

Diamond Open Access Standard (DOAS) **Guide for Journals**

Diamond Open Access Standard (DOAS) sets out guidelines for Diamond publishing. It helps scholarly publishers ensure quality and transparency in journal publishing processes.

The original version of DOAS is intended for Diamond open access (OA) publishers and service providers. However, improvements in individual journals are usually made by editorial bodies. To ensure wide uptake, this guide translates the DOAS requirements to the context of individual journals, making it easier for editorial bodies to align their journals with the DOAS requirements. It complements existing guides and checklists for enhancing journal quality and can also help journals in preparing for indexing in the Directory of Open Access Journals (DOAJ).

How to use the DOAS Guide for Journals

The Guide provides an overview of essential requirements (REQUIRED) and additional recommendations for further improvement (DESIRED) according to the seven core components of scholarly publishing:

- 1. Funding
- 2. Legal ownership, mission and governance
- 3. Open Science
- 4. Editorial management, editorial quality and research integrity
- 5. Technical service efficiency
- 6. Visibility, communication, marketing, and impact
- 7. Equity, Diversity, Inclusion and Belonging (EDIB), multilingualism and gender equity

Analyse your journal against these requirements and identify areas for improvement.



To help journals to prepare for indexing in DOAJ, DOAS requirements that align with DOAJ's Guide for Applying are marked with this sign for easy identification.

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1. Funding

Although Diamond OA is free to the author and reader, it has a cost. To uphold the quality of Diamond OA publishing, it is necessary to ensure that more equitable publishing can be financially sustained and developed in the short, medium and long term.

1	.1. Diamond UA Model
F	REQUIRED
	No paywalls . The journal does not charge fees to authors for publishing or to readers for reading.
	Transparency on paywalls. The journal provides explicit information on its website that no fees are charged to either authors to publish or readers to read, as well as if there are any other types of fees involved.
1	.2. Sustainability
F	REQUIRED
	Financial support. The journal is directly or indirectly funded by public funds or other

revenue streams to enable free access to the author and reader, ideally covering all costs.

DESIRED

Costs. The costs of journal operations are identified year-on-year. Journals are able to

plan their annual costs and to balance them with expected incomes and in-kind contributions using a tracking system, such as a budget. ☐ Sustainability plan. The journal considers the medium-term economic viability of its operations. It has a clear overview of available funding sources and other relevant external and internal (in-kind) resources, aligned with set expectations of future maintenance and developmental costs. In achieving its goals, the journal preferably deploys collaborative strategies and uses common open infrastructures, to cut costs and raise efficiency.

☐ **Transparency on funding.** An explicit statement about the funding streams is available on the journal website. In-kind and voluntary contributions are acknowledged.

➤ Guidelines: <u>Sustainability resources</u>

1.3. Editorial Independence

REOUIRED

■ Editorial operations. Editorial operations related to content and peer review are independent and free from influence from the bodies that financially support the publisher or bodies that support the journal.

DESIRED

Revenue streams. The origin of the revenue streams is in line with the values, expectations, and traditions in the disciplines the journal is serving. They do not have an impact on editorial independence. Any conflicts of interest between additional revenue streams (including commercial activity) and authors, reviewers, or editors are clearly indicated.

2. Legal Ownership, Mission and Governance

To uphold the quality of Diamond OA publishing, it is essential to establish transparent, robust, and community-oriented ownership structures, mission, and governance mechanisms. Maintaining scholarly ownership and promoting scholarly community control, accessibility, accountability, and collaboration is key for the ethos of Diamond OA publishing.

➤ Learn more: <u>Ownership and governance</u>

2.1. Ownership

Scholarly community. The journal must be owned by a public or not-for-profit organisation (or parts thereof) whose mission includes performing or promoting research and scholarship.
Ownership statement . A statement about the ownership of the journal is provided on the journal website. It specifies the legal relationship between the publisher and the journal and provides an explicit and unambiguous definition of the editors' rights/duties. It also includes details about potential discontinuation of the journal and the transfer and preservation of its assets.
Changes in ownership . Changes in the ownership, relationships and rights/duties must be handled with care and transparently by publishers. A change in the service provider (for example, publishing infrastructure) should be achieved without changing the journal title, owner, or publisher.
Transparency in ownership . The journal provides information about its ownership structure on its website.

