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#OAEthics



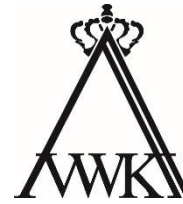
ALLEA
ALL European
Academies



ALLEA Workshop

Ethical Aspects of Open Access: A Windy Road

Brussels, 1 February 2018



Welcome and Introduction

Joos Vandewalle
President KVAB

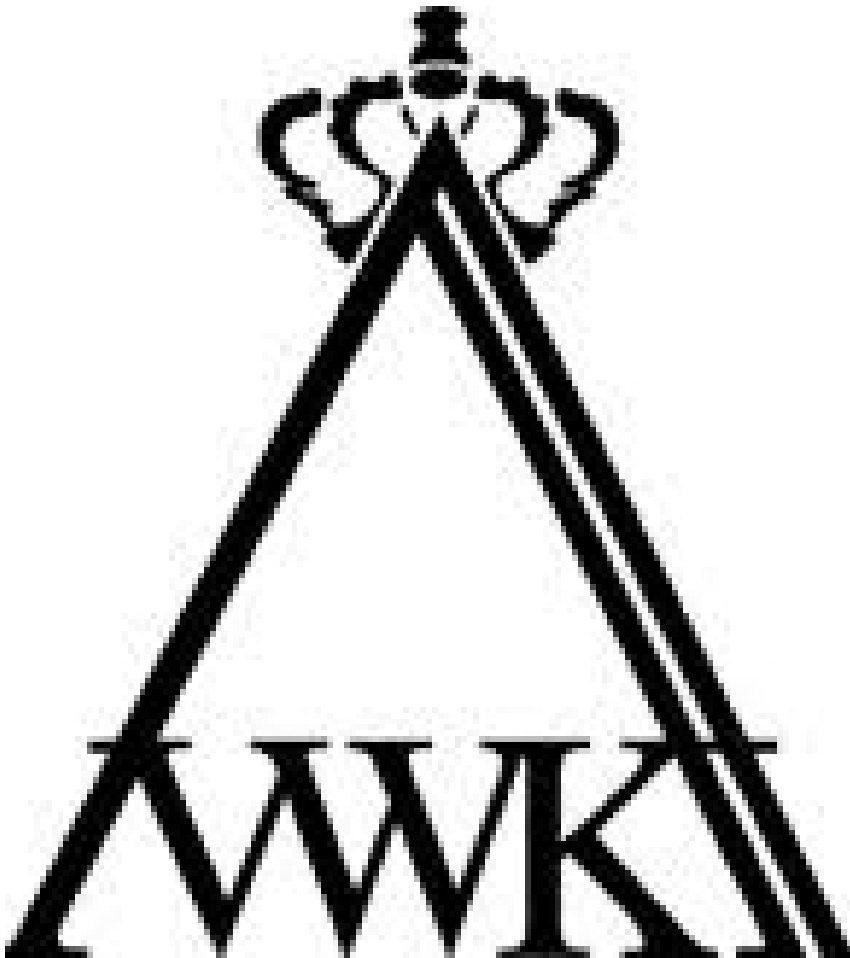
Göran Hermerén
Chair ALLEA Permanent Working Group
Science & Ethics



Open Access: Welcome

- Göran Hermerén
- Royal Academy of History, Letters etc,
Stockholm, Sweden
- Chair, Working Group for Science and Ethics,
ALLEA: Federation of European Academies,
Berlin

Thanks



OA – different versions

- *What is in the bag?*
- There are different versions
- Important for our discussion to distinguish
- ... and make clear what version we are discussing



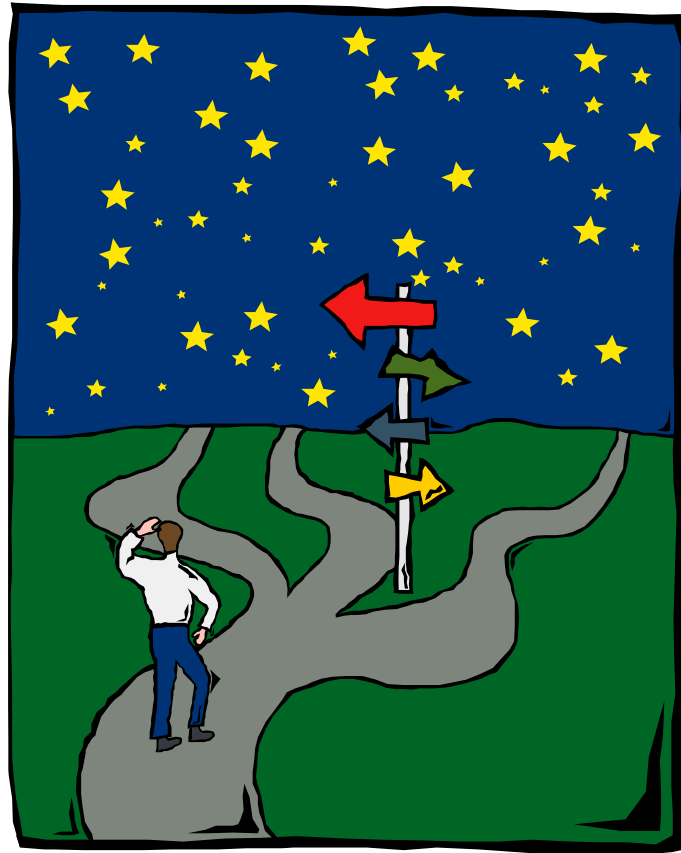
Open Access

Varieties of OA

- Gold OA?
- Green OA? Self-archiving where?
- Embargo – how long?
- Costs covered by charging author-institution?
- Costs covered by charging user-institution?
- Costs partly covered also by subscriptions?
- Paid by research institutions or by libraries?



Choice, alternatives, values



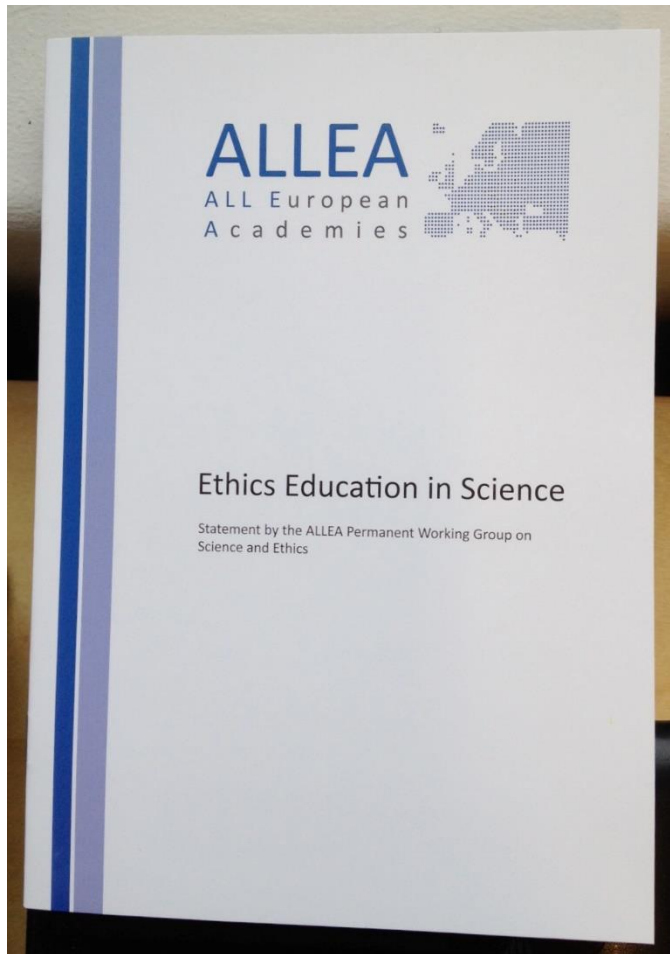
The objectives of the workshop

- What we would like is to get a deeper/ better understanding of the issues - perhaps flagging a few
- In the concluding panel I hope we can together identify some solutions or at least a path to them, such as
- ... better regulation, more use of the Directory of Open Access Journals, more transparency concerning the fees charged for OA....

ALLEA (All European Academies)

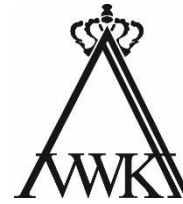
- Founded in 1994, and is the Federation of 59 Academies of Sciences and Humanities in more than 40 European countries; secretariat in Berlin.
- Promotes the exchange of information and experience between Academies; offers European science and society advice from its member academies; strives for excellence in science and scholarship, **for high ethical standards in the conduct of research**, and for independence from political, commercial and ideological interests.
- ALLEA has a number of permanent working groups

ALLEA (All European Academies)



The European Code of Conduct for Research Integrity REVISED EDITION





Open Data in Science: Outcomes of the European Members of ICSU Workshop

Roger Pfister
Swiss Academies of Arts and Sciences



akademien der wissenschaften schweiz
académies suisses des sciences
accademia svizzera delle scienze
academias svizras da las ciencias
swiss academies of arts and sciences



Swiss Academy of Sciences
Akademie der Naturwissenschaften
Accademia di scienze naturali
Académie des sciences naturelles

Open Data in Science

Outcomes of European ICSU Members Workshop

Dr Roger Pfister, Head of International Cooperation



akademien der wissenschaften schweiz
académies suisses des sciences
accademia svizzera delle scienze
academias svizras da las ciencias
swiss academies of arts and sciences



Swiss Academy of Sciences
Akademie der Naturwissenschaften
Accademia di scienze naturali
Académie des sciences naturelles

Workshop background

- Organisers: European ICSU Members through the Swiss Academy of Sciences
- Support from ALLEA
- Ambition: involve science academies in science-policy dialogue on open science





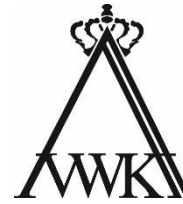
akademien der wissenschaften schweiz
académies suisses des sciences
accademia svizzera delle scienze
academias svizras da las ciencias
swiss academies of arts and sciences



Swiss Academy of Sciences
Akademie der Naturwissenschaften
Accademia di scienze naturali
Académie des sciences naturelles

Main Messages

- FAIR Principles: operationalise/implement them
- Trustworthy data repositories: increase their number
- Scientists for data: training and skills development
- OD motivation: enhance incentives and reward systems
- Research culture: support change process



Open Access: The Problem Landscape from an Ethical Perspective

László Fesüs
Hungarian Academy of Sciences

Open Access: The problem landscape from an ethical perspective

László Fésüs

Hungarian Academy of Sciences and University of Debrecen
Hungary

Ethical Aspects of Open Access: A Windy Road. Brussels February 1st, 2018

Science publishing has dramatically changed in the past 15 years

- advanced digital technologies,
 - the rise of interdisciplinary and collaborative research,
 - appearance of big data science,
 - growing scientific community worldwide (China, Brasil, India..),
 - advances in search tools (Mendeley, Google, ..),
 - alternative peer view practices,
 - Preprint services (BioRxiv)
 - Evolving new measures of merit (downloads, Altmetrics, faculty 1000, ...),
 - Novel business models
-
- **Open access publishing** from aspirational to commonplace

Trends and Developments in Open Access Publishing - global industry

Open access scientific publishing have *grown into a global industry*
based on a “gold” publishing model
where the authors pay article processing charge (APC) for immediate access
instead of institutional subscriptions with access to published scientific papers

The Directory of Open Access Journals ([www. doaj.org](http://www.doaj.org)) listed
more than 10 000 open-access journals in 2017

Trends and Developments in Open Access Publishing

- costs and selectivity

Rigorous quality control, information dissemination, innovative technologies in publishing and archiving are not free, somebody has to bear the costs.

The more selective the editorial process is the more costly it becomes to publish high quality journals.

“In the absence of external support, an open access journal has to be either selective and expensive, or inexpensive but less selective.

Currently, **highly selective journals** running in the open access mode **struggle to break even**, whereas **large-volume, low-selectivity** open access publishing **generates substantial profit**”

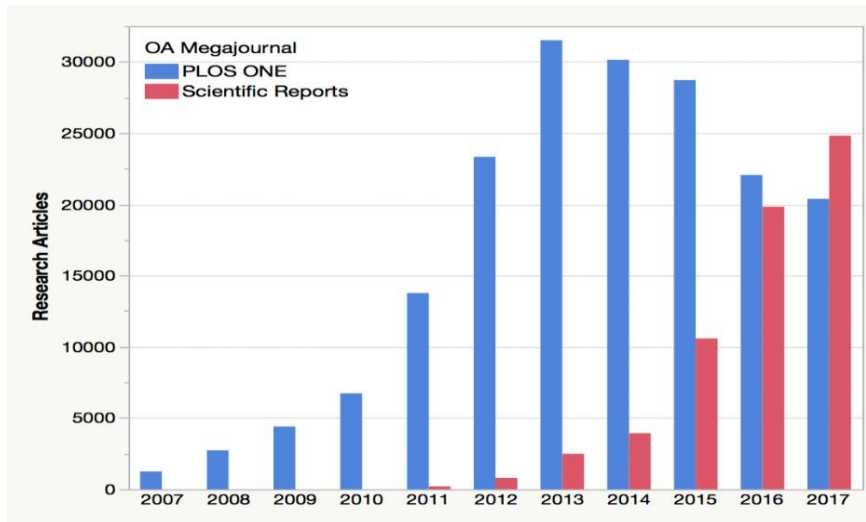
Maria Leptin (director of EMBO): Open Access – pass the buck. Science editorial 2012, 335:1279.

Trends and Developments in Open Access Publishing

- mega journals, ~3% of all STM outputs

PLOS ONE

Scientific Reports



BioMed Central (Springer Nature)

Hindawi

.

iScience (Cell Press – Elsevier)

Phil Davis „The future of OA megajournals”

Scholarly Kitchen January 2018.

„OA publishing has created an explosion of titles, most of which seem to be competing for a small slice of a fixed pie.”

„Embeddedness of journal prestige and reputation in academic practices means there is likely a limit to open access megajournal growth.”

Trends and Developments in Open Access Publishing - the lucrative cascading



NATURE

Nature Journals - 50 with „Nature” label, 26 with NPJ label **hybrid OA**

Nature Communications **gold OA**

Communications (Biology, Chemistry, Physics) **gold OA**

Scientific Reports **gold OA**

Scientific Data **gold OA**

Big publishers of elite brand journals coopting **gold OA**

„The small number of elite journals with far more submissions than they can possibly handle in their toll-access flagship can use this cascading model to reassert themselves in the marketplace.” *Joseph Esposito Scholarly Kitchen 2015*

Trends and Developments in Open Access Publishing

- funders

Several global and national funders have mandated or preferred open-access publishing providing significant extra funds for gold OA

- often without guidance about journal selection

Open access to research publications. Independent advice. The Adam Tickell report.

<https://www.gov.uk/government/publications/open-access-to-research-independent-advice>

Trends and Developments in Open Access Publishing

- resources

The question has been raised whether at times of limited resources it is wise diverting funds from research in order to support gold open-access publishing parallel with paying subscriptions to journals.

There is a **new dilemma** for many research institutions and universities: assuming that all articles from their research groups was published with gold open access it would have cost significantly more than their annual budget for journal subscription

Research-intensive institutions would pay most and this would subsidize free access for **less-research-intensive** institutions and the **pharmaceutical industry**.

This may lead to **questionable dominance** of scientific publishing by the rich institutions.

