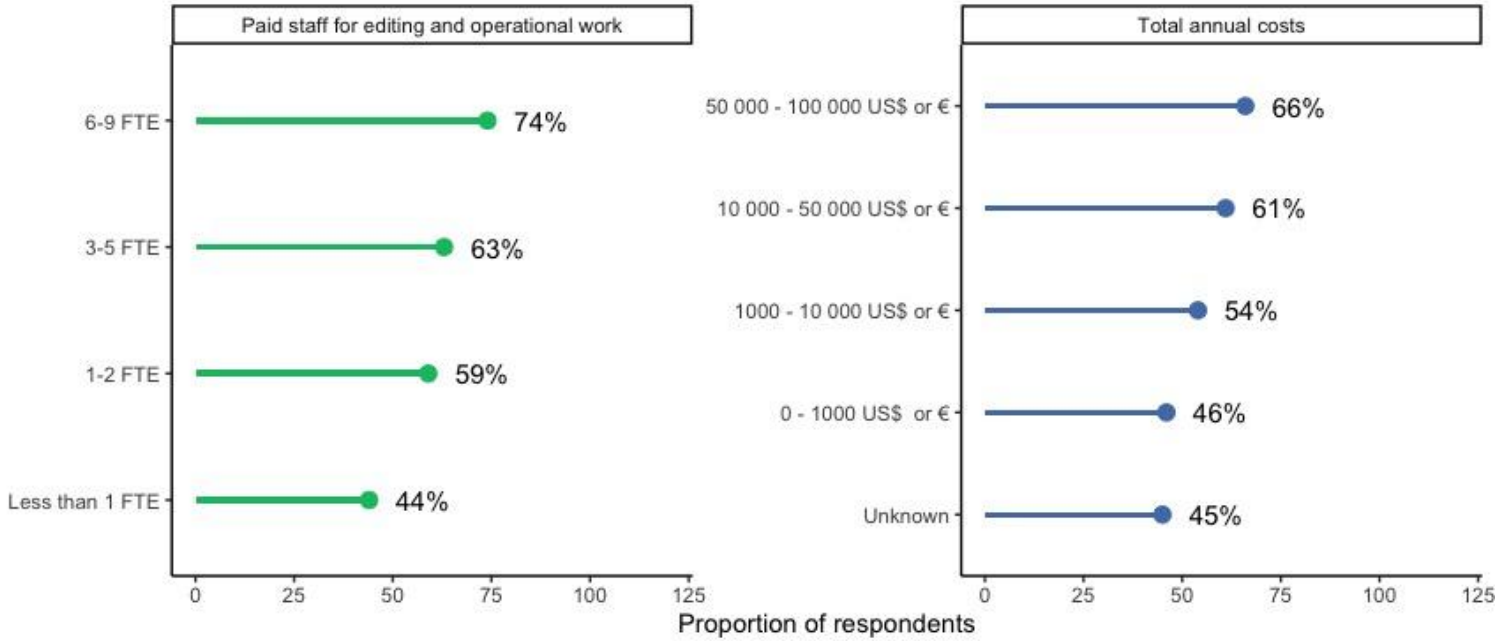


Figure 4. Share of journals with a legal document establishing ownership (Q35) per paid staff in FTEs (Q67) and per total annual costs (Q66)

3. Dynamics ◆ ownership doc x country

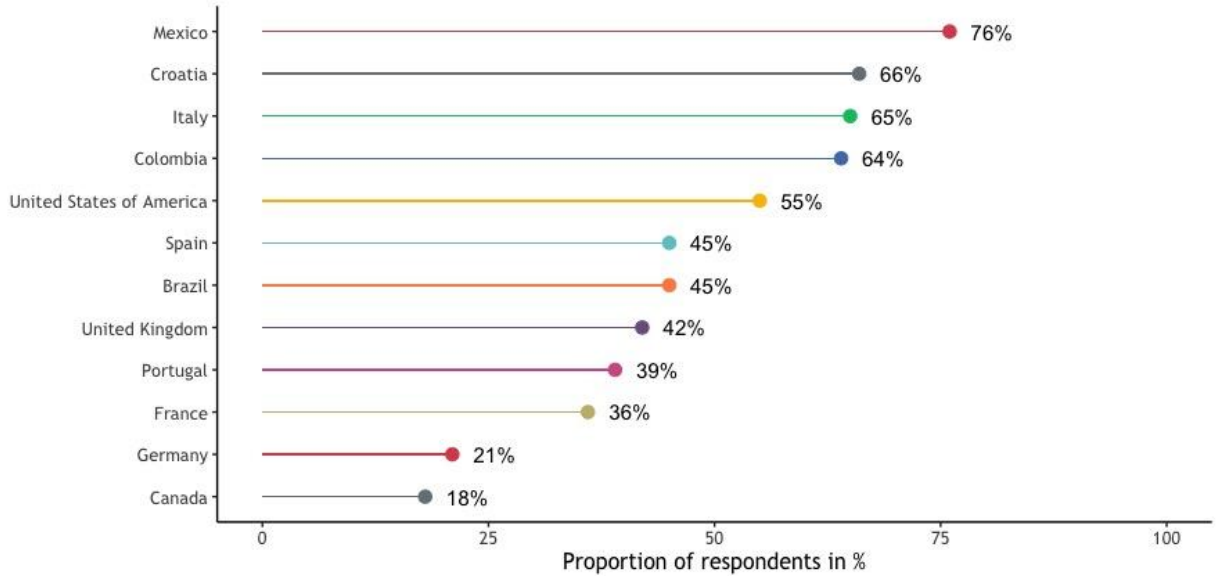


Figure 5. Share of journal with a legal document establishing ownership (Q35) per country (Q14)

3. Dynamics ◆ reporting statistics

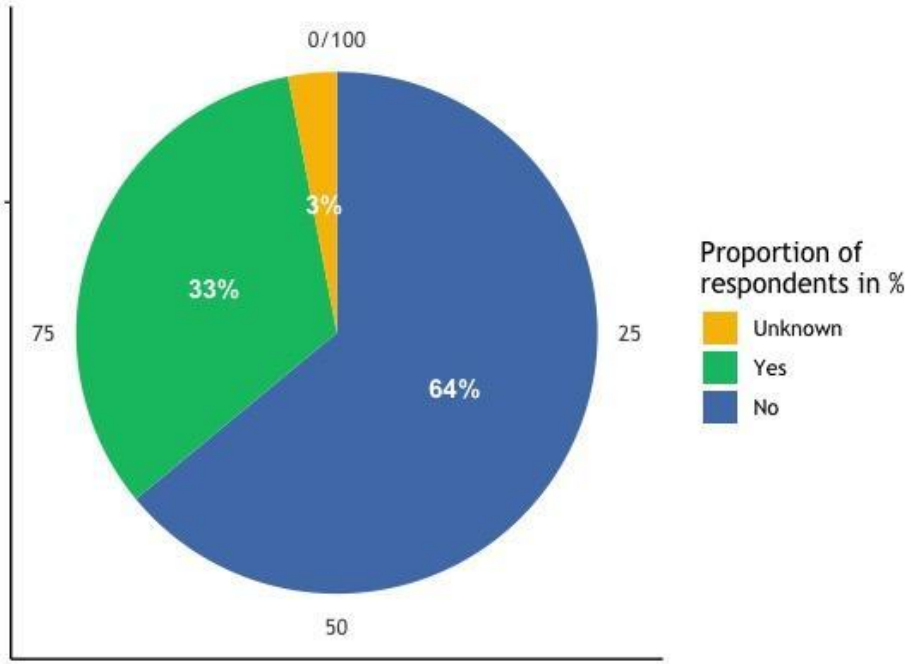


Figure 6. Does the journal provide reporting statistics? (Q29)

3. Dynamics ◆ reporting x host type

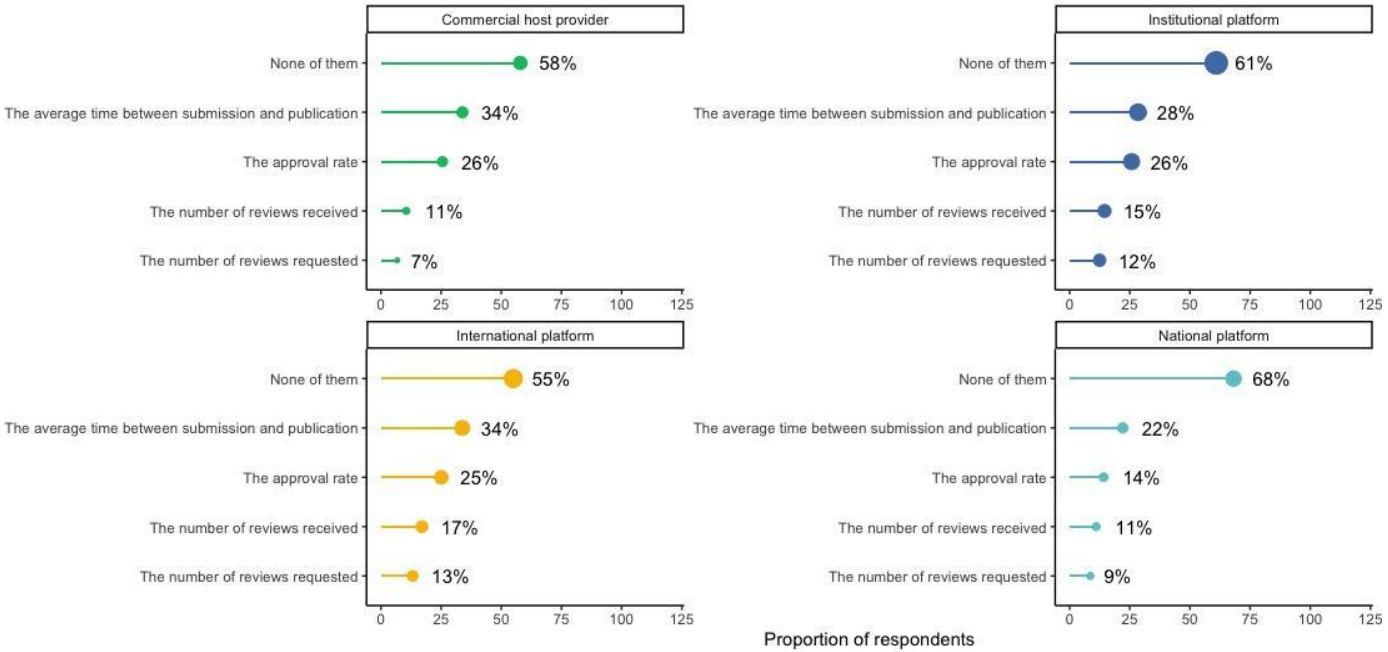


Figure 7. Distribution of reporting statistics (Q50) per hosting (Q58)

3. Dynamics ◆ formats x disciplines

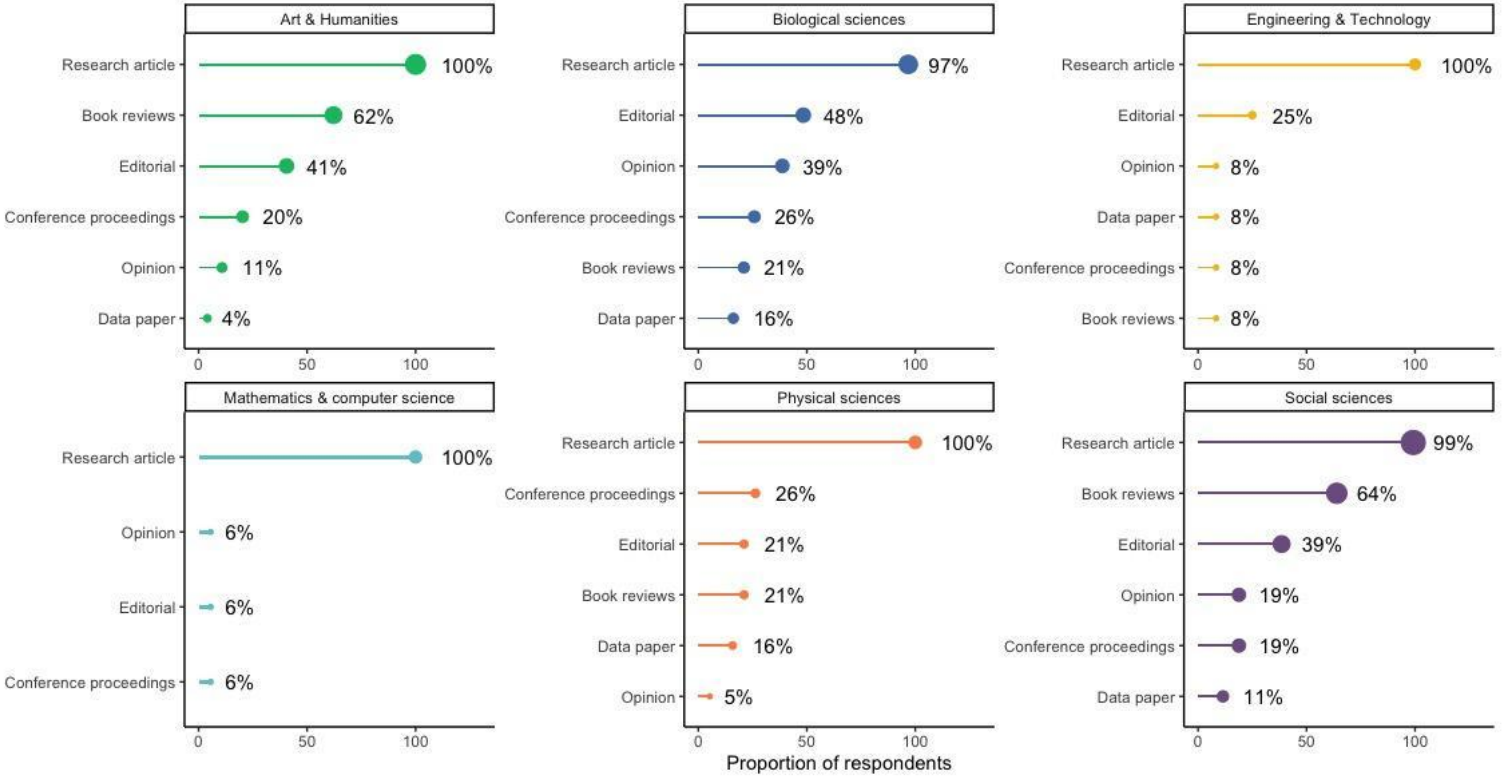


Figure 8. Distribution of formats (Q17) by disciplines (Q40)