2.2. Mission and Governance

	Mission. The journal's mission statement, aims, and scope are displayed on the journal website.
	Publisher . The journal must provide the name and address of the publisher, with a link to the publisher website, if available. The publisher information on the journal website must match what is shown at the <u>ISSN Portal</u> .
	Co-publishing (if applicable). The relationships among co-publishers are defined by a formal agreement and clearly indicated on the journal website.
	Roles and responsibilities: publisher and editorial bodies. The roles and responsibilities of the publisher, editorial bodies, owners and publishers towards authors, reviewers, readers and the scholarly community, journal and platform owners, publisher, and the public are clearly defined.
	Selection procedures . Procedures for the selection of members of editorial bodies, including the mandate length, regular renewal process, and dissolution of the editorial board, are clearly defined.
	Roles and responsibilities: peer review. related to the peer review process are described in detail on the journal website. Crucial aspects of the peer review process must not be left to publication technicians or Al.
	DESIRED
	Scholarly community driven. The journal liaises with scholarly community stakeholders and allows their input in defining the journal's strategic direction and decision-making. This information is displayed on the journal website.
>	Guidelines: Implementing community-led governance in publishing services
2	2.3. Relations with Service Providers (SPs)
0	DESIRED
	Agreement between the publisher and service providers. The publisher has clearly defined (e.g. by means of service level agreements) commercial and/or non-commercial relationships with various SPs that are responsible for distinct technical and non-technical aspects of the publishing workflow (e.g. ownership of infrastructure, copy-editing and typesetting services used, etc.)

3. Open Science Practices

The growth of Diamond OA publishing is strongly linked to the development of Open Science (OS) practices. OS refers to practices and methods based on transparency, collaboration, and openness in scientific research. These practices make research more accessible, reproducible, and impactful by promoting the sharing of data, methods, and results.

➤ Learn more: Open Science Practices

3.1 Open Policies

		Open Access. The journal is published in open access.
		Facilitating compliance with OA mandates. The journal enables compliance of their authors with the open access mandates of their funding agencies, as well as the institutional, and/or national OA policies regarding journal articles (where relevant).
		Underlying research data. The journal recognises the essential role of the research data underlying published articles in supporting conclusions and reproducibility and implements a policy for this data (see more details below). This information is displayed on the journal website.
	D	DESIRED
		Research data policy. The journal policy encourages authors to make the research data underlying submitted manuscripts available to editors and reviewers during the manuscript review process. Additionally, it stipulates that the underlying data be accessible to all individuals by the time of publication according to the <u>FAIR principles</u> through repositories that provide persistent identifiers (PIDs) and enable describing data with publicly available metadata and establishing links between the data and publications.
		Research protocols and methods. The journal policy encourages the sharing of research protocols and methods in public repositories that provide persistent identifiers (PIDs). This is a good open science practice that allows others to replicate and build on published work.
		Open research software. To facilitate reproducibility and FAIRification of research, the journal encourages the use of free/open-source software. To this end,the journal has a policy on the availability of research software and asks authors to provide a statement on software availability.
		Publication and sharing of negative scientific results. The journal acknowledges that the publication of negative or unexpected scientific results and data that do not confirm the initial hypotheses and experimental designs contributes to the advancement of science and scholarship and it encourages submission of manuscripts presenting such results

➤ Guidelines:

- Research data sharing policy
- Availability of research protocols, methods and software
- Handling negative research results

3.2. Authors' Rights, Intellectual Property Rights, and

Licensing **REOUIRED**

	Rights retention policy. The journal enables authors to retain sufficient rights for their works to enable open access and immediate reuse.
	Open licence. All contributions are published under an open licence (preferably CC-BY) to ensure further reuse without restrictions.
	Transparency on rights retention publication policy. Publishing agreements or terms of use describe content ownership and reuse rights. This information is publicly available on the journal website.
D	DESIRED
	Third-party copyright. The journal has a clear policy on reusing third-party materials in

journal articles. User rights. The journal provides complete and reliable information about the terms of use of its content and services on its website. Users' rights, conditions of reuse, and redistribution of content and metadata are clearly described and labelled in human and

computer-readable form, using standardised systems of open licences and rights statements.

