DIALECTICA: the making-of

funding application for "Digital Lives", May 1, 2018
"how is digitalisation transforming the humanities and social sciences?"

Philipp Blum, University of Lucerne

1 Summary

Proposed start date: 1st of October, 2018.
Duration: 18 month, to 31st of March 2020.
Funding requested: 247'033 CHF.
Project team: Philipp Blum (PI), 2 post-docs 50% and 30%, 3 undergraduate assistants (at 30%).

The main aim of the proposed project is to do an exploratory study on the impact of digitalisation on scientific publishing in the humanities, to develop new models for the open, participatory and productive sharing of the outcomes of scientific work and to generate input, data and proposals for best practice standards for the editing of academically ambitious and internationally recognised Open Access journals of the highest quality.

Concretely, the study consists in expanding and transforming http://dialectica.philosophie.ch in three ways and with respect to three groups of stakeholders:

1. to **readers**, to offer a *platform* to discuss journal articles, responses and replies to them, to make available referee reports and critical discussions, to link journal articles with their genealogy and to offer bibliographic information of high quality;
2. to **authors**, to make available a *repository of information* relating to the publication process in general and to the inner workings of the editorial committee of DIALECTICA in particular, to incite an open, critical and informed discussion of publication practices, to offer the opportunity to respond to referee reports and to provide background information;
3. to **editors**, to establish a *network* of exchange about editorial practices, Open Access policies, relations to commercial publishers, authorial and editorial misconduct, with a view to establish a common code of best practices.

To put some meat on these bones, we have compiled a long list of concrete, difficult and important questions to be addressed in the context of the different fora and exchanges which will exhibit different degrees of transparency to the outside public (cf. research plan). Roughly, the idea is to put the hitherto completely opaque "DIALECTICA-machine" into a glass-house, not just to let people peak in, but also to open up a new perspective on the world outside of it.

The project is to be implemented in three stages:

launch phase (October to December 2018): creation and implementation of the portal; information gathering; networking and publicity; proto-typing and testing of the two-tier submission system;
benchmark: portal online on January 1, 2019;
implementation phase (2019): use and continuous refinement of the portal; increase, stratification and democratisation of its user base; encouragement and support of snowball effects; implementation of the two-tier submission system
benchmark: half of DIALECTICA's submissions and a third of the referee reports in the open track by the end of 2019;
evaluation phase (January to March 2020): discussion, evaluation and documentation of the lessons learned; consultation about the proposal for a best practice standard;
benchmark: long-term Open Access plan for DIALECTICA.

2   Research Plan

Digitalisation has profoundly transformed academic philosophy. This is a general truth and may be said not just of all scientific disciplines, but of the whole of society. In the case of Swiss academic philosophy, however, digitalisation has also had a number of more drastic effects and it is with respect to such specific, identifiable transformation processes that the small world of Swiss academic philosophy may be considered a front-runner. The objective of the present proposal is to do an exploratory study on how digitalisation transformed, is transforming, could and will transform the humanities with respect to one specific case, the editorial process of the general philosophy journal DIALECTICA.

At present, DIALECTICA, like all philosophy journals I know, is run in complete secrecy, as a black-box taking as input paper submission by authors and delivering as output publication verdicts and printed pages. All information about the inner workings is provided on a voluntary basis, follows selection criteria and definitory standards that are not made public and is by its very nature unverifiable, often even unassessable with respect to its plausibility. We believe that the normative ideal of Open Science – the free availability of the fruits of communal and publicly funded scientific research – demands that we should try to do better and the present project proposes an exploratory study of us trying to do so.

DIALECTICA is a generalist philosophy journal that has been edited since 1947 in Switzerland, is now among the 10 best philosophy journals world-wide and is published since 2004 by Blackwell, now Blackwell-Wiley. In the currently ongoing negotiations for a new five-year publishing contract to start at the beginning of 2020, the Editorial Committee has decided to explore the possibility of a so-called 'golden' Open Access strategy, i.e. of making all content, including back-issues, freely available to everyone over the web.

The main difficulty facing this ambitious endeavour is financial: who will cover the costs that are presently covered by Blackwell-Wiley? After much deliberation, we now think that there may be, within the present institutional framework of Swiss academia, a solution that guarantees the long-term survival of the journal (cf. below). This solves only the practical problem, however.

