## OA Publisher Compliance: Jisc - UKSG OA Best Practice Group

<table>
<thead>
<tr>
<th>Ref</th>
<th>Institutional Need</th>
<th>Why?</th>
<th>How HEI is addressing this need currently - Example 1</th>
<th>How HEI is addressing this need currently - Example 2</th>
<th>Recommendation for best practice to Publisher</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify publishing outputs from a given individual and institution</td>
<td>To populate Institutional Repositories with articles (IRs) relating to the institution and in order to monitor research and fulfill Funder OA compliance requirements.</td>
<td>Scopus searches; requests to publishers for publication lists; adopting ORCID and investigating use for tracking publications.</td>
<td>Symplectic database feed for Imperial authors; adopting ORCID and investigating use for identifying publications.</td>
<td>The publisher should adopt ORCID throughout workflow from submission to publication and expose author ORCIDs in published articles and via A&amp;I services, CrossRef, other discovery services.</td>
<td>Adopt ORCID</td>
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<tr>
<td>2</td>
<td>Notification of the DOI of the Accepted Manuscript (AM) upon acceptance</td>
<td>Enable recording of the DOI of the AM deposited upon acceptance and to facilitate deduplication, e.g. with later updates from various sources upon publication.</td>
<td>Revisiting IR record on publication to enhance metadata, including addition of DOI.</td>
<td>Adding DOI to Symplectic and IR records as soon as it is available, on acceptance where provided, keeping track of publications at acceptance without a DOI and adding to records upon publication.</td>
<td>The publisher undertakes to register the article’s DOI with CrossRef upon acceptance, and inform all co-authors.</td>
<td>Register the article’s DOI on CrossRef</td>
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<tr>
<td>3</td>
<td>Co-authors’ institutional affiliations need to be known as well as the corresponding author’s affiliation.</td>
<td>Institutions have to help funders identify all researchers associated with outputs of the research. (Having co-authors properly identified also helps in the general process of analyzing bibliographic/metric information.)</td>
<td>Adding co-author affiliations manually, but not for records with large numbers of authors.</td>
<td>Adding co-author affiliations manually, but not for records with large numbers of authors.</td>
<td>The publisher should populate co-authors’ institutional affiliation fields on CrossRef (including on acceptance if they register DOI then).</td>
<td>Co-authors affiliations</td>
</tr>
<tr>
<td>4</td>
<td>Identify funders of institutional research</td>
<td>To ensure institutional readers/users understand what they may do with a given article and repository staff and related services act upon the correct article licensing terms.</td>
<td>Checkingfunderacknowledgment in AAM, requiring authors to provide funder information.</td>
<td>Authors are asked to link to appropriate funding as part of publication management process; checking funder acknowledgment in AAM.</td>
<td>The publisher should populate funding metadata, including funding body and grant number, in Funding Data (on CrossRef) and on the publisher’s site.</td>
<td>Co-authors affiliations</td>
</tr>
<tr>
<td>5</td>
<td>Ensure institutional readers/users understand what they may do with a given article and repository staff and related services act upon the correct article licensing terms.</td>
<td>To save time and effort in finding and searching for this information. Avoid duplication of effort. To enable tracking of OA compliance and know whether OA publishing terms have been fulfilled.</td>
<td>Considering how to include this detail on IR cover sheet.</td>
<td>All appropriate licensing information is entered on IR record.</td>
<td>The publisher should ensure clarity of 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).</td>
<td>Article level OA licensing terms</td>
</tr>
</tbody>
</table>
Funded authors need to publish according to funder mandates and requirements. Checking Sherpa services and advising authors accordingly
Advising funded authors of necessary select CC-BY licence, checking license post-publication and liaising with publishers if not CC-BY
The publisher should ensure clarity of the overall licensing policy position, the journal level for each version of the article - Accepted Manuscript (AAM) and Version of Record (VOR) - including any embargoes for each.

Embargo periods for green OA:

In order to do meaningful text and data mining for repository deposit.

Authors need to upload their article to the corresponding author to forward it, identifying dates from a combination of author, AAM and publisher website (for publishers that include these details)
Ongoing communications to all staff and researchers about requirements for HEFCE OA policy advising authors to submit AAM and acceptance date by 6 months of acceptance, checking AAM or publisher website to identify acceptance date if author does not know it
The publisher undertakes to deliver an automated notification or at near acceptance of the paper to a designated institutional or representative group service

Authors need to upload a copy of their Accepted Manuscript (AAM) to the OR for HEFCE OA policy advising authors to submit AAM and acceptance date by 6 months of acceptance, identifying papers not submitted via Scopus and sending emails to authors to remind them what to do, checking AAM or publisher website to identify acceptance date if author does not know it; checking with author that submitted version is AAM if unclear
Ongoing communications to all staff and researchers about requirements for HEFCE OA policy advising authors to submit AAM and acceptance date by 6 months of acceptance, internal reporting to senior staff on known publications that have not been uploaded or OA received during HEFCE 3 month deposit period so authors can be chased
The publisher undertakes to supply the author’s accepted manuscript (AAM) to the author as an attachment to the acceptance email.

Automatic notification that the paper has been accepted sent to a designated institutional or representative group service
This helps institutions comply with rich OA policies. For example in the UK this helps institutions comply with the Research Excellence Framework (REF) OA policy as efficiently as possible.
Advising authors to submit AAM to library within 3 months of acceptance; identifying papers not submitted via Scopus and sending emails to authors to remind them what to do, checking AAM or publisher website to identify acceptance date if author does not know it; checking with author that submitted version is AAM if unclear
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.

Automated notification of acceptance:

Key dates:
The date of final acceptance, the date of publication and the start and end dates of any embargo period.

To help ensure any embargo period is correctly implemented. These are key dates required for repository deposit.
Identifying dates from a combination of author, AAM and publisher’s website (for publishers that include these details)
Identifying dates from a combination of author, AAM and publisher’s website (for publishers that include these details)
The publisher should pass key dates (notably acceptance) in metadata, as well as in their online reading environment.

Data mining:

In order to do meaningful text and data mining in support of research, to the UK text data mining is a copyright exception
Considering how to advise authors of TDM options currently
Advice on TDM provided online in an online copyright course
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, if the use of results is not allowed it should be explicitly stated.