Trends and Developments in Open Access Publishing

- green OA

Until now research funders, intergovernmental agencies and governments have not found the solution to finance the costs of gold open access publishing of all scientific results.

The “green” mode of OA publishing emerged requiring authors to deposit their manuscript or its accepted version in a public repository within a predetermined period of time.

The article is generally made available free of charge after an **embargo period** which may vary depending on funders: mostly either 6 months or 1 year in natural sciences and 1 or 2 years in humanities.

Open access mandates (gold or green, different repository requirements, reporting) set by institutions, funders and governments **differ** in various countries and are often contradictory, even confusing, making **compliance cumbersome** with administrative burden.

Trends and Developments in Open Access Publishing

- European Union Resolution

Council Conclusions on the Transition Towards an Open Science System (2016):

„AGREES to further promote the mainstreaming of open access to scientific publications by continuing to support a transition to immediate open access as the default by 2020, using the various models possible and in a cost -effective way,

without embargoes or with as short as possible embargoes,

and without financial and legal barriers,

taking into account the diversity in research systems and disciplines,

and that open access to scientific publications should be achieved in full observance of the principle that no researcher should be prevented from publishing.”

Unexpected Consequences in Open Access Publishing

- ethical issues

Possibility of restriction in academic freedom

Emergence of APC figure as a measure of quality?

Mushrooming of bogus („predatory) journals”

Increased use of bogus journals

Hybrid journals – „double dipping”

Ethical issues in Open Access Publishing – Academic freedom

Researchers may be restricted in academic freedom to publish where they consider it best

- administrative open access mandates
- limited availability of funds for Article Processing Charges (APCs).

This may **endanger freedom of science** and the principle of equal opportunity and **increase the already existing gap** in research output between countries, including member states of the European Union.

Depending on the size of earmarked APC funds in their institution or country they may not have equal opportunity compared to peers to publish their results as they find it most beneficiary for their research carrier

Ethical issues in Open Access Publishing – False criteria of excellence

There is a potential danger of linking value of scientific results and publications to amounts of APCs charged for OA publication that is creating an artificial and false criteria of excellence.

APC figure as a quality measure must be strictly avoided

Ethical issues in Open Access Publishing – bogus („predatory”) journals

Researchers have initiated and participated in setting up open access journals for career advances and /or financial gains.

A large proportion of these journals (a rough estimate of 8000 in 2015*) lacks editorial quality control and victimize researchers by intentionally misleading authors, readers, and the scientific community at large. They are often called **“predatory journals”**

They often name nonexistent people as their editors and editorial board members and claim ownership of articles that they have plagiarized from other publications. Sloppy or no archiving.

Typically, these publishers **spam professional email lists**, broadly soliciting article submissions for the clear purpose of gaining additional income.

**Shen & Björk, BMC Med. 13, 230 (2015).*

Ethical issues in Open Access Publishing – bogus („predatory”) journals



Who's Afraid of Peer Review? *By John Bohannon*

Dozens of open-access journals targeted in an elaborate *Science* sting accepted a spoof research article, raising questions about peer-review practices in much of the open-access world.

The journalist created variations of a credible but mundane scientific paper with such grave errors that a competent peer reviewer should easily identify it as flawed and un-publishable.

They were submitted to 304 Open Access Journals: **more than half accepted it.**

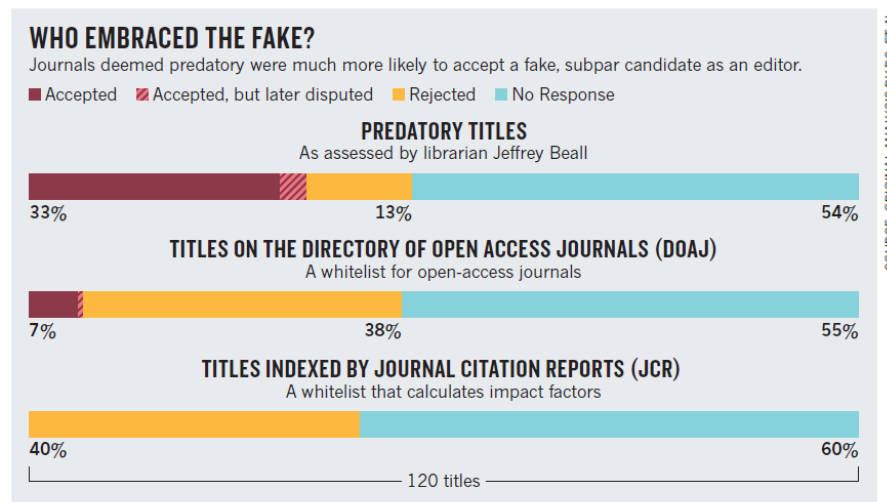
Ethical issues in Open Access Publishing – bogus („predatory”) journals

Predatory journals recruit fake editor

An investigation finds that dozens of academic titles offered ‘Dr Fraud’ — a sham, unqualified scientist — a place on their editorial board.

NATURE | Vol 543, pp 481-483, 2017

*Piotr Sorokowski, Emanuel Kulczycki,
Agnieszka Sorokowska & Katarzyna Pisanski*



PUBLISHING PROBLEM

Spot the predator

Excerpts from e-mails from journals accepting and rejecting a fake, unqualified candidate.

TITLES THAT ACCEPTED THE FAKE

- “... as an editor, you have to publish some of your research articles with the Journal”
- “If you want to start a new journal... you will get 30% of the revenue earned thru you”
- “It's our pleasure to add your name as our editor in chief for this journal with no responsibilities”

The open-access movement, although noble in its intent, has been an unwitting host to these parasitic publishers

Ethical issues in Open Access Publishing – bogus („predatory”) journals

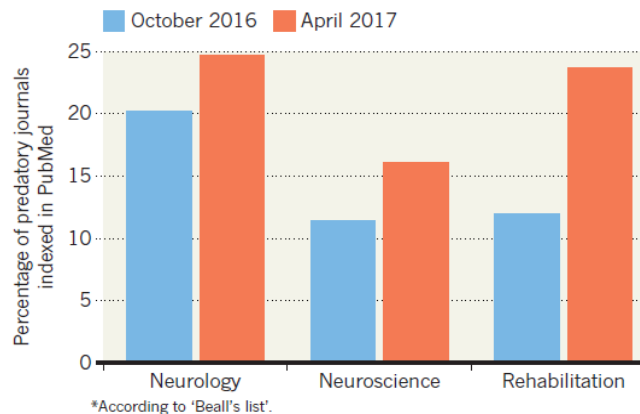
SOURCE: A. MANCA ET AL. LANCET 390, 734–735 (2017)

TREND WATCH

Increasing numbers of suspected 'predatory' journals in neurology, neuroscience and rehabilitation are having their articles indexed in PubMed, finds a survey (A. Manca *et al. Lancet* 390, 734–735; 2017). Predatory journals do not provide standard services such as peer review but charge publication fees. The survey used a catalogue of questionable open-access journals called Beall's list, which is now offline, and tracked how many had articles indexed in PubMed. The proportions for all fields grew from October 2016 to April 2017.

PREDATORY JOURNALS INDEXED IN PUBMED

The proportion of suspected 'predatory' open-access journals* in the fields of neuroscience, neurology and rehabilitation indexed in PubMed increased over a six-month period.



Predatory journals are becoming increasingly adept at appearing legitimate.
Moher et al, Nature 549, 23, 2017

Ethical issues in Open Access Publishing – Temptation to publish in bogus OA journals

Increasing number of researchers are tempted to pay and then expect lower standards by publishing their findings in bogus open access journals which lack quality control.

This has resulted in

**misuse of funds for self-promotion,
increasing number of false or even fabricated results in the scientific literature,
appearance of misleading scientific claims.**

Many researchers are just duped by the predatory journals or simply unaware of the difference between bogus and quality open access journals.

Even those who recognize a potential problem can fall victim.

Ethical issues in Open Access Publishing – Temptation to publish in bogus OA journals

Stop this waste of people,
animals and money

Predatory journals indeed have shoddy reporting and include papers from wealthy nations..

David Moher, Larissa Shamseer, Kelly Kobey et al.

NATURE | Vol 549, pp 23-25, 2017

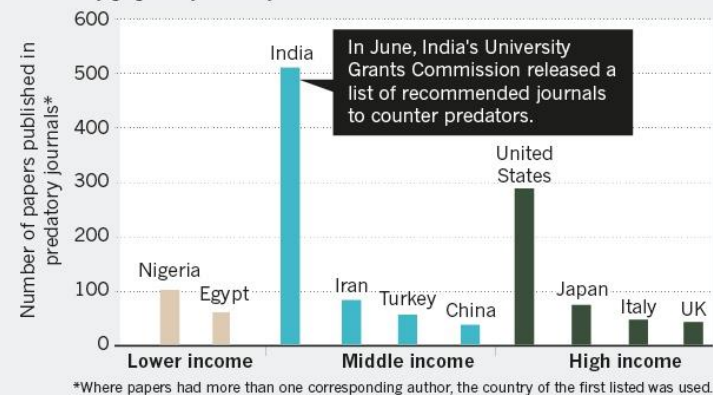
*“In our view,
publishing
in predatory
journals is
unethical.”*

Articles failed to report key information necessary for readers to assess, reproduce and build on the findings. They contained data from more than 2 million individuals and over 8,000 animals.

GLOBAL PREDATION

A sample of 1,907 papers in more than 200 supposed predatory journals found that most of the articles come from India. Surprisingly, however, more than half of the papers have authors from higher-income or upper-middle-income countries.

Predatory papers by country and income



©nature

The problem is more urgent than many realize

Ethical issues in Open Access Publishing – business ethics

Most of the traditional subscription journals became hybrid journals publishing increasing number of online open, freely accessible papers for which publishers collect APCs in addition to the subscription payments for the same journals received from libraries and licensing consortia.

This is often called “double dipping”

Unless publishers introduce a transparent system which decreases subscription payment in proportion to collected APCs they will be blamed for exploitation of the publishing system to gain extra profit.

Ethical issues in Open Access Publishing – loss of public trust

News about corrupted open access journals weakens trust of the public in science

At a time

„...when neglect of science by public officials and frequent denial of scientific thinking in many quarters seem to call into question ... scientific progress.” *Rush Holt Science editorial* January 26, 2018

- Deepens reproducibility crisis
- May lead to reductions in research funding
- Generate unfounded negative publicity for open access publishing in general



Reactions to unintended consequences of open access publishing

Responding to ethical concerns in Open Access Publishing

Decisions of all stakeholders on open access publishing must be based primarily on protecting the core principles of scientific publishing:

Critical, high quality and independent evaluation of scientific claims

Secure archiving of validated research

Responding to ethical concerns in Open Access Publishing

Open access mandates, procedures in distribution and administration of funds for APCs should be formulated in such a way that they

- do not violate academic freedom
- guarantee equal opportunities for researchers.

Responding to ethical concerns in Open Access Publishing

Systematic monitoring of open access journals are necessary to identify and publicly list

- **Credible open access journals**
- **bogus and „predatory” journals**

Members of the scientific community should be encouraged to participate in such monitoring activities, to report misconducts and to support activities which regularly list, based on well-defined criteria, of credible and bogus („predatory”) publishers and journals.

Responding to ethical concerns in Open Access Publishing

Directory of Open Access Journals (DOAJ); the *Who's Who* of credible open-access journals

Jeffrey Beall' list: Potential, possible, or probable predatory scholarly open-access publishers; in 2016 the number was close to 2000. The site was shut down by the owner in January 2017.

Cabell's index

Scholarly services firm Cabell's International in Beaumont, Texas, launched a blacklist of „predatory” academic journals; lists about 4,000 journals — available only to paying subscribers. The company uses a set of 65 criteria to judge whether journals are predatory. It **also publishes a 'whitelist'** of trustworthy journals, to which about 800 institutions subscribe.

Responding to ethical concerns in Open Access Publishing

Salient evidence-based characteristics of potential predatory journals

1. The scope of interest includes non-biomedical subjects alongside biomedical topics
2. The website contains spelling and grammar errors
3. Images are distorted/fuzzy, intended to look like something they are not, or which are unauthorized
4. The homepage language targets authors
5. The Index Copernicus Value is promoted on the website
6. Description of the manuscript handling process is lacking
7. Manuscripts are requested to be submitted via email
8. Rapid publication is promised
9. There is no retraction policy
10. Information on whether and how journal content will be digitally preserved is absent
11. The Article processing/publication charge is very low (e.g., < \$150 USD)
12. Journals claiming to be open access either retain copyright of published research or fail to mention copyright
13. The contact email address is non-professional and non-journal affiliated (e.g. @yahoo.com)

Shamseer et al. BMC Med 15:28, 2017

Responding to ethical concerns in Open Access Publishing

Institutional research evaluations and assessment committees should pay close attention to quality of publications appearing in open access journals when these are considered in procedures for promotion and funding decisions.

Responding to ethical issues in Open Access Publishing -Recommendations

Publishers, research institutions and funders should issue **explicit warnings against illegitimate publishers.**

Funders and research institutions should **prohibit the use of funds to support predatory journal publications**; make sure that **researchers are trained** in how to select appropriate journals when submitting their work; and **audit** where grantees, faculty members and research staff publish.

When seeking promotion or funding, researchers should include a declaration that their **CV is free of predatory publications.**

Before approving a study, **ethics committees** should ask researchers to declare in writing their willingness to work with their institutional resources, such as librarians, to ensure they do not submit to any journals without reviewing evidence-based criteria for avoiding these titles.

Moher et al, Nature 549, 23, 2017

Responding to ethical concerns in Open Access Publishing

Good practices in OA publishing and unaccepted behaviours are defined and included in codes of conduct for research integrity.



**The European
Code of Conduct for
Research Integrity**

REVISED EDITION



2017

2. Good Research Practices

2.7 Publication and Dissemination

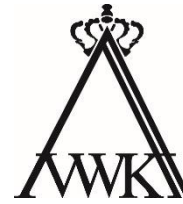
- .
- Authors ensure that their work is made available to colleagues in a timely, open, transparent, and accurate manner, unless otherwise agreed, and are honest in their communication to the general public, and in traditional and social media
- .
- Researchers adhere to the same criteria as those detailed above whether they publish in a subscription journal, an open access journal or in any other alternative publication form.

3. Violations of Research Integrity

3.1 Research Misconduct and other Unacceptable Practices

- .
- Establishing or supporting journals that undermine the quality control of research ('predatory journals').

Thank you for your attention



Editorial Responsibility in the Open Access World: Best Practices

Chris Graf

Committee on Publication Ethics (COPE)

Editorial responsibility in the open access world

COPE: Promoting integrity in research and its publication

Chris Graf, Co-Chair, COPE, Committee on Publication Ethics, at the [ALLEA workshop](#), [Ethical Aspects of Open Access: A Windy Road](#), January 2018. ORCID ID: 0000-0002-4699-4333.

Disclosure: CG volunteers for COPE, Committee on Publication Ethics. CG works for Wiley.

It's still all about quality

Research and research publishing is changing fast. But it's (still) really all about quality. With the backdrop of [COPE's 10 Core Practices](#), I'll share thoughts on what some editors, journals, and publishers are doing to embrace and help lead that change, with examples of how new approaches to methods validation and data validation are being added into the editorial process. I'll argue that transparency from journals is one way we can help researchers understand why reputable journals are valuable for them as authors and as readers. And I'll suggest that it's time to think carefully about what we aspire to, without losing sight of what matters most about research quality, so that we can help more researchers to express and communicate their research in the best possible way.

