Questionnaire for effective exchange of metadata – current status of publish	ning
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In 2011, important priorities were set in order to realise green publications in the open access movement in Germany. With financial support from the German Research Foundation (DFG), libraries negotiated Alliance Licenses with publishers that guarantee special open access rights:

Guidelines for the Purchase of Licences funded by the DFG, section B. Open-Access Rules Negotiated Open Access Rights: https://www.nationallizenzen.de/open-access

A new DFG project called DeepGreen aims to realise better usage of these rights. Together with publishers who offer Alliance Licenses and authorized libraries, the project group intends to develop a prototype of a nearly fully automated workflow that covers the delivery of data from the publishers, including the article full texts, as well as the process of loading data into the institutional repositories of licensees. An intermediate dark archive serves as a distribution platform.

The project group aims to become acquainted with publishers' processes for exchanging documents and metadata. For this purpose, we would like to ask you to complete the following questionnaire and take part in a campaign.

Teil	A: General	
A1.	1. Do you already provide metadata files and article full texts to recipients (e. g. repositories, data purchasers)?	
* Ple	ase use the comment field to specify distinctions (e. g. if you generate metadata only for certain media types or granularity lev journal titles but not journ	
	Both metadata and full texts	
	Only metadata	
	Only full texts	
	Neither metadata nor full texts	
A2.	1.1. Do you provide metadata files and article full texts on your own or through a supporting agency?	
	On our own	
	Supporting agency	
A3.	Which supporting agency?	
	Crossref	
	HighWire	
	Sonstiges	
	Sonstiges	•
A4.	1.2. Our project focuses on the German Alliance Licenses and its open access components.* Are you able to deliver the apposite licensed articles + metadata sets individually to your Alliance licensees?**	
** T/	rter embargo period, usage of publishers' PDF allowed, etc. See http://www.nationallizenzen.de/open-access/open-access-recl nis involves among other things the rights management on your side and your ability to connect the license and licensees' infor- ticles' metadata (author affiliations, publishing dates and subsequent embargo end dates, etc.). We address this issue also in q Yes	mation with

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	B: Metadata Exchange s regarding article metadata (such as bibliographic information, license information, abstract, etc. aflows.	.) exchan	ge processes
B1.	Which method of metadata exchange or interface is used? <i>Multiple</i> answers possible.		
	Please tell us your currently used version of the protocol or standard in the field at the right (e. g. SWORD Version 1.0, OAI-PMH Version 2.0, SRU Version 1.2, etc.).		
	We also show an interest in knowing the URI of your interface(s) to conduct some technical tests. If you feel comfortable with this, please tell us the URI.		
	You can also e-mail us some test data packages, if you don't have an interface for metadata exchange yet. Please give us the e-mail address to pass it through the spam filter.		
	OAI-PMH. Please indicate your version:		
	WebDav.		
	SRU (Search/Retrieve via URL). Please indicate your version:		
	SWORD. Please indicate your version: [2][2][2]		
HT	ΓP(S) manual retrieval via login-based web form (e. g. under an institutional member section on your website). Please specify the URI of the web form:		
	HTTP(S) server retrieval. Please specify its URI:		
	FTP server retrieval. Please specify its URI:		
	SFTP server retrieval. Please specify its URI:		
	FTPS server retrieval. Please specify its URI:		
	SCP server retrieval. Please specify its URI: 222		
	E-Mail. Please specify your commonly used e-mail address: [2][2] Comments		
	Comments	Ţ	

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B2.	Are there any access control mechanisms?
	IP-based access control
	Password protection
	Sonstiges
	Sonstiges
	Sonsuges
В3.	2.1. What is the scope of the exchange?
	Full exchange of article metadata
	Incremental exchange: metadata that have been changed since the last incremental exchange
	Differential exchange: metadata that have been changed since the last full exchange
B4.	2.2. What is the frequency of metadata exchange?
	Daily
	Weekly
	Monthly
	Quarterly
	Bi-annually
	Annually
	Other
	Other
B5.	2.3. Does the metadata exchange take place on a specific day? * Please enter the date or weekday in the comment field.
	Yes*
	No T

