DOAS v2.0 Books draft for public consultation

1. Funding

Although Diamond OA is free to the author and reader, it has a cost. Quality criteria in this area are necessary to ensure that more equitable publishing can be financially sustained and developed in the short, medium and long term.

1.1. Diamond OA model

- No paywalls. The publisher publishes its journals and/or books without charging fees to authors for publishing or to readers for reading. (REQUIRED)
- Transparency on paywalls. The publisher provides explicit information on its website that, for books, book series, or collections published in a Diamond OA model, an OA version of each book is made freely available immediately upon publication, without delay or embargo, without access charges to readers and without imposing fixed or predetermined publication charges on authors as a condition of publication. This does not preclude voluntary financial contributions from authors or their involvement in securing project-based, institutional, or other third-party funding for publication. If print editions or other commercial formats are available for purchase, the publisher indicates that these are separate from the freely accessible OA version. (REQUIRED)

1.2. Sustainability

- Financial support. The publisher 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. (REQUIRED)
- Costs. Costs are identified year-on-year. Publishers 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. (DESIRED)
- Sustainability plan. The publisher considers the medium-term economic viability of its Diamond OA model. 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, a publisher preferably deploys collaborative strategies and uses common open infrastructures, to cut costs and raise efficiency. (DESIRED)
- Transparency on funding. An explicit statement about the publisher's funding streams is available on the publisher website. The in-kind and voluntary contributions are acknowledged. (DESIRED)

1.3. Editorial Independence

- Editorial operations. The publisher retains responsibility for the editorial evaluation and peer review of its publications, including where financial support is provided to the publisher or to individual publications. Funding bodies may define thematic priorities for the publications or programmes they support, as well as eligibility criteria or quality-assurance requirements, provided that these are consistent with the publisher's mission. The publisher does not permit funding bodies to direct the acceptance or rejection of individual proposals or manuscripts, override its editorial scope or quality standards, or compromise fair and equitable editorial processes. (REQUIRED)
- Revenue streams. Financial support for publications is strictly separated from editorial work. The publisher should define its own publishing profile, priorities, and scope. However, the ability to accept new publications may be affected by the publisher's capacity. The publisher ensures that funding bodies, parent organisations, authors or other contributors do not exert undue influence over editorial decisions. (DESIRED)

2. Legal Ownership, Mission and Governance

To uphold the quality of Diamond open access publishing, it is essential to establish transparent, robust, and community-oriented ownership structures, mission, and governance mechanisms. Maintaining scholarly ownership in the public domain, and encouraging scholarly community control, accessibility, accountability, and collaboration to be promoted, is key for the ethos of Diamond OA publishing.

2.1. Ownership

- Community ownership or public-interest support. The publisher must either be owned by a public or not-for-profit organisation (or part thereof) whose mission includes performing or promoting research and scholarship, or be an independent publisher with a scholarly, cultural or other public-interest mission whose role is formally recognised through public funding, subsidy or selective acquisition programmes, or through ongoing or collective support from public-interest institutions. Payments tied solely to the publication of individual authors or manuscripts do not qualify. (REQUIRED)
- Changes in ownership. Any changes in the ownership, organisation type, or control of the publisher must be transparently communicated. (REQUIRED)
- Transparency in ownership. The publisher offers information about its ownership structure on its website. (REQUIRED)

2.2. Governance

- Mission. The publisher should establish a clear mission statement and make it publicly visible on its website or as part of its book series to ensure transparency and communicate their publishing values. (REQUIRED)