The move towards open access has also another, scientifically much more interesting aspect. It has prompted and is continuing to prompt a lot of questions, of interest, potential impact and immediate relevance not just to the journal itself, but to the academic community as a whole. The present project aims at exploring these questions, and proposes to take the moving of DIALECTICA towards Open Access as an opportunity to study the impact of digitalisation on the practicalities of research in the humanities as a whole. We believe that the case study of DIALECTICA will provide a model for others to follow and valuable insights into the future digital life of the academic community, not just in Switzerland but all over the world. It may help to establish, critically evaluate and refine in an open, participative and transparent process a best practices standard for Open Access, potentially useful to the universities and funding bodies such as the SNSF as well.

### background and present situation

To understand the context of the proposed exploratory study, we have to give some background information about its main object, the philosophy journal named "dialectica" (http://dialectica.philosophie.ch and http://onlinelibrary.wiley.com/journal/17468361).

DIALECTICA was founded in 1947 by Gaston Bachelard, Paul Bernays and Ferdinand Gonseth as a journal of philosophy in order to promote dialogue between philosophy and the sciences. Among the authors publishing in DIALECTICA during its early years were Ayer, Bohr, Carnap, Dieudonné, Einstein, Gödel, Pauli, Popper, Piaget and Reichenbach. After DIALECTICA had served as the organ of the "Association Gonseth" for several years, Henri Lauener, of the University of Berne, Switzerland, became its editor in 1977 and remained so until 2001. While dialectica still published articles in epistemology and the philosophy of science, the number of articles dealing with other branches of analytic philosophy

increased. In 1996, DIALECTICA became the official organ of the European Society of Analytic Philosophy (ESAP). Among the authors who have published in DIALECTICA since 1977 are Barcan Marcus, Chisholm, Davidson, Føllesdal, Hintikka, McDowell, Putnam, Quine, Rorty, Searle and Vuillemin. In 1999, Philipp Blum became managing editor of DIALECTICA, and he has since been in charge of the day-to-day running of the journal, communication with authors and referees. He's also been a member of the Editorial Board and the Editorial Committee, reading all articles submitted to DIALECTICA and, since 2001, co-editor together with Gianfranco Soldati, of the University of Fribourg, Switzerland. Together, they signed a publishing contract with Blackwell (now Blackwell-Wiley) in 2004, establishing DIALECTICA as the leading journal for analytic philosophy on the European Continent. In 2005, Pascal Engel, professor of modern and contemporary philosophy at the University of Geneva, took over the rôle of Gianfranco Soldati. The number of submissions doubled again, now approximating 300 per year, while the acceptance rate was further reduced to 9 % (cf. the current statistics, submitted as an annex document and available at http://dialectica.philosophie.ch). For the 7-year contract in 2012, we managed to secure substantial funding for editorial expenses, but Blackwell-Wiley still makes a annual profit from DIALECTICA of about 40'000 GBP (cf. the overview of DIALECTICA's finances, submitted as an annex document).

As of 2017, DIALECTICA is available 5005 institutions world-wide, mostly through consortia (cf. the 2017 annual report by Wiley-Blackwell, uploaded as an annex document), with only 22 "traditional subscriptions" left. There were 38'264 article downloads in 2017, a 8-fold increase since 2005. In 2016, the average number of downloads per article published in dialectica in 2016 was 272, which is more than double the number for Wiley philosophy journals generally (125). The average number of downloads for all articles was 71 in 2017, remarkably high especially in the light of rumours that most published articles in philosophy are not even read once. A particular success was the "virtual issue", which we published in 2011 and which was accessed 5382 times during that year. DIALECTICA is ranked "A" in the European Research Index of the Humanities and the Australian Research Council's ERA. In our opinion, the recent statistics of the American and British Philosophical Associations (http://www.apaonline.org/page/journalsurveys) show that DIALECTICA is comparable to *Noûs* and much better than all other philosophy journals edited on the European Continent, except possibly *Synthèse* (but cf. below) and the *European Journal for Philosophy*.

