HIGH INTEGRATION OF RESEARCH MONOGRAPHS IN THE EUROPEAN OPEN SCIENCE INFRASTRUCTURE

Deliverables: D4.2: Classification system for peer review procedures

D4.3: Provisional list of open licenses

Contents

Certification service

The objective of the Certification service is to certify open access (OA) book publishers, based on their publishing practices. The service is intended to certify publishers at publisher level and at the level of individual publications. The objective within the HIRMEOS project is to implement the service for publishers that make use of the publishing platforms of project partners (*OpenEdition Books, Ubiquity Press, Göttingen University Press, EKT Open Book Press and OAPEN*). The Certification service is provided by the Directory of Open Access Books (DOAB), which is operated by OAPEN.

The first Deliverable, D4.1, *Governance and quality assurance of service*, provided a set of procedures and measures to manage the Certification service. The deliverables presented in this document outline the requirements that are connected to the certification service:

- D.4.2: *Classification system for peer review procedures* presents a system to determine the type of peer review that publishers use for their book publications.
- D.4.3: *Provisional list of open licenses* lists open licenses that meet DOAB criteria for open access.

Certification procedure

Publishers need to apply for certification through an online application process. They are asked to provide information about the elements that will be reviewed, including links to the information on their website. DOAB reviews the application, classifies the peer review process, and checks the information on the publisher's website.

Terms and conditions

Publishers can request to be certified if they agree to the terms and conditions of the service. Publishers need to provide correct information and may be suspended from certification if there is evidence that the information they provided is incorrect. Suspended publishers may be required to reapply for certification and their certificate may be revoked. DOAB reserves the right to announce such measures through its media channels.

Implementation of Certification service

Within the HIRMEOS project, DOAB will work with project partners to enable the Certification service to be implemented at the level of their publishing platform.

When partner platforms conform to certain specified requirements (outlined below), they will be able to provide the service to the publishers that use their platforms. Each of the publishing platforms has to be reviewed to become a certified partner. Publishing platforms need to enable certification at publisher level, which means they need to work with publishers to achieve certification. In practise, certification is done through an application procedure. This will be part of the validation process of the service within the HIRMEOS project.

In technical terms, DOAB will develop an admin tool for administrators to create/edit/delete records of Peer Review (PR) classifications and PR descriptions and to look up and assign PR type. DOAB will enable publisher level records to be enriched with PR info, classes, and

certificates. DOAB will also enable publisher level PR metadata to be assigned at publication and chapter level.

In addition, DOAB will develop a service for certified partners to feed metadata into DOAB through ONIX or CSV files. The files will be uploaded through a web service or using the FTP protocol.

Governance and organisation of Certification service

The Certification service is conducted by the DOAB review team, under direction of the DOAB Executive Board. The Executive Board will install a Scientific Board (SB) to oversee the certification process.

Scientific Board

The Scientific Board (SB) consists of 5 to 10 members, with experience in SHH scholarship and the editorial side of monograph publishing. SB members have a diverse background, representing different publishing cultures and disciplines. The SB is an independent body, to be consulted in scientific matters. SB members cannot have other roles within DOAB. SB members are appointed for a period of 4 years, and can be reappointed for new terms. The SB is regularly consulted on scientific issues and receives an annual report on the scientific development of DOAB.

The SB elects a member from its midst to act as chair. Decisions are made by majority vote. The chair of the SB acts as advisor to the Executive Board.

The SB has a specific role regarding the Certification service:

- The SB validates the requirements for certification, and decides which types of peer review and which open licenses can be certified.
- The SB decides about certification in unforeseen cases, and can propose a revision of requirements or new requirements.
- The Scientific Board acts as Board of Appeal for complaints from publishers.

Role of Partner platforms

Publishing platforms can become certified as trusted partners in the Certification service, to perform the reviewing process on behalf of DOAB and to administer certificates and uploads for member publishers. This requires a separate review process. Publishing platforms need to adhere to the requirements and terms and conditions of the Certification service. Publishing platforms must be part of the overall governance framework for the Certification service, including the role of the DOAB Scientific Board as overseer of the service. They need to describe how they will organise the reviewing process. They can make use of the same shared working space for reviewing publishers as the DOAB reviewing team, or they can use their own working space, provided the DOAB reviewing team has access rights. They need to provide annual reports on the results of the Certification process. DOAB retains the right to suspend the right to certify publishers, in which case the Scientific Board will be consulted to mediate. Similarly, in case of conflicts of interest, disagreement about certification of a specific publisher or the interpretation of requirements, the Scientific Board will be consulted. Representatives of all certified platforms are invited to join a working group for regularly monitoring of the Certification service.

In short:

- − Platforms review their member publishers on behalf of DOAB.
- − Platforms make use of the application system provided by DOAB.
- − Platforms review their member publishers according to the requirements, including the peer review (PR) process, based on a questionnaire to determine and classify the type of PR.
- − Platforms make use of a shared workspace to which the DOAB review team has access, and they provide annual reports on the results of the Certification service
- − They can ask member publishers for PR documentation and are willing to provide this to DOAB if requested.
- − Platforms accept the Governance framework and the role of the DOAB Scientific Board.
- − DOAB may suspend the right to certify publishers, in which case the Scientific Board will be consulted to mediate.