➤ Guidelines:

- Copyright, authors' rights policy
- Use of open licenses in open access publishing

3.3. Repositories

REOUIRED

Deposits of published articles. The journal allows dissemination of the article preprint version at any time, the Author Accepted Manuscript (AAM) version after acceptance, and/or the Version of Record (VoR) after publication in a repository of the authors' choice.

DESIRED

Acceptance of preprints. The journal accepts the submission of unreviewed and peer-reviewed preprints that are already available on preprint servers or in repositories.

➤ Guidelines:

- Self-archiving policy
- Preprints

4. Editorial Management, Editorial Quality and Research Integrity

Editorial management, editorial quality, and research integrity are key pillars of all scholarly publishing models. These elements guarantee credibility and a high-quality, trustworthy scholarly communication system.

➤ Guidelines:

• Basic editorial information that should be displayed

legal protection and kept confidential as needed.

• Diamond OA policies

4.1. Editorial Bodies

Editorial independence. Editors-in-chief and/or Editorial Board have full responsibility over the entire editorial content of the journal. Editorial bodies transparency. The journal has a clearly defined and publicly displayed composition and constitution of its editorial bodies including: the names of the members of the editorial bodies and their affiliations; their editorial functions and roles; their PIDs and links to their institutional profiles to unambiguously specify the identity and affiliation of individual editorial bodies and board members. Communication procedures between the journal and the publisher. There are established procedures to facilitate communication between the journal's editorial bodies and the publisher. These procedures aim to discuss political, commercial, or other incidents that might compromise the scientific credibility of the publication. They also facilitate the agreement on collaborative measures to ensure that such incidents do not influence the editor's decisions. Correspondence between referees, authors and publishers is subject to

Skills/training and community engagement. The journal supports and/or provides continuous training and education of journal editors and authors, which is essential in navigating the rapidly changing scholarly communication environment. The journal promotes high-quality, inclusive, and impactful academic publishing practices by equipping the community with the knowledge and skills necessary to adapt to technological, ethical, and policy changes and open science principles.

4.2. Peer Review

	Peer review. The journal guarantees that all submitted manuscripts undergo a rigorous evaluation process before and/or after publication that is in line with accepted practices in the relevant discipline. This evaluation process can involve peer review, or another type of evaluation by more than one competent person who has no conflict of interest with the author(s).
	Peer-review policy and procedures. The journal has a publicly available policy describing the evaluation or peer review process (both internal and external), indicating whether it is double-anonymous, single-anonymous, open peer review, etc., and specifying the tasks expected of reviewers. It indicates whether reviews will be public or not (in which case, it will be specified whether they are transmitted to the author in full or edited). It also specifies the type of manuscript evaluation process. Evaluation can take place before or after publication, depending on the peer review model adopted: pre-publication peer review, post-publication peer review (Publish, Review, Curate – PRC – models), etc.
	Lack of endogeny. The journal guarantees that the practice of reviewing manuscripts within a closed circle of people who are well acquainted with each other or work in the same institution is minimised. A formal recusal process when an editorial board member publishes in the journal (i.e. how they recuse themselves from the usual editorial and peer review process) is described in the editorial policy to help manage a potential conflict of interest of an editor or reviewer and avoid receiving preferential treatment.
D	DESIRED
	Open peer review. The journal provides all reviewers with the possibility of publishing and/or signing their reviews (either with their identity only visible to the editor, author, and the other reviewers, or with their identity visible to all readers), and/or the journal makes reviews publicly available to a broader community.
	Other contributors' copyright. The journal guarantees that reviewers and other contributors hold the copyright of their reviews and contributions, and that editorial bodies and institutions retain ownership of all correspondence and mailing lists compiled on the online submission system.
	Acknowledgement of reviewers. The journal publishes the list of reviewers (with their consent) on a regular basis, at least every three years.
	Incentives and rewards. The journal has an incentives and rewards policy that guarantees reviewers get proper acknowledgement. Editorial work is rewarded as an academic activity by the institution employing the editor.

