

First Draft

Customer recommendations for article workflows and services for offsetting/ open access transformation agreements

Outcomes of the ESAC Vienna workshop, March 2017

Offset deals are pilot agreements

The open access article workflows and services are conceived as a pilot to develop an article-based open access pay-as-you-publish business model¹. The parties agree to use reasonable efforts to develop streamlined author identification and verification workflows as well as efficient invoicing and reporting processes.

A) Author & article identification & verification

The publisher, in collaboration with the paying institution, shall use reasonable efforts to develop an efficient and reliable author identification and verification process as quickly as possible.

Eligible authors

- Eligible authors must be *corresponding author* and must be affiliated with the paying institution, and the affiliation must be stated in the article.
- This might not be applicable to all agreements, e.g. in cases where APCs are paid by third parties or research funders.
- The publisher shall check whether or not the underlying research published in an article was sponsored by a funding agency and if an agreement with one of the funding agencies mentioned in the acknowledgement section exists.

Author identification

- The publisher shall be responsible for the identification of eligible authors during the publication process.
Workflows should be designed to ensure, given identification and approval has occurred, articles are published open access in the first instance, not published as closed access and retroactively converted to open access. Institutions may agree

¹ As described in the ESAC „Joint Understanding of Offsetting“ <http://esac-initiative.org/joint-understanding-of-offsetting/>

with publishers to make retroactive conversions to OA in certain cases which have to be defined.

- The publisher must take steps to ensure that any changes of the details of the affiliated institution (during correction of his/her proofs, or as a post-publication correction) come to his notice. At the moment of publication, the corresponding author's affiliation must match the paying institution.

Parameters for author identification

- Affiliation to the paying institution as stated in the paper to be published shall be the decisive parameter to determine eligibility.
- In addition, the publisher shall identify eligible authors through at least one of the following parameters:
 - a) Authors stating their affiliation(s) at article submission
 - b) IP ranges specified by the paying institution and/or
 - c) E-mail domain(s) defined by the paying institution
- Identifiers, such as Ringgold, ORCID or other recognized institutional identifier as provided by the author and published in the article metadata should be integrated in the workflow and they should be provided to the paying institution.

Article verification

- The paying institution will verify the eligibility of an article as quickly as possible to ensure the timely production and publication of the article. If the paying institution requires more than five (5) business days to approve or reject the eligibility of the article, they will inform the publisher about the delay in the process.
- In order to verify author eligibility as quickly as possible at the paying institution, the publisher shall provide the institution with all author affiliations (if there are more than one) as stated by all authors as well as all necessary metadata.

Author involvement

- The publisher shall inform authors about the availability of institutional agreements which secure the coverage of open access publishing fees.
- If possible, open access publishing should be the default route for eligible authors under an agreement. Authors should ideally not be required to take further action in order to publish open access (i.e. opt-out, opt-in, signing of open access licenses etc.) unless it is not explicitly required by the paying institutions.

B) Funding acknowledgement & metadata

Funding acknowledgement:

- The publisher shall label OA articles as funded by the paying institution or a respective associated institution in the paper itself (e.g. the footnote of the OA article shall state the following “Open access funding provided by [name of paying institution]”).
- The funding note has to at least appear in the article itself (e.g. PDF and Rich HTML and any future format). Additionally it could also be placed on either the CrossMark information or the article landing page.

Metadata delivery:

- The publisher will deliver article metadata including open access license information to CrossRef and other relevant third parties.

C) Invoicing and reporting

- Publisher will not directly charge authors whose eligibility has been confirmed. The corresponding author shall not be involved in the invoicing process.
- Publisher will only invoice for open access articles that have been accepted for publication (article acceptance) and have been confirmed as eligible by paying institution.
- Besides general invoice information (VAT, due date etc.), an APC invoice/pre-invoice statement shall include the following machine readable details:
 - Name and email address of the author who is affiliated to the paying institution (must be the corresponding author)
 - Complete statement of the author’s affiliation to the paying institution (e.g. university, institute, department)
 - Funding organization (research funder)
 - Date of acceptance
 - Date of publication
 - Journal title
 - ISSN
 - Article title
 - Article type
 - DOI and link to the published article
 - Amount due
 - Discounts and discount group (if applicable)
 - CC license

- The publisher will document how many eligible articles have been published and will communicate this to the paying institution on a monthly or quarterly basis as a report. The delivery can be done also through a reporting tool to be developed by the publisher providing machine readable reporting data, including e. g. a list of eligible, rejected and opt-out articles.