Agenda

COPE's Core practices

Support quality, actively

Methods validation

Data validation

Increase transparency

What we could aspire to

← These are my personal observations, which
← may or may not reflect COPE's
← position

COPE's Core Practices

COPE assists editors of scholarly journals and publishers - as well as other parties, such as institutions - in their work to preserve and promote the integrity of the scholarly record through policies and practices. COPE describes these in 10 “Core Practices”. COPE's Core Practices should be considered alongside specific national and international codes of conduct for research.

<https://publicationethics.org/core-practices>

“Journals and publishers should have robust and well-described, publicly documented practices in all the following areas

Core practices are the policies and practices journals and publishers need, to reach the highest standards in publication ethics. We include cases with advice, guidance for day-to-day practice, education modules and events on topical issues, to support journals and publishers fulfil their policies.

[View all core practices](#)



1. Allegations of misconduct



2. Authorship and contributorship



3. Complaints and appeals



4. Conflicts of interest / Competing interests



5. Data and reproducibility



6. Ethical oversight



7. Intellectual property



8. Journal management



9. Peer review processes

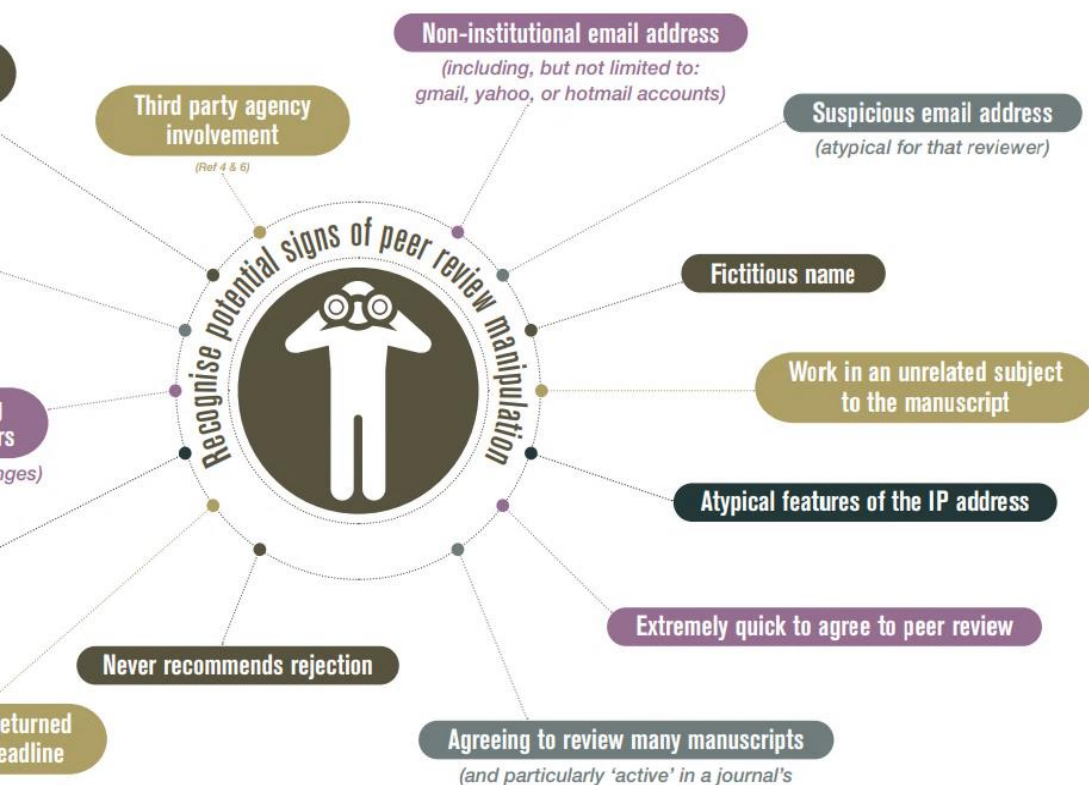


10. Post-publication discussions and corrections

<https://publicationethics.org/core-practices>

https://publicationethics.org/files/editable-bean/COPE_Core_Practices_0.pdf

COPE flowcharts: How to spot manipulation of the peer review process



Fake reviewers

The retractions earlier this year of 107 cancer papers were arguably a case of identity fraud. These 107 papers were retracted after the publisher discovered that their peer review process had been compromised by fake peer reviewers.

It's not clear that the researchers involved did this wittingly. It may have been the fault of a third-party they paid to help with language editing and submission, to help them get their work published.

Resource: COPE guide (to the left) to spotting manipulations in peer review.

https://publicationethics.org/files/COPE%20PR_Manipulation_Process.pdf

<http://retractionwatch.com/2017/04/20/new-record-major-publisher-retracting-100-studies-cancer-journal-fake-peer-reviews/>

The same standards apply

The same publication ethics standards defined by our core practices are expected of all COPE members, irrespective of their business model.

COPE supports and aims to inspire good practice amongst our members. We support campaigns that help researchers to make good journal choices, like [think.check.submit](#). We have a [sanctions process](#) for occasions where our members need to demonstrate better practice. COPE doesn't often refer to blacklists or predatory journals, and explains more in "[The changing face and future of publication ethics](#)"

Beyond editorial responsibilities

The 16 Principles of Transparency from COPE, DOAJ, OASPA, and WAME include some specifics about business responsibilities (beyond editorial responsibilities).

https://publicationethics.org/files/Principles_of_Transparency_and_Best_Practice_in_Scholarly_Publishingv3.pdf

Principles of Transparency

1. Website: A journal's website, including the text that it contains, shall demonstrate that care has been taken to ensure high ethical and professional standards. It must not contain information that might mislead readers or authors, including any attempt to mimic another journal/publisher's site.

This version
Published 15 January 2018

[Version 2](#)
Published 22 June 2015

An 'Aims & Scope' statement should be included on the website and the readership clearly defined. There should be a statement on what a journal will consider for publication including authorship criteria (e.g., not considering multiple submissions, redundant publications) to be included. ISSNs should be clearly displayed (separate for print and electronic).

Version 1
Published 10 January 2014

2. Name of journal: The Journal name shall be unique and not be one that is easily confused with another journal or that might mislead potential authors and readers about the Journal's origin or association with other journals.



4. Ownership and management: Information about the ownership and/or management of a journal shall be clearly indicated on the journal's website. Publishers shall not use organizational or journal names that would mislead potential authors and editors about the nature of the journal's owner.

5. Governing body: Journals shall have editorial boards or other governing bodies whose members are recognized experts in the subject areas included within the journal's scope. The full names and affiliations of the journal's editorial board or other governing body shall be provided on the journal's website.



8. Author fees: Any fees or charges that are required for manuscript processing and/or publishing materials in the journal shall be clearly stated in a place that is easy for potential authors to find prior to submitting their manuscripts for review or explained to authors before they begin preparing their manuscript for submission. If no such fees are charged that should also be clearly stated.



14. Revenue sources: Business models or revenue sources (e.g., author fees, subscriptions, advertising, reprints, institutional support, and organizational support) shall be clearly stated or otherwise evident on the journal's website. Publishing fees or waiver status should not influence editorial decision making.



16. Direct marketing: Any direct marketing activities, including solicitation of manuscripts that are conducted on behalf of the journal, shall be appropriate, well targeted, and unobtrusive. Information provided about the publisher or journal is expected to be truthful and not misleading for readers or authors.

https://publicationethics.org/files/Principles_of_Transparency_and_Best_Practice_in_Scholarly_Publishingv3.pdf

Note: The slides from here on are personal observations, which may or may not reflect COPE's position or recommendations

Support quality, actively

What about working in new ways?

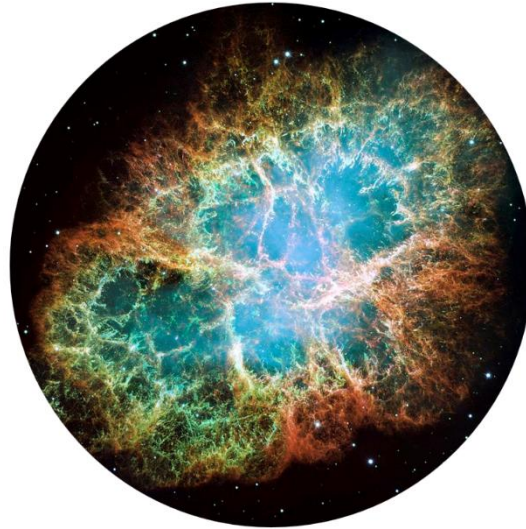
Methods validation

Data validation

John Schmidt's Top 5 solutions for the replication crisis

“Total vaporization of the Earth by an exploding sun *would* solve the replication crisis

Also: Zombies, deep impact, demons, ignoring it



<https://medium.com/@InOurLabs/top-five-real-solutions-to-the-replication-crisis-a2607a83d46f>

Image credit: Public domain image, with acknowledgement to NASA and STScI <https://en.wikipedia.org/wiki/Supernova>

A quality problem: Methods

Daryl O'Connor on Registered Reports at *Journal of Neuropsychology*, edited by Martin Edwards

Methods validation: Registered Reports

“Registered Reports will increase the transparency of our science and allow peer review of research before results are known... improving the quality of our research protocols, that will ultimately improve the robustness of our evidence base



Disclosure: Wiley publishes *J Neuropsychology* for BPS

<https://www.bps.org.uk/news-and-policy/we-are-working-wiley-improve-replicability-and-transparency-research>

<https://cos.io/rr/>



8 Answers about Registered Reports, an Interview
with David Mellor from Center for Open Science

[https://hub.wiley.com/community/exchanges/discover
/blog/2017/12/05/8-answers-about-registered-
reports-research-preregistration-and-why-both-are-
important](https://hub.wiley.com/community/exchanges/discover/blog/2017/12/05/8-answers-about-registered-reports-research-preregistration-and-why-both-are-important)

A quality problem: Data

Perhaps 50% of published ^{13}C NMR datasets contain errors. Some are simple typos. Others are completely incorrect structures, where a chemist thinks they've made one structure but actually they've made something different.

An example of new ways to validate data

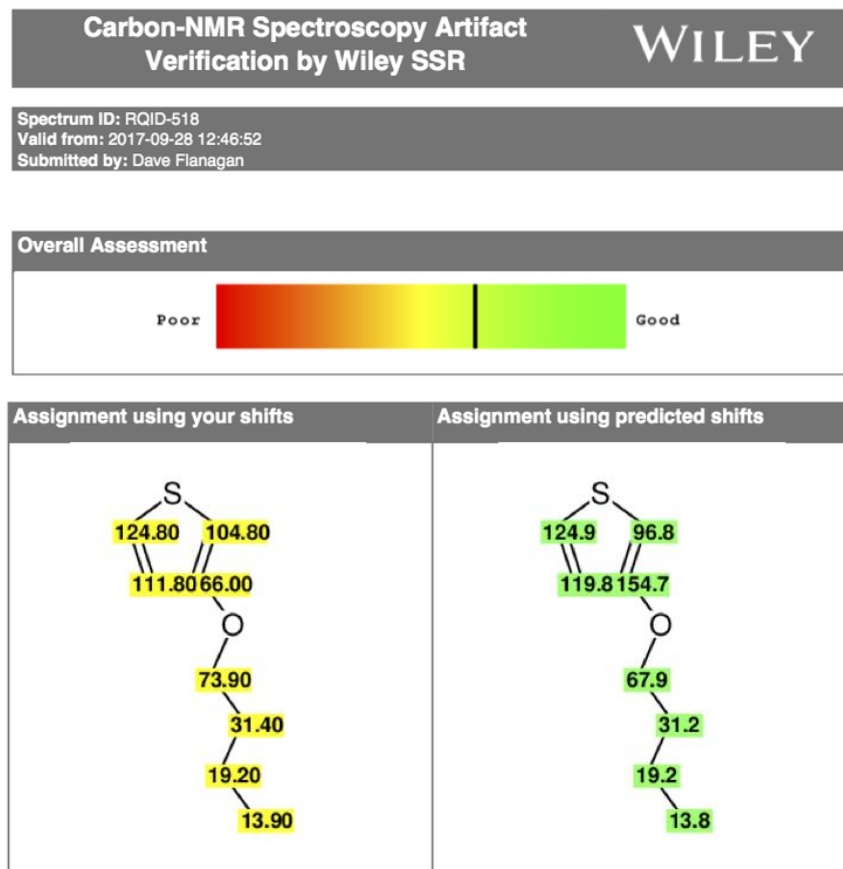
Data validation

Wiley Smart Spectra Repository (SSR) is a tool for research validation. It helps researchers publish higher-quality, correct data.

SSR checks if a chemical structure and the submitted ^{13}C NMR data are consistent and shows where errors might be.

<https://www.wsslabs.com>

Disclosure: This is a Wiley service



Consider what we aspire to

On rock stars and orchestras and new ways to think about quality

Rock stars

Nobel prizes

6

Nature articles

821

40.137

Nature Magazine's Impact Factor



Image rights: CC BY-SA 2.0 <https://www.flickr.com/photos/evarinaldiphotography/6966856933>

Orchestras

Academics and post docs

17million

1,803,249

research articles in Scopus



Image rights: CC BY-SA 2.0 <https://www.flickr.com/photos/evarinaldiphoto/6966856933>

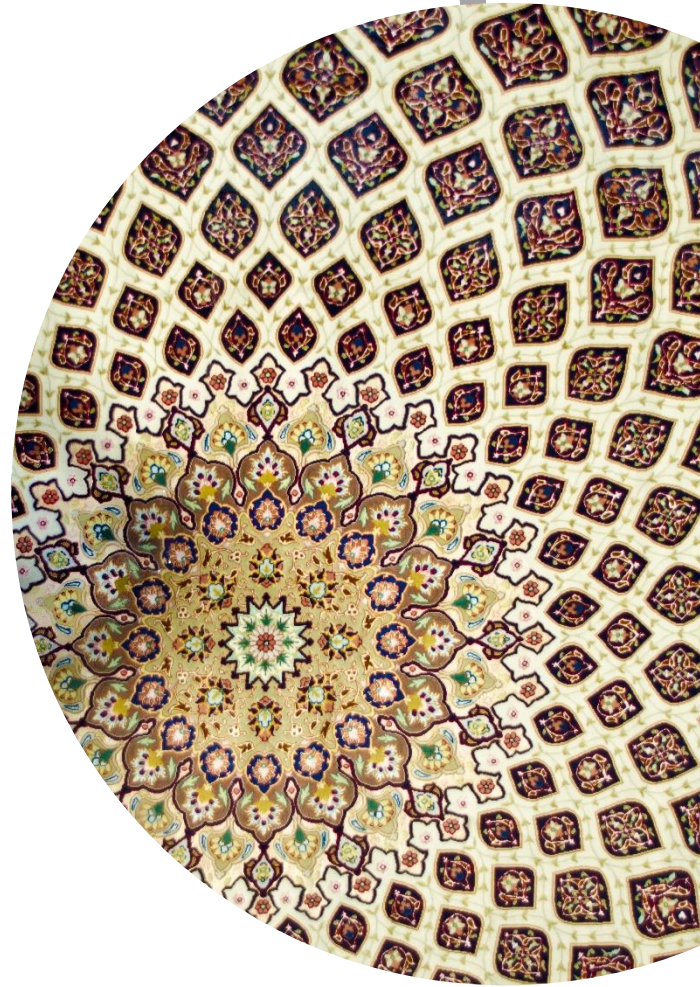
Increase transparency

Make being transparent easy and rewarding for researchers

<https://publicationethics.org/news/research-integrity-and-how-buy-persian-carpet-top-guidelines-part-2>

Carpets

In “[The art of buying a carpet](#),” Simon Busch suggests that a wise carpet buyer checks a carpet’s knot count (“You will find much truth under the carpet: turn it over”), examines its fibre (silk and wool, or something else?), and takes a close look at its colour (“Bend the carpet so as to expose individual threads from the base to the tip.”)