3. Dynamics ◆ outsourcing x volunteers

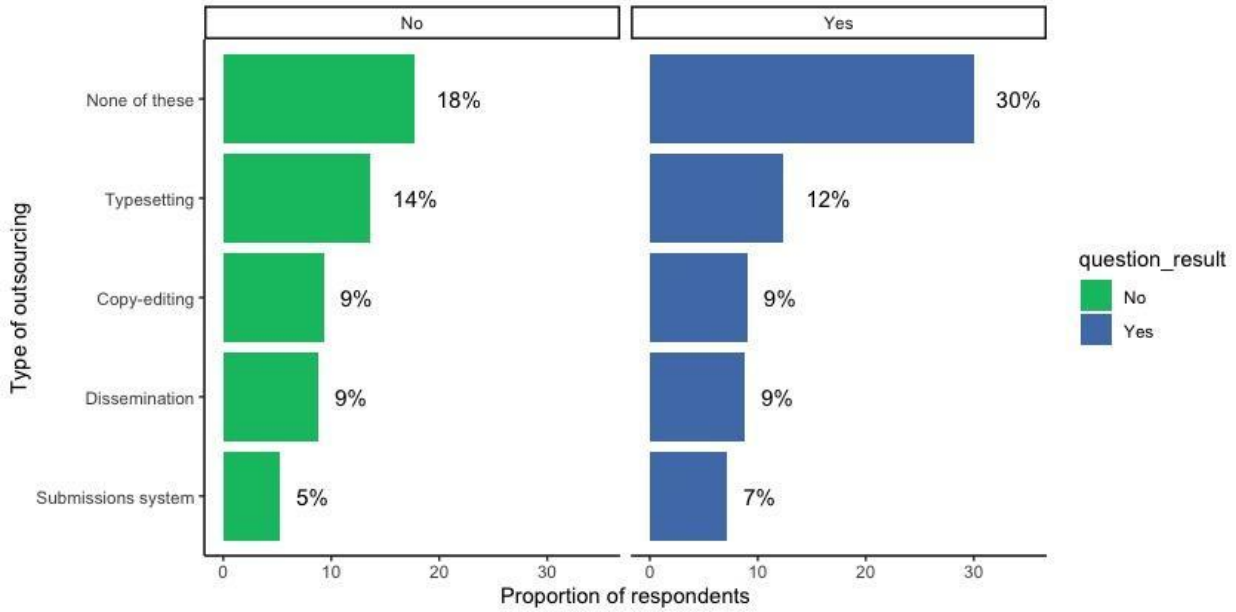


Figure 9. Relationship between outsourcing (Q24) and the use of volunteers (Q69)

3. Dynamics ◆ review system x size

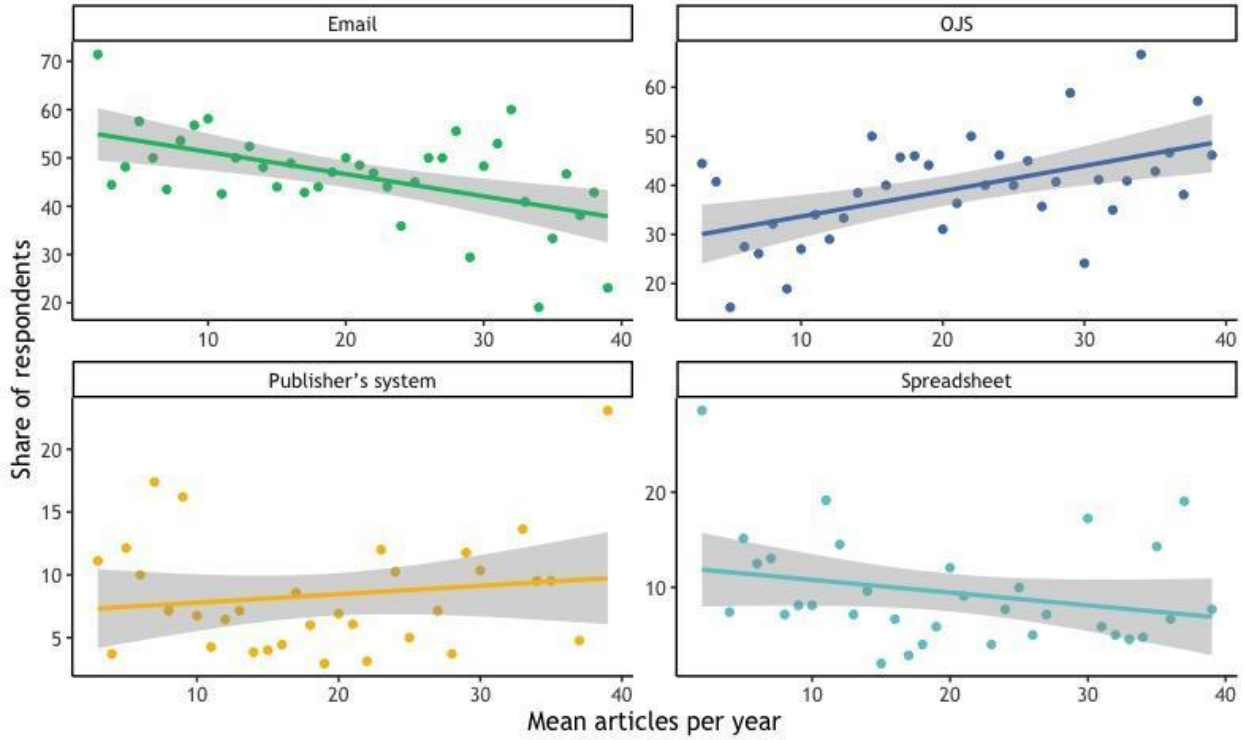


Figure 10. Relationship between the review system (Q48) and the annual number of articles (Q16)

3. Dynamics ◆ peer review type x discipline

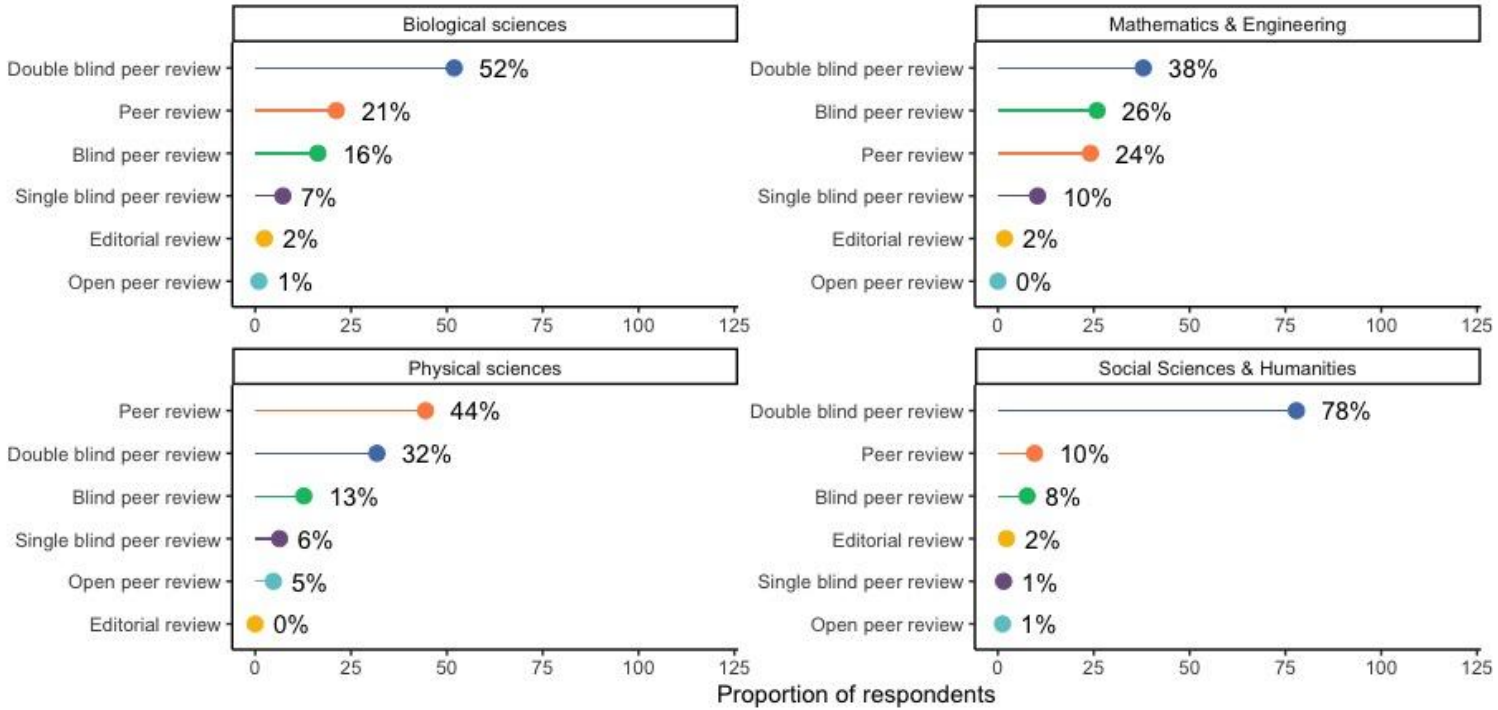


Figure 11. Distribution of peer review practices (Q26) per disciplines (Q40)

3. Dynamics ◆ funder tools/services support

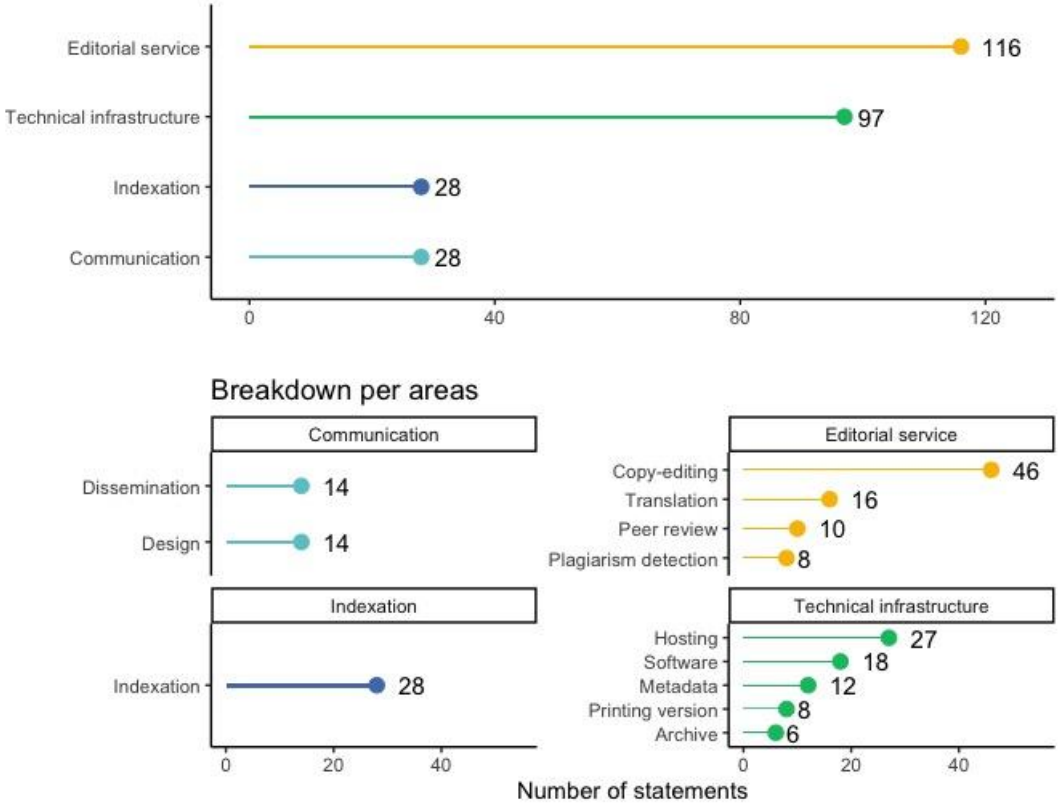


Figure 12. Areas for support of tools and services from the free text answers to the question on funders' support (Q75)

3. Dynamics ◆ peer review challenges

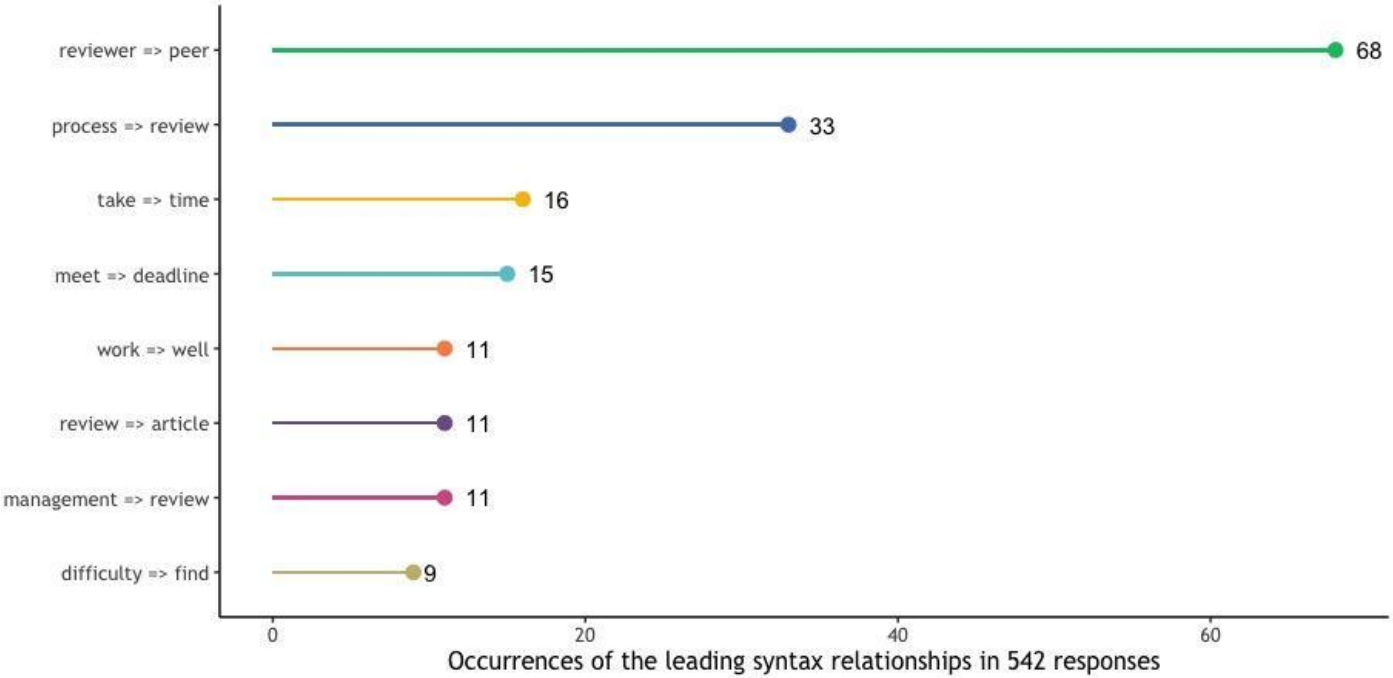


Figure 13. The main arguments in the free text for the peer review challenges (Q82). Quantitative analysis with Spacy NLP tree

