The Diamond OA Standard (DOAS)

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Acronyms

AAM	Author Accepted Manuscript
AI	Artificial Intelligence
APCs	Article Processing Charges
API	Application Programming Interface
CC	Creative Commons
CC0	Public Domain Dedication
CC-BY	Creative Commons Attribution licence
CC-BY-SA	Creative Commons Attribution - ShareAlike licence
COPE	Committee on Publication Ethics
CRediT	Contributor Roles Taxonomy
CSV	Comma-separated values
DIAMAS	Developing Institutional Open Access Publishing Models to Advance Scholarly Communication
DOAS	Diamond Open Access Standard
DOI	Digital Object Identifier
EDIB	Equity, Diversity, Inclusion and Belonging
eISSN	Electronic International Standard Serial Number
ePub	Electronic Publication
EQSIP	Extensible Quality Standard for Institutional Publishing
EOSC	European Open Science Cloud
FAIR	Findable, Accessible, Interoperable, Reusable
GDPR	General Data Protection Regulation
GEP	Gender Equity Plan
HTML	HyperText Markup Language
I4OA	Initiative for Open Abstracts
I4OC	Initiative for Open Citations
IPR	Intellectual Property Rights
IPSP	Institutional Publishing and/or Service Provider
IP	Institutional Publishing
ISBN	International Standard Book Number
ISMN	International Standard Music Number
ISSN	International Standard Serial Number
JATS	Journal Article Tag Suite
JSON	JavaScript Object Notation
KBART	Knowledge Bases and Related Tools
LOCKSS	Lots of Copies Keep Stuff Safe
MARC	MAchine-Readable Cataloguing
OA	Open Access
OAI-PMH	Open Archives Initiative Protocol for Metadata Harvesting
OpenAIRE	Open Access Infrastructure for Research in Europe
ORCID	Open Researcher and Contributor ID
OS	Open Science
PCR	Publish, Review, Curate

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PDF	Portable Document Format
PID	Persistent IDentifier
ROR	Research Organisation Registry
RSS	Really Simple Syndication
TEI	Text Encoding Initiative
SP	Service Provider
URL	Uniform Resource Locator
VoR	Version of Record
WCAG	W3C Web Content Accessibility Guidelines
XML	Extensible Markup Language

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Introduction

The *Diamond OA Standard* (DOAS) is one of the main outputs of the DIAMAS[1] project. DOAS sets out standards for institutional publishing (IP) of scholarly journals in the broadest sense, with a special focus on those publishing models that do not charge fees to authors or readers.

An Institutional Publisher (IP) is an entity engaged in academic publishing, characterised by the dissemination of scholarly content (journals and books) conducted by an institution, its subunits, or an individual associated with the institution[2]. IPs have ownership of publishing titles/assets, decide on governance of these titles/assets, or at least have editorial responsibility for their publishing titles. In other words, IPs have legal, ethical, or/and scientific responsibility for academic publishing, irrespective of whether they also have editorial control over what is published. Although they often provide different services, IPs do not belong to the category of Service Providers (SPs), i.e. commercial or non-commercial entities inside or outside the institution that provide specific services to IPs. SPs have limited responsibility for specific activities in the publishing process, and do not have final responsibility for the published titles.

'No fee' publishing models are collectively known as Diamond OA. Many IPs in the European Research Area (ERA) are already fully in line with the Diamond model, which is considered as the ideal, most equitable, end state of institutional publishing. At the same time, the institutional publishing landscape also includes a varied subset of IPs who are not yet fully Diamond OA, and partly rely on subscriptions, print sales, and, marginally, Article Processing Charges (APCs) for their diverse revenue streams. Some publishing initiatives may also restrict publication for authors, for instance to authors funded by a specific funder. The scope of the DIAMAS project extends to all such IPs as well. We coin the term 'diamondisation' for IPs that are moving towards fully Diamond OA. DOAS includes a set of quality criteria for Diamond publishing initiatives, though most of the items apply as quality hallmarks for any publishing business model.