Picture by Garry Knight (Flickr: Persian Carpet) CC BY-SA 2.0 at https://commons.wikimedia.org/wiki/File%3APersian_Carpet.jpg
<https://publicationethics.org/news/research-integrity-and-how-buy-persian-carpet-top-guidelines-part-2>

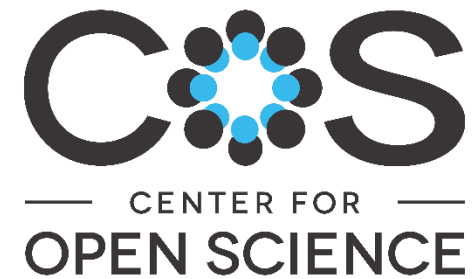
The same is true for research

When research authors share and cite their data; describe their methods in detail; make their materials available; and share information about their analysis then other people can check the knot count, fibre, and colour of that particular research project.

<https://publicationethics.org/news/research-integrity-and-how-buy-persian-carpet-top-guidelines-part-2>

TOP, part 2: An ongoing draft

“Promoting an open research culture,” published by Nosek and colleagues in *Science*, presents the Transparency and Openness Promotion guidelines: How to aim for research transparency in 8 standards and 3 levels. TOP is widely endorsed. But not widely implemented. This is where TOP part 2 picks up.



And it is in draft now (January 2018) for you at this link:
<https://docs.google.com/document/d/1NI6P4M2UKekXoZuFR2uuQ2Tj1xf0WrThn86H5XOR1uY>

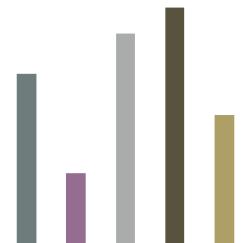
In the open access world editorial responsibility is still all about quality

But maybe we need to aspire to a kind of quality that works members of orchestras (as well as for Taylor Swift)

Thank you!
publicationethics.org



About COPE (appendix 1)



12,000+ members, 100+ countries

- As an organization, COPE's role is to assist editors of scholarly journals and publisher/owners in their endeavour to **preserve and promote the integrity of the scholarly record** through policies and practices that reflect the current best principles of transparency as well as integrity.
- COPE is a membership organization. Our members are primarily editors of **journals and publishers** although we are currently exploring expanding our membership. Part of this potential expansion is being explored with a pilot project with **five universities around the world**.
- COPE operates, manages and governs the organization with a small group of paid employees and a large **group of very active volunteers** who serve on the trustee board and council.

10+ Trustees

Members of Council with
legal responsibilities for COPE



Vote

30+ Council members

Lead all the work of COPE,
Subcommittees, Working groups

Vote

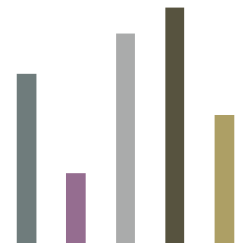
Appoint

12,000+ members

Geographical diversity of Trustee and Council Members



Free markets (appendix 2)



Led by an invisible hand

“In [a free economy] there is one and only one social responsibility of business—to use its resources and engage in activities designed to increase its profits *so long as it stays within the rules of the game.*”

It is the responsibility of the rest of us to establish a framework of law such that an individual in pursuing his own interest is, to quote Adam Smith again, ‘led by an invisible hand to promote an end which was no part of his intention.’



Corporate Social Responsibility: Friedman's View <https://bfi.uchicago.edu/news/feature-story/corporate-social-responsibility-friedmans-view> Quoting Capitalism and Freedom, University of Chicago Press, 2002 Fortieth Anniversary Edition, p 133

Picture by <http://www.thefamouspeople.com/profiles/milton-friedman-167.php> [CC BY-SA 4.0 (<https://creativecommons.org/licenses/by-sa/4.0>)], via Wikimedia Commons

“We need a culture of responsibility for the integrity of the literature... it's not just the job of editors



Ginny Barbour, 2012—2017 COPE Chair

@ALLEA_academies

#OAEthics



ALLEA
ALL European
Academies



Coffee Break

Follow us on Twitter:

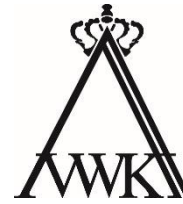


@ALLEA_academies

#OAEthics

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#OAEthics



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ALL European
Academies



Open Data: Balancing Transparency with Resilience

Stephan Lewandowsky
University of Bristol
University of Western Australia

Open data: Balancing transparency with resilience

Stephan Lewandowsky

University of Bristol and University of Western Australia



stephan.lewandowsky@bristol.ac.uk

Transparency and Open Data are Essential



- Because if we (as a community) don't act, others will do it for us
- Recent UK Parliament inquiry hinted at government action [\(Video of hearing\)](#)
- U.S. NIH currently seeks to reclassify all basic research as clinical trials [\(Washington Post\)](#)

Transparency and Open Data are Essential

- But we need to consider their full implications
- Transparency and open data are political
- Transparency can be weaponized:
 - intentions of people who request data
 - consent and ethics
 - competence of people who request data
 - communication platforms
 - cherry-picking

Open Data is Political

- U.S. data access act 1998 (and 2000)
 - all data from federally funded projects available
 - data disseminated by government must adhere to act's definition
 - citizens can challenge
 - “influential data” reanalysis by “qualified” individuals
 - privately funded data disclosure

- The acts were drafted by the tobacco industry and allies
- Implementation was overseen by tobacco industry
- Most challenges launched by lobbyists or industry not public
- Many regulations delayed

(Baba et al., 2005, *American Journal of Public Health*)

“A delicate diplomatic situation”: tobacco industry efforts to gain control of the Framingham Study

Janine K. Cataldo^{a,*}, Lisa A. Bero^b, Ruth E. Malone^c

^a*Department of Physiological Nursing—Gerontology, University of California San Francisco, San Francisco, CA, USA*

^b*Department of Clinical Pharmacy and Health Policy, University of California San Francisco, San Francisco, CA, USA*

^c*Department of Social and Behavioral Sciences, University of California San Francisco, San Francisco, CA, USA*

Accepted 30 January 2010

- Tobacco industry used access to raw data for re-analysis by industry consultant
- Tobacco-related morbidity disappeared
 - Lead (paint, gasoline)
 - PVC
 - Any type of pollution

Open Data may Never be Open Enough

- Lamar Smith (R-TX), Chair of the House of Representatives Science Committee
- Issued subpoena in 2016 to National Oceanic and Atmospheric Administration (NOAA) ...
- ... for climate data that is not available (via Google Earth)
- The catchphrase “secret science” to advocate for data disclosure discussed by the tobacco industry as early as 1998 (Gianelli, 1998)

When open data is a Trojan Horse: The weaponization of transparency in science and governance

Karen EC Levy¹ and David Merritt Johns²

Big Data & Society
January–June 2016: 1–6
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sagepub.com/journalsPermissions.nav
DOI: 10.1177/2053951715621568
bds.sagepub.com



- Transparency can be weaponized:
 - intentions of people who request data
 - consent and ethics
 - competence of people who request data
 - communication platforms
 - cherry-picking

I. Do Intentions Matter?

- Open Data advocates: No
- Tobacco industry: No, why?
- Public health researchers: Absolutely yes!

Nefarious Intentions and Science

- Dr. Smith publishes a paper suggesting interference causes forgetting.
 - Dr. Jones requests data from Dr. Smith and discovers that it is actually leprechauns that caused the forgetting.
 - Dr. Jones is Dr. Smith's ex-spouse and recently lost a bitter custody battle for their children and a hamster.
 - Ultimately the scientific community ignores the issue.
- Egos are bruised
 - Careers hampered
 - But no (not much?) lasting harm done

Nefarious Intentions and Public Policy

- Dr. Smith publishes a paper suggesting that Product X causes cancer.
- Dr. Jones, who works for Manufacturer X, requests data and purports to discover that cancer is caused by “dispositional factors” rather than Product X.
- Ultimately the scientific community resolves the issue.

But massive
harm is done

Scientific Debate \neq Public Debate

nature
climate change

ARTICLES

PUBLISHED ONLINE: 28 OCTOBER 2012 | DOI:10.1038/NCLIMATE1720

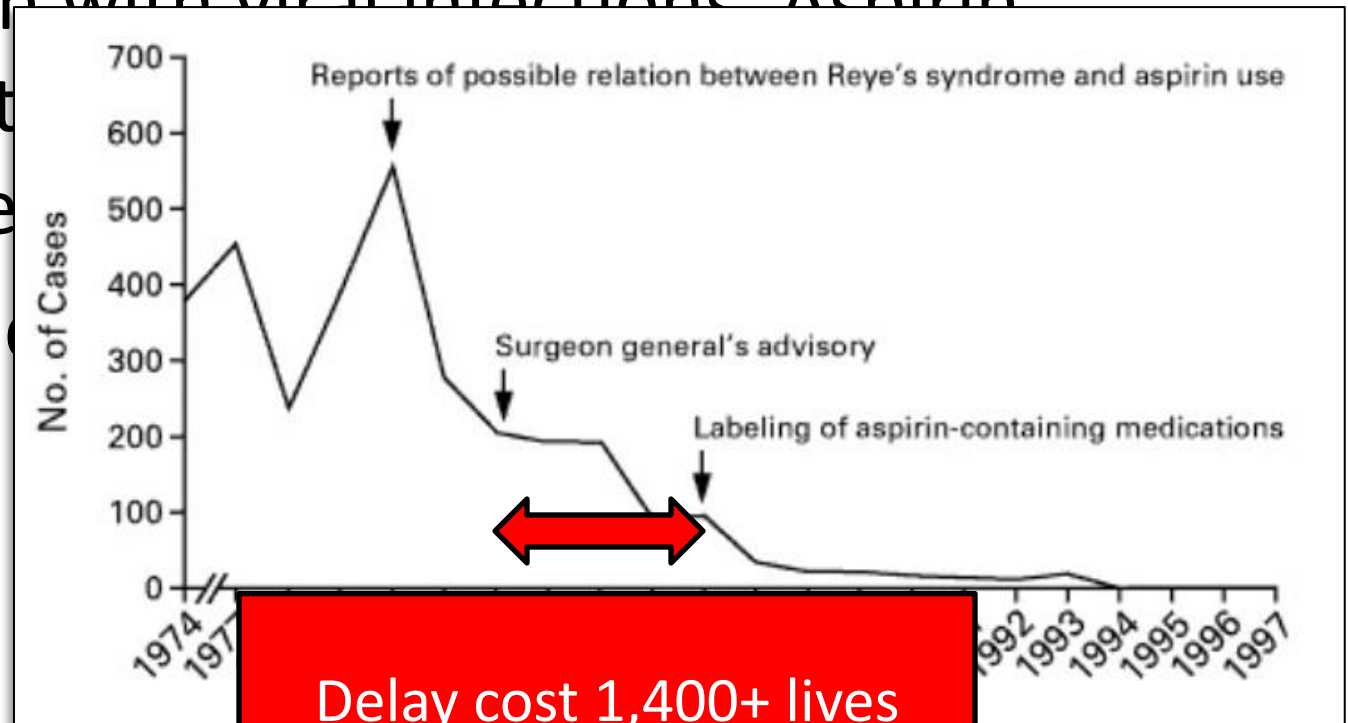
The pivotal role of perceived scientific consensus in acceptance of science

Stephan Lewandowsky[★], Gilles E. Gignac and Samuel Vaughan

- The appearance of a scientific debate, whether real or not, prolongs public indecisiveness.
- Tobacco control legislation was delayed by decades due to *appearance* of scientific debate.

Aspirin and Reye's Syndrome (e.g., Michaels & Monforton, 2005)

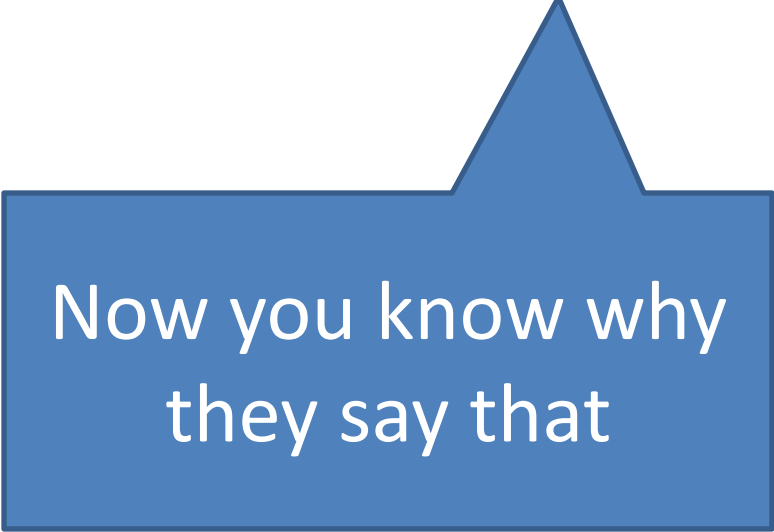
- In children with viral infections, Aspirin consumption is associated with Reye's syndrome
- 1 in 3 children with Reye's syndrome die



Delay cost 1,400+ lives
(Author of *Data Quality Act* a key figure in delay)

I. Do Intentions Matter?

- Open Data advocates: No
- Tobacco industry: No, why?
- Public health researchers: Absolutely yes!