3. Dynamics ◆ peer review solutions

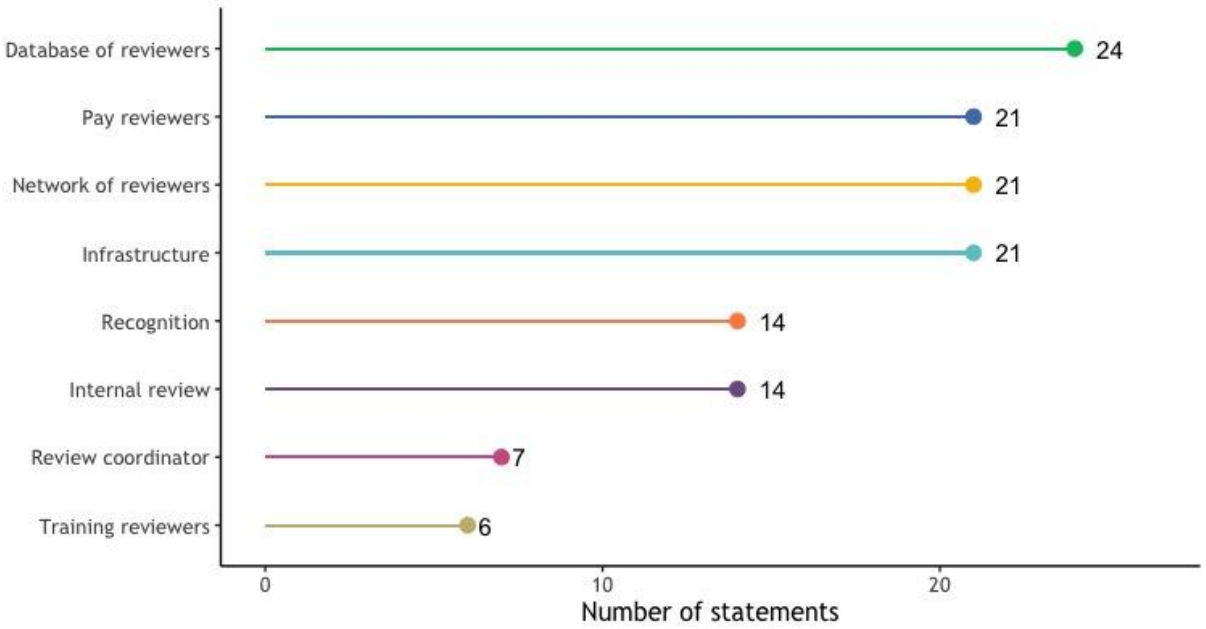


Figure 14. Solutions for peer review recruitment and management in the free text answers to peer review challenges (Q82)

3. Dynamics ◆ article size x CMS

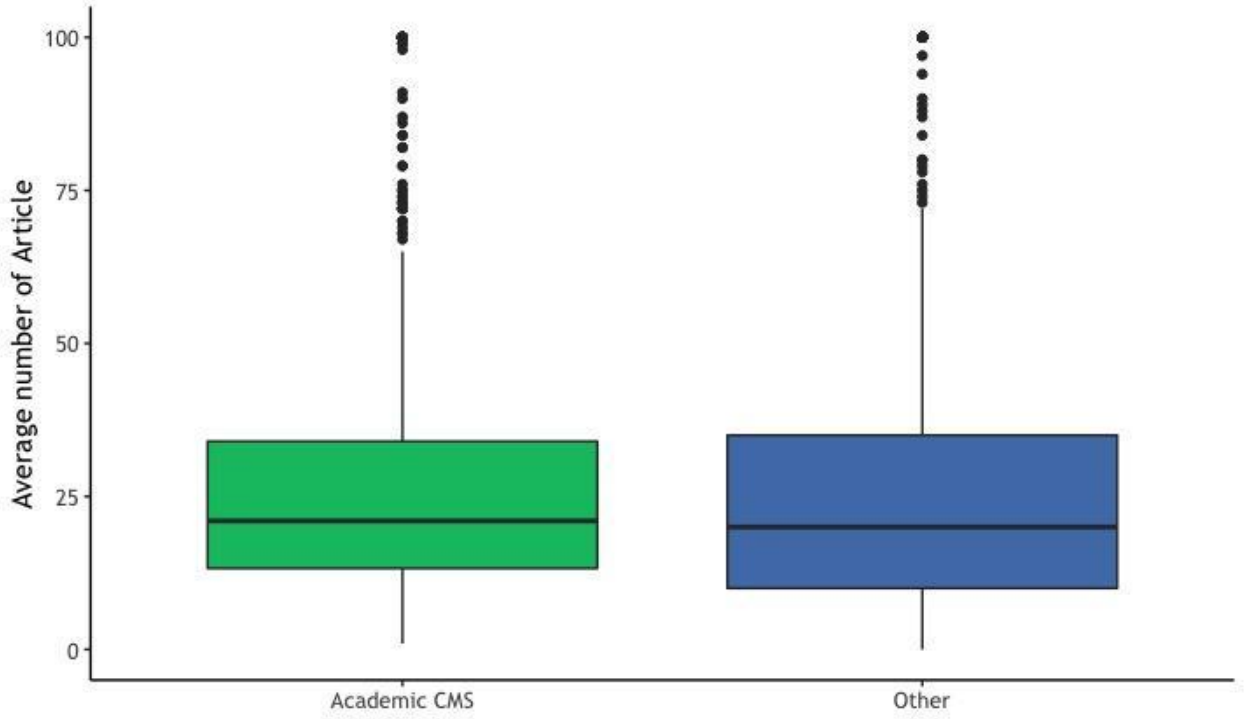


Figure 15. Distribution of the average number of articles of the respondents when they use academic CMS (Open Journal System, Lodel & Dscape) and other publishing systems

3. Dynamics ◆ publication formats

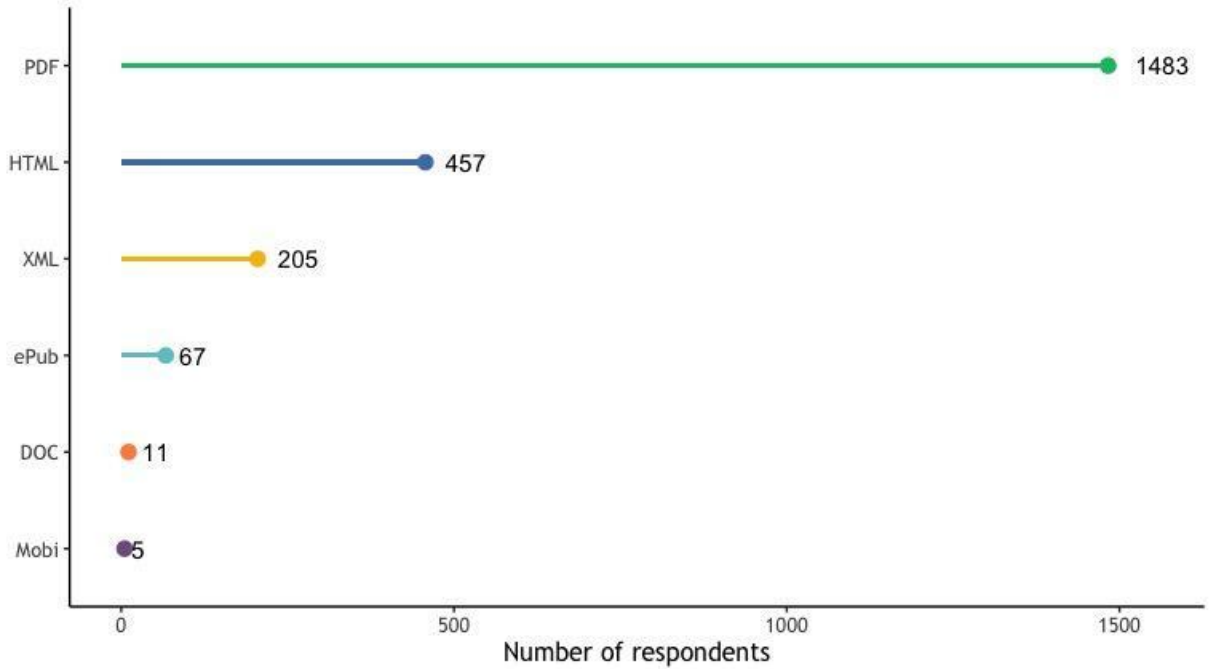


Figure 16. Formats used by the respondents (one respondent can use several formats)

3. Dynamics ◆ formats x platforms

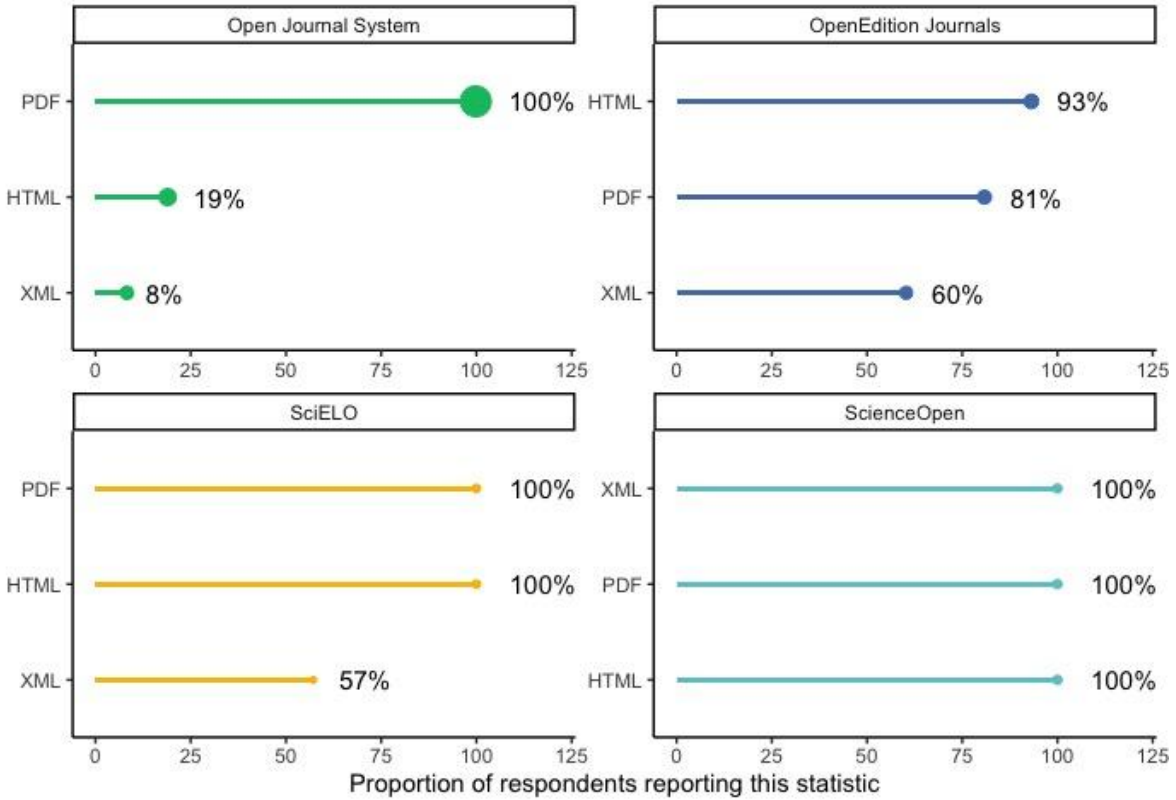


Figure 17. Distribution of formats (Q27) in three leading platforms (OpenEdition Journals, SciELO, ScienceOpen) and in individual journals using Open Journal Systems (Q13)

3. Dynamics ◆ OJS usage

3.3.2 Strength

OA diamond publishing journals have made significant steps towards open source software in the past years. OJS has been largely adopted with 60% of the respondents using it as a publication tool: "Open source publishing software has contributed to reducing the design costs of a large number of journals by disseminating automated procedures that have long been applied within large organisations such as Elsevier or Springer." (Langlais 2016)

3. Dynamics ◆ preservation solutions used

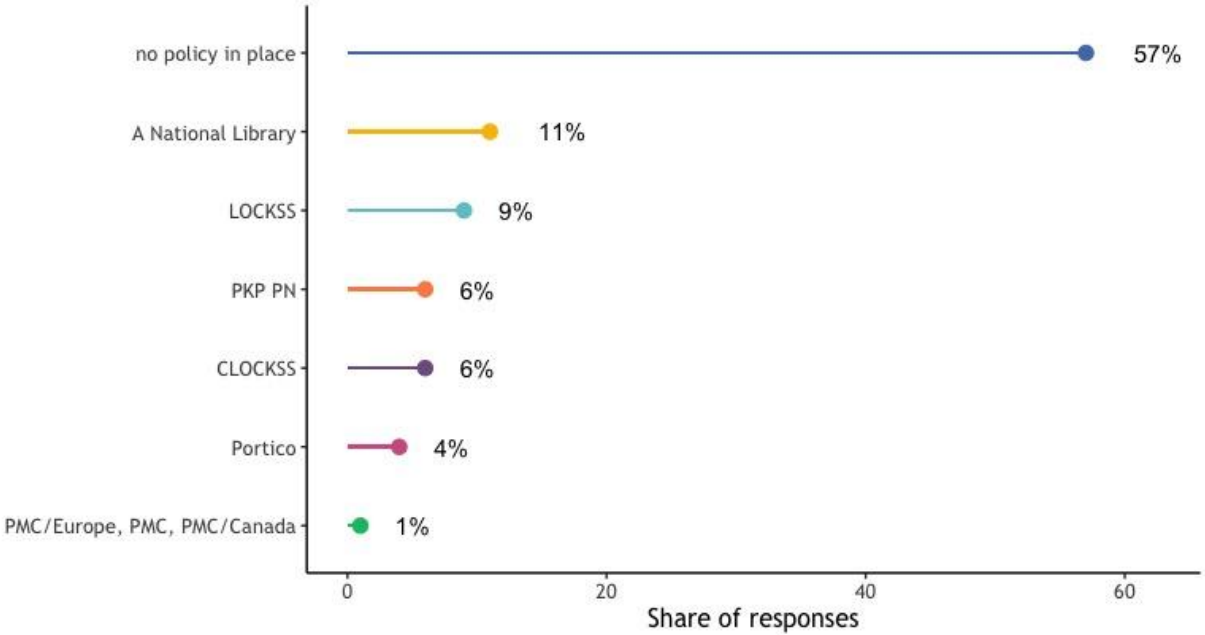


Figure 18. Share of preservation plans in the survey (Q28)

3. Dynamics ◆ PIDs x host types

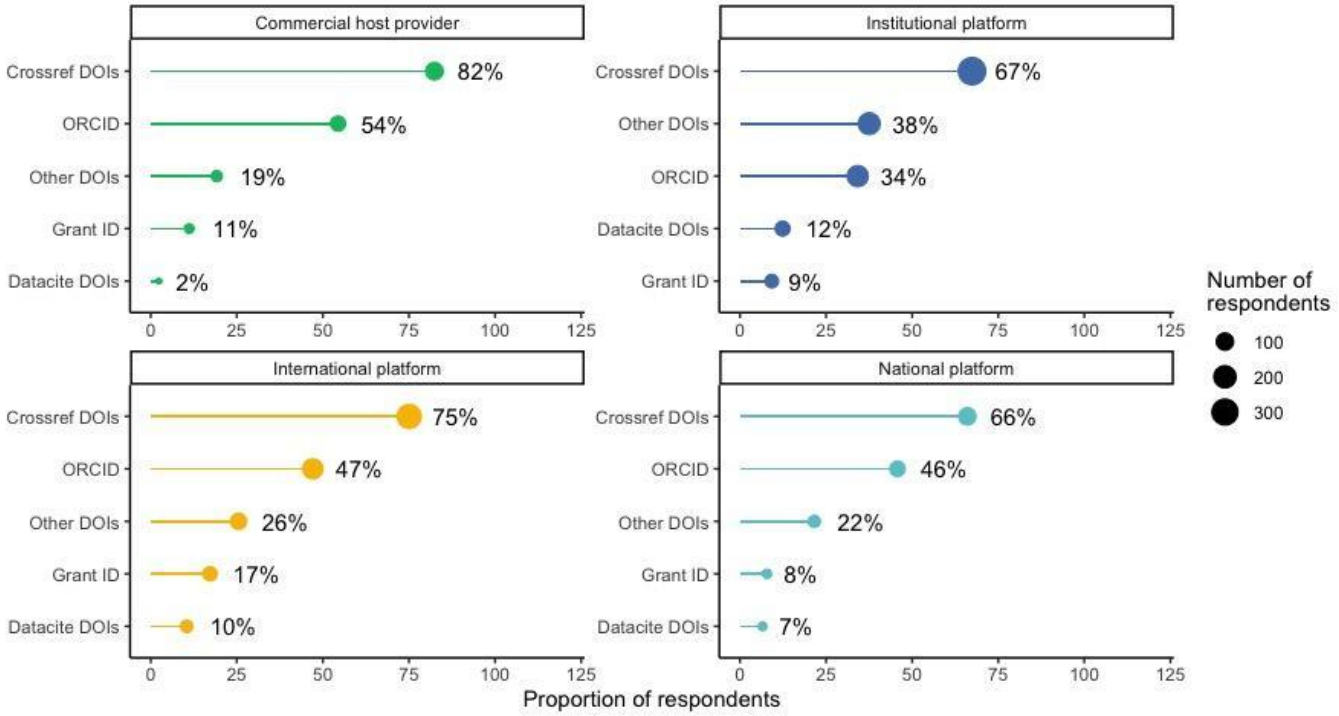


Figure 19. Use of article IDs (Q42) across the main types of hosts (Q58)