The internal organisation of DIALECTICA is, as far as we know, very similar to that of other philosophy journals that practise so-called "triple blind refereeing", where the identity of authors is not just unknown to referees (and theirs to authors), but also to those responsible of the first round of editorial vetting, so-called 'desk rejections':
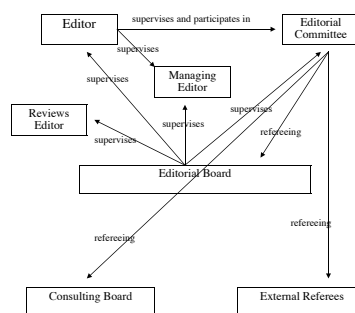
The Editorial Commitee (EC) shares with the Editors and the Editorial Board the scientific responsibility for DIALECTICA. Its work is done entirely online, in several steps:

- All members of the EC have access to an electronic forum where the Managing Editor (ME) posts incoming contributions and referee reports. At present, we use the functionalities provided by the *moodle* forum at the University of Fribourg for this purpose.

- The members of the EC are collectively responsible for desk rejections. If one of its members thinks the paper has potential, but is not in its present form suitable for refereeing, he/she should specify his opinion; the others then say whether they agree and whether they have their own (stylistic, formal) comments to add. Such papers receive a 'straight' 'reject and resubmit' verdict and are sent to referees only once revised. If there is a disagreement among the EC members about whether or not a paper should be refereed, people are asked to justify their opinions. This often creates an instructive, high-quality discussion about important evaluation criteria that are difficult to operationalise, as e.g. originality, substance and depth of a given submission. If an article does not pass this first check, the author will normally be informed within one month after the acknowledgment of the receipt of their submission.
- If all members are in favour of refereeing, the paper is sent to referees; suggestions for refereeing come in two kinds: mere suggestions, and strong suggestions ("definitely *x*"). If there are more than two strong suggestions, the proposing EC members must agree; if there are less than two strong suggestions, the managing editor picks one of the mere suggestions (the same holds when one of the strongly suggested declines).
- The managing editor then posts referee reports, as well as comments for the editors, to the forum. Members of the EC then also post comments and take, under the guidance of the editors, a communal, normally unanimous, decision concerning the publication of the paper. Authors are normally informed of the editorial decision concerning their paper within three month after the receipt of their submission has been acknowledged.

While DIALECTICA receives, as presumably all philosophy journals do, a large amount of submissions from US-based (not necessarily US-born or US-educated) philosophers, we are proud of having a substantial majority (55%) of our submissions from Europe, the major countries of the European Continent (Germany, Italy, Spain, France) being particularly well represented, some smaller countries such as the Netherlands, Switzerland and Belgium even submitting more papers than their size would have one expect. This is why we believe that our 17 year statistics show that DIALECTICA lives up to the purpose of its association, to "promote analytic philosophy [...] among analytic philosophers in Europe". It is also to further this aim that DIALECTICA sponsors an annual DIALECTICA lecture at a major philosophy conference in Europe and awards an annual DIALECTICA prize for the best paper on a topic chosen to represent some research interest proportionally overrepresented in European academia.

In view of the present application and the negotiations under way with the Swiss Academy of Humanities and Social Sciences, we have decided to extend the present contract with Blackwell-Wiley only for one year, until the end of 2019, so as to have time to re-position ourselves with respect to the golden OA strategy we envision. We have sent formal "requests for propositions" to two other main publishing houses in philosophy, Oxford University Press and Routledge / Taylor&Francis, that have met with positive initial reactions. Our preferred option for the future is to secure enough public funding in Switzerland (of about 150'000 CHF per year) to provide DIALECTICA with a secure and durable financial foundation, possibly through open access article processing charges (cf. below). In case this should not be possible or take more time, we will conclude another five-year contract, until 2025, and try to include some Open Access elements, taking ample advantage of the results of the exploratory study proposed, for example by making the refereeing process transparent, by giving authors the opportunity of responding to comments or by publishing papers as threads rather than as self-standing items.

