

# POSI self-audit OAPEN & DOAB 2023

Ratings are provided to give an at-a-glance view of progress to date for a particular commitment, and to make it easy to compare progress from one self-audit to the next.

Rating

♥ Commitment fully met; or no further action required

● Commitment partially met, or in progress

■ Commitment not met

Area	Commitment	Description	Rating OAPEN   DOAB	Evaluation OAPEN	Evaluation DOAB	Next steps
Governance	Coverage across the research enterprise	“it is increasingly clear that research transcends disciplines, geography, institutions and stakeholders. The infrastructure that supports it needs to do the same.”	♥   ♥	OAPEN supports OA books across many disciplines (see our <a href="#">range of subjects</a> ), languages, countries, organisations, and stakeholders.	DOAB indexes OA books across many disciplines (see our <a href="#">range of subjects</a> ), languages, countries, organisations, and stakeholders.	None
	Stakeholder-governed	“a board-governed organisation drawn from the stakeholder community builds more confidence that the organisation will take decisions driven by community consensus and consideration of different interests.”	♥   ♥	<p>The OAPEN Advisory Board comprises members from different stakeholder groups and geographical regions (see <a href="#">About us</a>). In addition, the OAPEN Board of Directors and the Stakeholder Committee [group of supporting libraries] provide opportunities for stakeholders to give their direct feedback on our operations including our technical roadmap.</p> <p>The OAPEN Foundation is a <a href="#">Stichting</a> which means that we can’t be sold or acquired by a commercial entity.</p>	<p>DOAB is governed by an Executive Board, a Supervisory Board, the DOAB Scientific Committee, and the DOAB Community of Supporting Libraries (see <a href="#">About DOAB</a>).</p> <p>The DOAB Foundation is a <a href="#">Stichting</a> which means that we can’t be sold or acquired by a commercial entity.</p>	<p>Action:</p> <ul style="list-style-type: none"> <li>OAPEN: The selection process for the representatives in these bodies is explained in the Articles of Association (this will be available on our website after the next Board meeting on 9 June 2023).</li> <li>DOAB: The selection process for the representatives in these bodies is explained in the Articles of Association and Terms of Reference. These documents are public but we are going to make them easier to find by making them available on our website.</li> </ul>
	Non-discriminatory membership	“we see the best option as an “opt-in” approach with a principle of non-discrimination where any stakeholder group may express an interest and should be welcome. The process of representation in	♥   ♥	Not applicable - OAPEN is not a membership association. However, we encourage broad participation and treat all applicant publishers according to the same <a href="#">requirements</a> .	Not applicable - DOAB is not a membership association. However, we encourage broad participation and treat all applicant publishers according to the same <a href="#">requirements</a> .	None

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		day to day governance must also be inclusive with governance that reflects the demographics of the membership."				
	Transparent operations	"achieving trust in the selection of representatives to governance groups will be best achieved through transparent processes and operations in general (within the constraints of privacy laws)."	♥   ♥	We plan to make public our OAPEN Bylaws and Articles of Association, which set out in detail how our operations are run and how decisions are made.	We plan to make public our DOAB Articles of Association and Terms of Reference for the DOAB Scientific Committee, which set out in detail how our operations are run and how decisions are made.	Action (in progress): <ul style="list-style-type: none"> <li>make public our OAPEN Bylaws and Articles of Association (add to website About page).</li> <li>make public our DOAB Articles of Association and Terms of Reference for the DOAB Scientific Committee (add to website About page).</li> </ul>
	Cannot lobby	"the community, not infrastructure organisations, should collectively drive regulatory change. An infrastructure organisation's role is to provide a base for others to work on and should depend on its community to support the creation of a legislative environment that affects it."	♥   ♥	<p>We're a mission-driven organisation, and part of our mission is to promote open access to books.</p> <p>We distinguish between lobbying (seeking legal or financial changes that directly benefit us) and advocacy (professional influence in support of our organisational mission).</p> <p>For example, we would not lobby that being an OAPEN supporter be required for a funder to provide BPC funding. However, we do aim to be professional advocates; bringing our expertise and ethical stance to community debates about open access books.</p> <p>In this way, we contribute to community discussions and support the implementation of policies decided by the community.</p>	As OAPEN	None
	Living will	"a powerful way to create trust is to publicly describe a plan addressing the condition under which an organisation would be wound down, how this	●   ●	OAPEN is more than a platform; it's also a knowledge centre for the community. Once these services are no longer needed, we could prepare to wind down OAPEN.	DOAB helps improve the discoverability of OA book content, especially for smaller presses and those with small financial resources. Once this need is no longer present, we	Action (in progress): <ul style="list-style-type: none"> <li>Define a plan for legal and technical handover of OAPEN and DOAB infrastructure (our assets, not the organisations themselves) to a new hosting organisation</li> </ul>