3. Dynamics ◆ expected support

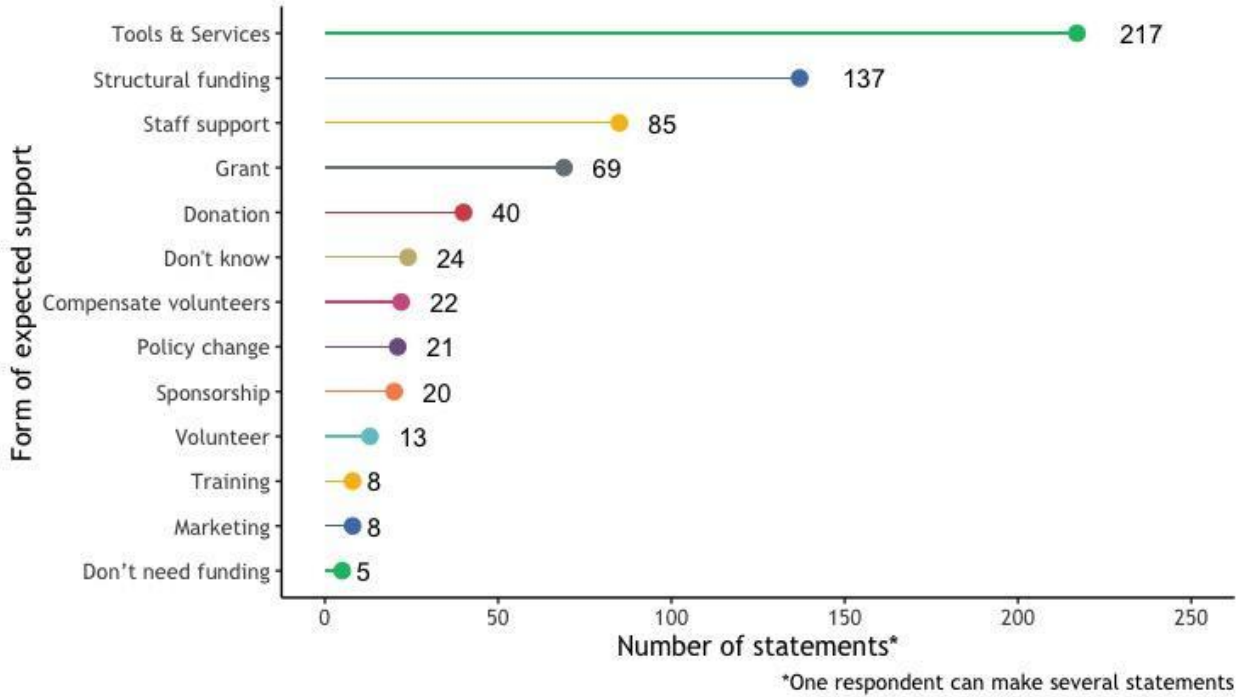


Figure 20. Types of expected supports extracted from the free text answers to funders' support (Q75

3. Dynamics ◆ CMS use challenges

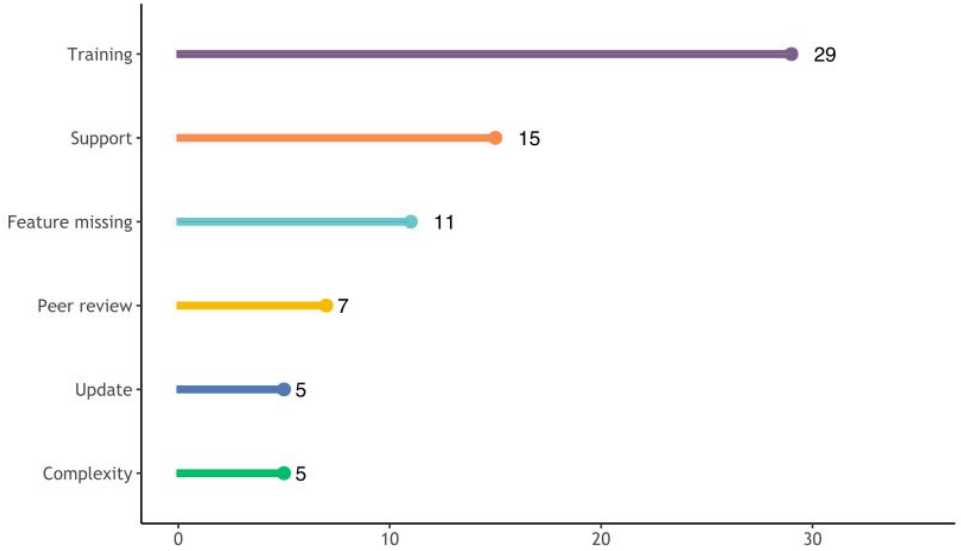


Figure 21. The main challenges linked to the use of a standard academic CMS

3. Dynamics ◆ importance of challenges

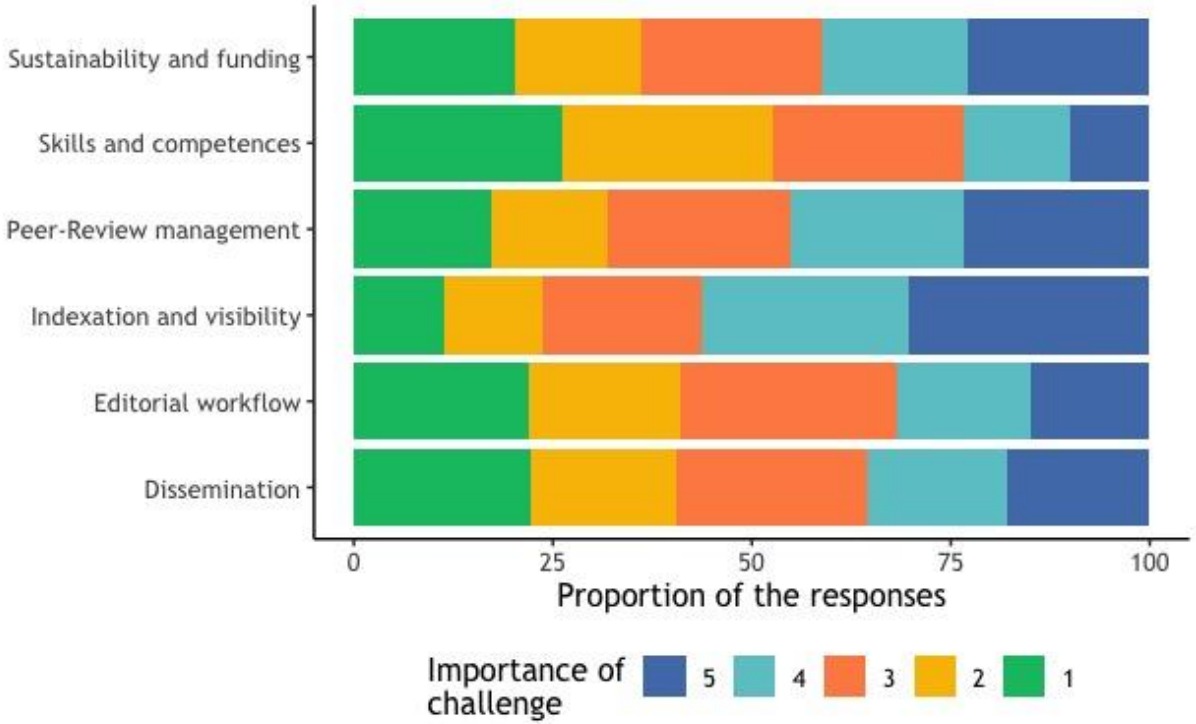


Figure 22. Importance of the challenges by share of respondents (1=not important, in green, 5=very important, in dark blue)

3. Dynamics ◆ indexing x annual cost size

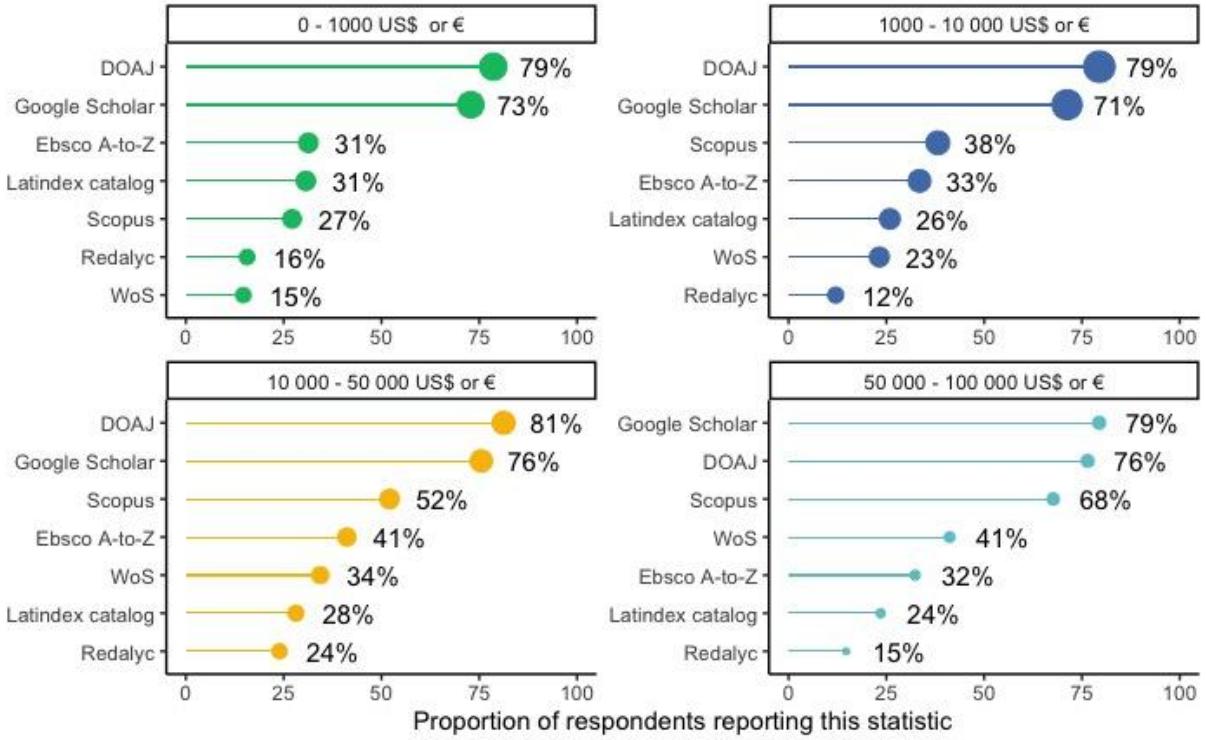


Figure 23. Share of indexation (Q81) per annual costs (Q66)

3. Dynamics ◆ typology of journals

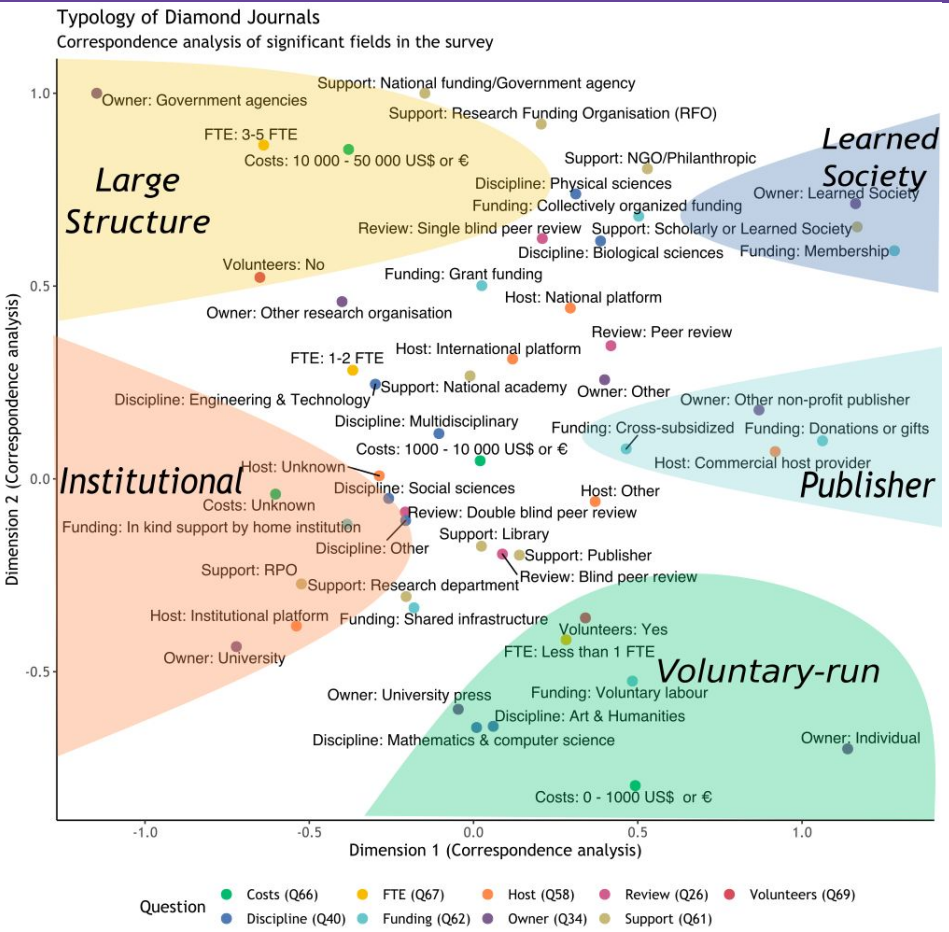


Figure 24. Typology of diamond journals through a correspondence analysis of nine questions from the survey. We manually identified five types of journals: voluntary-run (red), institutional (orange), publisher (blue), learned society (violet) and large structure (yellow).

4. Sustainability ◆ main take aways

In summary: An economy that largely depends on volunteers, universities and government. OA diamond journals often show ...