What is bought with the annual profit of 40'000 GBP Blackwell-Wiley makes from publishing DIALECTICA is primarily reputation. The type-setting of DIALECTICA's articles, the maintenance of the webpage and the printing and distribution of the few remaining hard copies only cost a small fraction of this sum. When DIALECTICA concluded its first publishing contract and turned from a Swiss 'family business' into a global competitor in the philosophy journals market, the reputational gain that came from being published by Blackwell, the leading publisher of philosophy journals, was very important. As DIALECTICA's reputation is now firmly established, the reputation bought by being available on the Blackwell websites is now worth much less. Due to the availability of professional type-setting tools such as LaTeX and

the continuing build-up of a large bibliographical database within http://www.philosophie.ch, the same is true of the other services presently delivered by Blackwell-Wiley.

In the digitalised world of academia, visibility is everything. A journal's impact is directly correlated to its standing within the profession and this standing is to a large extent a matter of the range and intensity of its uptake. This rapid and fundamental change explains, *inter alia*, why the number of article downloads has become the main benchmark of DIALECTICA's success, overshadowing availability and acceptance rate as rival criteria (cf. below). It also explains why it is hopeless to found new Open Access journals, as has been mooted in the action plan on Open Access strategies (*swissuniversities*, February 8, 2018) under point 4.2. In philosophy, such a journal would either take years, if not decades, to establish its reputation, or it would have to commission papers by famous philosophers, thereby undermining its credibility for career evaluation purposes. Similar flaws pertains to the idea (point 3.3.2 of the 'action plan') to make research open access through repositories. Such repositories, particularly if they are located at the level of one single university, are largely hidden from view. Though the initiative is certainly laudable, no one in the international philosophy community I know has ever heard of http://www.e-periodica.ch, where the two other Swiss philosophy journals, "Revue de Théologie et de Philosophie" and the "Freiburger Zeitschrift für Theologie und Philosophie" are retro-digitalised at huge costs (nor, it must be said, of the journals themselves). Even well-known and established repositories such as https://arxiv.org/ in the natural sciences or http://philsci-archive.pitt.edu/ in the philosophy of science have another, important drawback: because the only efficient way of searching them is either by author name or title, people only find information that they have antecedent reasons to find relevant. For as yet unknown scientists or papers on different topics, not all of which are mentioned in the title, publication in archives present little advantage over uploading their paper on a personal website that is searchable by google.

DIALECTICA has itself suffered from invisibility, when it tried, between 2000 and 2004 but without success, to make its articles freely available at http://www.dialectica.ch (now defunct). For its present open access strategy, seeks to avoid this major pitfall by teaming up with the Swiss Philosophy Portal http://www.philosophie.ch which is the main access point to philosophical information and information about philosophy in Switzerland (cf. below). DIALECTICA has all its back-issues available on *jstor*, the main source of back-issues of philosophy journals more generally (cf. http://www.jstor.org/journal/dialectica). *Jstor*, being a not-for-profit organisation funded by academic libraries, would continue to host DIALECTICA's content even in the event of the latter going fully open access.

It is important, we believe, that the Swiss academic community is able to help shape the future of academic publishing, not only with respect to localised niches of mostly regional interest, but as well to internationally recognised journals who are among the best in their field. It seems that DIALECTICA is unique in this respect to, though it is very difficult to assess this claim empirically. A web search has only provided a quite limited list of comparable journals: "Elemente der Mathematik", but this does not seem to feature in any ranking; "Psychotherapy and Psychosomatics" and the "International Journal of Cancer", but these have both foreign based chief editors; perhaps the most comparable is the Springer journal "Celullar and Molecular Life Sciences", but it too has a German editor-in-chief.

plan of the exploratory study

As described in the summary, the concrete plan proposed by the present project consists in making the inner workings of the Editorial Project transparent, open and publicly criticisable and evaluable for three main focus groups: (i) readers and potential readers of DIALECTICA content, (ii) authors of submissions and of referee reports and academic philosophers in general, (iii) editors and evaluators more generally, not just those involved in DIALECTICA's decisions, but in the academic publishing business more generally.