- Scholarly community-driven. The publisher's governance has mechanisms to liaise with scholarly community stakeholders and to allow their input on its strategic direction and decision-making. This information is displayed on the publisher's website. (DESIRED)
- Co-publishing. The publisher ensures co-publishing relationships (together with the rights attribution between the co-publishing entities) are clearly indicated on books and/or book series. (REQUIRED)
- Roles and responsibilities. Publishers must list the different roles taken by those with editorial and governance responsibilities. This includes making clear who is responsible for editorial decisions, and how this relates to other key stakeholders (e.g. authors, reviewers). Roles and responsibilities related to the peer-review process are described in detail on the publisher's website. Responsibility for crucial aspects of the quality control process must not be left to technical staff or AI. (REQUIRED)
- Transparency in publisher governance board selection. The publisher should provide information on its website about the selection protocol for its publications committee/editorial board that makes strategic and content decisions for the publisher, any advisory boards, and any book series editorial boards. (DESIRED)

2.3. Relations with Service Providers (SPs)

- Agreement between publisher and SPs. Publishers might have commercial and non-commercial relationships with various SPs that are responsible for distinct technical and non-technical aspects of the workflow (e.g. ownership of infrastructure, copy-editing and typesetting services used, etc.). The publisher is clear about the workflow and the use of SPs and relationships with them. These might be different for each SP and for different journals and/or books. (DESIRED)

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.

3.1. Open Policies

- Open Science policy. The publisher has an OS policy that shows it is aware of the value of the OS and understands what it entails. (DESIRED)
- Open Access. The publisher publishes some of its books in Diamond OA. (REQUIRED)
- Facilitating compliance with OA mandates. The publisher enables compliance of their authors with the OA mandates of their funding agencies, as well as the institutional, and/or national OA policies regarding journal articles and/or books and book chapters. (REQUIRED)
- Research data policy. The publisher makes publicly available a policy addressing research data associated with its books, where applicable. The policy may account for differences between disciplines, types of books, and forms of research data. (DESIRED)

- Data policy content. The publisher's policy encourages the submission of underlying data for publications to be available to editors and reviewers during the manuscript review process. Additionally, it stipulates that this data will be accessible to all individuals by the time of publication in a FAIR manner through repositories, providing persistent identifiers (PIDs) and their connection from the publication to the data and from the data to the publication, and publicly available metadata. (DESIRED)
- Research protocols and methods. The publisher has a policy on research protocols and methods availability for all its journals and/or books. It encourages sharing them in public repositories, using PIDs for making the relevant connections. This is a good OS practice that allows others to replicate and build on published work. This information is displayed on the publisher's website. (DESIRED)
- Open research software. To facilitate reproducibility and FAIRification of research, the publisher encourages the use of free/open-source software. To this end, the publisher/journal/book series defines a policy on the availability of research software and asks authors for a statement of availability. (DESIRED)
- Publication and sharing of negative scientific results. Publishers acknowledge that the publication of negative or unexpected scientific results and data that do not confirm the initial hypotheses and experimental designs of the authors contribute to the advancement of science and scholarship. (DESIRED)

3.2. Authors' Rights, Intellectual Property Rights, and Licensing

- Rights retention policy. The publisher guarantees that authors retain sufficient rights for their works to enable them to be openly accessible and immediately reusable, in all its publications. (REQUIRED)
- Open Licence. All contributions are published under an open licence (preferably CC-BY) to ensure further reuse without restrictions. (REQUIRED)
- Third-party copyright. The publisher has a clear policy on reusing third-party materials in journal articles, books and book chapters and how to deal with all the complexities that arise from combining elements with different usage rights. (DESIRED)
- User's rights. The publisher provides its users with complete and reliable information about the terms of use of all its book and journal content and services through 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. (DESIRED)
- Transparency on rights retention publication policy. Publishing agreements or terms of use describe the content ownership and reuse rights. This information is publicly available on the publisher's website. (REQUIRED)

3.3. Repositories

- Repository deposits. The publisher states on its website that authors are allowed to deposit and openly share earlier and final published versions of their books, chapters, or other contributions to edited collections in an OA repository of their choice. The repository record must include a bibliographic reference and a link to the final published version. For a contribution to an edited collection, it must also clearly identify and link to the edited collection of which the contribution forms part. (REQUIRED)

- Acceptance of revised theses and preprints. The open availability of a previous version of a manuscript in a repository, for example as a thesis or a preprint, should not prevent the publisher from considering its publication as a book. (REQUIRED)

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.