1. Very modest annual costs
2. A minimal number of paid staff FTE
3. A high dependence on volunteers
4. 40% break-even and 25% operate at a loss
5. A lack of knowledge of their own financial situation
6. Research performing organizations as main funders & supporters
7. A wide diversity of funding mechanisms

in presenting mode, the blocks above link to the respective parts of the presentation

4. Sustainability ◆ costs

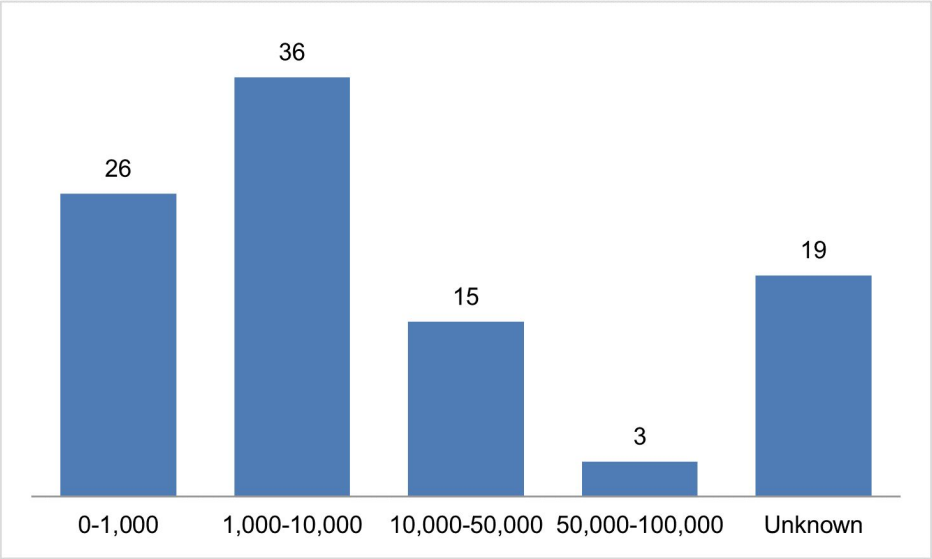


Figure 1. Previous year annual costs of journals, percentage (n=1,370); survey Q66

4. Sustainability ◆ est. per article cost x size

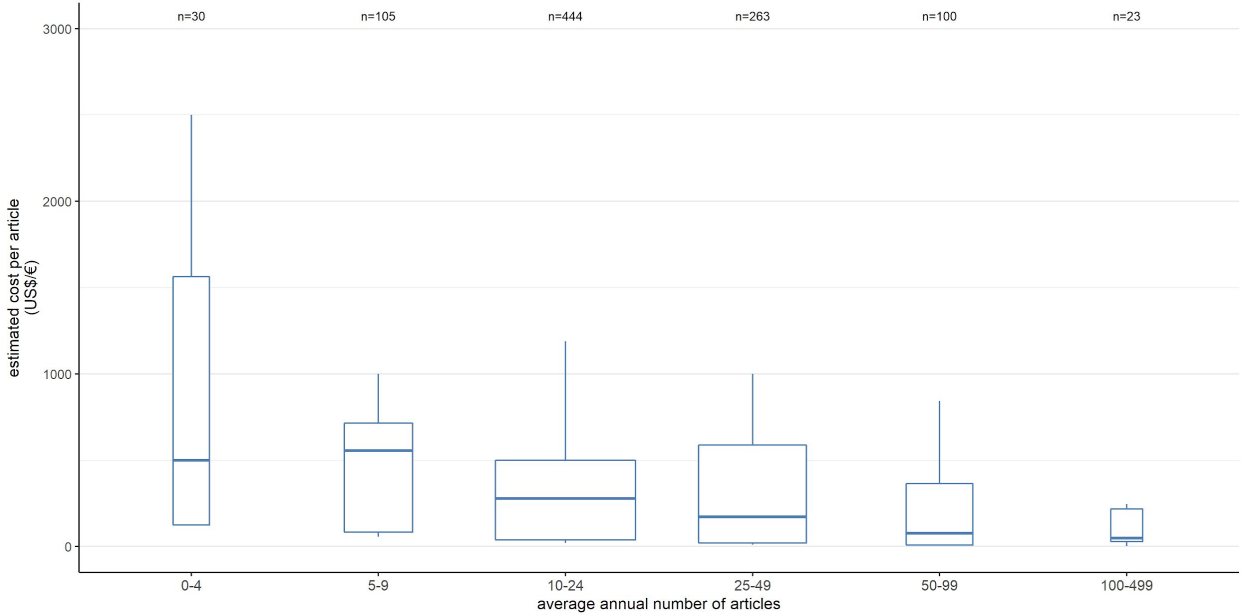


Figure 5. Distribution of estimated cost per article for diamond OA journals by journal size

4. Sustainability ◆ est. per article cost x region

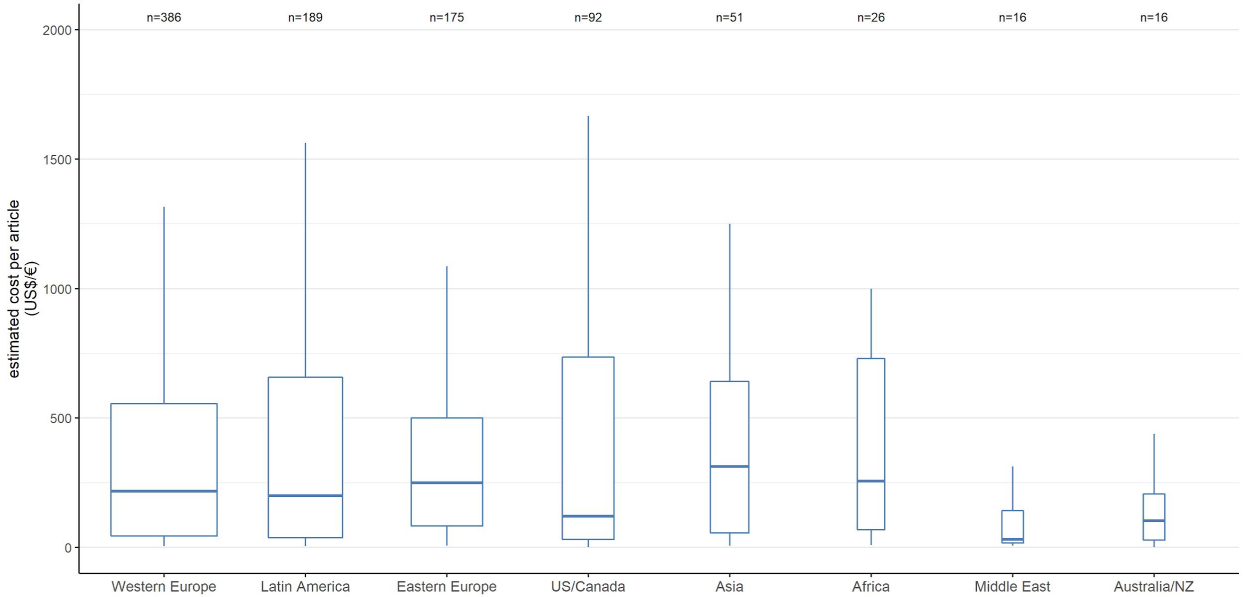


Figure 6. Distribution of estimated cost-per-article for diamond OA journals by region

4. Sustainability ◆ costs <€1000 x country

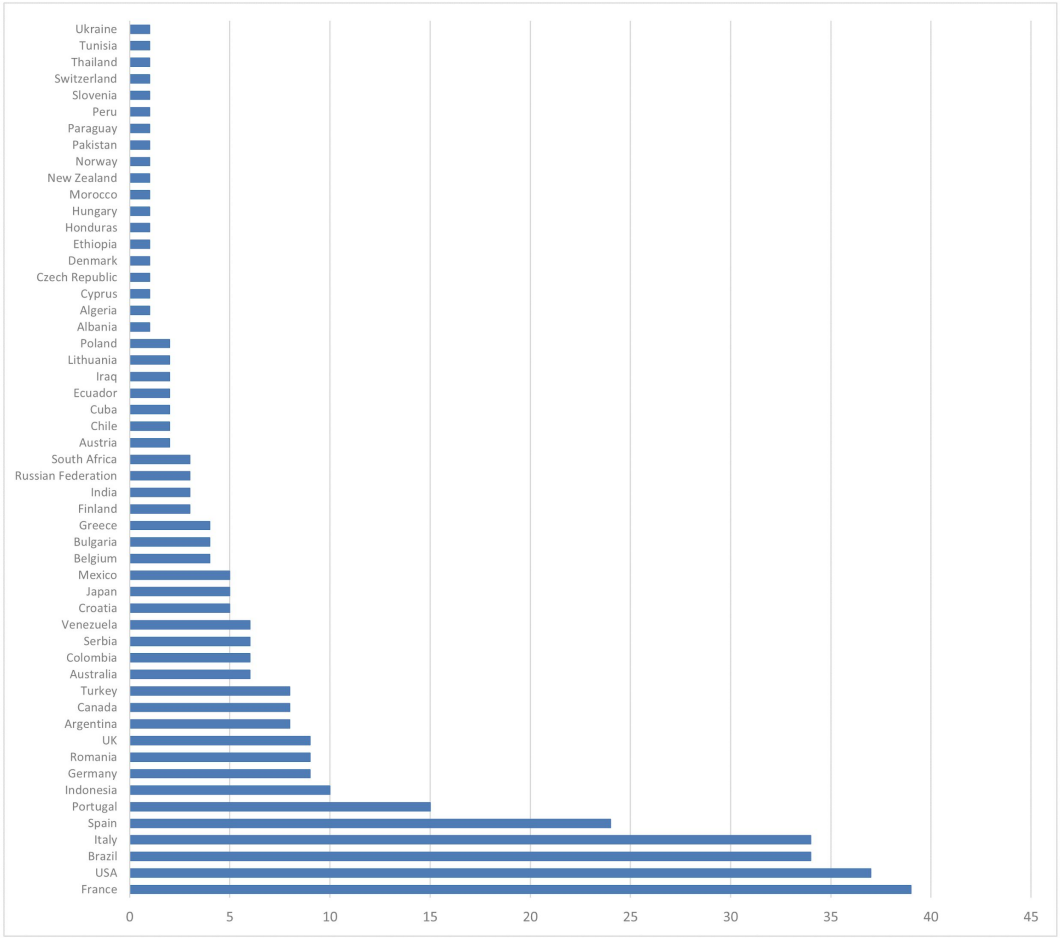


Figure 2. Number of journals with costs below $/€1,000 by country (n=340); survey Q66

4. Sustainability ◆ costs reporting x type

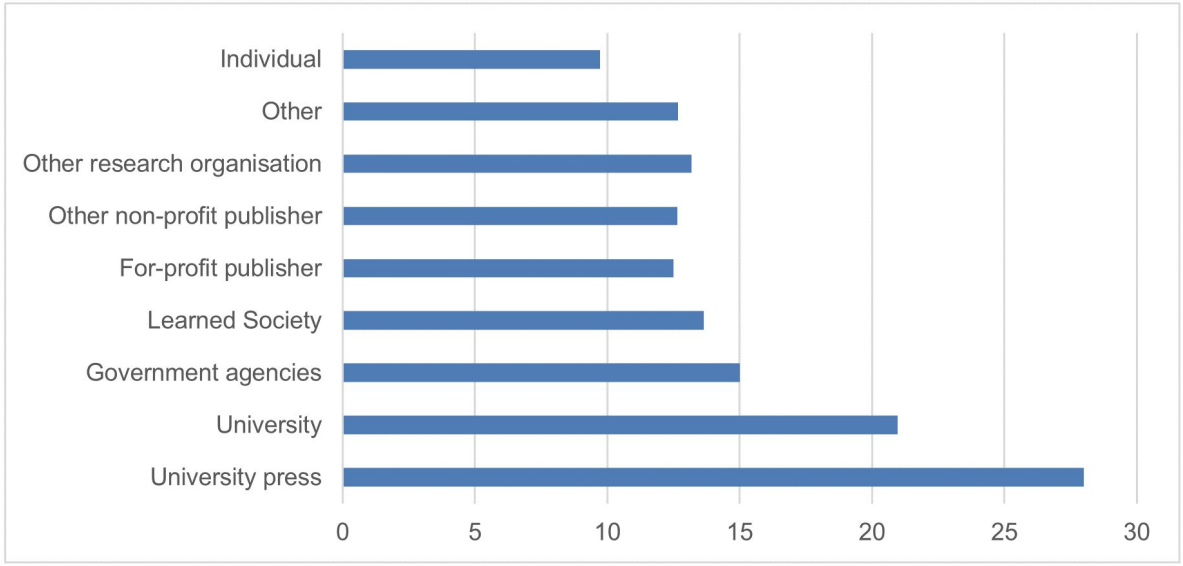


Figure 3. Number of journals reporting costs unknown by type of organisation in % (n=267); survey Q66

4. Sustainability ◆ operational expenditure

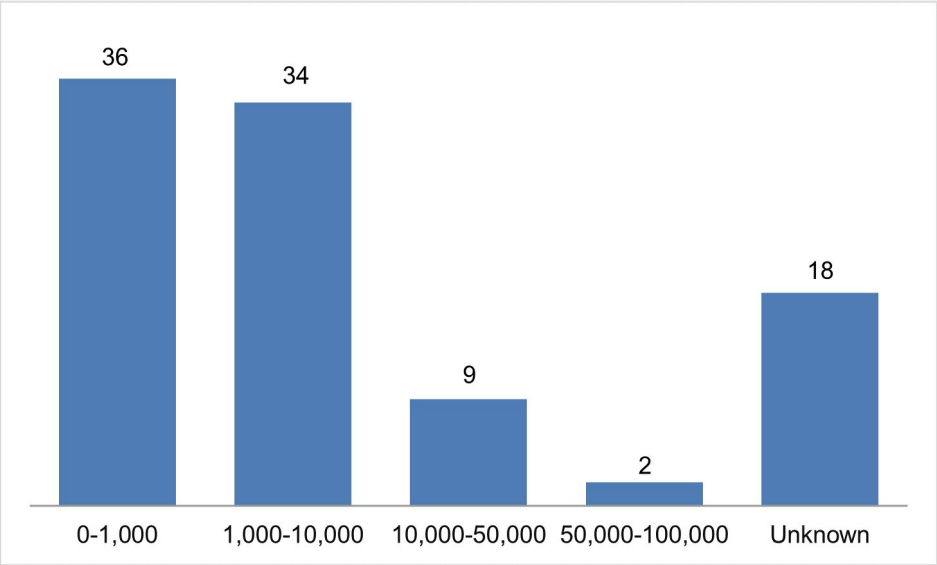


Figure 4. Annual amount paid in $/€ for editing and operational costs in % (n=1,388); survey Q68