4.3. Editorial Quality

	Guidelines for author(s). The journal has clear guidelines for authors on its website. These guidelines must contain information on: how to submit manuscripts; formats of accepted files; supplementary materials and accepted data files; style guidelines and manuscript writing requirements for the correct preparation of titles, abstracts, keywords, professional affiliation, and bibliographic references; the editorial process followed by submissions: criteria for acceptance or editorial flow, review process, proofreading, estimated time between each part of the process, review protocols, and selection and publication criteria.		
	Guidelines for reviewers. The journal provides reviewers with clear instructions and guidance (reviewing forms, free text options, and checklists) on the journal's aims and scope and what is expected of them in the review process.		
	Manual of style. The journal applies a manual of style. It includes the appropriate use of symbols, units, nomenclature, statistics, standards, and similar items, specifying the citation style adopted.		
	Suitable layout. The journal has a homogeneous layout.		
	Proofreading correction. The journal has standard copy-editing and proofreading procedures in place.		
	Languages of submission. The languages in which manuscripts can be submitted are clearly indicated on the journal website.		
	Publishing timelines. The journal has a regular schedule of publication, either issue by issue or via continuous publication. Continuous publication is recommended in the interest of Open Science. The date of submission, acceptance and publication is visible for each article.		
>	Learn more: <u>Editorial Ouality</u>		
4	e.4. Research Integrity		
REQUIRED			
	Research and publication ethics. The journal adheres to international standards and codes of ethics or has its own publicly accessible code of ethics. This information is displayed on the journal website.		
	Conflict of interest. The journal has consistent workflows requiring authors, editors, and reviewers to disclose general and financial conflicts of interest or the absence thereof (i.e. in the Conflict of Interest statement). This information is displayed on the journal website.		



Misconduct policy. The journal has a policy on how plagiarism, fabrication (making up data), falsification (manipulating materials, equipment, data, images or processes), complaints, appeals/allegations of research misconduct, and corrections, withdrawals and retractions are handled. This policy is displayed on the journal website.

DESIRED

- Guidelines for authorship and/or contributorship. The journal provides authorship and/or contributorship guidance, respecting the norms of relevant research disciplines. Contributions for deserving authorship include not only the writing but also the activities related to the conceptualisation and execution of the research, collection and production of the research data/materials, analysis and interpretation. Agreement on how these contributions will be acknowledged in the publication must be reached before submission of the manuscript, preferably early in the research process. The journal ensures good communication between all parties within the research to prevent or resolve possible disputes and authorship manipulation. The contribution of each researcher/collaborator should be published in the journal article.
- ☐ Guidelines for generative Artificial Intelligence tools. The journal has a guideline on the use of generative AI tools, respecting changes of the research process in a technology-enhanced environment, and is informing and educating researchers/authors, reviewers and editors about responsible use of generative AI tools. This policy is displayed on the journal website.

➤ Learn more: Research Integrity

5. Technical Service Efficiency

Ensuring the efficiency of technical services is crucial for sustaining the functionality of publication platforms and safeguarding the security of scientific outputs. This not only fosters collaboration and transparency but also guarantees the accessibility and long-term preservation of research results through interoperability and proper maintenance practices. These efforts collectively guarantee a resilient and sustainable ecosystem for Diamond OA scholarly publishing.

Learn more: Software and Interoperability

5.1. Publishing Infrastructure

REOUIRED

☐ **Use of the publishing platform.** The journal's digital publishing platform supports online submission, editorial, and publishing workflows.