Working group of Partner platforms

DOAB will install a working group consisting of representatives of all certified platforms for regular monitoring of the Certification service. The working group will be involved in drafting the annual report for the Scientific Board.

Requirements for certification

The certification process is based on a set of requirements around three elements: the publisher's peer review process, the licensing policy, and the information on the publisher's website.

Peer review

Publishers need to have an established peer review process for their OA books. If only part of their list of OA books has undergone peer review, it should be clear which books were reviewed. The peer review process should be transparent and made public through the publisher's website. Peer review should be documented at the level of individual publications. The system to classify the type of peer review is presented below (D 4.2).

In short:

- − Publishers need to conduct peer review (PR) according to a formal process.
- − Publishers are willing to make this process public through DOAB.
- − Publishers fill in a form to determine the type of PR.
- − DOAB classifies the type of PR based on the form (or forms, in case of multiple PR procedures).
- − Publishers need to document the PR process at book level.
- − Publishers are able and willing to share PR documentation with DOAB.
- − DOAB can ask for PR documentation of specific publications.

Licensing

Publishers need to make their publications available under an open license. This can be any Creative Commons license or another open license, as long as the publications are made openly available without any access restrictions. The open license should provide a clear description of user rights, which should be available online. The applicable license should be available within

the publication and also made available through a hyperlink in the accompanying metadata. The provisional list of open licenses that are accepted for certification is presented below (D.4.3).

In short:

- Publishers need to make their publications available under an open license.
- The publication should be made available without access restrictions.
- The license must provide a clear description of user rights.
- The license should be provided within the publication and in the metadata with a link to the description.

Transparency

Publishers need to provide clear information about their OA book offering on their website. This information should include a description of their peer review process and of their licensing policy. DOAB will refer to the guide 'Publisher information on OA monographs'[1], provided by Jisc and OAPEN, with recommendations for information that publishers should make available on their open access offering. The recommendations include providing information about peer review, licensing policy, author charges, availability of OA editions, and self-archiving rights.

Specification of requirements

The requirements concerning peer review and licensing are specified below, in two deliverables:

D.4.2: Classification system for peer review procedures

D.4.3: Provisional list of open licenses

Classification system for peer review procedures

The Classification system for peer review procedures is a system to determine the type of peer review that publishers use for their book publications. The system is based on a variety of practices around peer review and identifies several characteristics to identify the type of peer review. These characteristics are outlined below. This outline is used to develop a questionnaire that publishers can use to determine the type of peer review they use. The questionnaire, which is presented below, will be provided to publishers as a webform and as a PDF document.

Publishers can have different peer review procedures for different books or book series, in which case they will need to fill in the webform more than once. When a form is filled in, a code is generated, which publishers can use to identify the type of peer review for a particular book. The code is attached to the certificate. When users click on the certificate, a brief description of the peer review process appears as a pop-up window.

---

[1] http://www.oapen.org/content/sites/default/files/u6/Guide%20on%20OA%20books%20information%20Feb%202016.pdf

List of Peer review characteristics

- PR before publication
- PR after publication
- PR of proposal
- PR of manuscript
- Open PR
- Single blind PR
- Double blind PR
- PR controlled by publisher
- PR controlled by Editorial Board or Committee
- PR controlled by Series or Book Editor (employed by publisher)
- PR controlled by Series or Book Editor (external)
- PR conducted by Peers external (not affiliated with author's institution)
- PR conducted by Peers internal (within author's institution)
- PR conducted by Editorial Board or Committee
- PR conducted by Series or Book Editor (employed by publisher)
- PR conducted by Series or Book Editor (external)

Questionnaire

HIRMEOS peer review certification draft form

Introduction on form:
This form is part of the DOAB certification service. It is meant to determine the type of peer review that is used for the publication of open access books that are listed in DOAB.
DOAB will provide a code that publishers can use to identify the type of peer review for their open access books.

Question 1:
"Do you conduct peer review for your open access books?"

- o Yes [proceed with question 2]
- o No: your organisation does not meet our requirements for certification [end of questionnaire*]

*If this is the case the reader is referred to the best practice document for more information.

Question 2:
"Do you document your peer review process?"
Explanation on form:
The peer review process needs to be documented to enable DOAB to verify the process. DOAB can request the documentation of specific publications and publishers need to agree to provide the documentation if requested. All peer review documentation will be kept confidential.

- o Yes [proceed with question 3]
- o No: your organisation does not meet our requirements for certification [end of questionnaire*]
- o Other: open (public) [proceed to question 11]

*If this is the case the reader is referred to the best practice document for more information.

Question 3:
"Do you have a uniform peer review process for all your open access book publications?"
Explanation on form:
If a publisher uses more than one procedure for peer review, the form will need to be filled in for each distinct peer review process.

