

How publishers can help authors and institutions comply with Open Access (OA) policies: recommended best practice

Jisc has been taking action on aligning OA policies expressed by funders and institutions (OA Policies Schema) with those of publishers (Global OA Recommended Best Practice for Publishers).

We have developed 13 recommendations for publishers to adopt which will help authors and institutions globally to implement OA more effectively and streamline the administrative burden and pain points.

The recommendations have been reviewed and endorsed by universities, research libraries, learned societies internationally and by members of the Research Libraries UK (RLUK) and the Association for Research Managers and Administrators (ARMA). The next steps are to promote further support and the adoption of best practice by publishers globally through a partnership with UKSG.

This poster presents the recommended standards and proposes to discuss ways for publishers to adopt them.

13 recommendations for publishers to adopt

1	ORCID IDs	The publisher should adopt ORCID throughout their workflow from submission to publication and expose (co-)author ORCID IDs in published articles and via Abstracting & Indexing (A&I) services, CrossRef, other discovery services.
2	CROSSREF	The publisher undertakes to register the article's DOI with CrossRef upon acceptance and inform all co-authors.
3	Co-authors affiliations	The publisher should populate co-authors' institutional affiliation fields on CrossRef (including on acceptance if they register the DOI then).
4	Funding metadata	The publisher should populate funding metadata, including funding body and grant number, in both Funding Data (on CrossRef) and on the publisher's site
5	Article level OA licensing terms	The Publisher should ensure clarity of OA licensing terms at the article level and make this information available as soon as content is publicly exposed for each version of the article (Accepted Manuscript (AM) and Version of Record (VoR)). NISO has a recommended practice on Access and Licensing Indicators (ALI) - see niso.org/workrooms/ali . Publishers can incorporate these fields into their Document Type Definitions (DTDs), and populate them at the article and version level.
6	Journal level OA licensing terms	The publisher should ensure clarity of an overall licensing/policy position at the journal level for each version (Accepted Manuscript (AM) and Version of Record (VoR)) including any embargoes for each.
7	CC-BY licence for gold OA	The publisher should ensure a CC BY licence is the only option available for authors when the funder requires this.
8	Embargo periods for green OA	The publisher should ensure that its embargo periods for Green OA are set with due reference to the views of the funders of the academic research community, and in any case are no more than 12 months for Science, Technology, Engineering, and Mathematics (STEM) subjects or 24 months for Arts, Humanities and Social Sciences (AHSS) as absolute maxima. <i>[The standard suggested does not yet meet all the anticipated requirements. For example: Horizon 2020 (OA within six months of publication and 12 months of publication in the social sciences and humanities) as well as the COAR guidelines for assessing publisher repository services (12 months, and six months for STM). In addition, on a national level, in the proposal for the Swedish national guidelines, the goal for 2020 is that all peer-reviewed articles shall be freely accessible to read and download six months after publication.]</i>
9	Author's acceptance letter	The publisher should ensure that the acceptance letter to the author includes: <ul style="list-style-type: none"> » A clear acceptance date » A clear statement on what the author may do with the Accepted Manuscript (AM) » A statement asking authors to forward the letter to their librarian or repository manager, and all of the co-authors (if they have not already been copied in) » The article's DOI (even if not yet registered on CrossRef but known internally) Ideally a copy of the letter should go to the designated institutional OA contact
10	Author's accepted manuscript	The Publisher undertakes to supply the Accepted Manuscript (AM) to the author as an attachment to the acceptance email. This should be in the form that they permit to deposit on an open repository (i.e. already including any disclaimer or other statements that they require under these circumstances). The letter should be emailed to all authors, not just the corresponding author. OR: The letter should ask the corresponding author to forward it, together with the attached Author's Accepted Manuscript (AAM), to the other authors.
11	Automated notification of acceptance	The Publisher undertakes to deliver an automated notification at or near acceptance of the paper to a designated institutional or representative group service, followed by updates at later stages of the publishing process.
12	Key dates in metadata	The publisher should pass on key dates in metadata, as well as on the human-readable article-level pages. <ul style="list-style-type: none"> » Date of final acceptance » Date of publication » Start and end dates of any embargo period
13	Data mining/text mining	The publisher should make it clear that they allow unrestricted machine access such as text/data mining to their OA content in hybrid journals. Non-OA content is mineable for non-commercial use. OA content is mineable for commercial use as well. <i>If re-use of results is not allowed it should be explicitly stated.</i>