4.1. Editorial Bodies

- Skills/training. The publisher supports and/or provides continuous community-oriented training and education of editors and authors, which is essential in navigating the rapidly changing scholarly communication environment. The publisher promotes high-quality, inclusive, and impactful academic publishing practices by equipping stakeholders with the knowledge and skills necessary to adapt to technological, ethical, and policy changes and open science principles. (DESIRED)
- Engaging stakeholders. The publisher supports and encourages its stakeholders' engagement in initiatives, communities and associations promoting high-quality publishing practices and open science principles. (DESIRED)

4.2. Peer Review

- Peer review. The publisher 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). (REQUIRED)
- Basic peer-review policy and procedures. The publisher publishes on its website a description of the peer-review and editorial evaluation procedures applicable to its books, book series, or collections. (REQUIRED)
- Advanced peer-review policy and procedures. The publisher's peer-review policy and procedures should specify how external peer review or editorial evaluation is conducted and at which stage(s) of the publication process, e.g. proposal, final manuscript, revised manuscript, etc. It should state the peer review model(s) employed, e.g. open peer review, single-anonymous, double-anonymous or other recognised practices. The respective roles and responsibilities of editors, editorial boards, reviewers, and authors in the evaluation process should be explained. It should also specify how editorial decision-making is reached following peer review and how reviewer comments and recommendations are communicated. (DESIRED)
- Management of endogeny and conflicts of interest. The publisher has policies to minimise undue endogeny. Where editors, editorial board members, or others with

editorial responsibility submit proposals or manuscripts for which they have editorial responsibility, the publisher sets in place transparent recusal procedures and ensures independent editorial oversight and peer review. The publisher manages conflicts of interest in the editorial evaluation and peer review of its books, book series and/or collections. (DESIRED)

- Open peer review. The publisher provides reviewers of all its journals and/or books 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 publisher makes reviews publicly available to a broader community. (DESIRED)
- Incentives and rewards. The publisher has an incentives and rewards policy that guarantees reviewers get proper acknowledgement and reward editorial work as an academic activity by the institution employing the editor. (DESIRED)

4.3. Editorial Quality

- Guidelines for authors. The publisher guarantees that all its journals have clear guidelines for authors on its website, and that the book submission process is clearly outlined for book authors and editors of book collections. 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. (REQUIRED)
- Guidelines for reviewers. The publisher provides reviewers with clear instructions and guidance (reviewing forms, free text options, and checklists) on the journal or book's aims and scope and what is expected of them in the review process. (REQUIRED)
- Proofreading correction. The publisher ensures that standard copy-editing and proofreading procedures are applied in all journals and/or books. (REQUIRED)
- Languages of submission. The publisher guarantees that the languages in which manuscripts can be submitted are clearly indicated on the journal website and/or in the book manuscript submission guidelines. (DESIRED)

4.4. Research Integrity

- Guidelines for authorship and/or contributorship. The publisher 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 publisher supports 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, book or book chapter. (DESIRED)

- Research and publication ethics. The publisher guarantees that all its journals and/or books adhere to international standards and codes of ethics or that it has its own publicly accessible code of ethics. This information is displayed on the publisher's website. (DESIRED)
- Conflict of interest. The publisher guarantees that all its journals and/or books have 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 publisher's website. (REQUIRED)
- Misconduct policy. The publisher guarantees that all its publications have 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 publisher's website. (REQUIRED)
- Guidelines for Artificial Intelligence. The publisher has a guideline on 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 publisher's website. (DESIRED)

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 open access scholarly publishing.