The Diamond OA Standard (DOAS) is the quality standard for IPs that publish scholarly journals, based on the seven core components of scholarly publishing outlined in the *Action Plan for Diamond Open Access*[3] (Ancion et al. 2022, 4), which were subsequently revised and modified by the DIAMAS project team. These are:

1. Funding

[1] https://diamasproject.eu/

[2] By institution we mean a not-for-profit academic or scholarly organisation. These include but are not limited to research performing organisations (RPOs), Research funding organisations (RFOs), organisations connected to RPOs (university libraries, university presses, faculties, and departments), research institutes, scholarly societies.

[3] https://www.scienceeurope.org/media/t3jgyo3u/202203-diamond-oa-action-plan.pdf

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

DOAS applies to scholarly journals, underlying goal to set a common quality standard for publishing as a public good, i.e. defined and controlled by the public through expert communities, thus guaranteeing that academic contributions in scholarly journals are also a public good.

How to use DOAS

DOAS is a measure of quality that IPs strive to meet, and that serves as a point of reference against which IPs may be compared, and that they can hopefully conform to in good time and with appropriate support.

DOAS will help IPs ensure the quality and transparency of governance, processes and workflows in their journals' publishing activities. It represents an ideal quality level that IPs would adhere to, with a special focus on Diamond OA scholarly publishing venues. This emphatically does not imply that IPs are expected to fully conform to this standard. To facilitate this, two levels of compliance have been differentiated. There are *essential* items to achieve DOAS as well as *desired* items, i.e. advanced recommendations to improve its compliance even further. While DOAS emphasises the importance of clarity, transparency, and public availability regarding certain information, policies, recommendations, and guidance, it strongly advocates prioritising openness and ensuring that as much additional information as possible is made publicly available.

DOAS deployment is supported by a self-assessment tool, a web-based service through which each IP will be able to privately check its degree of adherence with this standard to evaluate its strengths and weaknesses. Only the IPs themselves will have access to the assessment outcomes. The self-assessment tool includes a graphic support and will be complemented with a tool suite of resources relating to best practices as a service for IPs, allowing them to improve their level of compliance with DOAS.

The structure of DOAS items and their level of requirement are as follows:

Core component and Heading	Item	Level	
		REQUIRED	DESIRED
1. FUNDING			
1.1. Diamond OA business model	No paywalls	✅	
	Transparency on paywalls	✅	

1.2. Sustainability	Financial support	✓	
	Costs		✓
	Sustainability plan		✓
	Transparency on funding		✓
1.3. Editorial Independence	Editorial operations	✓	
	Revenue streams		✓
2. LEGAL OWNERSHIP, MISSION AND GOVERNANCE			
2.1. Ownership	Scholarly community	✓	
	Ownership statement	✓	
	Changes in ownership	✓	
	Transparency in ownership	✓	
2.2. Governance	Mission	✓	
	Scholarly community driven		✓
	Selection procedure	✓	
	Co-publishing	✓	
	Roles and responsibilities	✓	
	Transparency in editorial board selection		✓
2.3. Relations with Service Providers (SPs)	Agreement between IP and SPs		✓
	Agreement between IP journals and SPs		✓
3. OPEN SCIENCE			
3.1. Open policies	Open Science policy		✓
	Open Access	✓	
	Facilitating compliance with OA mandates	✓	
	Underlying research data	✓	
	Data policy content		✓
	Research protocols and methods		✓
	Open research software		✓
	Publication and sharing of negative scientific results		✓
3.2. Authors' Rights, Intellectual Property Rights, and Licensing	Rights retention policy	✓	
	Open Licence	✓	
	Third-party copyright		✓
	User's rights		✓
	Transparency on rights retention publication policy	✓	
3.3. Repositories	Deposits of published articles	✓	
	Acceptance of preprints		✓
4. EDITORIAL MANAGEMENT, EDITORIAL QUALITY AND RESEARCH INTEGRITY			
4.1. Editorial Bodies	Editorial independence	✓	
	Editorial bodies transparency	✓	
	Communication procedures between journals and IP	✓	
	Skills/training		✓
	Engaging stakeholders		✓
4.2. Peer Review	Peer Review	✓	
	Peer-review policy and procedures	✓	