Now you know why
they say that

II. Consent and Ethics

- Medical or clinical research
 - patient confidentiality
 - anonymization can be difficult
 - even de-linking is insufficient unless the linking key has been destroyed or is held by another institution (U.K. data protection act)
 - consent may have been given for one stated purpose of a study only

Consent: Exploring Implications

- Ms. Jones consents to participate in an experiment that observes the effect of WM training on IQ
- The experimenter collects the usual covariates and demographics such as gender and ethnicity
- The Ku-Klux-Klan reads the results and discovers that blacks have higher IQ overall but that training
- The *Kluxer's Trumpet* headline: “No matter how much you train them, they cannot get smarter”

Consent: Exploring Implications

- Ms. Jones consents to participate in an experiment that observes the effect of WM training on IQ
- Suppose Ms. Jones was black
 - did she realize what she consented to?
 - would she have given consent if she knew this could happen?
 - given what happened, would she ever consent again?
 - note that anonymity is not

If data are open, they
are open to abuse

Concerns are Being Articulated

Sydes et al. *Trials* (2015) 16:104
DOI 10.1186/s13063-015-0604-6



METHODOLOGY

Open Access

Sharing data from clinical trials: the rationale for a controlled access approach

Matthew R Sydes^{*}, Anthony L Johnson, Sarah K Meredith, Mary Rauchenberger, Annabelle South and Mahesh KB Parmar

Abstract

Background: The move towards increased transparency around clinical trials is welcome. Much focus has been on under-reporting of trials and access to individual patient data to allow independent verification of findings. There are many other good reasons for data sharing from clinical trials. We describe some key issues in data sharing, including the challenges of open access to data. These include issues in consent and disclosure; risks in identification, including

III. Does Competence Matter?

- Researchers operate in an institutional context
 - ethics boards
 - data management plans

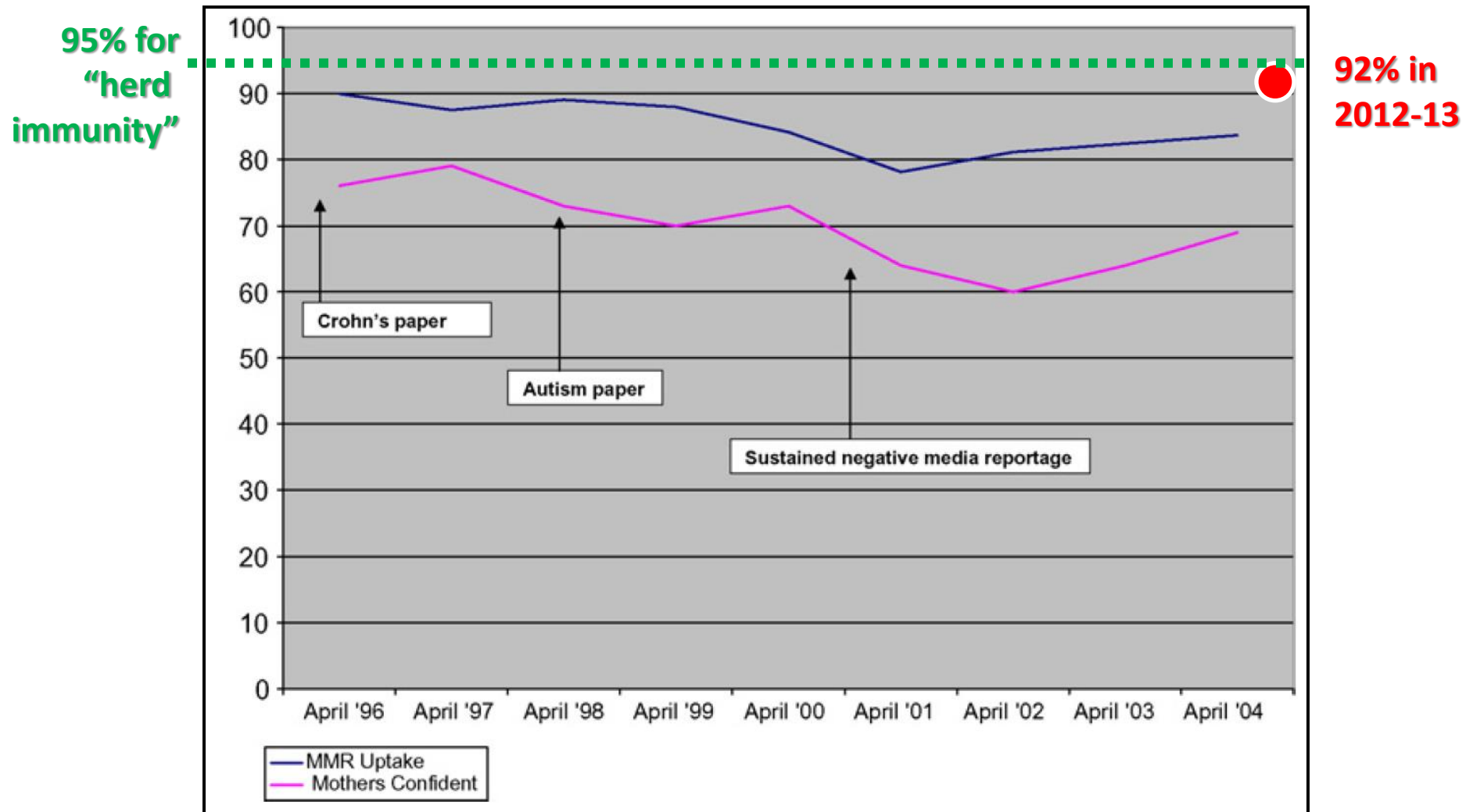
- 
- [Home](#) | [News](#) | [U.S.](#) | [Sport](#) | [TV&Showbiz](#) | [Australia](#) | [Femail](#) | [Health](#) | [Science](#) | [Money](#)
- [Columnists Home](#) | [Polls](#)
- 
- **MMR safe? Baloney. This is one scandal that's getting worse**
- Last updated at 10:24 31 October 2005

Consideration of the Platforms

- Dr. Smith publishes a paper suggesting that Product X causes cancer.
- Dr. Jones, who works for Manufacturer X, requests data and discovers that cancer is caused by “dispositional factors” rather than Product X.
- Dr. Jones and Manufacturer X publish analysis on blogs and Twitter. The Daily Mail picks it up.
- Ultimately the scientific community resolves the issue.

U.K. MMR Vaccination Rates

(Smith et al., 2007)



IV. Cherry-Picking

- We urge scientists to preregister hypotheses and analysis plans to guard against cherry-picking of results or outcome measures.
- We do not keep track of the Ku-Klux-Klan requesting 90 data sets with a racial-identifier variable
- So they can trumpet the one result that yields the “desired” racial differences

What Does this Add up to?

- Science should be open and transparent
- But there is a distinction between science on the one hand, and noise, nonsense, commercial interests, or political propaganda on the other
- Openness and transparency facilitate science, but they also aid in the dissemination of noise, nonsense, commercial interests, and political propaganda

Solutions? Symmetry

- People who request data must be competent and must operate in an institutional context of accountability
- People who request data must preregister their intentions (and conform to them)
- Participants' consent must be considered
- Data availability (and limits) should be enshrined in peer-review record at the time of publication to avoid later controversy

Thank you



Don't let transparency
damage science

Stephan Lewandowsky and Dorothy Bishop explain (*Nature*, **2016**, 529, 459-461)

Importance of Competence

- U.K. Medical Research Council's guidelines:
“The custodian [of the data] must ensure that the group [receiving the data] accepts a duty of confidence and protects confidentiality through training procedures, etc, **to the same standards as the custodian.**”



Questionable and Unethical Publishers: How to Spot them and Enable Researchers to Avoid Being Trapped

Lars Bjørnshauge

Directory of Open Access Journals

Questionable and Unethical Publishers: How to spot them and enable researchers to avoid being trapped

ALLEA Workshop

Ethical Aspects of Open Access: A Windy Road

Brussels February 1st 2018

Lars Bjørnshauge

lars@doaj.org

- Questionable publishers
 - What are we taking about
 - Getting the numbers right
- The Drivers
- Tools to detect questionable journals
 - Blacklists?
 - Whitelists!
 - Empowering researchers to make clever decisions

Questionable or unethical
publishers

Questionable publishing is **not** a
phenomenon that is specific to
Open Access publishing!

October 2013

NEWS

Who's Afraid of Peer Review?

John Bohannon

Dozens of open-access journals targeted in an elaborate *Science* sting accepted a spoof research article, raising questions about peer-review practices in much of the open-access world.

February 2014

NATURE | NEWS



Publishers withdraw more than 120 gibberish papers

Conference proceedings removed from subscription databases after scientist reveals that they were computer-generated.

Questionable publishers

- Predatory publishers – (Beall)

- Definition of predatory:
 - inclined or intended to **injure or exploit** others for personal gain or **profit** (Merriam-Webster)
- A predatory publisher can then be described as
 - a publisher who **intends to injure or exploit** others for personal gain or **profit**.
-

- Consider this:
- “Does **exploiting the divide between libraries** (that typically pay for subscriptions) **and scholars** (who typically use the subscriptions) in order to make **extraordinary high profits** constitute predatory conduct?”
- or this:
- “Does **continuing to raise prices at several times the rate of inflation**, even as those increases cause direct injury to libraries by robbing them of budget flexibility or even make it impossible for them to continue to provide resources – does that constitute **predatory publishing**?”

Questionable publishers – many names:

- ~~Predatory publishers – (Beall)~~
- Illegitimate publishers – no law regulating academic publishing
- Deceptive publishers
- Unethical publishers
- In DOAJ we call them:
- **Questionable publishers**

Our definition:

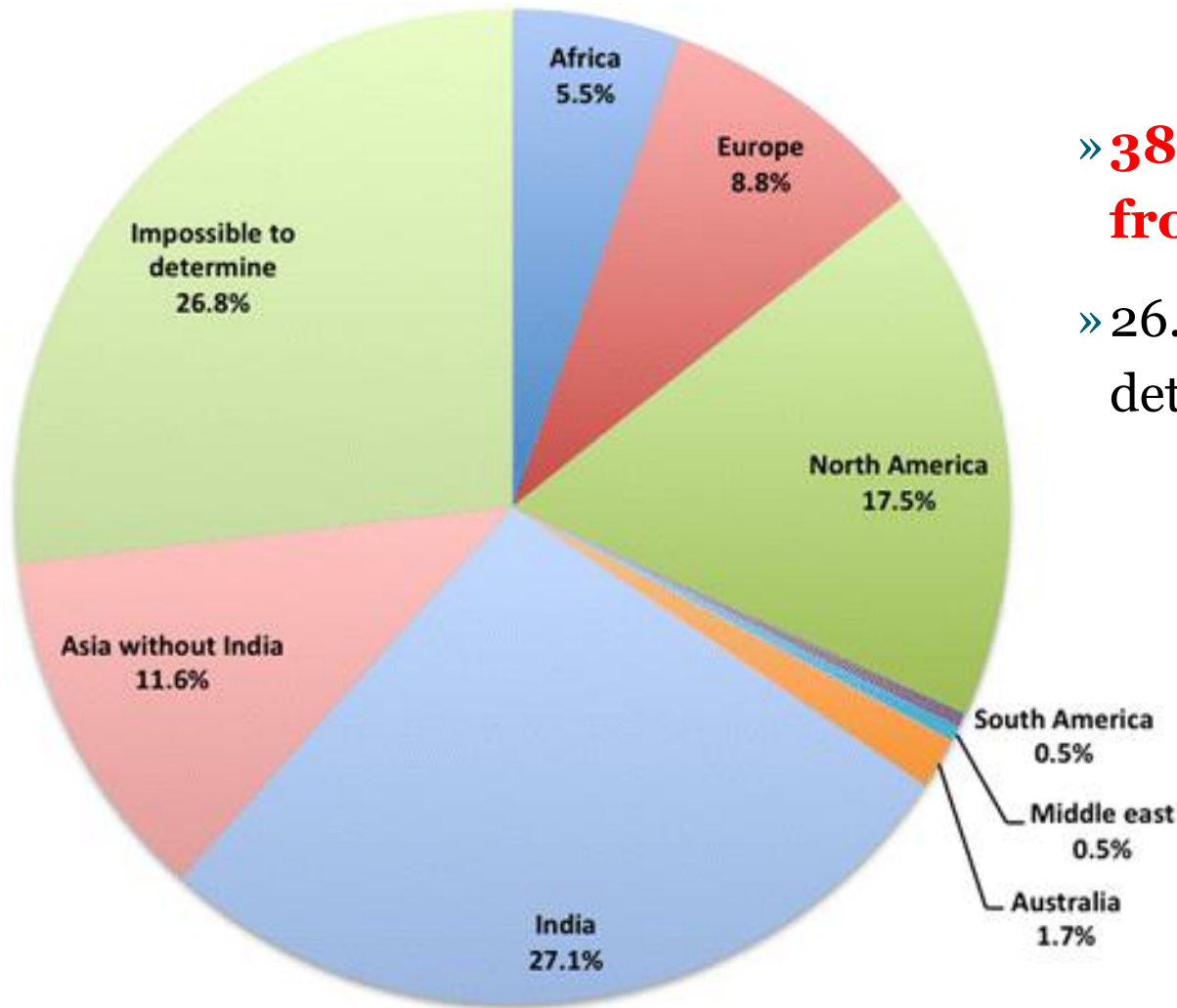
Questionable publishers is
publishers, who are **not living up** to
reasonable standards in terms of
content, services, transparency and
business behavior.

The numbers

- Questionable publishers is a problem!!
 - But how big a problem is it??
 - Shen & Björk (2014): 8.000 journals/420.000 papers
 - Crawford (2014): 3275 (active) journals/121.000
 - But it is still a problem!!
-
- Shen & Björk: <https://bmcmecine.biomedcentral.com/articles/10.1186/s12916-015-0469-2>
 - Crawford: <https://walt.lishost.org/2017/04/the-problems-with-shenbjorks-420000/>

Main Results

country of publishers

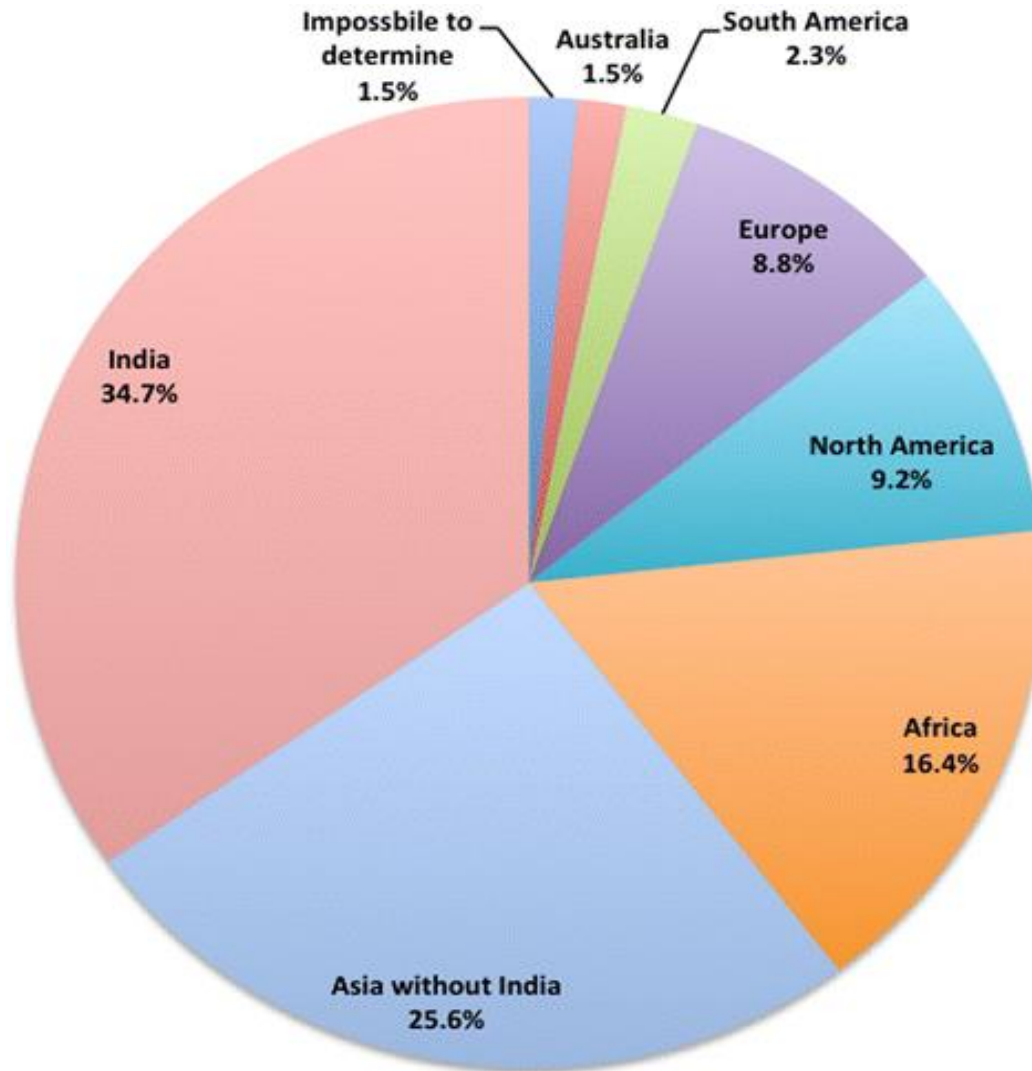


» **38.7% -Asia (27.1% from India)**

» 26.8% -Impossible to determine

from Shen & Björk)

Main Results country of authors



» **60.3% - Asia (34.7% from India)**

» 16.4% - Africa

from Shen & Björk)

- Why are researchers publishing in questionable journals?
 - Ignorance – lack of attention to the faith of the paper
 - Aggressive marketing cheats researchers
 - Publish or Perish – get something on my C.V. – subito! – pays off!
 - Research Assessment – decision makers counting beans!
 - Exclusion

Reducing the attraction

- Research managers/funders/decision makers:
 - Research assessment based on actual assessment of the research!!
 - OA-publishing mandates
 - Lists of accredited publishing channels!?
- Professors/PI/research managers:
 - Make **Publishing Literacy** an integral part of (training in) Research Integrity

How to spot Questionable Publishers/Journals

The 5 minute check

- Competent web-site?
 - Mass e-mails asking for editors and submissions?
 - In the DOAJ? – if not: worrying
 - Usage statistics?
 - Stable in the discipline?
 - Misspelled journal titles?
 - Journal launch dates – many at the same time?
 - Empty shells- no/few articles?
-
- Check list from Gavia Library (the library loon) -<http://gavialib.com/2012/04/assessing-the-scaminess-of-a-purported-open-access-publisher/> – april 2012

The 5 minute check

- Regularly publishing?
- Many “Edited volumes”?
- Quality of writing, copyediting and typesetting?
- Archiving arrangement?
- Editorial Board – identifiable?
- Other financial support – only relying on APCs?
- Relevant Advertising?
- Running many/expensive conferences?