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B6. * Please	2.4. Are the metadata files deleted after a certain period of time? indicate the deleting frequencies in the comment field (e. g. after x days / by the next frequency of exchange / by another frequency an update file / by a batch deletion process / when storage capacity is exhausted / on deletion process / when storage capacity is exhausted / No	
	C: Publication File Exchange	
Question	as regarding publication file (full text files such as article PDF, EPUB, html, etc.) exchange proces	ses and workflows.
C1.	Which method of file exchange (full text files such as PDFs, not metadata) or interface is used? <i>Multiple answers possible</i> . Please tell us your currently used version of the protocol or standard.	
	Please tell us your currently used version of the protocol or standard in the field at the right (e. g. SWORD Version 1.0, OAI-PMH Version 2.0, SRU Version 1.2, etc.).	
	We also show an interest in knowing the URI of your interface(s) to conduct some technical tests. If you feel comfortable with this, please tell us the URI.	
	You can also e-mail us some test data packages, if you don't have an interface for file exchange yet. Please give us the e-mail address to pass it through the spam filter.	
	OAI-PMH. Please indicate your version:	
	WebDav.	
	SRU (Search/Retrieve via URL). Please indicate your version:	
	SWORD. Please indicate your version: [2][2]	
НТ	TP(S) manual retrieval via login-based web form (e. g. under an institutional member section on your website). Please specify the URI of the web form:	
	HTTP(S) server retrieval. Please specify its URI:	
	FTP server retrieval. Please specify its URI:	

	SFTP server retrieval. Please specify its URI:	
	FTPS server retrieval. Please specify its URI:	
•	SCP server retrieval. Please specify its URI: 222	
	E-Mail. Please specify your commonly used e-mail address: 222	
	Comments	
	Comments	•
C2.	Are there any access control mechanisms?	
	IP-based access control	
	Password protection	
	Sonstiges	
	Sonstiges	
C3.	2.5. What is the scope of the exchange?	
	Full exchange of article files (e. g. PDFs)	
	Incremental exchange: article files that have been changed since the last incremental exchange	
	Differential exchange: article files that have been changed since the last full exchange	
I		

C4.	2.6. What is the frequency of file exchange?
	Daily
	Weekly
	Monthly
	Quarterly
	Bi-annually
	Annually
	Other
	Other
C5.	2.7. Does the file exchange take place on a specific day?
	* Please enter the date or weekday in the comment field. Yes*
	No
C6.	2.8. Are the article files (e. g. PDFs) deleted after a certain period of time?
* Please	indicate the deleting frequencies in the comment field (e.g. after x days / by the next frequency of exchange / by another frequency / by an update file / by a batch deletion process / when storage capacity is exhausted / on demand, etc).
	Yes*
	No L

Teil D: Contact Details Please give the name of a contact person in your organisation for any questions.		
D1. 3. Are there specific staff members who are responsible for the (meta)data files and exchange processes? (E. g. regular and accessible contact partners reporting information about any changes to the metadata or publication file exchange processes to recipients like us.)		
Yes. Please tell us their contact details or URI of their contact forms		
No. Please tell us your general contact details or URI of your FAQ, imprint or general contact form		
Teil E: Metadata Format		
E1. 4. How is the metadata formatted (filetype and metadata standard, if applicable)? <i>Multiple answers possible.</i> In some cases, you will be asked separately to provide the version of the filetype or metadata.	lata standard.	
Delimiter-separated values (e. g. TSV, TAB, CSV)		
Text (e. g. TXT, ODT)		
Spreadsheet (e. g. XLS, XLSX, ODS)		
RIS		
BibTeX		
HTML	,	
XMI		
additionally zipped (e. g. ZIP, TAR, GZ, Z, TAZ, TGZ)		
Dublin Core		
MARC		
MARCXML	,	
ONIX		
NISO JATS or older NLM standards		
METS		
MODS		
XMetaDissPlus		
Crossref Schema		
oaf (OpenAire Format) [2] [2] [2]		