- o Yes: please fill in the form for your peer review process [proceed with question 4]
- o No: please proceed with filling in the form for each separate peer review process [proceed with question 4]

Question 4:
"Are your OA books reviewed before or after publication?"

- o Before [proceed with question 5]
- o After [go to question 11]
- o Both: please contact the DOAB team [link email]

Question 5:
"Is the proposal or the submitted manuscript reviewed?"

- o Proposal only [proceed with question 6]
- o Submitted manuscript only [proceed with question 6]
- o Both [proceed with question 6]
- o Other (for example based on PHD thesis) [go to question 11]

Question 6:
"Is review open, single blind or double blind?
- o Open
- o Single blind
- o Double blind
[All answers: proceed with question 7]

Question 7:
"Who oversees the peer review process?"

- ☐ Publisher
- ☐ Editorial Board or Committee
- ☐ Series or Book Editor (employed by publisher)
- ☐ Series or Book Editor (external)
[All answers: proceed with question 8]

Question 8:
"Who conducts the peer review?"
Explanation on form:
DOAB needs to verify the level of independence of the reviewers. Please select all boxes that apply.
- ☐ Peers external (not affiliated with author's institution)
- ☐ Peers internal (within author's institution)
[if one of the boxes above is ticked, proceed with 9, if not, skip 9]
- ☐ Editorial Board or Committee
- ☐ Series or Book Editor (employed by publisher)

☐ Series or Book Editor (external)
☐ Other [end of questionnaire, contact DOAB team]

Question 9:
"How many referees are used for the peer review process?"
☐ 1
☐ 2
☐ more
[all answers: proceed with question 10]

Question 10:
"What happens with the review report?"

☐ Publisher or Editorial Board/Committee informs author, author decides
☐ Publisher or Editorial Board/Committee rejects or accepts publication (with or without revisions)
☐ Book editor or series editor rejects or accepts publication (with or without revisions)
☐ Other: contact us
[End of questionnaire, except when directed to 11 previously]

Question 11: (post publication review & other category)
"Please provide a description of the review process"
[If this applies the description will be reviewed and a link to the peer review description in DOAB will be included]

Examples of pop-up descriptions of Peer review types

- PR after publication
- PR of manuscript
- Open PR
- PR controlled by Series or Book Editor (external)
- PR conducted by Peers external (not affiliated with author's institution)

- PR before publication
- PR of manuscript
- Single blind PR
- PR controlled by Editorial Board or Committee
- PR conducted by Peers internal (within author's institution)
- PR conducted by Series or Book Editor (employed by publisher)

- PR before publication
- PR of proposal
- Double blind PR
- PR controlled by publisher
- PR conducted by Peers external (not affiliated with author's institution)

List of Open licenses

The provisional list of open licenses is used to determine which licenses meet the requirements for certification. The list is provisional as it can expand over time. Licenses are considered to be open when they allow free and unrestricted access to a publication, when they are clear about user rights and, at minimum, allow users to share the publication with others, without limitation. The full description of Open licenses should be available online, and links to the license should be provided in the metadata of the publication and within the publication itself.

Provisional list

All Creative Commons licenses are accepted.

In addition, the licenses below are accepted.

From DOAB:

OpenEdition licence for Books

All open access books on the OpenEdition Books platform are protected by French Law (droits d'auteur). They are free to read for everybody, without limitation. They can be shared with an embeddable reader, in any context, without limitation. They can be shared for private use as well.[2]

ANU Press

The material is under the copyright of The Australian National University or reproduced with permission from other copyright owners. All electronic versions have been prepared by ANU Press. All rights are reserved. Unless explicitly stated otherwise, the use is free to read, copy, download, print and display the work solely for personal use or use within their organisation. Under certain conditions.[3]

Bloomsbury Open

The user is free to share this work for non-commercial purposes only, providing they give attribution to the copyright holder and the publisher. They may not alter or transform this work without explicit permission in writing from Bloomsbury Publishing.[4]

University of Adelaide Press

Copyright is owned by the University of Adelaide, unless otherwise stated. The copyright in some materials is owned by third parties. The user may download, display, print and reproduce material in unaltered form for their personal, non-commercial use provided that they attribute The University of Adelaide as the copyright owner. This permission does not extend to any material identified as belonging to a third party.[5]

---

[2] http://www.openedition.org/6540?lang=en
[3] http://press.anu.edu.au/about/conditions-use
[4] https://www.bloomsburycollections.com/help#4
[5] http://www.adelaide.edu.au/legals/copyright

Via CrossRef:

[The National Archives Non-Commercial Government Licence](#)

The user is encouraged to use and re-use the Information that is available under this licence freely and flexibly, with only a few conditions.[6]

[The National Archives Open Government License](#)

The user is encouraged to use and re-use the Information that is available under this licence freely and flexibly, with only a few conditions. [7]

---

[6] http://www.nationalarchives.gov.uk/doc/non-commercial-government-licence/non-commercial-government-licence.htm

[7] http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/