# OA Policy Schema

V20141117

## Introduction

This document outlines a schema whereby those issuing policies on Open Access (OA) can express those policies in a consistent and structured way. It is relevant to both research funders and research performing organisations such as universities who might adopt such policies.

## Background

Funders’ and institutions’ OA policies documented, for example in [ROARMAP](http://roarmap.eprints.org/) and [Sherpa/Juliet](http://www.sherpa.ac.uk/juliet/), are very varied. While there are likely to be good business and/or strategic reasons for this variety, it comes at the price of increased complexity for those asked to comply with those policies, and those who seek to advise them or provide other information services to them.

It would not be practical at this time to ask those issuing policies to converge on a single policy type, though that might arise through other means. Instead, a practical response to the problems generated by this variety would be to ask those issuing policies to express them using consistent language. That is the aim of the schema proposed here.

## Rationale

It is not the function of this document to outline the benefits of adopting a common schema for OA policies. However, in brief, these can be summarised as:

1. Reducing the cognitive and administrative burden on academic authors, for example when they encounter new policies or when they are subject to more than one policy in respect of a particular publication;
2. Enabling clear guidance to be provided to academic authors by funders, universities and online services;
3. Allowing compliance with OA policies to be monitored systematically, enabling lessons to be learned and improvements to be made.

## Overview of the schema

The schema comprises 40 fields, in five sections. Those five sections are:

1. AGENCY: The ‘agency' is the organisation (funder, institution or other) issuing the OA policy. If a policy varies within an agency, then each of those variations should be represented by a separate instance of the schema. For example, if different OA policies apply at a sub-institutional level or at the research-funder level (where national research council OA policies vary, then the schema should be completed separately for each sub-institutional policy / each research council OA policy).
2. POLICY: This section gives general parametric information about the OA policy (links, dates, constituency).
3. REPOSITORY REQUIREMENTS: This section is about the policy requirements on (1) depositing items into repositories, and on (2) making the deposited items OA.
4. OA PUBLISHING REQUIREMENTS: This section is about items formally published in Open Access form. Where journal articles are concerned, this is commonly referred to as 'Gold' Open Access. Some publishers produce Open Access books and these, too, are part of the focus here.
5. OTHER CONDITIONS: This section enables agencies to add further information not captured by the schema.

An OA policy may have a number of different areas of application with different conditions. For example, a general policy covering books, journal articles and other outputs could have different requirements for each type of output. Another example might be where different discipline areas (eg, humanities, life sciences) might have different allowable embargo periods. In these cases, each variant should be considered as a separate policy, and should be represented by a separate instance of the schema.

For each field in the schema, the following information is provided below:

1. Field number
2. Field name, usually in the form of a question for the agency to answer
3. Contents; this is what the agency should provide, noting the permitted values they might enter for the field. “String” indicates that an arbitrary text string is permitted, otherwise controlled vocabularies are proposed from which the agency may choose a value.
4. Mandatory or optional, that is, whether the field must be filled in, or may be left empty
5. Guidelines, or further information to help the agency provide the “contents”