With respect to the first two focus groups, we would immediately start implementing a dual-tier submission system, where potential authors can decide, without prejudice to their publication chances, to make their paper anonymously available to a restricted circle of philosophers (in effect a greatly expanded and diversified Editorial Committee), and referees, without prejudice to to the impact of their report, may decide to make their non-anonymous report available to that same circle of philosophers. The student assistant employed at 30 % will be responsible for this task, and prepare articles and reports bibliographically, including cross-referencing to relevant publications and drafts, thus constructing a paper's genealogy. With the help of this student assistant, the experienced post-doc employed at 30 % will, in a first phase, redact the internal discussions of the 'old' Editorial Committee so as to make them available to the public (and compatible with the blindness of the refereeing process). S/he will be able to draw on the huge bibliographical database (> 140'000 entries, fully indexed) that Philipp Blum will make available for this purpose.

With respect to the second and third focus group and based on the data provided by the first pillar of the project, the 'moderator' post-doc employed at 50 % will start, moderate and supervise a general discussion on the papers' scientific merits, especially in view of the many substantial questions mentioned in the research plan below. He will be assisted in this task by the student assistant at 30 %. The moderator post-doc will also feed the part of the portal accessible only to journal editors, and seek to build a database of information about publishing contracts, practices and guidelines, accessible to journal editors only. The availability of such information will greatly strengthen the position of editors and editorial boards in negotiations with publishing houses and funding bodies and will provide the basis for the joint elaboration of a best practices standard.

The Swiss Portal for everything related to philosophy, http://www.philosophie.ch, has been founded by the principal applicant, Philipp Blum, in 2002, building on an earlier initiative called "PhilSwiss". Its aim is to coordinate the activities of the Swiss philosophy departments (event calender, newsletter), to offer services to the profession (job offers, preprint series) and to prospective students (study plan informations, advice), and to further the contacts between philosophical academia and the broader public. Especially after it was institutionalised as a foundation in 2008, it has profoundly transformed the philosophical landscape of Switzerland. It is supported by all Swiss philosophy departments and generously funded by private foundations, has around 10'000 visitors per month (excluding robots) and has successfully realised a host of popularisation projects, often in cooperation with newspapers, magazines, radio and TV stations. In a recent survey in autumn 2017, 90% of all users said they were satisfied with the user-friendliness and the design of the portal and found its contents interesting.

The philosophie.ch-portal presents three important synergies for the present project: the infrastructure, internet traffic and technical know-how. The envisioned platform will be an integral part of the philosophie.ch-portal, taking advantage of its safeguards against hacking attacks and the like, but also taking over the identification methods used on the wider portal, where individual user accounts provide the means to easily and effectively restrict access locally to certain groups of users. By being fully integrated into the cross-link structure of the Portal, it will attract the attention of 'regular' users of the Portal – which will also help dissemination and broader impact –, but also make international academic philosophers aware of the philosophie.ch - project. Transfer of technical know-how is planned to arise from the hiring, at least for the job of the technical student assistant, of someone already well familiar with the programming tasks of the portal. Sandro Raess, an especially talented young philosopher-cum-programmer, would be ideally suited for this task and has already expressed his interest.

2.1 relevance

The present exploratory study proposes to study the impact of digital transformation on education in the case of a concrete example, the only internationally competitive scientific journal edited in Switzerland, thus providing scientific input and guidance for the implementation of concrete policies towards open science.

Even though the topic is of immediate relevance to all practitioners of academic philosophy, and to everyone interested in its result, the questions of how academic philosophy journals should be run and what role they are to play within the discipline have not received any academic discussion.

Such ignorance is particularly deplorable because rankings of journals, departments and individual people in philosophy is done solely and exclusively on the basis of reputation. No catalogues of criteria exist and data on (presumed) 'hard' indicators of quality are available only very partially. Most philosophy journals do not make their "acceptance rate" known, and indeed it is entirely unclear how the published acceptance rate percentages are calculated. Most philosophy journals say they practice "blind refereeing", but almost none says what this means in practice. No journal, as far as I know, publishes circulation numbers. Citation indexes are entirely useless in philosophy, as everyone agrees: how many times (and even: where) a philosophy paper is cited entirely uncorrelated with its quality. The few citation measures that exist, as e.g. GOOGLE's h-factor regularly rank Thomas Kuhn's "Theory of Scientific Revolutions" (i.e.: the second-edition, paperback version, not the original publication) on top, but this is just because "paradigm" used to be a fashionable term in sociology and was regulary considered a semantic unit with "* [fn.:] Cf. Kuhn 1970.". While Kuhn's work has certainly been influential in the philosophy of physics, its (quite partial, it seems) popularity among sociologists is not a symptom of its philosophical value, but due to other factors.