	Other. Please indicate the	name and version:				
	Other. Please indicate the name and version:					
E2.	You have chosen 'Delimiter-separated values'. Please indiction format (e. g. TSV, TAB, CSV):	rate the file				
E3.	You have chosen 'Text'. Please indicate the file format (e. a ODT):	g. TXT,				
E4.	You have chosen 'Spreadsheet'. Please indicate the file for XLS, XLSX, ODS):	mat (e. g.				
E5.	You have chosen 'additionally zipped'. Please indicate the (e. g. ZIP, TAR, GZ, Z, TAZ, TGZ):	file format				
E6.	You have chosen 'Dublin Core'. Please indicate the version (e. g. "Dublin Core Metadata Element Set, Version 1.1, http://dublincore.org/documents/2012/06/14/dces/"):					
E7.	You have chosen 'MARC'. Please indicate the version (e. g. "MARC LITE Bibliographic Format, 2008 Edition"):					
E8.	You have chosen 'MARCXML'. Please indicate the version	You have chosen 'MARCXML'. Please indicate the version:				
E9.	You have chosen 'ONIX'. Please indicate the version (e. g. SOH, Version 1.2"):	"ONIX-				
E10.	You have chosen 'NISO JATS or older NLM standards'. P indicate the standard name and version:	lease				
E11.	You have chosen 'METS'. Please indicate the version (e. g. Schema Version 1.11"):	"METS				
E12.	You have chosen 'MODS'. Please indicate the version (e. g. 3.6 Schema''):	. "MODS				

13.	You have chosen 'XMetaDissPlus'. Please indicate the version:
14.	You have chosen 'Crossref Schema'. Please indicate the version (e. g.
	"Crossref Deposit Schema Version 4.3.6, crossref4.3.6.xsd"):
j .	You have chosen 'oaf (OpenAire Format)'. Please indicate the version:
	Do you offer the selected standard(s) for <i>all</i> media types or each with a subset (e. g. NISO JATS only for articles, ONIX only for books, etc.)? We are particulary interested in articles coming from DFG-funded German Alliance Licenses.
	4.1. Do the names of metadata files follow a common pattern? * Please indicate your file naming conventions (e. g. regular expression) in the comment field.
que	stion actually concerns whether it would be possible to draw inferences about the publisher, licence, collection name, last data exchange, etc. from the metadata file names (e. g. "[ProviderName]_[CollectionName]_[YYY-MM-DD]-[YYYY-MM-DD].txt"). Yes* No
•	4.2. Is there any other consistent way of including information such as provider name, collection name, time stamps, etc. in the metadata file? * Please indicate these contents (e. g. regular expression, xml- or html tags) in the comment field.
is que	etc. from your file content or structure (e. g. tags in HTML like "meta name="Provider" content="[ProviderName]""). Yes* No