4. Sustainability ◆ 3 main expense types

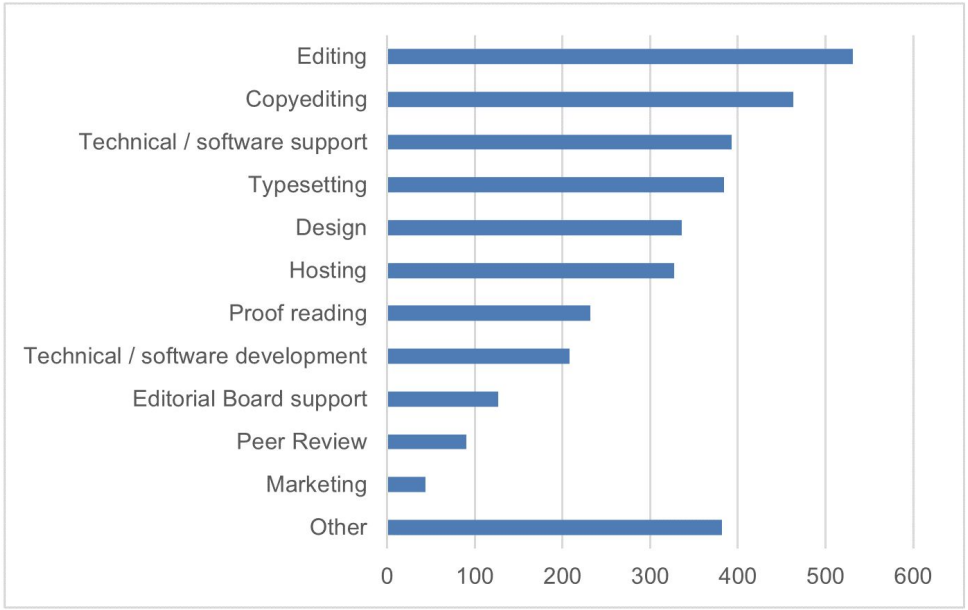


Figure 7. The three main expenses/payables by journal (n=1347), survey Q72

4. Sustainability ◆ paid operational staff

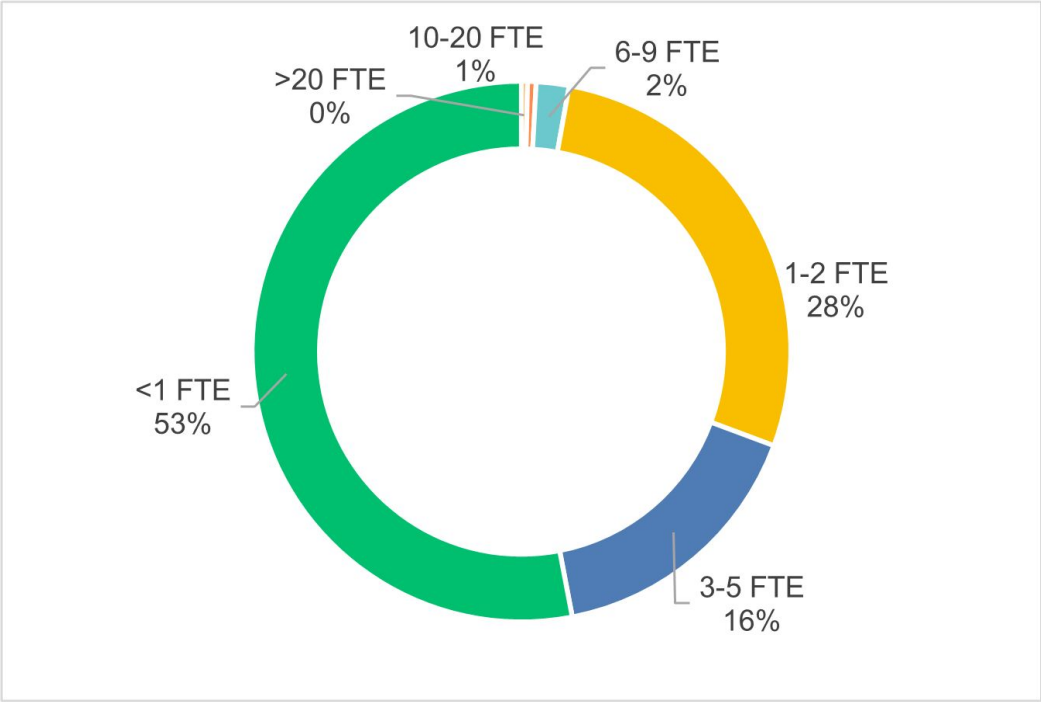


Figure 8. Size of paid staff for journal editing and operational work (n=1373); survey Q67

4. Sustainability ◆ paid staff x size

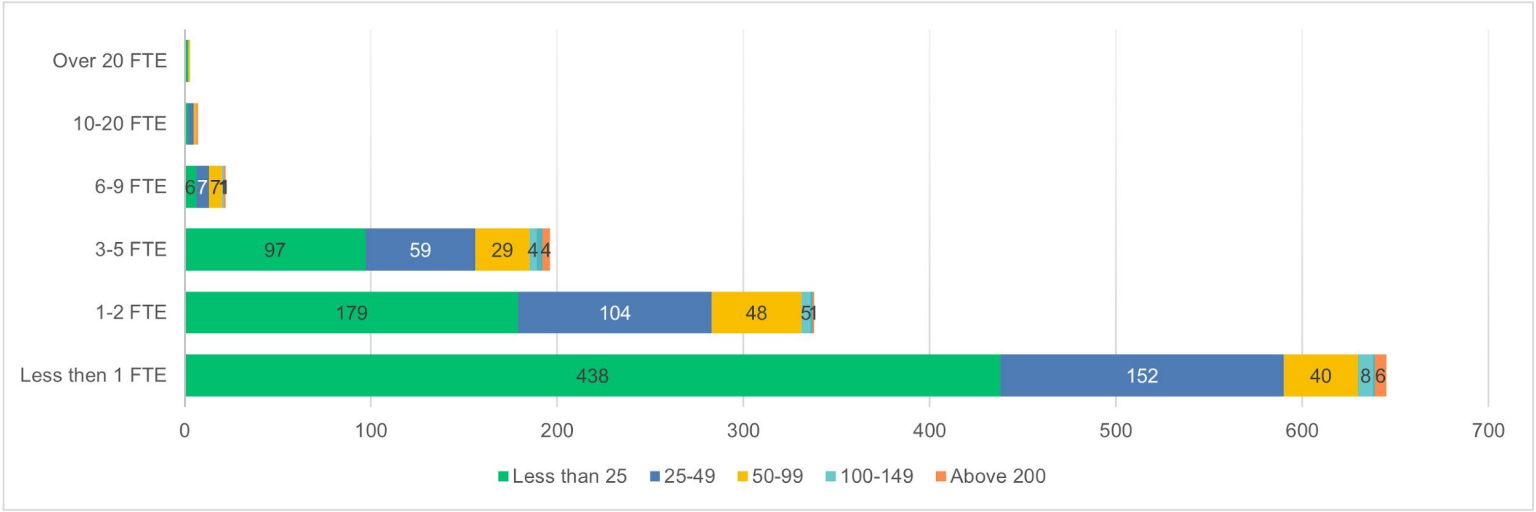


Figure 9. Paid staff by size of the journal, i.e. number of articles per year (n=1211); survey Q67 and Q16

4. Sustainability ◆ paid staff x publisher type

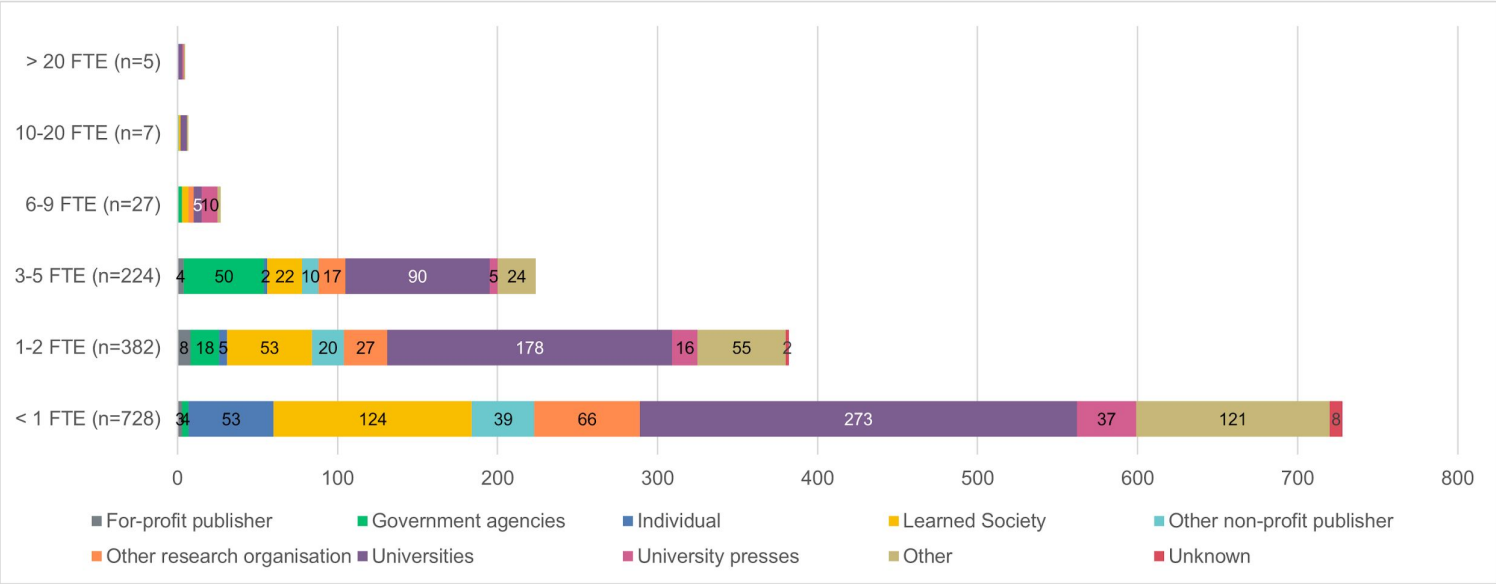


Figure 10. Size of paid staff for journal editing and operational work by owner of the journal/organisational type (n=1373); survey Q67 and Q34

4. Sustainability

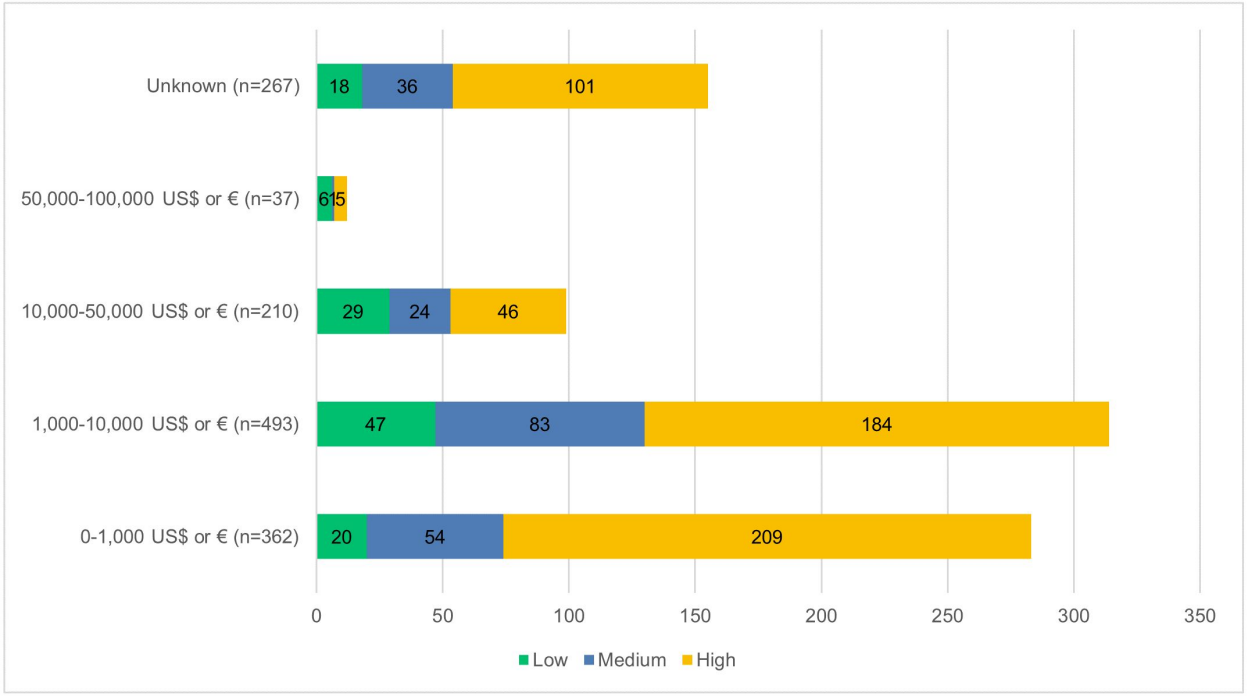


Figure 11. Reliance on volunteers compared to 2019 costs (n=1369); survey Q70 and Q66

4. Sustainability ◆ volunteer reliance x size

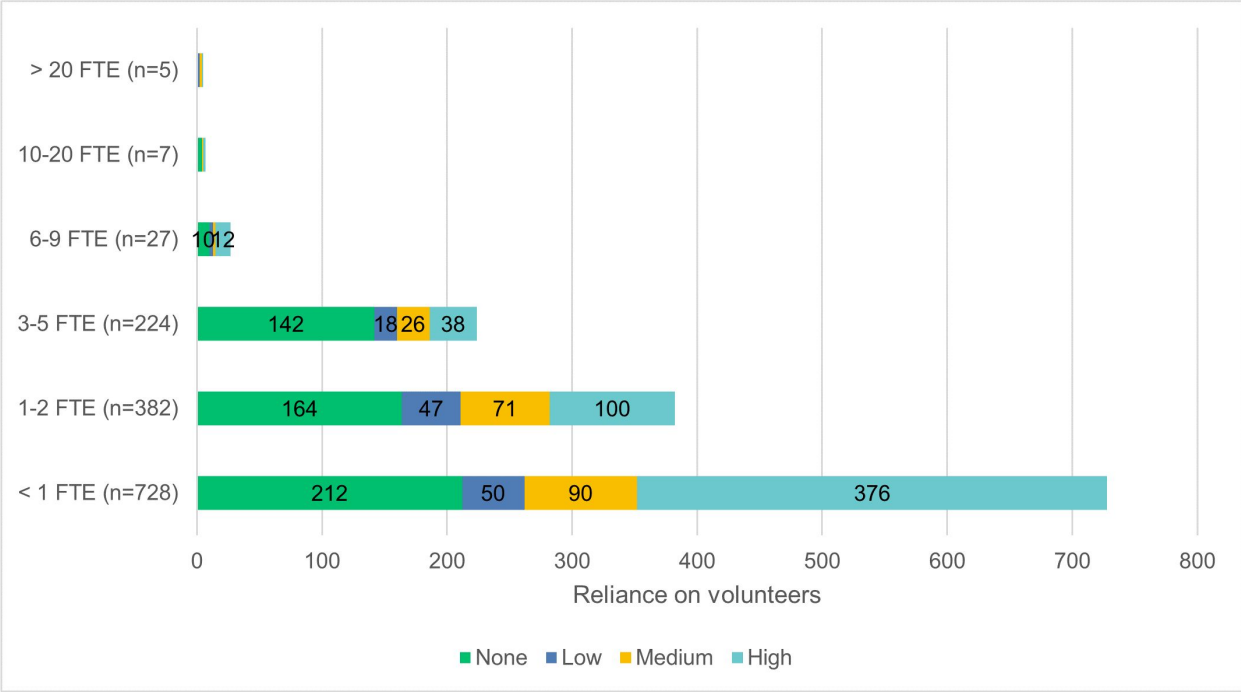


Figure 12. Reliance on volunteers by size of paid staff for journal editing and operational work (n= 1,427); survey: Q70 and Q67