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	Lack of endogeny	✓	
	Open peer review		✓
	Other contributors' copyright		✓
	Acknowledgement of reviewers		✓
	Incentives and rewards		✓
4.3. Editorial Quality	Guidelines for author(s)	✓	
	Guidelines for reviewers	✓	
	Manual of style	✓	
	Suitable layout	✓	
	Proofreading correction	✓	
	Languages of submission	✓	
	Publishing timelines	✓	
4.4. Research Integrity	Guidelines for authorship and/or contributorship		✓
	Research and publication ethics	✓	
	Conflict of interest	✓	
	Misconduct policy	✓	
	Guidelines for Artificial Intelligence		✓
5. TECHNICAL SERVICE EFFICIENCY			
5.1. Publishing Infrastructure	Use of platform	✓	
	Documentation		✓
	Security	✓	
	Basic functionalities	✓	
	Advanced functionalities		✓
	Basic infrastructure management	✓	
	Advanced infrastructure management		✓
	Long term preservation	✓	
5.2. Interoperability and Metadata	Interoperability protocols		✓
	Core metadata	✓	
	Complete metadata	✓	
	Persistent identifiers	✓	
	Registration of persistent identifiers	✓	
	Text and data mining		✓
	Formats		✓
	Citations	✓	
	Personal Data Protection		✓
5.3. Collaboration	Open source		✓
	Return to the community		✓
6. VISIBILITY, COMMUNICATION, MARKETING, AND IMPACT			
6.1. Presence	Visibility	✓	
	Discoverability	✓	
6.2. Communication	Communication channels		✓
	Community management		✓
	Marketing		✓
	Visual identity		✓
6.3. Analysis	Metrics		✓

	Analytical tools		✅
7. EDIB, GENDER AND MULTILINGUALISM			
7.1. EDIB and Gender	EDIB policy at the IP level		✅
	EDIB monitoring		✅
	Equity in submissions and decisions	✅	
	Bias-free language	✅	
	Research data sensitiveness	✅	
7.2. Accessibility	Accessible website	✅	
	Monitoring		✅
7.3. Multilingualism	Abstracts		✅
	Plain language summary		✅
	Full text	✅	
	Website and content	✅	
	Translation		✅
	Language technologies	✅	
	Metadata translation		✅

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Diamond OA Standard (DOAS)

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 IP publishes its journals without charging fees to authors for publishing or to readers for reading. (REQUIRED)
- Transparency on paywalls. The IP provides explicit information on its website that no fees are charged to either authors to publish or readers to read, as well as if there are any other types of fees involved. (REQUIRED)

1.2. Sustainability

- Financial support. The IP 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. IPs 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 IP 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, an IP preferably deploys collaborative strategies and uses common open infrastructures, to cut costs and raise efficiency. (DESIRED)
- Transparency on funding. An explicit statement about the IP's funding streams is available on the IP website. The in-kind and voluntary contributions are acknowledged. (DESIRED)

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1.3. Editorial Independence

- Editorial operations. Editorial operations related to content and peer review are independent and free from influence from the bodies that financially support the IP or bodies that support individual publications of the IP. (REQUIRED)
- Revenue streams. The origin of the revenue streams is in line with the values, expectations, and traditions in the disciplines the IP is serving. They do not have an impact on editorial independence. Any conflicts of interest between additional revenue streams (including commercial activity) and authors, reviewers or editors are clearly indicated. (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

- Scholarly community. The IP is owned by a not-for-profit academic or scholarly organisation (as defined in footnote 2). (REQUIRED)
- Ownership statement. The IP has a defined statement about the ownership of the individual journals it publishes. It includes the legal parameters governing the relationship between the IP and its published journals, the determination of ownership for each title, and the explicit definition of the rights/duties afforded to editors within the IP in a precise and unambiguous articulation. This also includes details about the discontinuation of the individual journal, and the transfer and preservation of its assets. (REQUIRED)
- Changes in ownership. Changes in the ownership, relationships and rights/duties must be handled with care and transparently by IPs. A change in the service provider (for example, publishing infrastructure) can be achieved without changing the journal title, owner, or publisher. (REQUIRED)
- Transparency in ownership. The IP offers information about its ownership structure on its website. (REQUIRED)

