

ICEDIS Meeting at Frankfurt Book Fair

Hotel Bristol, Frankfurt am Main

Monday 12th October 2015

Minutes

1. Welcome and introductions

Co-chair Shilo de Vries opened the meeting and welcomed participants, who then briefly introduced themselves. Apologies were noted from Annette Hooss, John Keston-Hole, Alan Medd, Barbara Schwarz and Keith Whiter. Dan Heffernan once again took notes. Full lists of participants and of apologies received appear at the end of these minutes.

2. Minutes & actions from the previous meeting (Glasgow, April 2015)

Tim briefly reviewed the minutes of the previous ICEDIS meeting at UKSG Glasgow, in April 2015.

- On articulating the benefits of new-format messages, this is on indefinite hold until the membership of ICEDIS advises otherwise.
- On encouraging vendor involvement in implementing ONIX-PC and other standards, Tim advised that he had had contacts with Publishing Technology, but nothing recent. (*Update: Publishing Technology has since the meeting given a commitment to the Vista User Group to implement ONIX-PC.*)
- Tim also asked for updates on ONIX-PC implementation plans from two other vendors represented at the meeting, Dan Heffernan (Advantage CS) and David Hetherington (Klopotek). Both Dan and David advised that if one or more clients request such a feature, it would move up their development lists.

Other action points from the minutes were covered in the agenda of this meeting. The minutes of the Glasgow meeting were accepted as an accurate record.

3. ICEDIS Open Access Working Group

Tim related how the Working Group had progressed over recent months. The series of conference calls has continued to be the main mechanism for driving progress and we have pursued two work streams:

- Most effort thus far has been devoted to modifying and extending ONIX-PC so that it can support OA journals alongside more conventional, paid-for products.
- Alongside this, we have had wider discussions about how we can most effectively contribute to resolving OA issues beyond the confines of the ICEDIS community.

3.1. Extending ONIX-PC to support OA journals

In the first work stream, we have brainstormed requirements and approaches, resulting in the development of an extended v1.2 of ONIX-PC. This can support a range of OA-related

features, such as OA model (Green or Gold), OA extent (full or hybrid OA), embargoes where these are relevant, APC structures (conditions and prices), and license types offered. This work has reached the stage where a draft v1.2 is ready for use and we move into a phase of pilot exchanges (Springer, Wiley, Harrassowitz, and LM Info have all agreed to participate). More detail can be found in Section 4 of these minutes.

3.2. Engaging more widely on OA issues

The second discussion stream within the working group concerns how we might best engage effectively with the wider OA community – contributing ideas and approaches such as the ONIX-PC extensions. Henning commented that he has found the working group to be a useful forum for generating ideas and reaching consensus.

We have already had discussions with the DOAJ (Directory of Open Access Journals) to compare the metadata that each of us collect and to explore whether ONIX-PC might in future be a vehicle for communicating OA metadata between publishers and DOAJ.

More recently, Henning and Tim (among others) participated in a Jisc Open Access forum within the UK. This was of considerable interest, not least since it involved a much wider range of stakeholders than ICEDIS (including librarians, Jisc itself as a purchasing and licensing consortium, funding bodies such as the Wellcome Trust as well as publishers and other intermediaries). Researchers were also present, who complained that it was often difficult to know what is or isn't allowed under particular 'OA' licenses.

Graham pointed out that this illustrates the breadth of the OA 'supply chain', which is by no means limited to a simple 'content production to library consumption' process. As we move towards open access, librarians and researchers need to be more and more aware of how this all works behind the scenes. We should involve a wider range of stakeholders. Compliance with OA conditions on the part of researchers is becoming a major issue, too.