How we spot them!

- . How does DOAJ detect questionable journals?
- . Our approach is based on:
 - . the Principles of Transparency and Best Practice in Scholarly Publishing

We will help out!

- COPE, OASPA, WAME & DOAJ:

Principles of Transparency and Best Practice in Scholarly Publishing

Introduction

The Committee on Publication Ethics, the Directory of Open Access Journals, the Open Access Scholarly Publishers Association, and the World Association of Medical Editors are scholarly organizations that have seen an increase in the number of membership applications from both legitimate and non-legitimate publishers and journals. Our organizations have collaborated in an effort to identify principles of transparency and best practice that set apart legitimate journals and publishers from non-legitimate ones and to clarify that these principles form part of the criteria on which membership applications will be evaluated.

These criteria are largely derived from those developed by the Directory of Open Access Journals. Note that additional membership criteria may also be used by each of the scholarly organizations. The organizations intend to share information in order to develop lists of legitimate journals and publishers. We do not intend to develop or publish a list of publishers or journals that failed to demonstrate they met the criteria for transparency and best practice.

This is a work in progress and we welcome feedback on the general principles and the specific criteria. Background on the organizations is below.

- <https://doaj.org/bestpractice>

The Principles

1. **Peer review process**
2. **Governing Body**
3. **Editorial team/contact**
4. **Author fees**
5. **Copyright**
6. **Identification of and dealing with allegations of research misconduct**
7. **Ownership and management**
8. **Web site.**
9. **Name of journal**
10. **Conflicts of interest**
11. **Access**
12. **Revenue sources**
13. **Advertising**
14. **Publishing schedule**
15. **Archiving**
16. **Direct marketing**

- The new application form:
- <http://doaj.org/application/new>

DOAJ Journal Application Form

All the information provided will help our Editorial Team with their assessment, to help them make an informed decision based on the information that you provide.

If you know a journal that should be in DOAJ, please contact the publisher and ask them to complete this form.

BEFORE YOU START, please remember that **all** the content of the journal you are applying about **must** be available **immediately** upon publication.

Basic Journal Information

1) Journal Title *

2) URL *

3) Alternative Title

4) Journal ISSN (print version) *

Only provide the print ISSN if your journal has one, otherwise leave this field blank. Write the ISSN with the hyphen "-" e.g. 1234-4321.

5) Journal ISSN (online version) *

Write the EISSN with the hyphen "-" e.g. 1234-4321.

6) Publisher *

Quality and Transparency of the Editorial Process

34) What is the URL for the Editorial Board page? *

The journal must have either an editor or an editorial board with at least 5 clearly identifiable members and affiliation information. We may ask for affiliation information and email addresses as part of our checks.

35) Please select the review process for papers *

36) Enter the URL where this information can be found *

This field is optional if you have selected "None" above.

37) What is the URL for the journal's Aims & Scope *

Capture a Rectangul

We are asking about...

- The editorial board
- The peer review process
- Archiving/preservation
- Plagiarism
- Openness
 - Licensing and copyright
 - Re-use rights
- Charges
- ... and much, much more

Editorial “quality”

- **QUALITY AND TRANSPARENCY OF THE EDITORIAL PROCESS**
- The journal must have an editor or an editorial board, all members must be easily identified
- Specification of the review process
 - Editorial review, Peer review., Blind peer review, Double blind peer review, Open Peer Review, Other
- Statements about aims & scope clearly visible
- Instructions to authors shall be available and easily located
- Screening for plagiarism?
- Time from submission to publication

Quality and Transparency of the Editorial Process

34) What is the URL for the Editorial Board page? *

The journal must have either an editor or an editorial board with at least 5 clearly identifiable members including affiliation information and email addresses.

35) Please select the review process for papers *

36) Enter the URL where this information can be found *

This field is optional if you have selected "None" above.

Specify what kind of review process is applied: Editorial review, Peer Review, Blind Peer Review, Double Blind Peer Review, Open Peer Review

- Openness, Reuse& Remixing rights, Licensing, Copyrights and Permissions!

How Open is the Journal?

Please remember that **all** the content of the journal you are applying about **must** be available **immediately** upon publication.

42) What is the URL for the journal's Open Access statement? *

Reuse/remix

45) Does the journal allow reuse and remixing of its content, in accordance with a CC license? *

- ☐ CC-BY
- ☐ CC-BY-NC
- ☐ CC-BY-NC-ND
- ☐ CC-BY-ND
- ☐ CC-BY-SA
- ☐ No
- ☒ Other

For more information go to
<http://creativecommons.org/licenses/>

46) Which of the following does the content require? (Tick all that apply.)

- ☐ Attribution
- ☐ No Commercial Usage
- ☐ No Derivatives
- ☐ Share Alike

47) Enter the URL on your site where your license terms are stated

47) Enter the URL on your site
where your license terms are
stated

48) Does the journal allow readers
to 'read, download, copy,
distribute, print, search, or link to
the full texts' of its articles? *

☐ Yes

☐ No

From the [Budapest Open Access Initiative's definition of Open Access](#)

Copyright and Permissions

50) Does the journal allow the author(s) to hold the copyright without restrictions? *

☐ Yes

☐ No

☒ Other

51) Enter the URL where this information can be found *

52) Will the journal allow the author(s) to retain publishing rights without restrictions? *

☐ Yes

☐ No

☐ Other

- Archiving is important – too many OA-journals do not have an archiving arrangement

23) What digital archiving policy does the journal use? *

- ☐ No policy in place
☐ LOCKSS
☐ CLOCKSS
☐ Portico
☐ PMC/Europe PMC/PMC Canada
☐ A national library
☐ Other

Select all that apply. Institutional archives and publishers' own online archives are not valid

24) Enter the URL where this information can be found *

This field is optional if you have only selected "No policy in place" above

25) Does the journal allow anyone to crawl the full-text of the journal? *

- ☐ Yes
☐ No

Plagiarism etc

39) Does the journal have a policy
of screening for plagiarism? *

- ☒ Yes
☐ No

If "No" proceed to question below

40) Enter the URL where this
information can be found *

41) What is the average number of
weeks between submission and
publication? *

Charges

13) Does the journal have article processing charges (APCs)? *

- ☒ Yes
☐ No

If "No" proceed to question below

14) Amount *

15) Currency *

16) Does the journal have article submission charges? *

- ☐ Yes
☒ No

If "No" proceed to question below

21) Does the journal have a waiver policy (for developing country authors etc)? *

- ☒ Yes
☐ No

22) Enter the URL where this information can be found *

How does DOAJ detect questionable journals?

- Low publishing quality
 - Journal name, website, fees, peer review, publisher, ownership, volume of articles, advertisements, prominent soliciting for editors, ambiguous company address, many journals and few articles
- Low scientific quality
 - focus, format, self-citations, plagiarism
- Malpractice
 - false claims, hidden costs, spamming authors, wrong information,

- Inappropriate marketing practices
 - Spam emails
- Journal titles with “International”, “American” or “European”
- Very broad scope, multidisciplinary
- Fake impact factors
- Advertise very quick publishing
- Advertise a relative low publication fee
- No or little quality control of articles
- Low-standard peer review process or even don't have peer review at all

- It is the **complete** assessment of the journal/publisher that forms the final picture.
- A minor set of shortcomings isn't enough "evidence" to label someone a Questionable Publisher.
- Shortcomings often based on lack of knowledge!
- We are in it to help honest publishers do a better job!!

Blacklists?

Beall's list:

- Maintained by one (1) person, a serials librarian,
- with remarkable ignorance about just serials,
- who explicitly dislike OA and
- operates as prosecutor, judge and jury in one person

About Blacklists

- Not only are blacklists incomplete by definition
- They are highly susceptible to legal challenge and vulnerable to personal bias.
- Scholars should be able to decide for themselves what is a good venue from which to communicate their work
- (Cameron Neylon: <https://cameronneylon.net/blog/blacklists-are-technically-infeasible-practically-unreliable-and-unethical-period/>)

- The Blacklist approach:
 - Stigmatize publishers/journals
- The DOAJ approach:
 - assist publishers to improve and become more transparent, and keep Questionable Publishers out!

Whitelists

- An increasing number of Governments and Research Funders are developing Lists of Accredited Publishing Channels as a basis for
 - Research evaluation
 - Rewards systems and promotion
 - Resource allocation
- In case Open Access Policies or Mandates are in place many look to DOAJ for good Open Access Journals

Promoting OA journals in National Whitelists

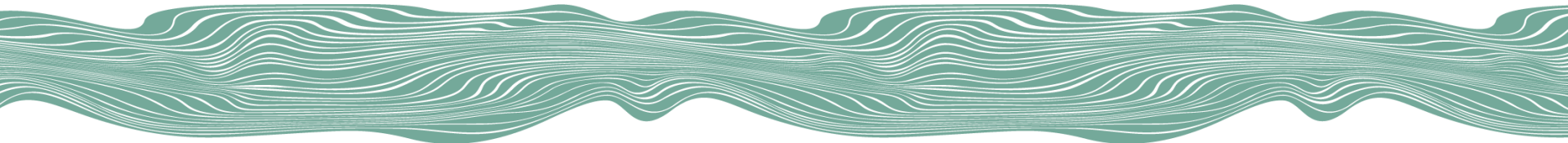
- Examples:
- The Science Europe Recommendations:
 - DOAJ recognized in line with Web of Science and Scopus
- The Nordic Research Councils collaborate on a whitelist and supports DOAJ
- Indonesia and other countries
- Many universities have DOAJ listing as a criteria for supporting APC payments for their researchers



Vetenskapsrådet

THE NORDIC LIST

**An international collaborative tool for publication
analysis with relevance for
open access**



Collaboration with DOAJ

- In March 2017 a collaboration was started between DOAJ and the Nordic List consortium
- The consortium would like to use DOAJ as a partner in evaluating open access policies of publications channels
- This is an attempt to increase the effectiveness of the Nordic collaboration and also to be able to highlight good practice in publishing



More help to researchers
to avoid Questionable
Publishers

It's easy: encourage them
to think!!!



Choose the right journal for your research



Think. Check. Submit. is a campaign to help researchers identify trusted journals for their research. It is a simple checklist researchers can use to assess the credentials of a journal or publisher.



Choose the right journal for your research



**Are you submitting your research to a trusted journal?
Is it the right journal for your work?**

- More research is being published worldwide.
- New journals are launched each week.
- Stories of publisher malpractice and deception are also on the rise.
- It can be challenging to find up-to-date guidance when choosing where to publish.

How can you be sure the journal you are considering is the right journal for your research?



Choose the right journal for your research



Reference this list for your chosen journal to check if it is trusted.

- Do you or your colleagues know the journal?
 - Have you read any articles in the journal before?
 - Is it easy to discover the latest papers in the journal?

- Can you easily identify and contact the publisher?
 - Is the publisher name clearly displayed on the journal website?
 - Can you contact the publisher by telephone, email, and post?

- Is the journal clear about the type of peer review it uses?

- Are articles indexed in services that you use?

- Is it clear what fees will be charged?
 - Does the journal site explain what these fees are for and when they will be charged?



Choose the right journal for your research



- Do you recognise the editorial board?
 - Have you heard of the editorial board members?
 - Do the editorial board mention the journal on their own websites?

 - Is the publisher a member of a recognized industry initiative?
 - Do they belong to the Committee on Publication Ethics (COPE) ?
 - If the journal is open access, is it listed in the Directory of Open Access Journals (DOAJ) ?
 - If the journal is open access, does the publisher belong to the Open Access Scholarly Publishers' Association (OASPA) ?
 - Is the journal hosted on one of INASP's Journals Online platforms (for journals published in Bangladesh, Nepal, Sri Lanka, Central America and Mongolia) or on African Journals Online (AJOL, for African journals)?
 - Is the publisher a member of another trade association?
-



If you can answer 'yes' to most or all of the questions on the list.

Complete the check list and submit your article only if you are happy you can answer 'yes' to most or all of the questions.

- You need to be confident your chosen journal will have a suitable profile among your peers to enhance your reputation and your chance of gaining citations.
- Publishing in the right journal for your research will raise your professional profile, and help you progress in your career.
- Your paper should be indexed or archived and be easily discoverable.
- You should expect a professional publishing experience where your work is reviewed and edited.
- Only then should you submit your article.



Choose the right journal for your research



Contributing organizations:

- [Asian Council of Science Editors \(ACSE\)](#)

- [Association of Learned & Professional Society Publishers \(ALPSP\)](#)

- [Committee on Publication Ethics \(COPE\)](#)

- [Directory of Open Access Journals \(DOAJ\)](#)

- [INASP](#)

- [ISSN International Centre](#)

- [Ligue des Bibliothèques Européennes de Recherche – Association of European Research Libraries \(LIBER\)](#)

- [Open Access Scholarly Publishers Association \(OASPA\)](#)

- [SPARC Europe](#)

- [International Association of STM Publishers \(STM\)](#)

- [UKSG](#)



THINK



CHECK



SUBMIT

Choose the right journal for your research

LANGUAGE

- | | | |
|--------------------------------|---------------------|---------------------|
| • <u>Arabic</u> | • <u>Hindi</u> | • <u>Romanian</u> |
| • <u>Catalan</u> | • <u>Indonesian</u> | • <u>Russian</u> |
| • <u>Chinese (Simplified)</u> | • <u>Italian</u> | • <u>Slovak</u> |
| • <u>Chinese (Traditional)</u> | • <u>Japanese</u> | • <u>Spanish</u> |
| • <u>Czech</u> | • <u>Kazakh</u> | • <u>Ukrainian</u> |
| • <u>Farsi</u> | • <u>Korean</u> | • <u>Tamil</u> |
| • <u>French</u> | • <u>Lithuanian</u> | • <u>Thai</u> |
| • <u>German</u> | • <u>Mongolian</u> | • <u>Vietnamese</u> |
| • <u>Greek</u> | • <u>Portuguese</u> | |

<http://thinkchecksubmit.org/>

and of course:

Check DOAJ – if the journals is not
listed, then:

Take Care!!