## Schema

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| --- | --- | --- | --- | --- |
| **#** | **Field** | **Contents** | **Mandatory or optional** | **Guidelines** |
| **SECTION 1: AGENCY** | | | |  |
| **1** | Name of agency issuing the policy | String | M | Name of the agency (funder, institution or other) issuing the policy. |
| **2** | Identifier for agency | If funder, then FundRef ID  If institution, then ISNI, Ringgold identifier, etc | O | An identifier for the agency, if known |
| **3** | Type of agency | funder / institution / both / other | M | Specify whether the agency type issuing the policy is a research funder, an institution (research performing organisation), both, or other. |
| **4** | Link to agency | URL | M | Link to the agency website. |
| **5** | Country or region in which agency is based | If region, then string.  If country, then ISO 3166-1 code | M | Name of the country or region where the agency is based. If it is a country insert ISO 3166-1 code, which is an international standard defining the codes for the representation of names of countries and their subdivisions. |
| **SECTION 2: POLICY** | |  |  |  |
| **6** | Link to policy on agency site | URL | M | Link to policy on agency website. |
| **7** | Link to policy in ROARMAP | URL | O | Link to policy in ROARMAP: Registry of Open Access Repositories Mandatory Archiving Policies - http://roarmap.eprints.org/ |
| **8** | Link to funder policy in Sherpa/Juliet | URL | O | Link to funder policy in SHERPA/Juliet: Research funders' open access policies - http://www.sherpa.ac.uk/juliet/ |
| **9** | Date the policy was issued | Date | M | Date the policy was issued. |
| **10** | Is the policy current or archived? | Current/archived | M | Indicate whether the policy is currently in place or it is an older version that has been archived. This field is to be changed when a new version is adopted. |
| **11** | Policy start date | Date | M | Date from when compliance with the policy must begin. |
| **12** | To whom does the policy apply? | String | O | Indicate to whom within the agency the policy applies, e.g. research students, researchers, all members of an institution, grant holders. |
| **SECTION 3A: REPOSITORY REQUIREMENTS – DEPOSIT** | | |  |  |
| **13** | Is there a deposit clause in the OA policy? | Y / N | M | Indicate whether the OA policy makes explicit reference to depositing in a repository |
| **14** | Is depositing the item a requirement or a recommendation? | Required  Recommended  Not specified | O | Required means you must deposit. Recommended means you are encouraged to deposit.  This field can be qualified by the answer to field 23 (i.e. exemptions are possible). |
| **15** | What kinds of items does the policy cover? | Book  Book chapter  Book edited  Conference Paper/Proceeding/Abstract  Journal Article/Review  Manual/Guide  Monograph  Policy briefing report  Technical Report  Technical Standard  Thesis  Consultancy Report  Working paper  Other | O | Identify which items the policy covers (e.g. articles, books). More than one item type may be selected.  If the policy varies according to item type -- e.g. where different OA embargo periods are allowed, or different licences specified -- then this should be considered a separate policy and a new schema should be filled in for each variant. |
| **16** | More information about kinds of items covered | String | O | Further define item types specified in Field 14, if necessary. |
| **17** | Which version of  the item is to be deposited? | 1, 2, 3, 4 | O | Specify whether the deposit is to be: 1. Author's manuscript pre-peer-review 2. Author's manuscript post-peer-review 3. Published version 4. Other  Note, for articles, the options here should be interpreted as followed in relation to the NISO/ALPSP vocabulary  <http://www.niso.org/publications/rp/RP-8-2008.pdf> [PDF]: 1.Author's manuscript pre-peer-review = "AO" or "SMUR" 2. Author's manuscript post-peer-review = "AM" 3. Published version = "VoR", "CVoR" or "EVoR" 4. Other |
| **18** | Where to deposit | Institutional repository  Funder or subject repository  National repository  Any repository  Other  Not specified | O | Indicate the repository in which the item is to be deposited. |
| **19** | If deposit is not in the institutional repository, then which repository? | String | O | If deposit is external to the institution, indicate in which repository the item is to be deposited |
| **20** | When to deposit | A+ x  P+ x O            Y Z | O | The codes refer to the date specified in the OA policy when the item is to be deposited. A + x - Immediately upon (or within x months of) date of acceptance.  P+x = Immediately upon (or within x months of) date of publication.  O - other = at another date not listed here, please add details in field 19.   Y - as early as possible -  the item is to be deposited at the earliest possible opportunity.  Z - unspecified = the policy does not specify when the item is to be deposited. |
| **21** | When to deposit if not covered by Field 19 | String | O | If you have selected 'O- other' in Field 20, then specify when the item should be deposited. |
| **22** | Is depositing the item required for eligibility in research performance evaluation or assessment? | Yes  No  Not specified | O | Note whether the agency requires an item to be deposited into a repository, as a condition for research performance evaluation or assessment. |
| **23** | If there is a requirement to deposit the item, are exemptions allowed? | Yes unconditionally  Yes conditionally  No  Not specified | O | If under some conditions, an item might be exempted from the deposit policy, indicate what kind of item and under what condition (if any). An exemption is sometimes also referred to as a waiver or an opt-out. |
| **SECTION 3B: REPOSITORY REQUIREMENTS – OA** | | | | |