2.2. Governance

- Mission. All journals published by the IP ensure that their mission statement, aims, or scope are easily accessible on their website, with a clear structure and content. (REQUIRED)
- Scholarly community driven. The IP 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 IP website. (DESIRED)
- Selection procedure. The IP makes sure that all its journals have procedures for the selection of members of editorial bodies that should include details of their mandate's length, the regular renewal process, and clearly defined procedures for the dissolution of the board. This information is displayed on each journal's website. (REQUIRED)
- Co-publishing. The IP makes sure that relationships among co-publishers are defined by a formal agreement. It is also clearly indicated that the publication is a co-publication on the IP website. (REQUIRED)
- Roles and responsibilities. All journals of the IP must have a clear definition of the roles and responsibilities of the IP, editorial bodies, owners and publishers towards authors, reviewers, readers and the scholarly community, journal and platform owners, IP, and the public. Roles and responsibilities related to the peer review process are described in detail on IPs website, and crucial aspects of the peer review process must not be left to publication technicians or AI. (REQUIRED)
- Transparency in editorial board selection. The IP must offer information about the editorial board selection protocol on its website. (DESIRED)

2.3. Relations with Service Providers (SPs)

- Agreement between IP and SPs. IPs 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 IP 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. (DESIRED)
- Agreement between IP journals and SPs. The IP has transparent protocols guiding relationships with all SPs involved in the production of individual journals based on the legal agreements. (DESIRED)

3 Open Science Practices

The growth of Diamond institutional 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.

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3.1. Open Policies

- Open Science policy. The IP has an OS policy that shows it is aware of the value of the OS and understands what it entails. (DESIRED)
- Open Access. The IP publishes its journals in OA. (REQUIRED)
- Facilitating compliance with OA mandates. The IP will enable compliance of their authors with the open access mandates of their funding agencies, as well as the institutional, and/or national OA policies regarding journal articles. (REQUIRED)
- Underlying research data. Recognising the essential role of the availability of the article's underlying data in supporting conclusions and reproducibility, the IP implements an output-level policy for this data in all its journals.This policy can be different for different journals. This information is displayed on the IP/journal website. (REQUIRED)
- Data policy content. The IP 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 IP has an output-level policy on research protocols and methods availability for all its journals. It encourages sharing them in public repositories, using PIDs for making the relevant connections. This is a good open science practice that allows others to replicate and build on published work. This information is displayed on the IP website. (DESIRED)
- Open research software. To facilitate reproducibility and FAIRification of research, the IP encourages the use of free/open-source software. To this end, in all its journals, it 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. IPs 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 IP guarantees that authors retain sufficient rights for their works to enable them to be openly accessible and immediately reusable, in all its journals. (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 IP has a clear policy on reusing third-party materials in journal articles and how to deal with all the complexities that arise from combining elements with different usage rights. (DESIRED)

- User's rights. The IP provides their users with complete and reliable information about the terms of use of all its journals 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 IP website. (REQUIRED)

3.3. Repositories

- Deposits of published articles. The IP allows dissemination of the article preprint version at any time, the Author Accepted Manuscript (AAM) version after acceptance, and/or the Version of Record (VoR) after publication in an Open Access repository of the authors' choice. The IP may require authors to choose repositories that guarantee that the final version of the work is referenced. (REQUIRED)
- Acceptance of preprints. The IP accepts the submission of unreviewed and peer-reviewed preprints that are already available on preprint servers or in open repositories. (DESIRED)