4. Sustainability ◆ volunteer activities

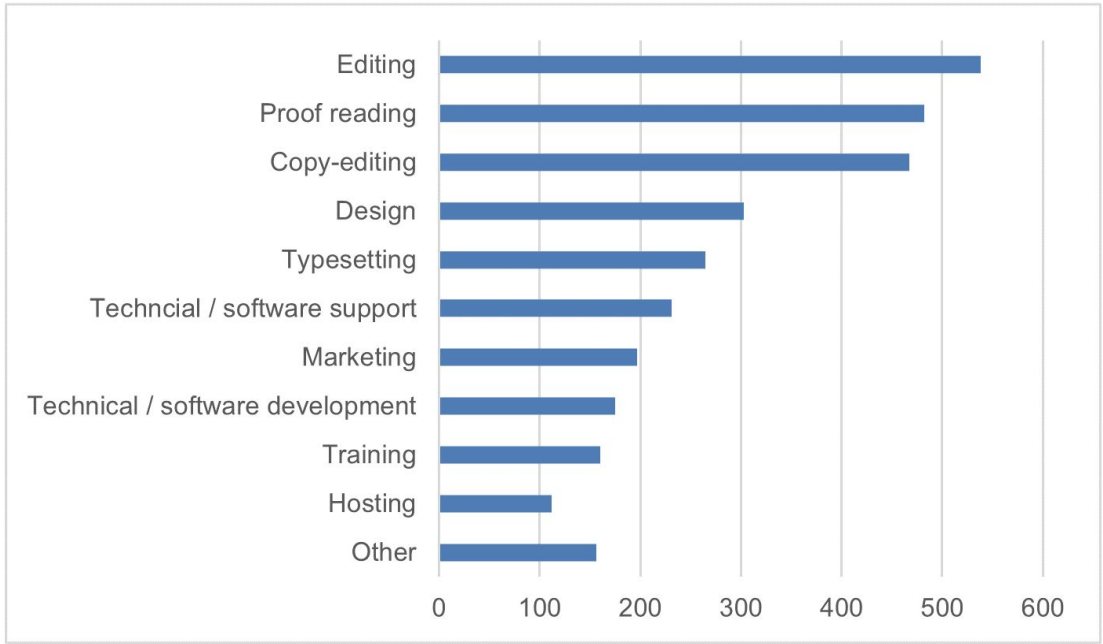


Figure 13. What volunteers do (n=855); survey Q71

4. Sustainability ◆ funding sources

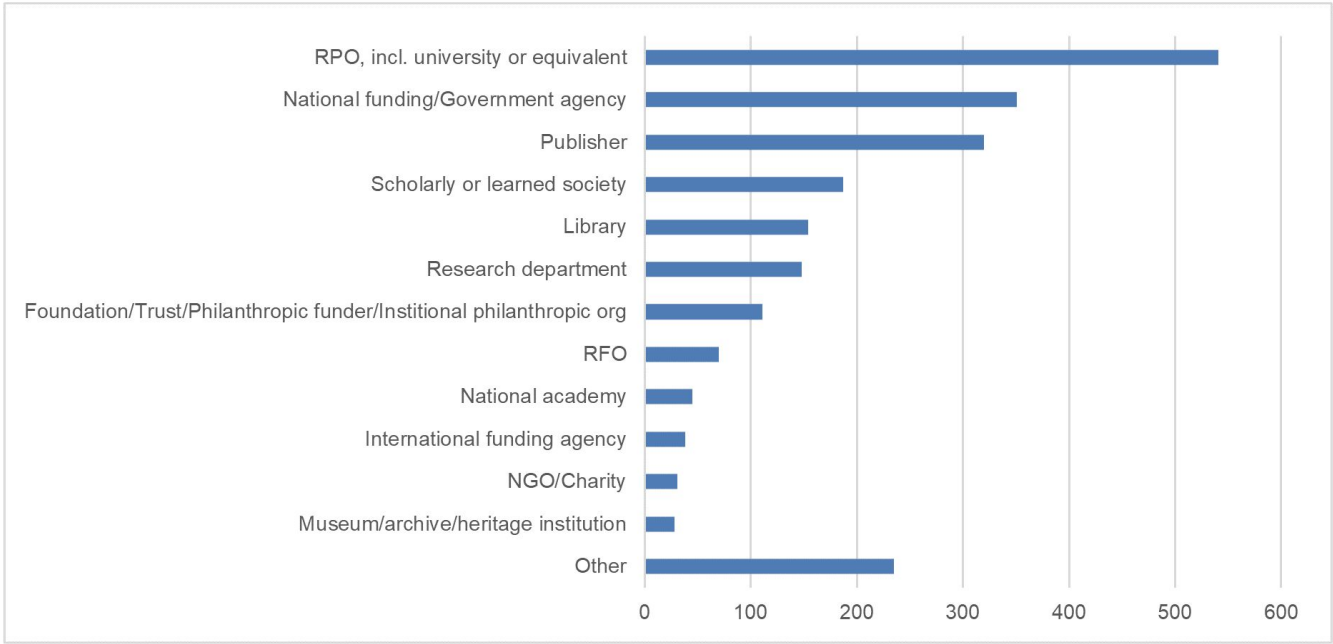


Figure 14. Who has funded the journal over the last two years? (n=1,421); survey Q61

4. Sustainability ◆ funding mechanisms

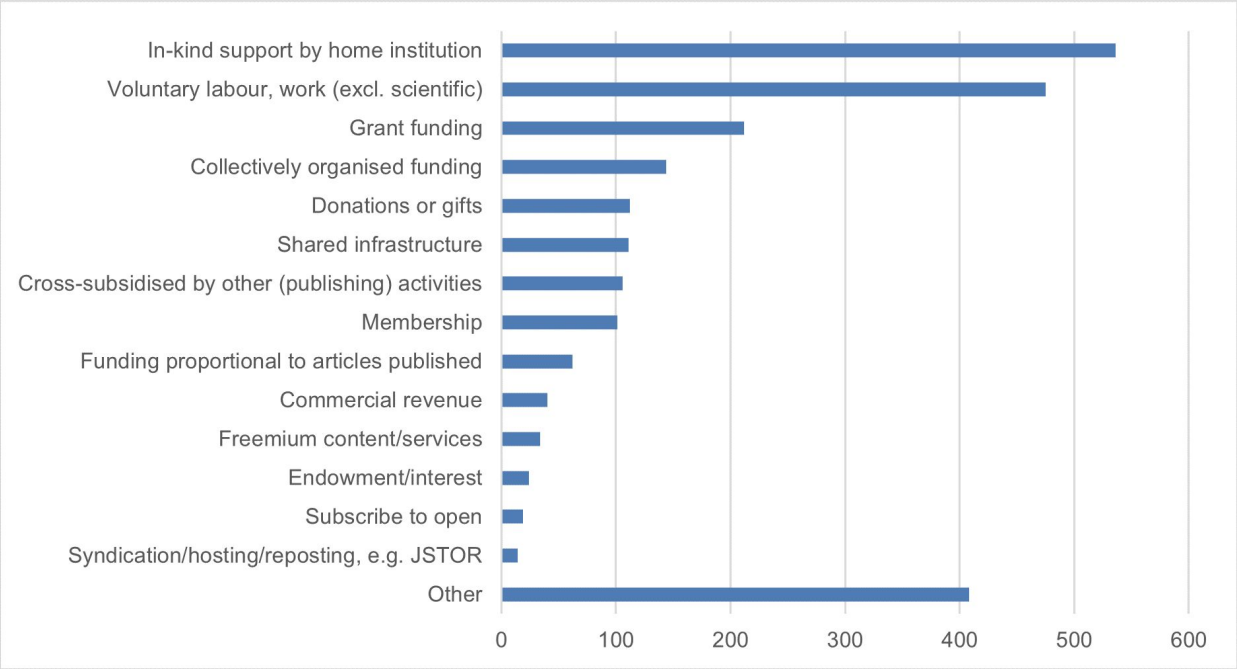


Figure 15. Funding mechanisms (n=1,408); survey Q62

4. Sustainability ◆ services charged for

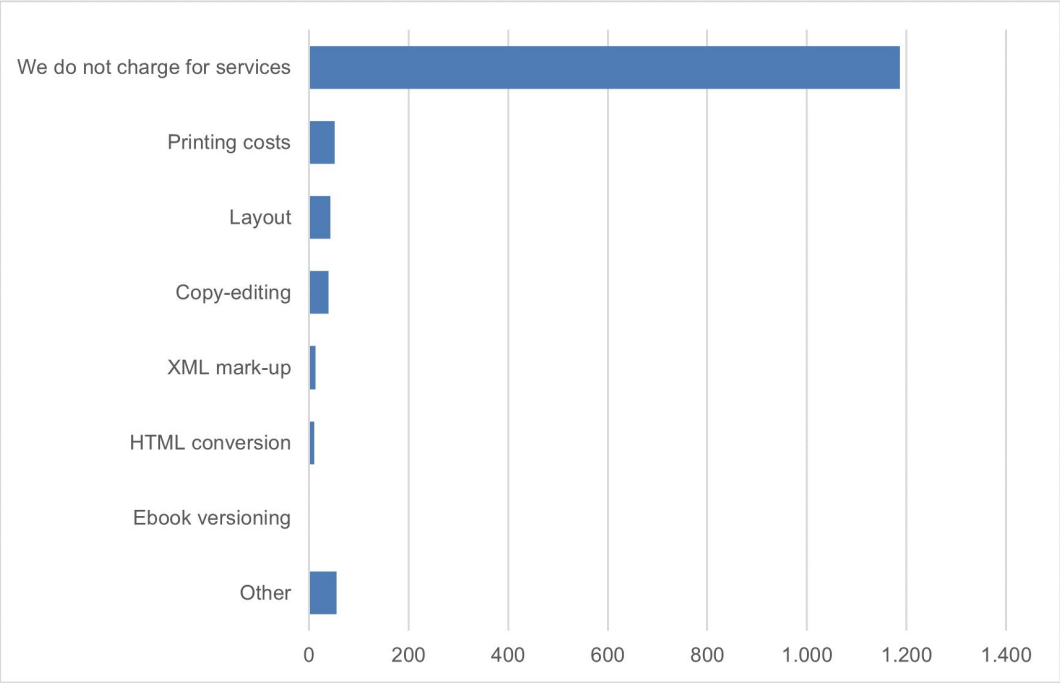


Figure 16. What journals charge for (n=1,302); survey Q65

4. Sustainability ◆ financial status

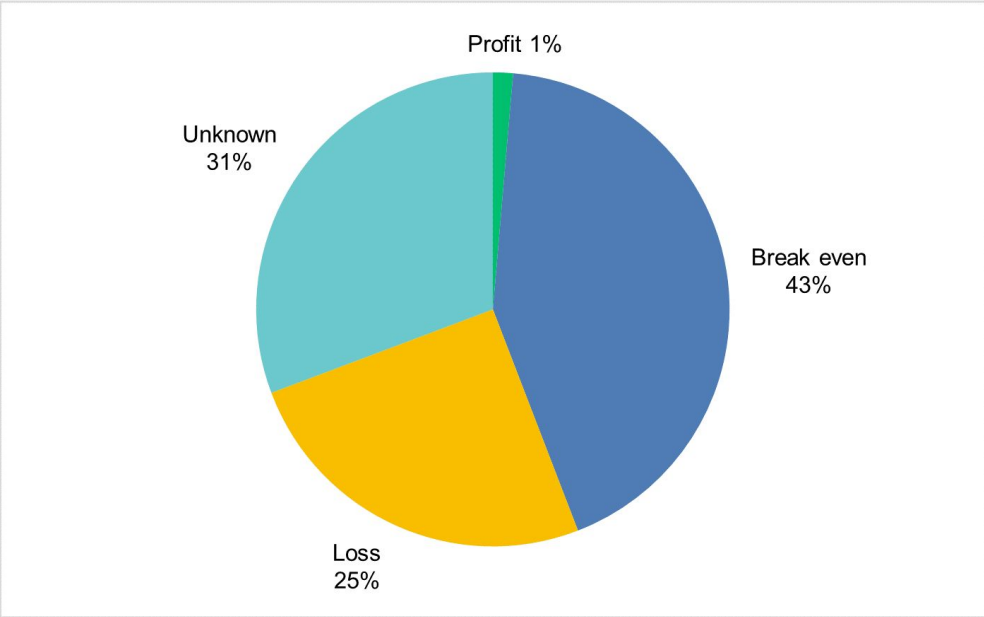


Figure 17. Current financial status of the journal (n=1,393); survey Q73

4. Sustainability ◆ financial status & expectation

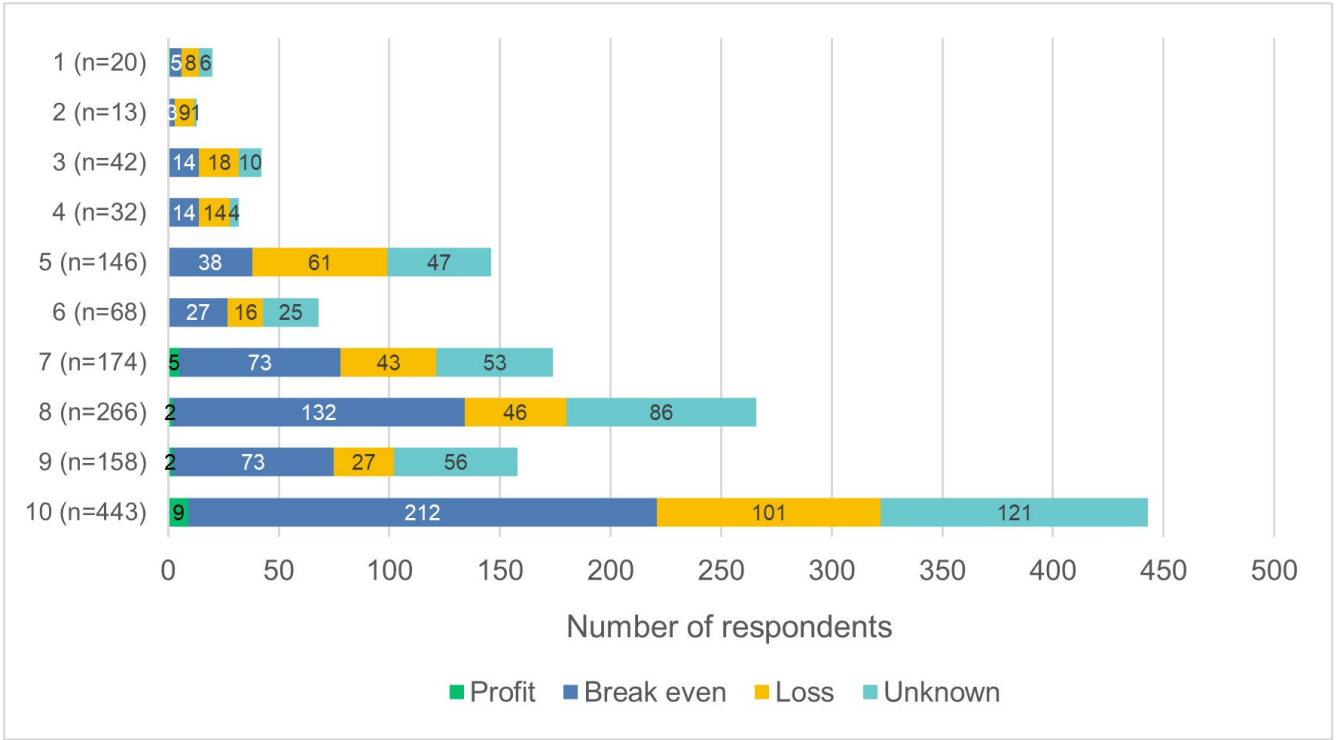


Figure 18. Journals by financial status and how sustainable they consider the journal in the next three years on a scale of one to 10 where 10 is very secure; survey Q73 and Q74