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		would happen, and how any ongoing assets could be archived and preserved when passed to a successor organisation. Any such organisation would need to honour this same set of principles.”			could prepare to wind down DOAB.	(KB), including the circumstances under which this would happen.
	Formal incentives to fulfil mission & wind down	“infrastructures exist for a specific purpose and that purpose can be radically simplified or even rendered unnecessary by technological or social change. If it is possible the organisation (and staff) should have direct incentives to deliver on the mission and wind down.”	♥   ♥	We are currently responding to an active need from the community for our services. Once there are signs that our work is no longer needed, we will address this topic.	As OAPEN	Action: <ul style="list-style-type: none"> <li>To address with the OAPEN Advisory Board: what should our KPIs be? What will we monitor, and how will we measure the value of our service to the community?</li> <li>To address with the DOAB Supervisory Board: what should our KPIs be? What will we monitor, and how will we measure the value of our service to the community?</li> </ul>
Sustainability	Time-limited funds are used only for time-limited activities	“day to day operations should be supported by day to day sustainable revenue sources. Grant dependency for funding operations makes them fragile and more easily distracted from building core infrastructure.”	♥   ♥	Our day-to-day operations are supported by revenues from supporting libraries, service fees (publishers and research funders), and private donations.  Project funds are used to support project work.	Our day-to-day operations are supported by revenues from supporting libraries, publisher sponsorships, and donations.  Project funds are used to support project work.	Action: <ul style="list-style-type: none"> <li>2023-02-23 Added comment (our day-to-day operations are supported by revenues; project funds are used to support project work) to our annual stakeholder report (under Finances).</li> </ul>
	Goal to generate surplus	“organisations which define sustainability based merely on recovering costs are brittle and stagnant. It is not enough to merely survive, it has to be able to adapt and change. To weather economic, social and technological volatility, they need financial resources beyond immediate operating costs.”	●   ●	We have a goal to generate a surplus. This is why we call ourselves a not-for-profit rather than a non-profit: we do aim to generate a surplus, but unlike profit which goes outside the system, our surplus is then reinvested in our activities and technical developments.	As OAPEN	Action: <ul style="list-style-type: none"> <li>Add our goal to generate surplus to our About page (for both OAPEN and DOAB).</li> <li>Add our goal to generate surplus to the annual stakeholder report.</li> <li>Plan to develop a section on each website about our finance model (emphasise the generation of sustainable revenue sources and the purpose of the surplus and contingency fund).</li> </ul>
	Goal to create a contingency fund to support operations for 12 months	“a high priority should be generating a contingency fund that can support a complete, orderly wind	●   ●	Our plan is to have a contingency fund in place that can cover at least 12 months of operations. We	Our plan is to have a contingency fund in place that can cover at least 12 months of operations. We	Action:

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		down (12 months in most cases). This fund should be separate from those allocated to covering operating risk and investment in development.”		<p>are in the process of building it for both organisations. We expect to have it in place by 2025/26.</p> <p>OAPEN follows this principle by setting aside revenue each year to build its contingency fund. The exact size of the contingency fund should be and is discussed by the OAPEN Board of Directors on an on-going basis. The contingency fund should cover at least 12 months of operational costs for OAPEN, i.e. around € 0.5M.</p> <p>In 2022 OAPEN has added € 125k to the contingency fund.</p>	are in the process of building it for both organisations. We expect to have it in place by 2025/26.	<ul style="list-style-type: none"> <li>2023-02-23 Added a comment about the goal to create a contingency fund in the financial sector of the annual stakeholder report.</li> </ul>
	Mission-consistent revenue generation	“potential revenue sources should be considered for consistency with the organisational mission and not run counter to the aims of the organisation. For instance...”	♥   ♥	<p>Our revenue sources (supporter fees, service fees from publishers and funders, and donations) are consistent with our organisational mission to</p> <ul style="list-style-type: none"> <li>build a branded collection of open access peer-reviewed books and chapters;</li> <li>increase the visibility and retrievability of high-quality books and chapters;</li> <li>promote open access book publishing.</li> </ul> <p>(see our <a href="#">Mission</a>).</p> <p>There is no relationship between payments of any sort and governance roles.</p> <p>Any potential revenue sources are considered for</p>	<p>Our revenue sources (supporters and sponsors) are consistent with our purpose to increase discoverability of open access books (see <a href="#">About DOAB</a>).</p> <p>DOAB sponsors receive some branding and communications benefits (see <a href="#">Sponsor DOAB</a>), but no services in exchange for their sponsorship.</p> <p>There is no relationship between payments of any sort and governance roles.</p> <p>Any potential revenue sources are considered for consistency with the organisational mission by the DOAB Supervisory Board.</p>	None

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				consistency with the organisational mission by the OAPEN Board of Directors.		
	Revenue based on services, not data	“data related to the running of the research enterprise should be a community property. Appropriate revenue sources might include value-added services, consulting, API Service Level Agreements or membership fees.”	♥   ♥	<p>Our metadata are openly (CC0) available in a variety of formats, including .csv and via our REST API (see <a href="#">Metadata for Libraries and Aggregators</a>).</p> <p>We raise revenue from services only, not access to data.</p>	<p>Our metadata are openly (CC0) available in a variety of formats, including .csv and via our REST API (see <a href="#">Metadata for Libraries and Aggregators</a>).</p> <p>We raise revenue from services only, not access to data.</p>	None
Insurance	Open source	“All software required to run the infrastructure should be available under an open source licence. This does not include other software that may be involved with running the organisation.”	♥   ♥	<p>Following the <a href="#">Open Systems Interconnection (OSI) model</a> of computer systems interconnection, we are focusing on the application layer here, as many of the lower layers are beyond our control. Furthermore, we are taking into account our applications which are essential to delivering the core operations of our services, and not those which form part of general business systems (such as software for email, creating and editing documents, and so on).</p> <p>OAPEN runs on DSpace (open source), and the website CMS is Strapi (open source). We commit to continuing to run OAPEN on open source applications.</p> <p>We have an SLA with Atmire (a DuraSpace registered service provider) for backups. Our content host is AWS.</p> <p>Atmire creates custom fixes for us from time to time, and these are meant to be made available in a Github</p>	<p>Following the <a href="#">Open Systems Interconnection (OSI) model</a> of computer systems interconnection, we are focusing on the application layer here, as many of the lower layers are beyond our control. Furthermore, we are taking into account our applications which are essential to delivering the core operations of our services, and not those which form part of general business systems (such as software for email, creating and editing documents, and so on).</p> <p>DOAB runs on DSpace (open source), and the website CMS is Strapi (open source). We commit to continuing to run DOAB on open source applications.</p> <p>We have an SLA with Atmire (a DuraSpace registered service provider) for backups. Our content host is AWS.</p>	<p>Action (in progress):</p> <ul style="list-style-type: none"> <li>• Check that Atmire custom fixes Github repository is up-to-date</li> <li>• Check with Atmire that their custom fixes are openly licensed</li> </ul>