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

- Editorial independence. Editors-in-chief and/or Editorial Board have full responsibility over the entire editorial content of each journal published by the IP. (REQUIRED)
- Editorial bodies transparency. All journals of the IP have a clearly defined and publicly displayed composition and constitution of its editorial bodies including: the names of the members of the editorial bodies and their affiliations; their editorial functions and roles; their PIDs and links to their institutional profiles to unambiguously specify the identity and affiliation of individual editorial bodies and board members. (REQUIRED)
- Communication procedures between journals and IP. There are established procedures to facilitate communication between the editorial bodies of each individual journal and the IP. These procedures aim to discuss political, commercial, or other incidents that might compromise the scientific credibility of the publication. They also facilitate the agreement on collaborative measures

to ensure that such incidents do not influence the editor's decisions. Correspondence between referees, authors and publishers is subject to legal protection and kept confidential as needed. (REQUIRED)

- Skills/training. The IP supports and/or provides continuous community-oriented training and education of journal editors and authors, which is essential in navigating the rapidly changing scholarly communication environment. The IP 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. (REQUIRED)
- Engaging stakeholders. The IP 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 IP 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)
- Peer-review policy and procedures. The IP guarantees that all its journals' websites publish a policy describing the evaluation or peer review process (both internal and external), indicating whether it is double-anonymous, single-anonymous, open peer review, etc., and specifying the tasks expected of reviewers. It will indicate whether reviews will be public or not (in which case, it will be specified whether they are transmitted to the author in full or edited). It also specifies the type of manuscript evaluation process. Evaluation can take place before or after publication, depending on the peer review model adopted: pre-publication peer review, post-publication peer review (*Publish, Review, Curate* – PRC - models), etc. (REQUIRED)
- Lack of endogeny. The IP guarantees that manuscripts being reviewed by a closed circle of people who are well acquainted with each other or work in the same institution are minimised. The IP is also proactively highlighting when an editorial board member publishes in their own journal and how they recused themselves from the usual editorial and peer review process, providing this information at the article level for relevant articles. A formal recusal process is also described in the editorial policy to help manage a potential Conflict of Interest of an editor or reviewer and avoid receiving preferential treatment. (REQUIRED)
- Open peer review. The IP provides reviewers of all its journals 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 IP makes reviews publicly available to a broader community. (DESIRED)

- Other contributors' copyright. The IP guarantees that reviewers and other contributors hold the copyright of their reviews and contributions, and that editorial bodies and institutions retain ownership of all correspondence and mailing lists compiled on the online submission system put at their disposal by the IP for all its journals. (DESIRED)
- Acknowledgement of reviewers. The IP guarantees that all its journals publish the list of reviewers (with their consent) on a regular basis, at least every three years. (DESIRED)
- Incentives and rewards. The IP has an incentives and rewards policy available to all its journals 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 author(s). The IP guarantees that all its journals have clear guidelines for authors on its website. These guidelines must contain information on: how to submit manuscripts; formats of accepted files; supplementary materials and accepted data files; style guidelines and manuscript writing requirements for the correct preparation of titles, abstracts, keywords, professional affiliation, and bibliographic references; the editorial process followed by submissions: criteria for acceptance or editorial flow, review process, proofreading, estimated time between each part of the process, review protocols, and selection and publication criteria. (REQUIRED)
- Guidelines for reviewers. The IP provides reviewers with clear instructions and guidance (reviewing forms, free text options, and checklists) on the journal's aims and scope and what is expected of them in the review process. (REQUIRED)
- Manual of style. The IP guarantees that each of its journals apply a manual of style. It includes the appropriate use of symbols, units, nomenclature, statistics, standards, and similar items, specifying the citation style adopted. (REQUIRED)
- Suitable layout. The IP guarantees that each of its journals have a homogeneous layout. (REQUIRED)
- Proofreading correction. The IP ensures that standard copy-editing and proofreading procedures are applied in all journals. (REQUIRED)
- Languages of submission. The IP guarantees that all its journals clearly indicate on their website the languages in which manuscripts can be submitted. (REQUIRED)
- Publishing timelines. The IP ensures that all its journals have a regular schedule of publication, either issue by issue or via continuous publication. Continuous publication is recommended in the interest of Open Science. The date of submission, acceptance and publication is visible for each article. (REQUIRED)