5.1. Publishing Infrastructure

- Security. The publisher ensures that its publishing infrastructure complies with the security standards established by law. When no standard exists in the region, the publisher will apply at least those measures necessary and sufficient to keep the system protected from malicious intrusions. (REQUIRED)
- Basic functionalities. The publisher ensures that the platform(s) used to list and host its books display basic book metadata (book title, subtitle, abstract, publication date, authors/editors), as well as clearly and visibly listing OA versions of texts alongside any versions available to purchase. (REQUIRED)
- Advanced functionalities. The publisher ensures that the platform(s) used to list and host its OA books offer advanced functionalities such as post-publication evaluation and commenting, support for multimedia, and open peer review. (DESIRED)

- Basic infrastructure management. The publisher guarantees that all its publishing platforms are well maintained, updated, regularly backed up and protected against security threats. (REQUIRED)
- Advanced infrastructure management. The publisher guarantees that all its publishing platforms are maintained and developed following best practices and standards for IT service management to ensure improved efficiency, quality and consistency, risk reduction, and continuous improvement. (DESIRED)
- Long term preservation. The publisher 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. (DESIRED)

5.2. Interoperability and Metadata

- Interoperability protocols. The publisher ensures that all its publishing platforms and/or its website support widely adopted metadata exchange protocols (e.g. OAI-PMH, API) and most commonly used metadata schemas (e.g. MARC, ONIX). The publisher's platforms also support bulk export of metadata and indicates on its website which interoperability protocols are used and how to access them. (DESIRED)
- Core metadata. The publisher provides for all its books the following core metadata on landing pages and via metadata exchange protocols, in human- and machine-readable formats and under CC0 public domain declaration: title/subtitle, full names and institutional affiliations – including country/region – of all authors/editors/contributors and contributor identifier (if available), publication date and place of publication, publication format(s), publisher name, language, abstracts and keywords, funding information (as a minimum the name of the funder and the grant number/identifier), and information about the OA status, copyright holder, and licensing. (DESIRED)
- Complete metadata. Complete metadata, including bibliographic references, are immediately deposited in a registration agency in line with open metadata initiatives. (DESIRED)
- Basic persistent identifiers. The publisher assigns and correctly applies internationally recognised standard identifiers to its books, editions or formats, and book series, as applicable. Each book has a dedicated landing page and at least one resolvable persistent identifier. All identifiers are provided in human- and machine-readable formats. (REQUIRED)
- Advanced persistent identifiers. Dedicated landing pages and resolvable persistent identifiers are also provided for individual chapters or other contributions where these are published as separately identifiable units and the publisher's infrastructure supports this. Other relevant persistent identifiers, including contributor identifiers, are included where available and applicable. (DESIRED)

- Registration of persistent identifiers. The publisher guarantees that the persistent identifiers are registered with registration agencies immediately at publication. (REQUIRED)
- Text and data mining. The publisher guarantees that all its 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. (DESIRED)
- Formats. The publisher guarantees that all its journals and/or books tag their full-text content in interoperable formats and provide access in multiple digital formats (e.g. PDF, HTML, XML, ePub, etc.), at least one of which is suitable for preservation. (DESIRED)
- Personal Data Protection. The publisher guarantees that all its publications comply with the General Data Protection Regulation (GDPR) as well as all relevant personal data regulations. This policy is displayed on the publisher's website and ensured. (DESIRED)

5.3. Collaboration

- Open source. The publisher strives to ensure that the publishing infrastructure of all its publications 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. (DESIRED)
- 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. (DESIRED)

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.