4. Sustainability ◆ moving away from diamond?

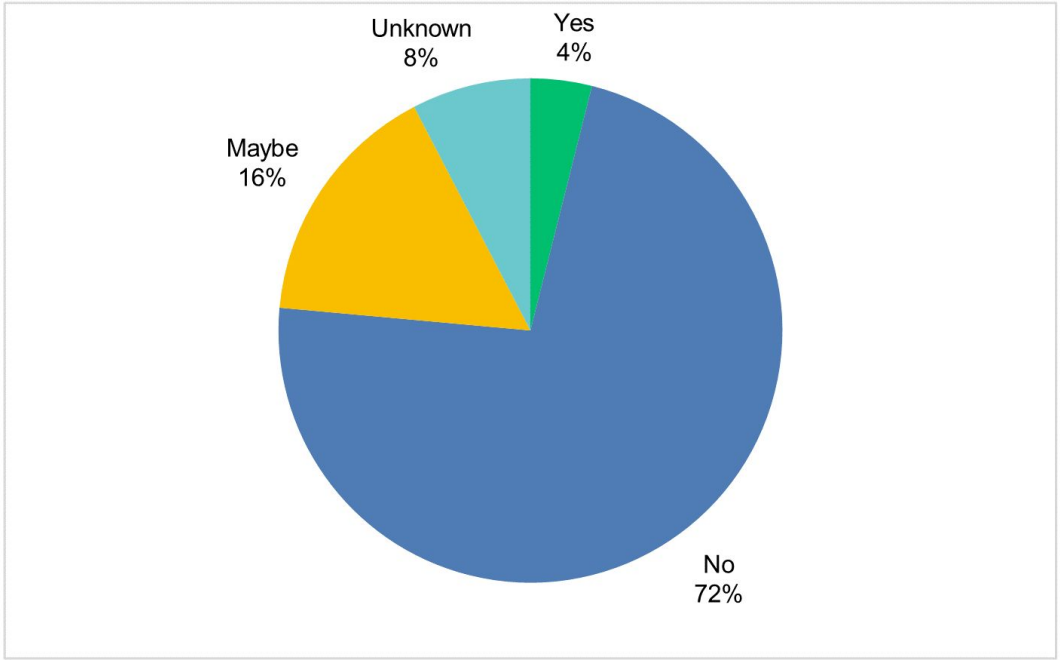


Figure 19. Journals that consider moving away from the OA diamond model (n=1,426); survey Q76

4. Sustainability ◆ moving away from diamond?

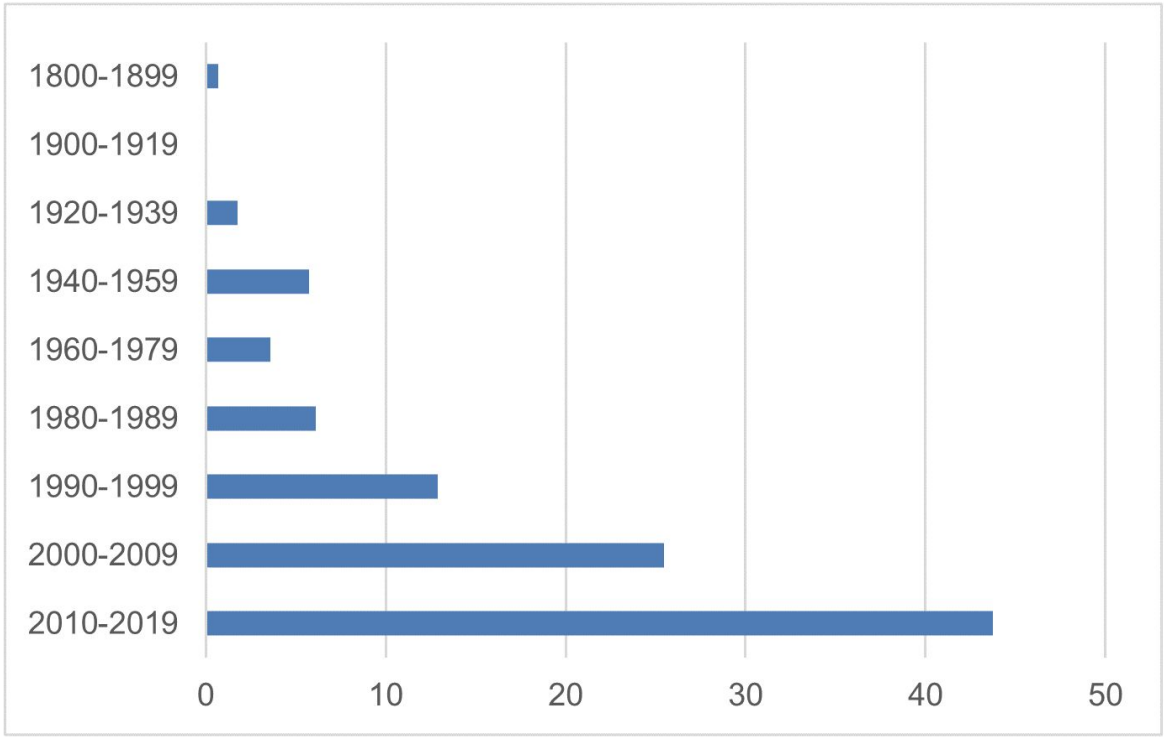


Figure 20. Journals that are considering moving away from the OA diamond model by journal creation year and percentage (n=279); survey Q76 and Q30

4. Sustainability ◆ reasons f. leaving diamond

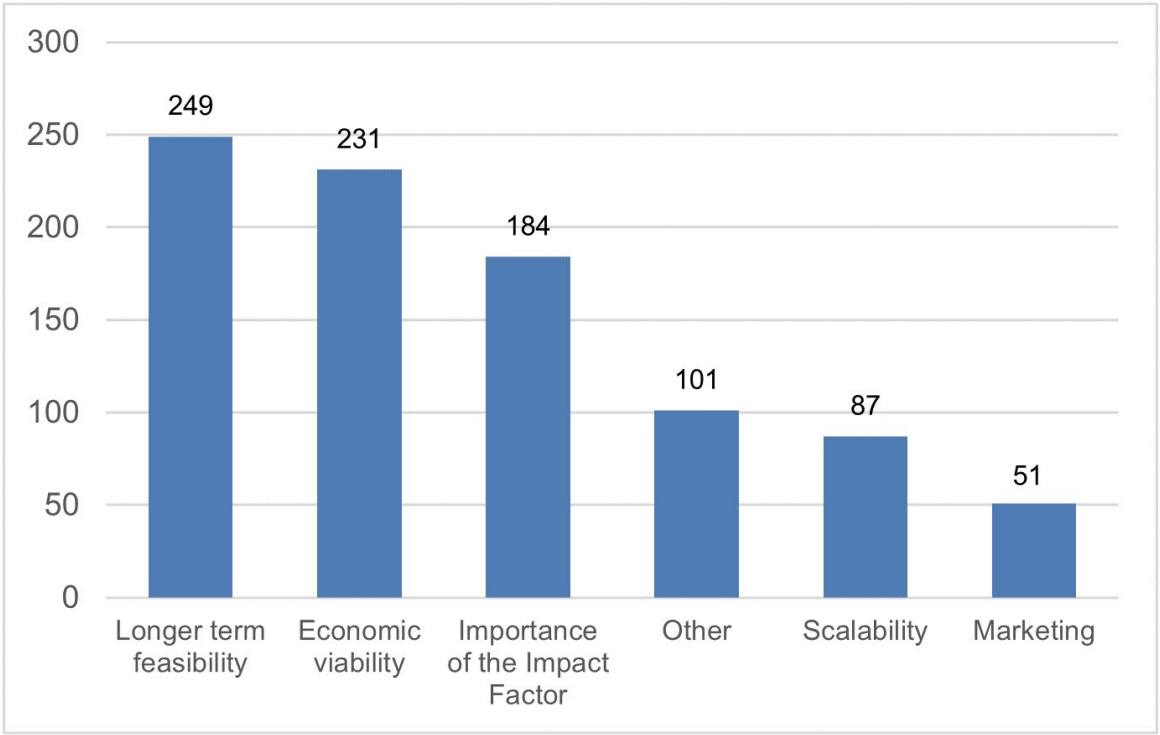


Figure 21. Reasons for journals to consider moving away from the OA diamond model (n=544); survey Q77

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

Recommendations

- Technical support
- Compliance
- Capacity building
- Effectiveness
- Sustainability

for: Funders, Institutions, Societies, Infrastructures

Recommendations ◆ Compliance

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

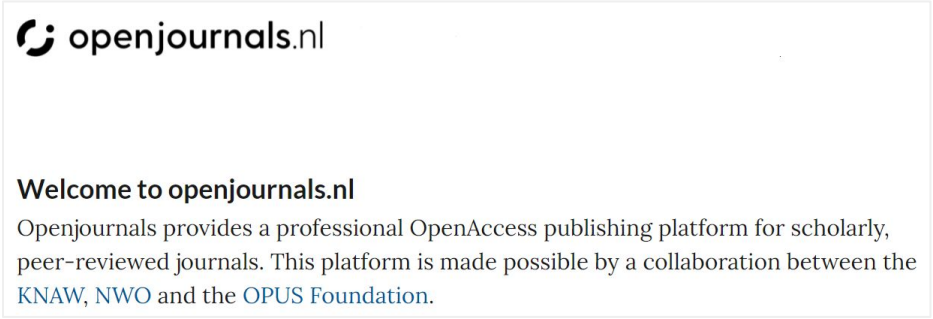
JASPER: JOURNALS PRESERVED

DOAJ, the CLOCKSS Archive, Internet Archive, Keepers Registry/ISSN International Centre and Public Knowledge Project (PKP) have agreed to partner to provide an alternative pathway for the preservation of small-scale, APC-free, Open Access journals.

Crossref

Recommendations ◆ Effectiveness

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



Recommendations

Technical support

Recommendation
Better coordinate editorial and quality assurance service provision
Formalise legal ownership and governance rules
Increase infrastructure capacity to support bibliodiversity

Recommendations ◆ Sustainability

Recommendation
Collaborate on a funding strategy for OA diamond
Consistently finance the operations of OA diamond journals
Invest in the future of OA diamond

UvA open access policy and Diamond Open Access Fund

4 February 2021

FAIR OS PUBLISHERS, INFRASTRUCTURES AND INITIATIVES SUPPORTED BY KU LEUVEN

KU Leuven promotes a sustainable implementation of Open Access and Open Science, and especially sponsors non-profit and community-led initiatives through the KU Leuven Fund for Fair OA. On the one hand, the fund supports innovative publishing initiatives and infrastructures. On the other hand, the fund covers membership costs for consortia and advocacy organizations focusing on a non-profit approach to scholarly communication.

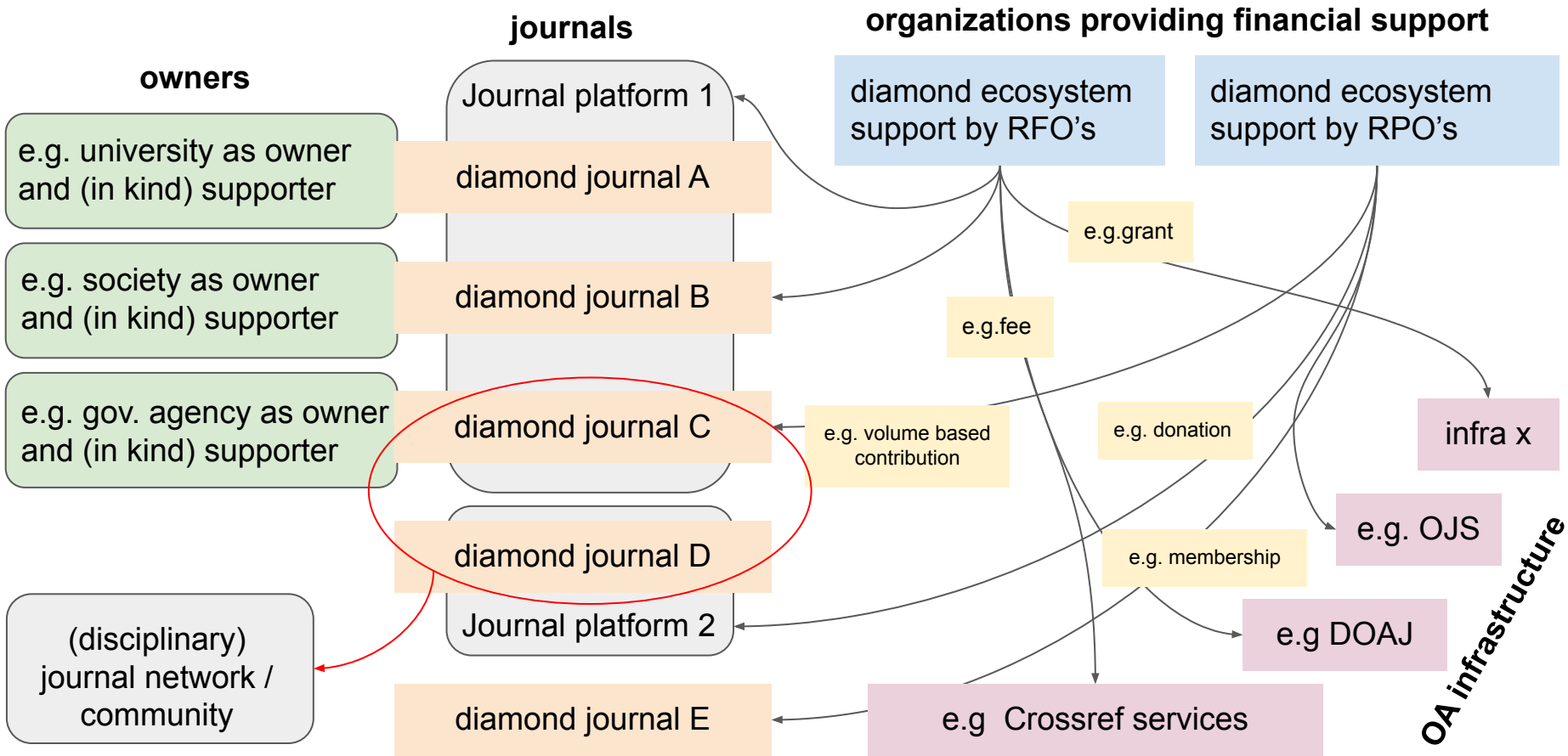
SUBSCRIBE TO OPEN

S20 Community of Practice

Recommendations ◆ Capacity building

Recommendation
Create an OA diamond Capacity Centre
Develop an organised marketplace for OA diamond
Organise an international symposium and workshop to prepare the creation of the Capacity Centre

OA diamond ecosystem



Vision

To create a diverse, thriving, innovative and more interconnected and collaborative OA diamond journal ecosystem that supports bibliodiversity and serves many languages, cultures and domains in the future.

The OA Diamond Journals Study

UIT, Høgskulen på Vestlandet, Universitetet i Stavanger RDA Norway, 20211029 [Online]

Jeroen Bosman (@jeroenbosman) and Bianca Kramer (@MsPhelps)
Utrecht University Library

slides available at https://tinyurl.com/diamond-norway-oaweek

The OA Diamond Journals Study

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