The only journal rankings in philosophy that ever aspired to objective criteria, such as the "European Research Index of the Humanities" which used a very coarse-grained distinction between journals of international, regional and national importance, were quickly abolished, after huge protestations in the philosophical community. With departments and individual philosophers, the situation is even worse. When evaluation committees try to take into account the quality of the publication locus, they do so on instinct, based on hearsay or just according to their own personal preferences.

Acceptance rate, in the old days at least in theory considered a genuine measure of quality, has lost its practical importance, partially due to the fact that journals are now accessed electronically, without a view on the total number of pages published over the year. This has allowed some publishers and some journals, for example *Erkenntnis*, *Synthèse* and *Philosophical Studies* to massively increase the number of pages per year, hiding this fact by replacing the one-volume/four-issues per year counting standard by a much looser one, where several volumes, each with several issues are published every year. It is quite obvious that such publishing houses thereby aim to implement the extortion policy that has worked for them in the natural sciences: because prominent papers will cite a lot of articles recently published in *Phil Studies*, for example, philosophy departments will insist on keeping their subscription even when prices are multiplied.

In view of these numerous abuses, it is important to develop a consensual best practice standard for academic publishing, and to initiate an open and fair discussion of editorial and publishing practices. Such a discussion will also make academic philosophy much more open and fairer. Early career philosophers will get a much more adequate picture of how publishing in journals works in practice, what criteria their work should fulfill and what they can expect in terms of feedback. The broader, interested public, will also be interested in getting to know how academic philosophy works, taking a peek from the sideline, as the continuing success of http://www.philosophie.ch has amply shown.

2.2 state of research

Philosophers are a self-reflecting bunch, at least in theory. The qualification is necessary, however: while there is an increasing awareness of the need on phillosophers' part to reflect on some sociological aspects of their discipline, often, almost exclusively, with respect to its diversity (mostly with respect to gender, sometimes with respect to sexual orientation and race, very rarely with respect to class, socio-economical background or political views), such discipline-wide awareness about other self-regulatory sociological processes is entirely lacking.

It is therefore not surprising that there are only very few discussions of the topics laid out below and very few comparable initiatives:

- "Letters from the Editor" (https://fromtheeditors.wordpress.com), a now largely defunct blog originally initiated by Jonathan Jacobs pursued a similar aim to the second pillar of the present project: to connect journal editors, and allow them to share information about publishing contracts and policies, so as to strengthen their position with respect to publishing houses and to induce a general discussion of editorial policies.
- Andrew Cullison (http://www.andrewcullison.com/journal-surveys/), Brian Leiter (http://leiterreports.typepad.com/blog/2009/03/the-highest-quality-general-philosophy-journals-in-english.html) and Justin Weinberg (http://dailynous.com/2015/01/20/closer-look-philosophy-journal-practices/) are periodically conducting reputational surveys or even rankings of philosophy journals, but these suffer from heavy bias and are mostly limited to US-American and British journals. The new APA survey seems to be still in its infancy, cf. https://blog.apaonline.org/2017/04/13/journal-surveys-assessing-the-peer-review-process/. The APA dataset is a little better, but still based on a very small number of surveys (https://airtable.com/shrWKotYTw0ezNN4N/tbl9E479DxjlJf2zJ).
- Kate Devitt has been doing some statistics based on Google metrics (https://mnemosynosis.livejournal.com/31062.html)
- I myself has written some blog posts about these topics, and received some interesting responses:
  http://leiterreports.typepad.com/blog/2014/07/detailed-submissions-data-for-journals-sources.html
  http://dailynous.com/2014/07/08/making-philosophy-journal-statistics-publicly-available/#comments
  https://feministphilosophers.wordpress.com/2014/07/14/dialectica-statistics-12-of-submissions-by-women/
  https://fromtheeditors.wordpress.com/2014/01/07/should-journals-publish-their-statistics/
- Publons (https://publons.com/home/) tries to make peer review work creditable, but does not seem to be much used in philosophy.