6.1. Presence

- Visibility. The publisher makes sure that reasonable technical measures are taken towards improving the visibility of all its journals and/or books in search engines (general and academic), and aggregators. (REQUIRED)
- Discoverability. The publisher ensures that its books are registered with at least one external and relevant discovery service, catalogue, aggregator, library

system, directory or registry, thereby supporting their dissemination and visibility to readers and other stakeholders. (REQUIRED)

6.2. Communication

- Communication channels. The publisher provides all its journals and/or books with unhindered and reliable channels for communication and dissemination of their 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 publisher's dissemination policies. (DESIRED)
- Community management. The community of users of the publisher's services is regularly informed of developments, policy changes, updates, new features, and functionalities, as well as about new publications. All the information provided by the publisher is accurate, reliable, regularly updated, and not misleading in any way. (DESIRED)
- Marketing. The publisher engages in appropriate and well-targeted promotional activities (including solicitation of manuscripts for their publications). It must support the promotion of all its published content (e.g. by inviting post-publication reviews of outputs, inviting and moderating post-publication online comments, writing press releases, working with the media) in order to reach broader sectors of society. (DESIRED)

6.3. Analysis

- Metrics. The publisher guarantees that all its journals and/or books offer comprehensive, accurate and reliable metric indicators detailing content usage (e.g. article-level and chapter-level metrics: visits, views, downloads, citations), along with publication-level metrics, altmetric indicators, and geographical distribution of visitors. (DESIRED)
- Analytical tools. The publisher is clear on the analytical tools, algorithms, methodologies and/or external service providers that are employed for data generation and collection. This requirement is aligned with data protection regulation. (DESIRED)

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

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

7.1. EDIB and Gender

- EDIB policy at the publisher level. The publisher 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 governing and management bodies, its editorial staff and boards, as well as reviewer pools and author's pool. It includes a Gender Equity Plan (GEP). This information is displayed on the publisher's website. (DESIRED)
- EDIB monitoring. The publisher monitors progress of its EDIB policies and GEP in its journals' and/or books. For that purpose, it 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 do not wish to. (DESIRED)
- Equity in submissions and decisions. The publisher ensures that all book manuscript submissions within scope of its Diamond OA book programmes will be considered, and that decision-making regarding commissioning of content is without regard to authors' language, race, gender, age, sexual orientation, religious belief, ethnic origin, geographic location, or political philosophy. (REQUIRED)
- Bias-free language. The publisher uses bias-free language related to age, disability, gender, racial and ethnic identity, sexual orientation, and socioeconomic status in all its communications and public information. (REQUIRED)
- Research data sensitiveness. The publisher guarantees that all its journals and/or books require 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. (REQUIRED)

7.2. Accessibility

- Accessible website. The publisher must ensure that its website is accessible under the terms of applicable international, national, or local laws and policies. (REQUIRED)
- Accessibility statement. The publisher must provide an accessibility statement on its website that describes the accessibility of its website, publications, and services. The statement should be updated to reflect changes and improvements in accessibility. (REQUIRED)
- Accessible publications. The publisher should make its publications available in at least one accessible format complying with relevant accessibility standards. (DESIRED)
- Monitoring. The publisher reports annually about the comments it receives on accessibility and how it responds to them. (DESIRED)

7.3. Multilingualism

- Abstracts. The publisher guarantees that it facilitates all its journals and/or books to have abstracts/book summaries that are published in at least two languages, where relevant. (DESIRED)
- Plain language summary. The publisher guarantees that all its journals and/or books provide a plain language summary alongside the traditional scientific abstract/book summary. (DESIRED)

- Full text. The publisher makes clear it is open to publishing edited book volumes with chapters in different languages, parallel text editions, and/or separate book editions in multiple languages. (DESIRED)
- Website and content. The publisher provides its website content in multiple languages while making sure the information given is the same in all the languages used. (DESIRED)
- Language technologies. The publisher encourages the integration of a computer assisted translation (CAT) tool/solution on its journal/book website if tools that can provide sufficiently good translations are available and encourages journals and/or books to provide machine-translation friendly abstracts/book summaries. Automatic machine translations will not be used for publishing manuscripts in language(s) other than the original without the supervision of translators and/or experts. (DESIRED)
- Metadata translation. The publisher recommends that all its journals and/or books offer metadata in English if the language of the text is not English. (DESIRED)