4.4. Research Integrity

- Guidelines for authorship and/or contributorship. The IP 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 IP 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. (DESIRED)
- Research and publication ethics. The IP guarantees that all its journals adhere to international standards and codes of ethics or have their own publicly accessible code of ethics. This information is displayed on the IP website. (REQUIRED)
- Conflict of interest. The IP guarantees that all its journals 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 IP website. (REQUIRED)
- Misconduct policy. The IP guarantees that all its journals 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 IP website. (REQUIRED)
- Guidelines for Artificial Intelligence. The IP 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 IP 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

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- Use of platform. The IP guarantees that a digital publishing platform supports online submission, editorial, and publishing workflows of all its journals. (REQUIRED)
- Documentation. The IP guarantees that all its journals are supplied with user instructions and documentation for editorial staff and end users, and have a General Terms and Conditions for the use of the publishing infrastructure or platform. This information is displayed on their website. (DESIRED)
- Security. The IP ensures that the infrastructure complies with the security standards established by law. When no standard exists in the region, the IP will apply at least those measures necessary and sufficient to keep the system protected from malicious intrusions. (REQUIRED)
- Basic functionalities. The IP guarantees that all its publishing platforms have basic functionalities like assisting in the publishing workflow, being compliant with standards, allowing multilingual support, preferably including an accessible, responsive and usable interface, being interoperable or being able to support rich metadata. (REQUIRED)
- Advanced functionalities. The IP guarantees (where relevant) that all its publishing platforms offer advanced functionalities like post-publication evaluation and commenting, support for multimedia, and open peer review. (DESIRED)
- Basic infrastructure management. The IP guarantees that all its publishing platforms are well maintained, updated, regularly backed up and protected against security threats. (REQUIRED)
- Advanced infrastructure management. The IP 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 IP 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. (REQUIRED)

5.2. Interoperability and Metadata

- Interoperability protocols. The IP guarantees that all its publishing platforms support widely adopted metadata exchange protocols (OAI-PMH, API) and most usual metadata schemas. The IP's publishing platforms also support bulk export of metadata, and they indicate on their website which interoperability protocols are used and how to access them. (DESIRED)
- Core metadata. The IP guarantees that all its journals provide the following essential metadata on landing pages and via metadata exchange protocols, in human and machine-readable formats and under CC0 licence for each published item: title, full names and institutional affiliations – including country/region – of all author(s)/contributor(s), abstracts and keywords, funding information (as a

minimum the name of the funder and the grant number/identifier), and information about the open access status, copyright holder and licensing. (REQUIRED)

- Complete metadata. Complete metadata, including bibliographic references, are immediately deposited in a registration agency in line with open metadata initiatives. (DESIRED)
- Persistent identifiers. The IP guarantees that all its journals provide a dedicated unique URL (landing page) and a persistent identifier for each published item. Standard numbers and other persistent identifiers for articles, contributors, as well as other relevant persistent identifiers, are also provided in human and machine-readable formats. (REQUIRED)
- Registration of persistent identifiers. The IP guarantees that the article identifiers are registered with registration agencies immediately at publication. (REQUIRED)
- Text and data mining. The IP 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 IP guarantees that all its journals 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)
- Citations. The IP guarantees that all its journals specify adopted citation style (how to cite), and offer different options for different standards (APA, Harvard, ISO, Vancouver or other). (REQUIRED)
- Personal Data Protection. The IP guarantees that all its journals comply with the General Data Protection Regulation (GDPR) as well as all relevant personal data regulations. This policy is displayed on the IP website and ensured. (DESIRED)

5.3. Collaboration

- Open source. The IP strives to ensure that the publishing infrastructure of all its journals is based on free and open-source software, with publicly available code. This facilitates interoperability, the sharing of expertise, and collaboration between institutional 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 IP 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 IP makes sure that reasonable technical measures are taken towards improving the visibility of all its journals in search engines (general and academic), and aggregators. (REQUIRED)
- Discoverability. The IP works to increase the discoverability of its published content by registering its platform for harvesting by relevant discovery services and aggregator databases, and by submitting its journals to abstracting and indexing databases and citation indexes. (REQUIRED)