2.3 research plan

In particular, we plan to address three sets of important questions, and to make documented progress in answering them: (i) general questions about the sense of blind-refereeing, the utility of gate-keeping, (ii) questions about what authors should be able to expect, and what rights, if any, they have with respect to the refereeing process, and (iii) questions concerning the author-side of the refereeing process. Just to give an illustration, here are some of the many questions falling into group (iii):

self-plagiarism Self-plagiarism is widespread, and seems to become more common. In our view, it is not limited to textual repetition of passages in published or forthcoming work, but includes such copying from any citable source. In present-day academic philosophy, citability is not limited to standard sources, but includes papers made available on archives, on repositories such as http://www.academia.edu and even self-published papers on bibliographic websites such as http://philpapers.com or even the author's own websites (or perhaps their private facebook-feed, visible only to their friends). Evidently, a journal's response has to be nuanced: there is much difference between some senior academic turning what is really just one publication into five out of mere laziness and disrepect of epistemic standards and some early career philosopher submitting her best and only paper to some respected journal, where it is often under review for over a year, and simultaneously posting it on her webpage or submit it together with her application for a post-doc position. How are such cases to be assessed, what is the spectrum of responses available to a journal, what does the academic community think about

these matters? None of these questions have been answered, nor really adressed in any publicly documented discussion.

double submissions As many other journals do (often implicitly), DIALECTICA only accepts submissions that are not simultaneously submitted or under review with any other journal or publication organ. Quite often, we retrospectively find out that this obligation has been violated, for example because we send the paper to some referee who is simultaneously reviewing it for someone else, or because the paper appears in print or online-early. What is to be done in such cases? The current practice, where I am sending a stern email to the author chiding them for having lied, is in many ways unsatisfactory. It turns a political issue into a moral one, and it is ineffective. Many questions are open: should the author be banned from future submissions to our journal? should her name be communicated to other journals in the field, or should it even be made public? should we tell our referees, even if they have already sent their reports? should we still send these reports to the offending author?

chain submissions A related case concerns cases where referees are asked for their opinion who have already reviewed the paper for another journal. In the case of resubmissions, where the original referees are willing to read the revised submission again (and the comments on the revisions the author is asked to provide), failure to have taken into consideration justified criticism of the first version is usually counted as a negative. But what should be done in the case where the first submission was to another journal? Often, referees send us their original reports, and in some cases, where the author had not taken into account obviously good advice, we have even forwarded them to authors, adding some ironic remark to the effect that they had seen it before (though this is a delicate point, as it is not known how much, if indeed anything, of thier referee reports philosophy journals make available to their authors).

self-revelation As is standard, authors are asked to submit their papers in a form suitable for blind refereeing. They may try to get around this requirement by a number of tricks (the most obvious being the inclusion of acknowledgments or of thanks to specific people), but even when their submission is appropriately blind, aspects of their past, present or future behaviour can very easily reveal their identity to referees and editors, quite independently sometimes of any purposeful search or even intent on their part. Should authors asked not to do this? Should referees be asked to do their best to preserve their blindness?

insider trading Quite often, the situation mentioned above arises naturally, especially with articles in fields where the field of experts is very small, or where there exist popular and widely used blogs or other forms of informal discussion. With some papers, the Editorial Commitee has to choose between appointing referees who almost certainly know the identity of the author and referees who are not experts on the topic. What should they do? Should referees say so if they know the author of a paper submitted to them, or even if they have a strong suspicion as to her identity, or perhaps even her providence, her department or her supervisor? If they do, what is the appropriate reaction for the journal? Should such reports be discounted, or counted less, or perhaps even be reviewed by someone else?