DOAJ – some numbers (Jan 2018)

- Number of Journals in DOAJ: 11.023
- Number of Articles linked in DOAJ: 2.867.844
- Number of Countries represented: 123
- Rejection Rate: 47%
- Number of Publishers (Journals) inadmissible for 1 year or more: 316 (3123)
- List of journals removed:
https://docs.google.com/spreadsheets/d/183mRBRqs2jOyP0qZWXN8dUd02D4vL0Mov_kgYF8HORM/edit#gid=0
- Number of new Applications /Month: >300

How we work!

- DOAJ Core team:
 - Managing Director
 - Operations Manager
 - Project and Communications Manager
 - Editor-in-Chief
 - Senior Managing Editor
 - 6 Managing Editors
 - PLUS

Volunteers and Ambassadors

- 50+ **Voluntary** Editors/Associate Editors working unpaid a few hours/week – distributed in editorial groups managing 20+ languages
- 20 **Ambassadors** recruited to
 - Promote DOAJ
 - Handle applications of journals to be listed in DOAJ
 - Promote best publishing practice and
 - Help identifying and spotting questionable and unethical publishers
- Ambassadors are
 - based in China, India, Russia, Egypt, Ethiopia, Burkina Faso, Algeria, South Africa and Mexico, Indonesia & Korea – covering Asia, Middle East, Africa and Latin America

three-tier evaluation proces



Associate Editors: reviewing applications, communicate with publishers, recommend inclusion/rejection

Editors: allocating applications to Associate Editors, recommend inclusion/rejection

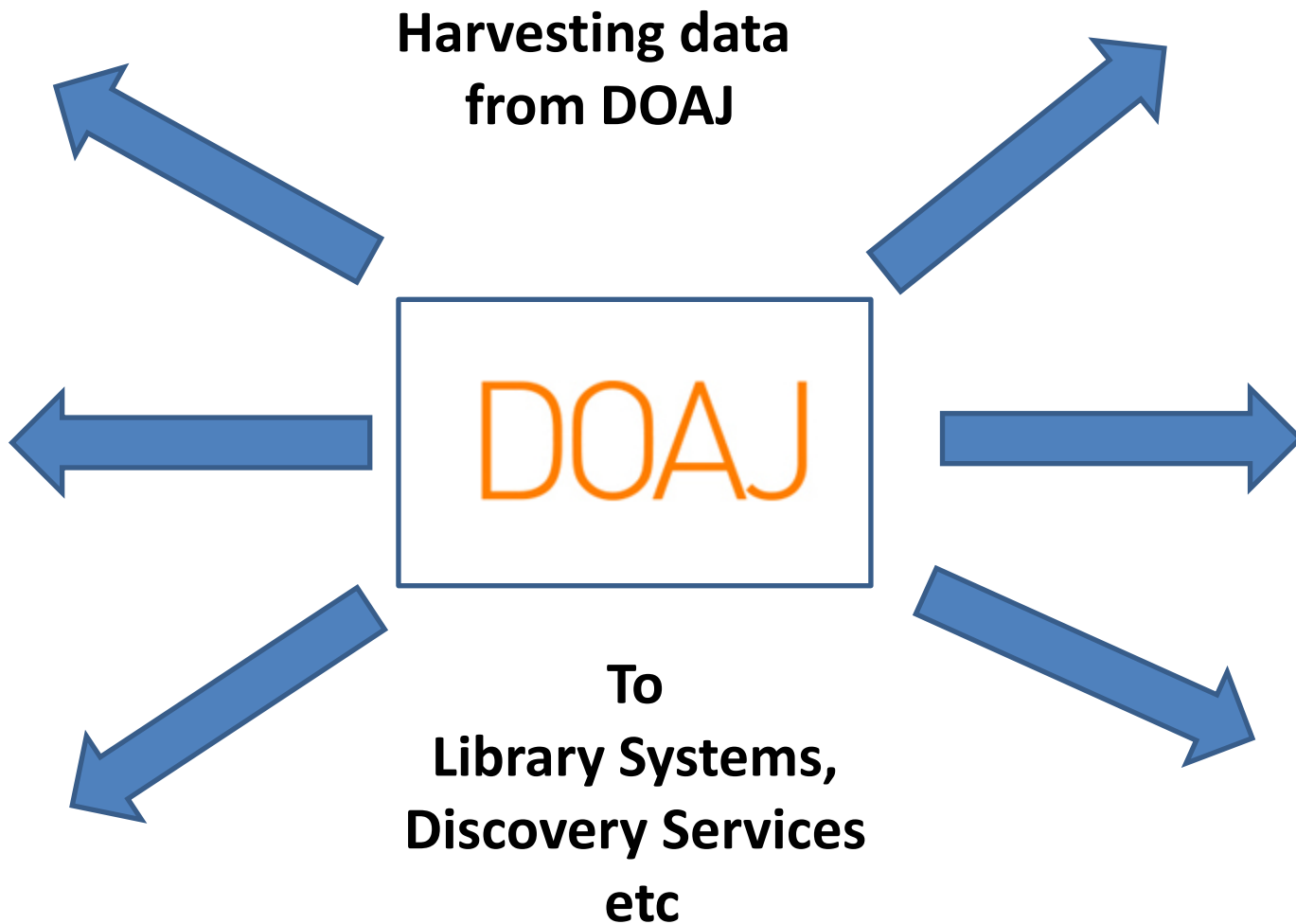
Managing Editors: allocate applications to Editors & decide on inclusion/rejection

DOAJ – much more than a list of journals!

- A global list of peer-reviewed Open Access journals – all subjects and languages
 - journals undergo evaluation based on a set of criteria
 - 11.000 titles (January 2018)
- An aggregation of article level metadata
 - Publishers upload article metadata into DOAJ
 - 73% of the journals do so
 - Currently 2.867.000 records
- All DOAJ services and data are free for all to use, download and re-use

DOAJ is aggregating article level metadata





Collaboration!

- COPE, OASPA, WAME – the Principles of Transparency and Best Practice of Scholarly Publishing
- Keepers' Registry – certified archiving organizations
- (OJS) PUBLIC KNOWLEDGE PROJECT
- RESEARCH4LIFE – screening OA-journals
- ISSN
- OASPA, STM, ALPSP, LIBER etc:



- www.thinkchecksubmit.org

DOAJ depends entirely on donations



Become a member or make a donation

DOAJ Membership is recommended for those who can support the DOAJ with an annual fixed contribution (annual automatic payment). Members are listed on the [DOAJ Membership page](#), can use their DOAJ membership status and our logo for marketing activities. You may also make a donation of any amount that you wish (invoiced annually) and be listed as a [DOAJ Supporter](#). If you publish or own an Open Access journal, you may prefer to become a [Publisher Member](#). You will be listed on our [Publisher Members page](#) and will receive our newsletter.

<https://doaj.org/membership>

- ALLEA Members supporting DOAJ:
 - Austrian Academy of Sciences
 - Several of the centres in the network of the Hungarian Academy of Sciences
 - The Royal Netherlands Academy of Arts and Sciences
 - Interested in supporting the work we do?
 - Contact lars@doaj.org

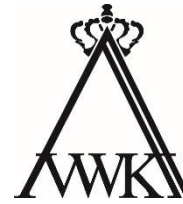
Thanks to :,

All the Library Consortia, Universities, Research Funders and
Publishers and our Sponsors for the financial support to DOAJ!
And thank you for listening!



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#OAEthics



ALLEA
ALL European
Academies

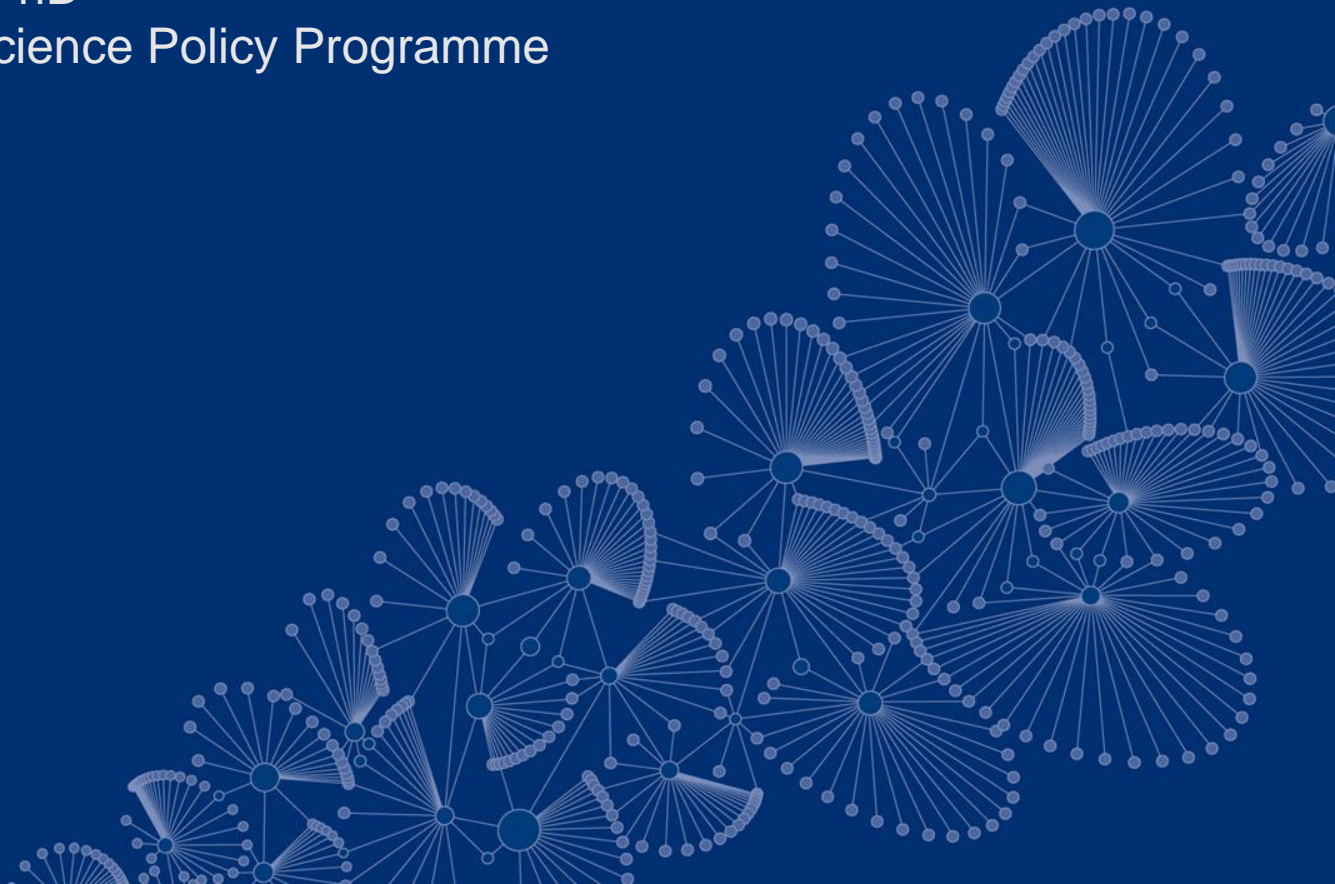


Open Access and Assessing Research Performance

Michele Garfinkel
EMBO

Research assessment in open science

Michele Garfinkel, PhD
Manager, EMBO Science Policy Programme



About EMBO

- European Molecular Biology Organization (Maria Leptin, Director)
- Founded 1964, Heidelberg, DE
- Funded by the European Molecular Biology Conference
 - 31 Member and Associate Member States
 - 2 Cooperation Agreements
- *Advancing policies for a world-class European research environment*

Programmes

- Members
- Fellowships
- Young Investigators
- Courses and Workshops
- Science Policy
- Scientific publishing: EMBO Press



SHARING PUBLICATION-RELATED DATA AND MATERIALS

RESPONSIBILITIES OF AUTHORSHIP
IN THE LIFE SCIENCES

Committee on Responsibilities of Authorship in the Biological Sciences

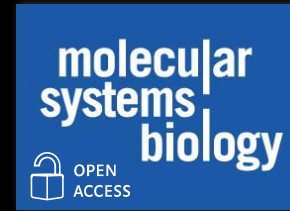
Board on Life Sciences
Division on Earth and Life Studies

NATIONAL RESEARCH COUNCIL
OF THE NATIONAL ACADEMIES

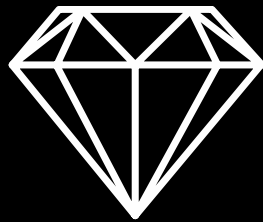
THE NATIONAL ACADEMIES PRESS
Washington, D.C.
www.nap.edu

Scientific publishing

The publication of scientific information is intended to move science forward. More specifically, the act of publishing is a *quid pro quo* in which authors receive credit and acknowledgment in exchange for disclosure of their scientific findings.



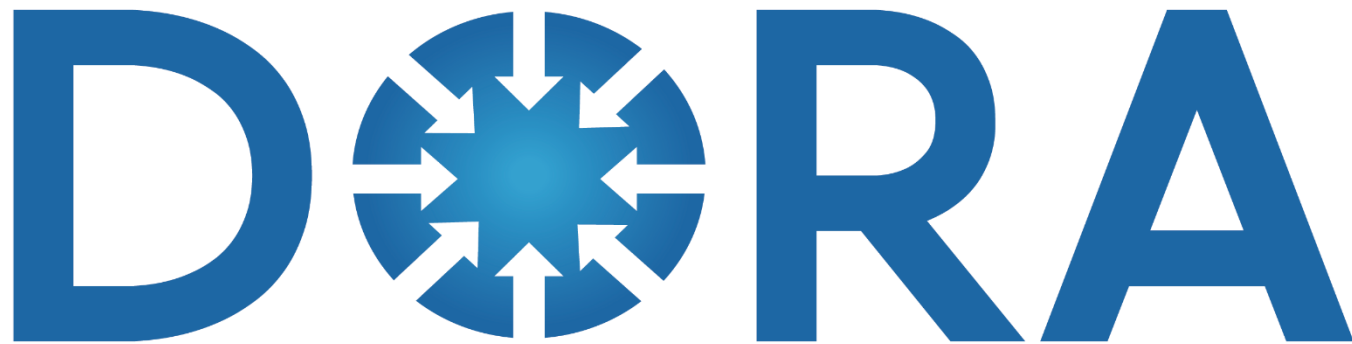
Core principles and services



TRANSPARENT
PROCESS

1. Transparent review
2. Scooping Protection
3. Referee Cross-Commenting
4. Single Round
5. Fast Process
6. Source Data
7. Approachable Editors
8. Informed Evaluation
9. Manuscript Transfers
10. Flexible Formatting
11. Pre-publication screening

San Francisco



Declaration on Research Assessment

The San Francisco Declaration on Research Assessment (DORA), initiated by the American Society for Cell Biology (ASCB) together with a group of editors and publishers of scholarly journals, recognizes the need to improve the ways in which the outputs of scientific research are evaluated. The group met in December 2012 during the ASCB Annual Meeting in San Francisco and subsequently circulated a draft declaration among various stakeholders. DORA as it now stands has benefited from input by many of the original signers listed below. It is a worldwide initiative covering all scholarly disciplines. We encourage individuals and organizations who are concerned about the appropriate assessment of scientific research to sign DORA.