19.	4.3 Is your data hosted under a web domain which represents your
	provider name? * If you feel comfortable with this, please tell us the URI of the web domain in the comment field.
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This qu	nestion actually concerns whether it would be possible to draw inferences about the publisher from the web domain/server which transfers metadata and/or full texts or which is visited during the harvesting process.
	Yes*
	No*
20.	4.4. Besides common metadata fields (article title, author, etc.), do
	you support the following data fields?
	Cf. for example NISO recommended Access License and Indicators : A Recommended Practice of the National Information Standards Organization.
	In some cases, you will be asked separately to specify your answers.
	a) Link to standard licence terms
	b) Link to negotiated Alliance Licence terms (e. g. shorter embargo period)
	c) Funder identifier (e. g. funder name, FundRef Identifier)
	c) Funder identifier (e. g. funder name, FundRef Identifier)
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID)
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID) e) Author affiliation (e. g. affiliation name, Ringgold Identifier)
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID) e) Author affiliation (e. g. affiliation name, Ringgold Identifier) f) Standard embargo information (e. g. embargo start date, length, end date) g) Negotiated Alliance Licence embargos (e. g. embargo start date, shorter length, end date)
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID) e) Author affiliation (e. g. affiliation name, Ringgold Identifier) f) Standard embargo information (e. g. embargo start date, length, end date) g) Negotiated Alliance Licence embargos (e. g. embargo start date, shorter length, end date) h) Standard self-archivable version (e. g. preprint, postprint version)
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID) e) Author affiliation (e. g. affiliation name, Ringgold Identifier) f) Standard embargo information (e. g. embargo start date, length, end date) g) Negotiated Alliance Licence embargos (e. g. embargo start date, shorter length, end date)
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID) e) Author affiliation (e. g. affiliation name, Ringgold Identifier) f) Standard embargo information (e. g. embargo start date, length, end date) g) Negotiated Alliance Licence embargos (e. g. embargo start date, shorter length, end date) h) Standard self-archivable version (e. g. preprint, postprint version)
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID) e) Author affiliation (e. g. affiliation name, Ringgold Identifier) f) Standard embargo information (e. g. embargo start date, length, end date) g) Negotiated Alliance Licence embargos (e. g. embargo start date, shorter length, end date) h) Standard self-archivable version (e. g. preprint, postprint version) i) Negotiated Alliance Licence archivable version (e. g. postprint, publisher version) Comments
	c) Funder identifier (e. g. funder name, FundRef Identifier) d) Author identifier (e. g. ISNI, ORCID, ResearcherID, Scopus Author ID) e) Author affiliation (e. g. affiliation name, Ringgold Identifier) f) Standard embargo information (e. g. embargo start date, length, end date) g) Negotiated Alliance Licence embargos (e. g. embargo start date, shorter length, end date) h) Standard self-archivable version (e. g. preprint, postprint version) i) Negotiated Alliance Licence archivable version (e. g. postprint, publisher version)

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E21.	a) Please indicate the link (URI) to the standard licence terms:
E22.	b) Please indicate the link (URI) to the negotiated DFG-funded
	German Alliance Licence terms:
E23.	c) Please indicate your commonly used funder identifier(s):
	Funder name
	FundRef Identifier
	Sonstiges
	Sonstiges
E24.	d) Please indicate your commonly used author identifier(s):
	ISNI
	ORCID
	ResearcherID
	Scopus Author ID
	Sonstiges
	Constigues
	Sonstiges
E25.	e) Please indicate your commonly used author affiliation identifier(s):
	Affiliation name
	Ringgold Identifier
	Other:
	Other:
E26.	Is there a reliable allocation between <i>all</i> authors and their
	affiliations? Please tell us if there are any limitations: No, but affiliation is reliably available for the corresponding author(s)
	No, but affiliation is reliably available for the submitting author(s)
	No, but affiliation is reliably available for authors with unique identifiers (e. g. ORCID)
	Yes, there are reliable allocations between all (co-)authors and affiliations

	Other limitations:
	Other limitations:
E27. * E. g. is	How do you record or query the affiliation name (e. g. standardised string; if not standardised: what possibilities are available to get a comprehensive coverage of the institutional name(s) and its abbreviations*)? It possible to deliver you several strings for a boolean "OR" query (for example for Friedrich-Alexander University Erlangen-Nürnberg: "friedrich-alexander", "FAU erlangen", "univ. of erlangen", "university of erlangen", "universität erlangen", "universitätsklinikum erlangen", "universitätsklinikum erlangen", etc.)
E28.	f) Please specify your available standard embargo information (e. g. embargo start date, length, end date) and your way of delivering these dates:
E29.	g) Please specify your customized embargo information (e. g. negotiated embargo length by mandate or DFG-funded German Alliance Licence) and your way of delivering these dates:

E30.	h) Please specify your available standard self-archiving information (e. g. preprint, postprint version; storage location obligation e. g. only institutional repository) and your way of delivering this data:
E31.	i) Please specify your negotiated self-archiving information (preprint, postprint, publisher version variable by mandate or DFG-funded German Alliance Licence; storage location obligation e. g. only institutional repository) and your way of delivering this data:
Teil	F: Completion
F1.	5. Please indicate the name of your publishing house and contact details:
	Name of your publishing house
	Your first and last name
	Your e-mail address
	Your function or job title

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	Deepdreen	
F2.	Do you have any wish regarding the questionnaire or just want to tell us something?	
	Thank you very much for your cooperation.	
	Thank you very much for your cooperation.	