Based on the paper „Empfehlungen zu Qualitätsstandards für die Open-Access-Stellung von Büchern"
https://oa2020-de.org/assets/files/OA2020-DE&KU_qualitaetsstandards_oa_buecher.pdf, by Knowledge
Unlatched and the National Open Access Contact the working group of German-speaking University Presses
presents the following quality standards. Status September 2018

Quality Standards for Open Access Books

According to the members of the working group, the following standards determine the quality of open
access books. While we are aware that for various reasons not all publications being available in open
access can meet these standards, we formulate the standards they should be judged against.

Accessibility

- Access is free of charge and open to the public, without financial, legal or technical barriers.
- The publication is clearly marked as an open access publication.
- The publication is free of DRM in all online formats marked as open access.
- The OA version is published at the same time as the parallel print version.
- German National Library and the respective state libraries receive the legal deposit copies for print and open access online version.
- In addition to national library deposit, the open access versions are recorded in corresponding databases such as OAPEN and DOAB. Furthermore, the aim is to achieve the highest possible dissemination and visibility by providing references in other databases such as JSTOR, MUSE, subject databases or discovery services.
- If applicable, related research data and other materials are archived in a suitable repository and linked in the publication.
- The publisher's website holding possible paid versions clearly links to the open access version of a given publication.
- Long-term archiving is guaranteed. The publisher cooperates with a certified service (e.g. National libraries, Portico, CLOCKSS) for this purpose.
- Text and data mining (TDM) are permitted. This includes automatic downloading, extraction and indexing of full texts.

Rights

- Authors and editors grant non-exclusive rights to publishers and thus retain the right to grant other parties non-exclusive rights of use and to publish their work or parts thereof elsewhere.
- The authors and editors grant the general public extensive usage rights by granting an Open Access-compliant Creative Commons licence (ideally CC BY or CC BY-SA, for certain contexts CC-BY-ND might be applicable).
- Rights to illustrations and other third-party material that are subject to third-party rights are clarified and clearly identified. If possible, they do not hinder the provision of the entire work under a Creative Commons licence.
- Rights information is included in text form in the imprint and embedded in the file in a machine-readable form.

Quality Assurance

- To evaluate scientific quality a publication has undergone a reviewing process according to discipline-specific standards.
- Publishers make information on their selection and review criteria publicly available.
- Publishers are open to new or innovative forms of quality assurance, e.g. open peer review.

Formats

- Publications are available in at least one file format suitable for long-term archiving (e.g. PDF/A according to ISO 19005).
- In addition, publication in formats suitable for further processing (e.g. XML, HTML) should be an aim.
- The open access files should support navigation (e.g. with bookmarks and hold comprehensive details for document properties (at least author, title, licence details).
- Publications can also be produced and distributed as a print edition.

Metadata

- Metadata are as comprehensive as possible, and include at least: title, additional title if applicable, authors, editors, ORCID (if available), publication date, publisher, series title and volume number if applicable, persistent identifier, ISBN if applicable (if offered in print), Creative Commons attribution, abstract, keywords (free or taken from a classification).
- Metadata including abstracts, keywords and any thumbnails of the covers are made available under the CC0 licence.
- Affiliations of the participating authors and editors will be stated, if possible, in accordance with the requirements of the applicable affiliation guidelines of the institutions.
- If applicable, participating research funders (incl. project, project title, funding code) are listed in the document and, if applicable, in the metadata.
- Each publication receives a DOI as a persistent identifier. Other possible identifiers are URN and handle.
- DOIs are registered with an established registering agency such as Crossref or DataCite.
- The contents is ideally licensed under CC BY or CC-BY-SA 4.0
- Assigning DOIs at chapter level and – where applicable – to figures and tables should be an aim.
- Metadata are available in open formats such as a CSV file, ideally as an ONIX feed or another established format (Dublin Core, DataCite, Crossref).
- Metadata for libraries is available as MARC records.

Calculations

- In order to be eligible for funding from public funds for OA monographs and anthologies, publishing costs are based on a transparent calculation clearly indicating the share of open access related costs.
- In order to make the financial flows around a given OA publication transparent, sales prices and information on print sales are made public.

Marketing/Communication

- The publisher appoints a contact person for its OA programme.
- The publisher provides information on the added value of an OA publication and advises on legal issues and CC licences.
- Advertising and marketing is carried out via the publisher's website, other publishing media and via appropriate social media channels.
- Reviews are acquired and published.

Usage metrics

- Access to the publications is counted and made available according to established standards such as COUNTER or LogEC.
- If possible, publishers and platforms keep track of alternative metrics indicating uptake and impact in the internet.