The Declaration

There is a pressing need to improve the ways in which the output of scientific research is evaluated by funding agencies, academic institutions, and other parties. To address this issue, a group of editors and publishers of scholarly journals met during the Annual Meeting of The American Society for Cell Biology (ASCB) in San Francisco, CA, on December 16, 2012.

The group developed a set of recommendations, referred to as the San Francisco Declaration on Research Assessment. We invite interested parties across all scientific disciplines to indicate their support by adding their names to this Declaration. The outputs from scientific research are many and varied, including: research articles reporting new knowledge, data, reagents, and software; intellectual property; and highly trained young scientists. Funding agencies, institutions that employ scientists, and scientists themselves, all have a desire, and need, to assess the quality and impact of scientific outputs. It is thus imperative that scientific output is measured accurately and evaluated wisely.

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Individual Signers

Total: 12709

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The Index and the Moon: Mortgaging Scientific Evaluation

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[Download the Declaration \(PDF\)](#)

[Download the DORA Logo \(PDF\)](#)

[Download the DORA Poster \(PDF\)](#)

Organization Signers

Total: 438

[View 82 Original Signers](#)

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General Recommendation

1. Do not use journal-based metrics, such as Journal Impact Factors, as a surrogate measure of the quality of individual research articles, to assess an individual scientist's contributions, or in hiring, promotion, or funding decisions.

For funding agencies

2. Be explicit about the criteria used in evaluating the scientific productivity of grant applicants and clearly highlight, especially for early-stage investigators, that the scientific content of a paper is much more important than publication metrics or the identity of the journal in which it was published.
3. For the purposes of research assessment, consider the value and impact of all research outputs (including datasets and software) in addition to research publications, and consider a broad range of impact measures including qualitative indicators of research impact, such as influence on policy and practice.

For institutions

4. Be explicit about the criteria used to reach hiring, tenure, and promotion decisions, clearly highlighting, especially for early-stage investigators, that the scientific content of a paper is much more important than publication metrics or the identity of the journal in which it was published.
5. For the purposes of research assessment, consider the value and impact of all research outputs (including datasets and software) in addition to research publications, and consider a broad range of impact measures including qualitative indicators of research impact, such as influence on policy and practice.

For publishers

6. Greatly reduce emphasis on the journal impact factor as a promotional tool, ideally by ceasing to promote the impact factor or by presenting the metric in the

context of a variety of journal-based metrics (e.g., 5-year impact factor, EigenFactor [8], SCImago [9], *h*-index, editorial and publication times, etc.) that provide a richer view of journal performance.

7. Make available a range of article-level metrics to encourage a shift toward assessment based on the scientific content of an article rather than publication metrics of the journal in which it was published.
8. Encourage responsible authorship practices and the provision of information about the specific contributions of each author.
9. Whether a journal is open-access or subscription-based, remove all reuse limitations on reference lists in research articles and make them available under the Creative Commons Public Domain Dedication [10].
10. Remove or reduce the constraints on the number of references in research articles, and, where appropriate, mandate the citation of primary literature in favor of reviews in order to give credit to the group(s) who first reported a finding.

For organizations that supply metrics

11. Be open and transparent by providing data and methods used to calculate all metrics.
12. Provide the data under a licence that allows unrestricted reuse, and provide computational access to data, where possible.
13. Be clear that inappropriate manipulation of metrics will not be tolerated; be explicit about what constitutes inappropriate manipulation and what measures will be taken to combat this.
14. Account for the variation in article types (e.g., reviews versus research articles), and in different subject areas when metrics are used, aggregated, or compared.

For researchers

15. When involved in committees making decisions about funding, hiring, tenure, or promotion, make assessments based on scientific content rather than publication metrics.
16. Wherever appropriate, cite primary literature in which observations are first reported rather than reviews in order to give credit where credit is due.
17. Use a range of article metrics and indicators on personal/supporting statements, as evidence of the impact of individual published articles and other research outputs [11].
18. Challenge research assessment practices that rely inappropriately on Journal Impact Factors and promote and teach best practice that focuses on the value and influence of specific research outputs.

What it does *not* say

- Metrics based research assessment is wrong
- JIF is useless
- Citations are a flawed metric
- There is a simple alternative
- Publishers are to blame
- Metrics providers are to blame

Publishing/policy interface

- Preprint servers
 - ArXiv/BioArXiv
 - ASAPbio
- Assessing contributors of data (microattribution) (extend DORA?)
- Identification of authors and contributors
- Formal and informal post-publication review



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Form Interface

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02 Jan 2018: 1991–2017 submission rate statistics are now available.

See cumulative "What's New" pages. Read [robots beware](#) before attempting any automated download

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- **General Relativity and Quantum Cosmology** (**gr-qc** [new](#), [recent](#), [find](#))
- **High Energy Physics – Experiment** (**hep-ex** [new](#), [recent](#), [find](#))
- **High Energy Physics – Lattice** (**hep-lat** [new](#), [recent](#), [find](#))
- **High Energy Physics – Phenomenology** (**hep-ph** [new](#), [recent](#), [find](#))
- **High Energy Physics – Theory** (**hep-th** [new](#), [recent](#), [find](#))
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- **Nonlinear Sciences** (**nlin** [new](#), [recent](#), [find](#))
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- **Nuclear Theory** (**nucl-th** [new](#), [recent](#), [find](#))
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Mathematics



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includes: Disordered Systems and Neural Networks; Materials Science; Mesoscale and Nanoscale Physics; Other Condensed Matter; Quantum Gases; Soft Condensed Matter; Statistical Mechanics; Strongly Correlated Electrons; Superconductivity
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Mathematics



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Cooperation And Liaison Between Universities And Editors (CLUE): Recommendations On Best Practice

[Elizabeth Wager](#), [Sabine Kleinert](#), [Michele Garfinkel](#), [Volker Bähr](#), [Ksenija Baždarić](#),
[Michael Farthing](#), [Chris Graf](#), [Zoë Hammatt](#), [Lyn Horn](#), [Susan King](#), [Debra Parrish](#),
[Bernd Pulverer](#), [Paul Taylor](#), [Gerrit van Meer](#)

doi: <https://doi.org/10.1101/139170>

This article is a preprint and has not been peer-reviewed [what does this mean?].

Abstract

[Info/History](#)

[Metrics](#)

[Preview PDF](#)

bioRxiv

PREPRINT SERVER FOR BIOLOGY

[Advanced Search](#)

Genetics	Paleontology
Genomics	Pathology
Immunology	Pharmacology and Toxicology
Microbiology	Physiology
Molecular Biology	Plant Biology
	Scientific Communication and Education
	Synthetic Biology

[Bioinformatics](#)

[Biophysics](#)

[Cancer Biology](#)

[Cell Biology](#)

[Clinical Trials](#)

ASAPbio is a scientist-driven initiative to promote transparency and innovation in life sciences communication.

News

A promotional graphic for a webcast. It features a green background with a hexagonal pattern. In the center, there is an illustration of a computer monitor displaying the text 'Webcast: Peer Review in the Life Sciences'. The monitor is surrounded by stacks of books, a blue mug, a keyboard, and a mouse. To the right of the monitor, the text 'SAVE THE DATE' is written in large, white, bold letters. Below this, a white box contains the text 'Feb 7-8, 2018'. At the bottom, there are logos for 'hhmi', 'wellcome' (a green 'W' in a white square), and 'ASAPbio' (a red arrow pointing right). To the right of these logos, the text 'Visit asapbio.org/peer-review' is displayed.

Webcast:
Peer Review in the
Life Sciences

**SAVE
THE
DATE**

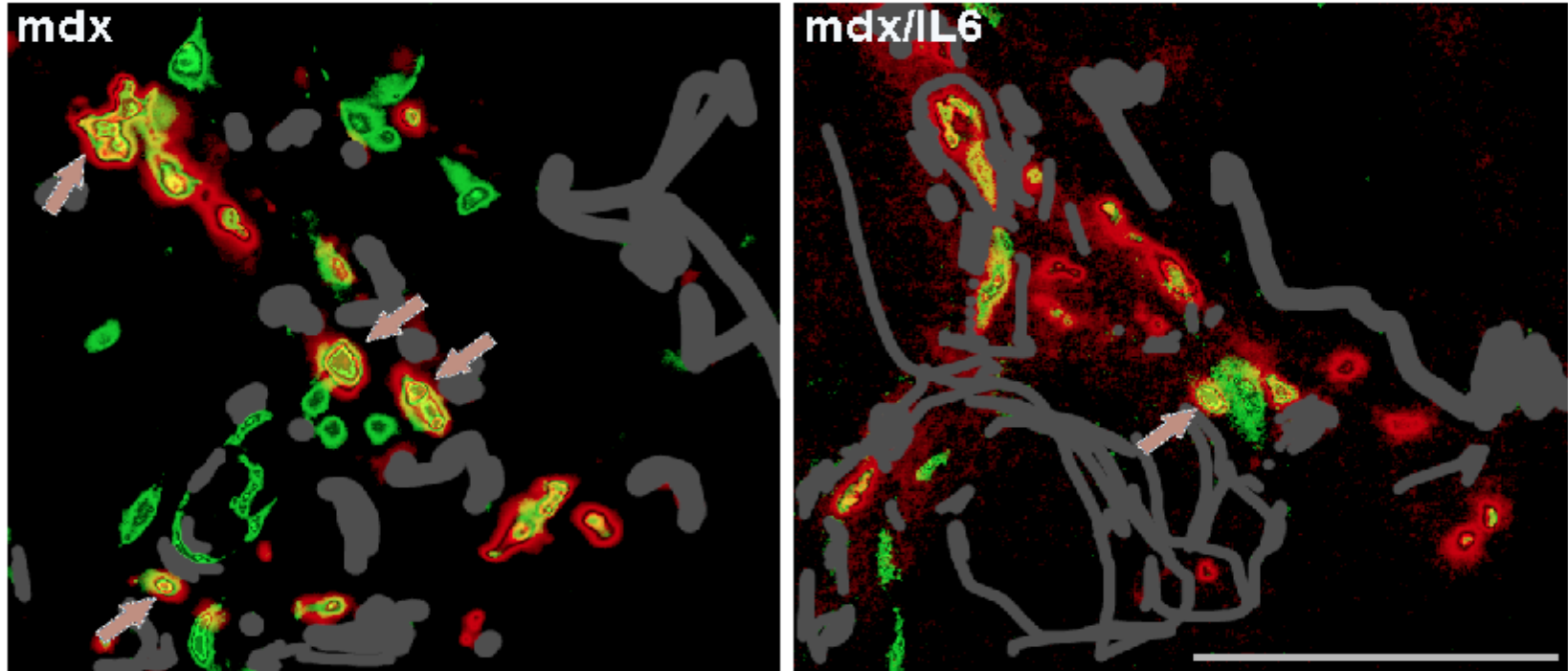
Feb 7-8, 2018

hhmi |  |  ASAPbio Visit asapbio.org/peer-review

Meeting on Transparency, Recognition, and Innovation in
Peer Review in the Life Sciences

Fraud or Beautification?

A



EMM submission



EMBOpress

THE
EMBO
JOURNAL

EMBO
reports

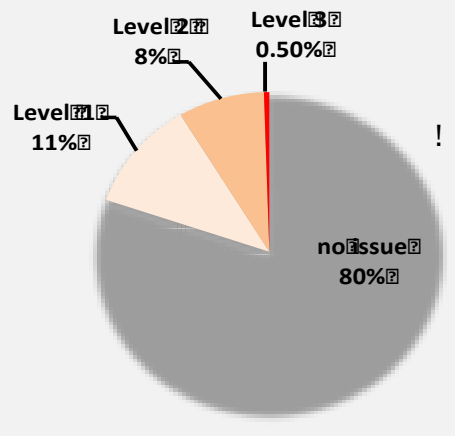
molecular
systems
biology

EMBO
Molecular Medicine

Pre-publication image screening

	pre-pub check	% 'issues'
2013	215	20.9
2014	289	20.4

Level	Attributes	Action	%
I	cosmetic aberrations or mistakes with supporting source data and satisfactory author explanation.	allow revision no report to institution	12
II	data 'beautification' and undeclared manipulation that changes conclusions; available source data or new data	may allow revision, may report to institution	8
III	image manipulation with digital obfuscation (splicing, cloning, insertion, selective deletion); no explanation; no source data	reject and report	<0.5



**request source data
without providing details**

Need for training

Date: March 11, 2015 1:22:05 PM GMT+01:00

To: Michele Garfinkel <michele.garfinkel@embo.org>



Dear Michele,

In addition, I am currently attending the course on research integrity; I am more or less half way to do the test. It is a great course; although I have been doing research for more than 15 years, I was not aware of many important details. I am ashamed in admitting that I have sometimes followed and witnessed incorrect research conduct, without even noticing. Of course I haven't done anything evil, but in the future I will pay more attention. I think that more education, at all levels, is needed to get the research community aware and more attentive to Research Integrity.

Contributor Roles

A high-level classification of the diverse roles performed in the work leading to a published research output in the sciences. Its purpose to provide transparency in contributions to scholarly published work, to enable improved systems of attribution, credit, and accountability.

Sub-elements

Consortia Advancing
Standards in Research
Administration Information:
Contributor Roles Taxonomy

1. [Contributor Roles/Conceptualization](#)
2. [Contributor Roles/Data curation](#)
3. [Contributor Roles/Formal analysis](#)
4. [Contributor Roles/Funding acquisition](#)
5. [Contributor Roles/Investigation](#)
6. [Contributor Roles/Methodology](#)
7. [Contributor Roles/Project administration](#)
8. [Contributor Roles/Resources](#)
9. [Contributor Roles/Software](#)
10. [Contributor Roles/Supervision](#)
11. [Contributor Roles/Validation](#)
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Michele Garfinkel

ORCID ID

 <https://orcid.org/0000-0001-8946-7907>

What or who needs to be responsible?

- The system?
- The individual?
- “Science”?
- Scientists?

Asilomar 1975

ROLLING STONE, JUNE 19, 1975

THE PANDORA'S BOX CONGRESS

By Michael Rogers

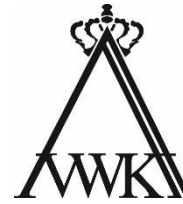
**140 Scientists Ask: Now that We Can Rewrite
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...sious patterns. The most understood—and also the



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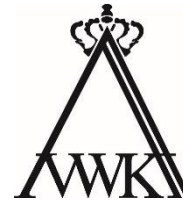


Stakeholder Perspectives: Dealing with the Challenges of Openness

Lidia Borrell-Damian	European University Association (EUA)
Maud Evrard	Science Europe
Göran Hermerén	Royal Swedish Academy of Letters, Antiquities and History
Martin Stokhof	European Research Council (ERC)
Marcel Swart	Young Academy of Europe (YAE)
Stuart Taylor	Royal Society
Maura Hiney	Royal Irish Academy (Moderator)

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Wrap-up and Closing

Göran Hermerén

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