| **24** | Is making the deposited item OA a requirement or a recommendation? | Required  Recommended  Not specified | O | Making the deposited item available free for all online.  Required means you must make the deposited item OA.  Recommended means you are encouraged to make the deposited item OA.  This field can be qualified by the answer to field 27 (i.e. exemptions are possible). |
| **25** | When to make the deposited item OA? | A+ x  P+ x O            Y Z | O | The codes refer to the date specified in the OA policy when the deposited item is to be made OA (i.e., available free for all online). A + x - Immediately upon (or within x months of) date of acceptance.  P+ x = Immediately upon (or within x months of) date of publication.  O - other = at another date not listed here.   Y - as early as possible -  the item is to be made available at the earliest possible opportunity.  Z - unspecified = the policy does not specify when the item is to be deposited. |
| **26** | Maximum  Allowable Publisher Embargo  Length | String | O | If you have selected 'O- other' in Field 25, then specify what is the longest publisher embargo period that the policy allows. |
| **27** | If there is a requirement to make the deposited item OA, are exemptions allowed? | Yes unconditionally  Yes conditionally  No  Not specified | O | If under some conditions, an item might be exempted from the OA clause of the policy, indicate what kind of item and under what condition (if any). An exemption is sometimes also referred to as a waiver or an opt-out. |
| **28** | Is making the deposited item  OA a condition for evaluation? | Yes  No  Not specified | O | Note whether the agency requires a deposited item to be made OA, as a condition for research performance evaluation or assessment. |
| **29** | What licence should be used for making the item OA? | URL  String  Not specified | O | Provide the URL or description of the licence for the OA item. Multiple fields can be added so long as they are alternative allowable licences for all the item types covered by the policy. If some licences are specified for particular item types, then that would need to be expressed in different policies. |
| **SECTION 4: OA PUBLISHING REQUIREMENTS** | | |  |  |
| **30** | Does the policy specify that the item is to be  published OA through a publisher? | Yes  No | M | Explain whether the OA policy specifies formal OA publication. OA publication means the item (journal, book, etc) is to be published with a publisher who makes it OA (available free for all) immediately upon publication (sometimes for publication fee). |
| **31** | Is the formal OA publishing policy a requirement or a recommendation? | Required  Recommended  Not specified | O | Does the OA policy require (i.e., you must) or recommend (i.e., you are encouraged) that the item (journal, book, etc) be published with a publisher who makes it OA (available free for all) immediately upon publication (sometimes for publication fee). |
| **32** | What kinds of items does the policy cover? | Book  Book chapter  Book edited  Conference Paper/Proceeding/Abstract  Journal Article/Review  Manual/Guide  Monograph  Policy briefing report  Technical Report  Technical Standard  Thesis  Consultancy Report  Working paper  Other | O | Identify which items the policy covers (e.g. articles, books). More than one item type may be selected.  If the policy varies according to item type -- e.g. where different licences specified -- then this should be considered a separate policy and a new schema should be filled in for each variant. |
| **33** | More information about kinds of items covered | String | O | Further define item types specified in Field 32, if necessary. |
| **34** | Does the agency fund OA publication costs? | Yes  No  Not specified | O | Funding might be through block grants, allowances in project budgets, dedicated institutional funds, or other methods |
| **35** | Are there conditions on use of agency OA publication funds? | None  Maximum contribution per publication charge  Prohibition on using the charge for hybrid journals  Other | O | Explain which conditions apply for the use of the specific OA funds. Choose more than one option if that is applicable. Further qualifications for conditions on use are available in Field 35, and Field 37 'Licences'. |
| **36** | Other conditions on use of agency OA publication funds | String | O | If Field 34 is "Other", then give further information about the conditions on the use of the agency's OA publication fund. |
| **37** | Does an item have to be published OA through a publisher for eligibility in research performance evaluation or assessment? | Yes  No  Not specified | O | Note whether the agency requires that the item (journal, book, etc) be published with a publisher who makes it OA (available free for all) immediately upon publication (sometimes for publication fee) in order to be eligible for performance review or research assessment. |
| **38** | If there is a requirement to publish the item OA through a publisher, are exemptions allowed? | Yes unconditionally  Yes conditionally  No  Not specified | O | If under some conditions, an item might be exempted from a requirement to publish with an OA publisher, indicate what kind of item and under condition (if any). An exemption is sometimes also referred to as a waiver or an opt-out |
| **39** | Licenses | URL  String  Not specified | O | Provide the URL or description of the licence for the OA item. Multiple fields can be added so long as they are alternative allowable licences for all the item types covered by the policy. If some licences are specified for particular item types, then that would need to be expressed in different policies. |
| **SECTION 5: OTHER** | | | | |
| **40** | Are there any other policy conditions not covered above? | String | O | Other conditions or comments of which those covered by the policy should be aware. |