	Security. The publishing infrastructure complies with the security standards established by law. When no standard exists, the publisher will apply at least those measures necessary and sufficient to keep the system protected from malicious intrusions.
	Basic functionalities. The publishing platform has basic functionalities like assisting in the publishing workflow, being compliant with standards, allowing multilingual support, preferably including an accessible, responsive and usable interface, being interoperable or being able to support rich metadata.
	Basic infrastructure management. The publishing platform is well maintained, updated, regularly backed up and protected against security threats.
	Long term preservation. The journal has a publicly displayed archival and digital preservation policy which is consistently implemented. The published content is deposited in at least one digital preservation service.
D	DESIRED
	Documentation. The journal provides user instructions and documentation for editorial staff and end users and has General Terms and Conditions for the use of the publishing infrastructure or platform. This information is displayed on the journal website.
	Advanced functionalities. The publishing platform offers advanced functionalities like post-publication evaluation and commenting, support for multimedia, and open peer review.
	Advanced infrastructure management. The publishing platform is maintained and developed following best practices and standards for IT service management (e.g. FitSM and other certification frameworks) to ensure improved efficiency, quality and consistency, risk reduction, and continuous improvement.
>	Guidelines: Choosing a platform
5	.2. Interoperability and Metadata
R	EQUIRED
	Core metadata. The journal provides the following essential metadata on landing pages and via metadata exchange protocols, in human and machine-readable formats and under a CCO licence for each published item: title, full names and institutional affiliations – including country/region – of all author(s)/contributor(s), abstracts and keywords, funding information (as a minimum the name of the funder and the grant number/identifier), and information about the open access status, copyright holder and licensing.
	Persistent identifiers. The journal provides a dedicated unique URL (landing page) and a persistent identifier for each article. Journal standard numbers and persistent identifiers for articles, contributors, as well as other relevant persistent identifiers, are also provided

in human and machine-readable formats.

		Registration of persistent identifiers. Article identifiers (e.g. DOI, ARK, etc.) are registered with registration agencies immediately at publication.
		Citations. The journal specifies the adopted citation style (how to cite), and offers different options for different standards (APA, Harvard, ISO, Vancouver or other).
	D	ESIRED
		Interoperability protocols. The publishing platform supports widely adopted metadata exchange protocols (OAI-PMH, API) and the most common metadata schemas, as well as bulk export of metadata. The journal website provided information about the interoperability protocols used and how to access them.
		Complete metadata . Complete metadata, including bibliographic references, are immediately deposited in a registration agency in line with open metadata initiatives.
		Text and data mining. The publishing platform supports automatic downloading, extraction and indexing of the full texts and the associated metadata with the aim of improving the visibility and usability of the published content.
		Formats. The journal's full-text content is provided in multiple interoperable digital formats (e.g. PDF, HTML, XML, ePub, etc.), at least one of which is suitable for preservation.
		Personal Data Protection. The journal complies with the General Data Protection Regulation (GDPR) and all relevant personal data regulations. This policy is displayed on the journal website.

➤ Learn more:

- Metadata
- Preservation and content formats

➤ Guidelines:

- <u>Metadata formats and export, identifiers, CRediT tags, bibliographic references,</u> <u>JATS XML or equivalent</u>
- GDPR and Personal data

5.3. Collaboration

DESIRED

Open source. The publishing infrastructure is based on free and open-source software, with publicly available code. This facilitates interoperability, the sharing of expertise, and collaboration between publishers, while at the same time allowing them to retain know-how and technological autonomy to avoid vendor lock-in and adapt developments to their local needs.

Return to the community. The publisher participates in the development community by
contributing bugs detected, translations into local languages, documentation, bug fixing
or developments to promote collective growth.

6. Visibility, Communication, Marketing, and Impact

Enhancing visibility, communication, marketing, and impact are essential imperatives for all scholarly communication to be effective. These practices enable scholars to amplify the reach and influence of their research.

➤ Learn more: <u>Visibility, indexation, communication, marketing and impact</u>

6.1. Presence

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Visibility. Reasonable technical measures are taken towards improving the visibility of the journal in search engines (general and academic) and aggregators.
Discoverability. The journal works to increase the discoverability of its published content by registering its platform for harvesting by relevant discovery services and aggregator databases, and by submitting its content to abstracting and indexing databases and citation indexes.