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				repository. We will check that this is up-to-date.		
	Open data (within constraints of privacy laws)	“For an infrastructure to be forked it will be necessary to replicate all relevant data. The CC0 waiver is best practice in making data legally available. Privacy and data protection laws will limit the extent to which this is possible”	♥   ♥	<p>OAPEN metadata is openly licensed.</p> <p>Works hosted on OAPEN are licenced according to the publishers’ decisions. In practice, most content in OAPEN has a CC licence, and as at 2023-02-10, only 6% had the “all rights reserved” licence (free for personal use).</p> <p>On our <a href="#">Rights</a> page, we explain that “If not stated otherwise, all works in the OAPEN Online Library fall under the OAPEN Deposit Licence – all rights reserved”.</p>	DOAB is an index of openly licensed content. “Generally speaking, all books included in DOAB are available under an open access licence (such as a Creative Commons licence).” (see <a href="#">What can I do with the books in DOAB?</a> )	<p>Action:</p> <ul style="list-style-type: none"> <li>We have added an explicit open licence to the OAPEN and DOAB sites (<a href="https://www.oapen.org/">https://www.oapen.org/</a>, <a href="https://library.oapen.org/">https://library.oapen.org/</a>, <a href="https://doabooks.org/en">https://doabooks.org/en</a>, <a href="https://directory.doabooks.org/">https://directory.doabooks.org/</a>, and <a href="https://doabooks.org/fr/">https://doabooks.org/fr/</a>)</li> <li>Sharing of usage data is an aspect to be explored in a future revision of our POSI self-audit</li> </ul>
	Available data (within constraints of privacy laws)	“It is not enough that the data be made “open” if there is not a practical way to actually obtain it. Underlying data should be made easily available via periodic data dumps.”	♥   ♥	<p>The link to every file (MARCXML; ONIX, text of the PDF; cover; PDF etc.) are made available in several ways: API; xoi harvest format lists all metadata fields, see <a href="https://library.oapen.org/oai/request?verb=ListRecords&amp;metadataPrefix=xoi">https://library.oapen.org/oai/request?verb=ListRecords&amp;metadataPrefix=xoi</a>.</p> <p>We are open to anyone to get everything at any time, and commit to remaining so. Learn more about <a href="#">OAPEN's Metadata for Libraries and Aggregators</a></p>	<p>The link to every file (MARCXML; ONIX; cover; etc.) are made available in several ways: API; xoi harvest format lists all metadata fields, see <a href="https://directory.doabooks.org/oai/request?verb=ListRecords&amp;metadataPrefix=xoi">https://directory.doabooks.org/oai/request?verb=ListRecords&amp;metadataPrefix=xoi</a>.</p> <p>We are open to anyone to get everything at any time, and commit to remaining so. Learn more about <a href="#">DOAB's Metadata for Libraries and Aggregators</a></p>	None

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	Patent non-assertion	“The organisation should commit to a patent non-assertion covenant. The organisation may obtain patents to protect its own operations, but not use them to prevent the community from replicating the infrastructure.”	♥   ♥	<p>It is unlikely that our work will create any elements which are unique enough to be eligible for being patented. Our open source way of working also means that our work is in the public sphere and therefore not suitable for patenting.</p> <p>We hereby assert that we will not patent any part of our operations that would prevent the community from replicating our infrastructure.</p>	As OAPEN	None

Interoperability

Although not mentioned within the POSI framework, we at OAPEN believe that **interoperability** is a key function of trustworthy community infrastructure.

Including open persistent identifiers such as DOIs and ORCID iDs allows more precise identification of works and contributions, and contributes to the research nexus of trusted assertions between works, authors, organisations, and funders. Although adoption of DOIs and ORCID iDs has yet to become ubiquitous in the world of open access books, we are leading the way in demonstrating good practice. We make our metadata available in a variety of formats (see [OAPEN metadata](#) | [DOAB metadata](#)) to facilitate its integration into other systems and services. Interoperability is a key element of sustainability and insurance, without which an organisation risks its useful role and could possibly have to wind down.

We suggest that wherever POSI mentions "open data" or "open source", this should be interpreted as "open and [FAIR](#) [findable, accessible, interoperable, and reusable]".

We encourage other organisations undertaking their POSI self-audit to consider the FAIR principles among their assessment criteria, and invite the POSI authors to consider including the FAIR principles in a future revision of POSI.