report plagiarism In some of these cases, but also over all, there is a surprising number of cases where authors plagiarise from referee reports. In some cases, this is standard practice (but cf. below). For example, authors mention an objection or general criticism made by some referee, and address it in the paper or in a footnote to it – this is often one of the clearest ways in which a paper may be said to have improved through the refereeing process (but cf. below). Within the submission process of one paper, they usually mention some "anonymous referee". When their paper is rejected and they submit it (or a revision of it) to some other journal, these acknowledgments are cut out – no one wants to make transparent to editors and referees that their journal has not been the author's first choice. As the acknowledgments are missing from the refereed version, they often are also missing from the published version – is this acceptable? should this practice be changed? how could it be changed? A much more drastic case than the incorporation within the paper, with or without attribution to some anonymous referee, of the argumentative dialectic

of the refereeing process is the wholesale integration of positive and constructive suggestions by the referees into the paper. Sometimes, and as anecdotal evidence suggest not even very rarely, this takes the form of copy/paste. There are many published papers that include rather long parts that are lifted, with no acknowledgment, from referee reports the author received.

self-prostitution A related problem is that authors react to referee reports as they would to extortion, making changes to their papers they themselves think make the paper inferior, only to receive the 'green light' of some referees. Authors thus do not publish the in their view best version of their paper, but rather the one that corresponds best to the explicitly formulated or presumed suggestions of referees.

2.4   innovation potential and subsequent research projects

In the "Swiss National Strategy on Open Access" (*swissuniversities*/SNSF, 31/01/2016), we read on p. 4:

> 4. Alternative forms of publishing
> While offsetting agreements are a good transitional solution that makes it possible to move away from subscription models, they still have some flaws: there is no cost transparency and the lack of independence of the scientific community remains problematic. Forging ahead with OA implies promoting high-quality publication models that make science more independent from oligopoly systems. Based on the idea of pooling already existing resources, non-profit organisations or public agencies could fund alternative OA publishing models (pilot projects). Alternative financial resources should be considered.

While we fully agree with the dangers Swiss authorities see with offsetting agreements such as those currently promoted by the major publishing houses, we would like to add another one, clearly exemplifiable with respect to "read and publish" deals such as those Wiley has concluded with the Scandinavian countries, recently with Austria and is currently negotiating with Switzerland in the hope of concluding it for 2019 (cf. *swissuniversities*' press release of March 15, 2018). While they do away with so-called "double dipping" (which is their primary purpose), they do this only for Swiss researchers. As our statistics show, however, only very few of DIALECTICA's authors are Swiss, even in the laudably broad sense of this term employed by the SNSF. While continuing to fill the coffers of the multi-national publishing houses, such deals promote open science only in a very limited way, and pervert it in others. Authors who are not employed by rich universities or in rich countries that conclude such agreements or offset their article processing charges in other ways will have their work read much less, and may even be excluded from publishing in certain venues at all.

In contrast, our Open Access project for DIALECTICA envisions the provision of a non-discriminatory, open platform for researchers from all countries and backgrounds, on the model of *Philosophers' Imprint* (https://www.philosophersimprint.org) which licenses its publications under the Creative Commons Attribution NonCommerical NoDerivatives 3.0 License, and in the sense of the five principles of FAIR Open Access Publishing (fairoa.org). *Philosophers' Imprint*, however, is published by the University of Michigan, one of the richest (and most generous) universities in the world (and, despite this fact, charges a 20 USD "donation" per subscription).

We would like to convince Swiss institutions – the SNSF, *swissuniversities*, the CSAL (Consortium of Swiss Academic Libraries), and the SAGW/ASSH – to cover the operating costs of DIALECTICA by paying the open access article processing charges of 3000 CHF (as is standard with philosophy journals) for 40-50 articles published per year. This will pay not only for the survival of the journal turned open access, but also for the continuation and continual refinement of the experiment proposed by this project.

We do not yet know how best to organise ourselves institutionally: possibilities include the forming of an own commission of the Swiss Academy of the Humanities and Social Sciences, on the model of http://infoclio.ch, to collaborate with some university library in particular, as does the "Journal

für Psychoanalyse" with the Hauptbibliothek Open Publishing Environment in Zurich (https://www.hope.uzh.ch) or to form a separate institution, as does the DDZ in Basel. This is a question we will decide once we know more about the expectations and possibilities of our potential funding partners.

It has to be stressed that success or failure of DIALECTICA's Open Access strategy does not determine, nor even influence success or failure of the present project. To make the inner workings of DIALECTICA's Editorial Committee transparent and to discuss it critically with a larger audience is worthwile independently of the form in which the results of this inner working are published.