6.2. Communication

- Communication channels. The IP provides all its journals 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 IPs dissemination policies. (DESIRED)
- Community management. The community of users of the IP 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 IP is accurate, reliable, regularly updated, and not misleading in any way. (DESIRED)
- Marketing. The IP engages in appropriate and well-targeted promotional activities (including solicitation of manuscripts for their publications). It must support the promotion of all its journals' 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)
- Visual identity. The IP provides a common visual identity for all its journals (e.g. by logos, corporate images, colours, etc.). (DESIRED)

6.3. Analysis

- Metrics. The IP guarantees that all its journals offer comprehensive, accurate and reliable metric indicators detailing content usage, e.g. article-level metrics (visits, views, downloads, citations), along with publication-level metrics, altmetric indicators, and geographical distribution of visitors. (DESIRED)

- Analytical tools. The IP 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

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

7.1. EDIB and Gender

- EDIB policy at the IP level. The IP has a policy that sets principles, commitments and actions for promoting EDIB in terms of linguistic, gender, cultural, academic, geographical, institutional, 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 IP website. (DESIRED)
- EDIB monitoring. The IP monitors progress in its journals' EDIB policies and GEP. 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 don't wish to. (DESIRED)
- Equity in submissions and decisions. The IP guarantees that all their journals accept submission of manuscripts within their thematic scope and language from all potential authors and that decision-making concerning content acceptance is without regard to authors' language, race, gender, age, sexual orientation, religious belief, ethnic origin, geographic location, or political philosophy. (REQUIRED)
- Bias-free language. The IP 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 IP guarantees that all its journals 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 IP guarantees that its websites and those of the journals are accessible under the terms of applicable international, national or local laws and policies. (REQUIRED).
- Monitoring. The IP collects and makes available data on the amount of feedback received relating to shortcomings in all their journals' accessibility standards, as well as a record of improvements to the standards. (DESIRED)

7.3. Multilingualism

- Abstracts. The IP guarantees that all its journals facilitate that abstracts are published in at least two languages, where relevant. (DESIRED)
- Plain language summary. The IP guarantees that all its journals provide a plain language summary alongside the traditional scientific abstract. (DESIRED)
- Full text. The IP's journals can publish full texts in more than one language, either bilingual, simultaneously as separate documents in the same journal, or sequentially in other journals. (REQUIRED)
- Website and content. The IP recommends that all its journals' websites offer multilingual content. The information given on the site must be the same in all languages. (REQUIRED)
- Translation. The IP guarantees that all its journals provide support for human translation and language-check services to authors. (DESIRED)
- Language technologies. The IP encourages all its journals to integrate a computer assisted translation (CAT) tool/solution on the website if tools that can provide sufficiently good translations are available and encourages journals to provide machine-translation friendly abstracts. 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 IP recommends that all its journals offer metadata in English if the language of the text is not English. (DESIRED)

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ANNEX 1: DOAS methodology

DOAS has been developed in different stages. It derives from the *Extensible Quality Standard in Institutional Publishing v2 for Diamond Open Access*, which in turn was based on the first version, the *Extensible Quality Standard in Institutional Publishing v1*[4], written in April 2023 and based on the *IPSP Best Practices: Quality evaluation criteria, best practices, and assessment systems for Institutional Publishing Service Providers*[5]. The latter is an intense analysis of the existing standards, best practices, evaluation criteria, guidelines and recommendations that have been identified as relevant for institutional publishing. These included 71 documents[6] from Europe and beyond, ranging from high-level recommendations and principles, through indexation criteria, to specific assessment guidelines used at national and institutional levels. Even though the analysed documents were heterogeneous, and offered uneven coverage of the seven core components, the analysis showed that a broad consensus exists worldwide in the understanding and the definition of editorial quality. In addition, the analysis found that journals hold a dominant position within the academic publishing landscape over other research outputs like books, data sets, preprints, etc. that were often misrepresented in the analysed quality standards. EQSIP v1 was created with a selection of those standards and best practices that were identified as relevant for institutional publishers and applicable to all research outputs, classified around the seven core components.

