

# HIGH INTEGRATION OF RESEARCH MONOGRAPHS IN THE EUROPEAN OPEN SCIENCE INFRASTRUCTURE

## Deliverable 4.1: Governance and quality assurance of service

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<b>Work Package:</b>	WP4 Certification
<b>Objective:</b>	To create and implement a certification system for peer review procedures and open licences, for publishing platforms, at the level of publishers, books, and book chapters
<b>WP task:</b>	Task 4.1 Governance and quality assurance of Certification service
<b>WP leader:</b>	OAPEN
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## HIRMEOS

The main objective of the HIRMEOS project is to improve five important publishing platforms for the open access monographs in the social sciences and the humanities and enhance their technical capacities and services, rendering technologies and content interoperable and embedding them fully into the European Open Science Cloud.

The platforms participating in the project (*OpenEdition Books, OAPEN Library, EKT Open Book Press, Ubiquity Press and Göttingen University Press*) will be enriched with tools that enable identification, authentication and interoperability (DOI, ORCID, FundRef), tools that enrich information by entity extraction (INRIA (N)ERD), the ability to annotate monographs (Hypothes.is), as well as gather usage and alternative metric data.

HIRMEOS will also enrich the technical capacities of the Directory of Open Access Books (DOAB), the most significant indexing service for open access monographs globally, to receive automated information for ingestion, while it will also develop a structured certification system to document monograph peer review. Accordingly, the platforms will be improved to be able to provide the information to DOAB automatically.

## DOAB

DOAB is a discovery service for OA books, containing a list of publishers of peer-reviewed monographs and edited collections, with the metadata of their OA books. DOAB contains the largest worldwide collection of OA books, with currently 8550 OA books from 223 book publishers. Publishers can join the list if they publish peer-reviewed monographs under an open license. Publishers apply to be listed, and DOAB reviews the peer review process and checks if the books are published under an open license. Once accepted to be listed in DOAB, publishers can upload the metadata of their OA publications. DOAB provides links to the books, and publishes descriptions of the publisher's peer review procedure and licensing policy, including links to the relevant sections on the publisher's website.

## 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. Deliverable 4.1, *Governance and quality assurance of service*, provides a set of procedures and measures to manage the OPERAS Certification service.

## 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, 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.

### Criteria for certification

The Certification service will be based on a review of three elements: the publisher's peer review process, the licensing policy, and the information on the publisher's website.

To a certain extent, this is a continuation of the existing requirements to be listed in DOAB, as stated on [www.doabooks.org](http://www.doabooks.org)<sup>1</sup>:

- *Academic books in DOAB shall be available under an Open Access license (such as a Creative Commons license);*
- *Academic books in DOAB shall be subjected to independent and external peer review prior to publication.*

*The policies and procedures regarding peer review should be clearly outlined on the publisher's website.*

However, the requirements for the Certification service will be formalised and enhanced through the Governance and quality assurance framework for the service.

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<sup>1</sup> <http://www.doabooks.org/doab?func=forPublishers&uiLanguage=en#requirements>

## Governance and quality assurance framework

The Governance and quality assurance framework provides a set of requirements, procedures and measures to manage the OPERAS Certification service, as outlined below.

### 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. DOAB will classify the type of peer review using a classification scheme (D 4.2), based on information provided by the publisher through an online questionnaire.

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 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. DOAB will provide a list of open licenses that are accepted for certification (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’<sup>2</sup>, 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 will be specified in two deliverables:

- D.4.2: Classification system for peer review procedures (M9)
- D.4.3: Provisional list of open licenses (M9)

### 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.

### Governance

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 SSH 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.

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<sup>2</sup><http://www.oapen.org/content/sites/default/files/u6/Guide%20on%20OA%20books%20information%20Feb%202016.pdf>

- 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.

### Organisation of Certification service

The DOAB review team is responsible for daily operation of the Certification service. The review process is conducted in a shared working space to which the Scientific Board (SB) has access.

How the review is to take place, is to be determined in consultation with the SB.

One or more members of the SB will follow the review process on behalf of the SB - this can be the chair of the SB or SB members in a revolving system - to be determined by the SB.

Both these SB members and the DOAB review team can decide that a specific review process should be discussed within the SB.

### 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 set up an application process or 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.



## Annex: Categorisation of peer review practises

This is a first draft for the categorisation of peer review practises, which will be used as a basis for the questionnaire to determine the type of peer review conducted by book publishers. The categorisation and information from the questionnaires will be used as input for a classification system to indicate the types of peer review practises.

1. Documented and undocumented review  
Documented: DOC  
Undocumented: UND
2. Documented: (Explicit), public and classified peer review  
Public: DPU  
Classified: DCL
3. Pre- and post-publication review  
Pre: PRE  
Post: PST
4. Open (public) and closed review  
Open/public: PUB  
Closed: CLO
5. Review of proposal and of submitted manuscript  
Proposal: PRP  
Manuscript: MAN
6. Open, single blind and double blind review  
Open: OPN  
Single: SBL  
Double: DBL
7. Review by peers and/or editorial committee  
Peers: PEE  
Editorial committee: ECM  
Editorial process: EDP
8. External and internal review (within institution)  
External: EXT  
Internal: INT
9. Review results binding or not binding  
Binding: BIN  
Not binding: NBI
10. External review, number of reviewers  
1: EX1  
2: EX2

More than 2: EX>2

11. Review conducted by editor or by reviewer

Editor: EDR

Reviewer: REV

12. Review by editor: controlled by publisher (internal editor) or by (external) editor (including 'herausgeber')

Internal editor: IED

External editor: EED

13. PHD Review: PHD

14. Review based on previous works: PRV