6.2 Communication

0	DESIRED
	Communication channels. The journal has unhindered and reliable channels for communication and dissemination of its content to academia and society at large. The use of social media and social networking, collaboration with the media and the use of traditional and modern dissemination methods, which help spread the content to a broader audience, are guided by the journal's dissemination policy.
	Community management. The community of users is regularly informed of developments, policy changes, updates, new features, and functionalities, as well as about new issues. All the information provided by the journal is accurate, reliable, regularly updated, and not misleading in any way.
	Marketing. The journal's staff engages in appropriate and well-targeted promotional activities (including solicitation of manuscripts for the journal). It supports the promotion of the journal's published content (e.g. by inviting post-publication reviews of outputs,

	post-publication online comments, writing press releases, working with the media) in order to reach broader sectors of society.			
	Visual identity. The journal has a distinct visual identity (e.g. a logo, corporate images, colours, etc.).			
>	► Guidelines: Marketing, communication and visibility			
6.3. Analysis				
DESIRED				
	Metrics. The journal offers comprehensive, accurate and reliable metric indicators detailing content usage, (e.g. article-level metrics: visits, views, downloads, citations), along with publication-level metrics, altmetric indicators, and geographical distribution of visitors.			
	Analytical tools. The information about the use of analytical tools, algorithms, methodologies and/or external service providers employed for data generation and collection is clear and transparent. This requirement is aligned with data protection regulation.			

7. Equity, Diversity, Inclusion, and Belonging (EDIB), Gender, and Multilingualism

Journals should raise awareness among authors, members of editorial boards (and any supporting committees), peer reviewers, and journal staff on the diversity and pluralism of the stakeholders' linguistic, cultural, gender, academic, geographical, organisational, economic backgrounds, and accessibility.

➤ Learn more: Equity, Diversity, Inclusion and Belonging (EDIB)

7.1. EDIB and Gender

➤ Guidelines: <u>Usage and metrics</u>

REQUIRED

■ Equity in submissions and decisions. The journal accepts submission of manuscripts within its thematic scope and language from all potential authors and decision-making concerning content acceptance is without regard to

	authors' language, race, gender, age, sexual orientation, religious belief, ethnic origin, geographic location, or political philosophy.			
	Bias-free language. The journal uses bias-free language related to age, disability, gender, racial and ethnic identity, sexual orientation, and socioeconomic status.			
	Research data sensitiveness. The journal requires authors to inform whether the underlying research data of their publications are sensitive to age, disability status, sex, gender identity, racial and ethnic identity, sexual orientation, and /or socioeconomic status.			
0	DESIRED			
	EDIB policy at the journal level. The journal has a policy that sets principles, commitments and actions for promoting EDIB in terms of linguistic, gender, cultural, academic, geographical, organisational, economic backgrounds and disabilities within its editorial staff and boards, as well as reviewer and author pools. This information is displayed on the publisher's website.			
	EDIB monitoring. The journal collects and makes available data on gender balance, on country of origin, on organisational affiliation, and on the proportion of early career researchers (1-7 years from degree) among the members of the governing and management bodies, of the editorial staff and boards, of the reviewer pools and of the authors' pool. This is done without detracting from individuals' rights to not report some of this data if they don't wish to.			
>	Learn more: Gender diversity			
>	► Guidelines: <u>Gender diversity</u>			
7.2. Accessibility				
F	REQUIRED			
	Accessible website. The publishing platform is accessible under the terms of applicable international, national or local accessibility laws and policies.			
C	DESIRED			
	Monitoring. The journal collects and makes available data on the amount of feedback received relating to shortcomings in all the journal's accessibility standards, as well as a record of improvements to the standards.			

➤ Guidelines: <u>Accessible/inclusive website</u>, content and metadata

7.3. Multilingualism

REOUIRED

	Full text. Journals can publish full text in more than one language, either as bilingual parallel text or as sequential separate documents. Website and content. The journal website offers multilingual content where relevant. The information provided on the website must be the same in all languages.
0	DESIRED
	Abstracts. Abstracts are published in at least two languages, where relevant. Plain language summary. The journal provides plain language summaries alongside the traditional scientific abstracts.
	Translation. The journal provides support for human translation and language-check services to authors.
	Language technologies. The journal integrates a computer assisted translation (CAT) tool/solution on its website, if tools that can provide sufficiently good translations are available, and provides machine-translation friendly abstracts. Automatic machine translation is not used for publishing manuscripts in language(s) other than the original without the supervision of translators and/or experts.
	Metadata translation. The journal offers metadata in English if the language of the text is not English.
	Learn more: Multilingualism

Learn more: <u>Multilingualism</u>

➤ Guidelines: <u>Multilingualism</u>