EQSIP v1 content was tested through a gap analysis published in the *Report on the gap analysis results*[7]. This piece of work aimed to understand the differences between EQSIP v1 and IP practices. Data was collected through three sources: First, the *OA Diamond and Institutional Publishing Landscape Survey*[8]*;* second, collecting additional information from the websites of the IPs who had responded to the survey to systematically complement the information missing in the survey data; finally, EQSIP v1 was discussed with, and feedback was collected from, eight focus groups consisting of a representative sample of IPs selected among the landscape survey respondents.

DOAS maintains the structure of EQSIP v2, which in turn maintains the structure of EQSIP v1, while refining and adapting its contents based on the feedback and the recommendations from the gap analysis and including the voice from the publishing community. Eight dedicated focus groups from different scholarly disciplines, regions, languages, and communication practices around Europe were conducted to analyse in detail and provide feedback on the structure and the content of the document. In total, 75 qualified individuals from more than 10 different countries participated in this joint

[4] https://zenodo.org/records/10406062
[5] https://zenodo.org/records/10407498
[6] https://zenodo.org/records/7859247
[7] https://zenodo.org/records/10083615
[8] https://zenodo.org/records/10406016

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effort. Additionally, the document underwent a public consultation process, and the expert opinions of 60 individuals who read the document in detail were gathered. Their contributions substantially enriched DOAS designing process, thus guaranteeing that the publishing community had the opportunity to voice their opinion about the text and actively participate in the co-creation of the standards and best practices formulated in DOAS.

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ANNEX 2: Consortium overview

AMU	AIX MARSEILLE UNIVERSITÉ	FR
PVM	PROTISVALOR MEDITERRANEE SAS	FR
OPERAS	OPEN ACCESS IN THE EUROPEAN RESEARCH AREA THROUGH SCHOLARLY COMMUNICATION	BE
CNRS	CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE CNRS	FR
EIFL	STICHTING EIFL.NET	NL
FECYT	FUNDACIÓN ESPAÑOLA PARA LA CIENCIA Y LA TECNOLOGIA, F.S.P., FECYT	ES
TSV	TIETEELLISTEN SEURAIN VALTUUSKUNNASTA	FI
LIBER	STICHTING LIBER	NL
UB	UNIVERSITAT DE BARCELONA	ES
UniZD	SVEUČILIŠTE U ZADRU	HR
FFZG	SVEUČILIŠTE U ZAGREBU FILOZOFSKI FAKULTET	HR
Science Europe	SCIENCE EUROPE	BE
EUA	ASSOCIATION EUROPÉENNE DE L'UNIVERSITÉ	BE
OASPA	STICHTING OPEN ACCESS SCHOLARLY PUBLISHERS ASSOCIATION	NL
UiT	UNIVERSITETET I TROMSØ - NORGES ARKTISKE UNIVERSITET	NO
CNR	CONSIGLIO NAZIONALE DELLE RICERCHE	IT
UGOE	GEORG-AUGUST-UNIVERSITAT GOTTINGEN STIFTUNG OFFENTLICHEN RECHTS	DE
SPE	STICHTING SPARC EUROPE	NL
UU	UNIVERSITEIT UTRECHT	NL
EKT	ETHNIKO KENTRO TEKMIRIOSIS KAI ILEKTRONIKOU PERIECHOMENOU	EL
IBL PAN	INSTYTUT BADAŃ LITERACKICH POLSKIEJ AKADEMII NAUK	PL
ESF	FONDATION EUROPÉENNE DE LA SCIENCE	FR
JISC	JISC LBG	UK
DOAJ	INFRASTRUCTURE SERVICES FOR OPEN ACCESS C I C	UK

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