We discussed various possible models for cooperation, particularly in the context of the Jisc forum. Simply put, the models appeared to be:

- Dialogue based on continuation of the ICEDIS working group in its present form. This is unlikely to work for this wider purpose, since the group lacks representation from several important constituencies.
- Expanding the working group by invitation to include representatives of the missing constituencies, for example Jisc, a funding agency, a librarian or consortium. This appeared quite attractive, but probably suffers from the lack of visibility of either ONIX-PC or ICEDIS outside their core publisher/agency constituencies.
- Partnering in some way to create an EDItEUR/NISO OA group – thus providing wider outreach capabilities as well as extending geographical involvement to North American participants.

Iris, Greta and Shilo all said in various ways that it was vital that we capture the perspectives and needs of the library community – whether this was by direct participation or via representative groups such as Jisc. Publishers want their products to appear in library

catalogs, librarians know what researchers need and are themselves familiar with using standards – they must be involved if these initiatives are to be successful.

Todd said that he was in principle interested in the idea of a joint venture, but that he would have to consult the relevant NISO business steering committee. He also cautioned that some aspects of OA, particularly compliance and establishing robust OA frameworks, can be very tricky and liable to ‘politicization’, owing to the different objectives and perceptions of funders, scholars and publishers. Tim agreed that it was vital that we steer clear of any such perception. Henning said that he felt it was vital that we move fast (say, within 6 weeks or so), whichever model we choose to pursue, in order to offer positive and timely inputs to the Jisc deliberations.

Tim and **Todd** agreed to pursue these discussions outside the meeting and to brief ICEDIS on any consequent proposals or developments.

In closing this section, Graham and Tim highlighted the distinction between journal-level policies and article-level licenses, to try to avoid misunderstandings that had arisen at the Jisc forum and elsewhere. **Journal-level policies** are essentially the area addressed by ONIX-PC, detailing what kinds of models, licenses, APCs, embargoes, etc. are offered by a particular journal.

In contrast, **article-level licenses** specify the ownership of or rights to intellectual content, as well as usages allowed or prohibited for all the parties to the license agreement. Examples might include one of the range of Creative Commons or other licenses. And if a **machine-readable expression** of the license is required, then ONIX-PL might be used to express the license terms: note that ONIX-PL is a license expression language and not a license in itself.

4. ONIX-PC

Tim updated the meeting on the status of the standard. The version currently live is v1.1.1, which has been in active use between publishers and agencies for several years. Alongside this we have prepared and published a draft v1.2 to include the various OA-related extensions. v1.2 is available for viewing or download from the EDItEUR website at <http://www.editeur.org/126/ONIX-PC/>. It will keep its ‘draft’ status until pilot exchanges (and any consequent modifications) are complete.

The usual supporting resources can be downloaded for v1.2:

- Descriptive documentation, in both PDF and HTML formats.
- An XML schema, to assist in file creation and validation.
- A set of sample files, in both PDF and validated XML formats, which illustrate how we intend the new OA-related features to be populated.

Alongside ONIX-PC v1.2 we have also released an updated Issue 8 of the ONIX Serials Code Lists, containing several new codes or values required by ONIX-PC v1.2.

Tim also clarified three points in v1.2 not directly related to the OA changes:

- v1.2 is backwards compatible with earlier versions 1.1 and 1.1.1, and in fact a technical change has been made so that the v1.2 schema can be used to validate files created under all three of these versions.
- An ‘unpriced item type’ has been introduced as an alternative to the ‘total price’ module, avoiding the need to declare prices like ‘\$0.00’ for OA or other unpriced journal subscriptions.
- There is also now a structure in v1.2 to communicate information about any preservation arrangements in place for particular e-journals, for example that they are routinely deposited in Portico, LOCKSS or other archiving schemes.

With these materials in place, the priority now is to get pilot exchanges underway. Preferably we wish to complete these early in Q1 of 2016 so that v1.2 (modified if necessary) can be used to support the 2017 pricing and catalog round. The aim is firstly to ‘road test’ the versions technically and secondly to check that everyone is understanding and interpreting the metadata in a consistent way.

Graham mentioned that a new ‘Acknowledgement’ message had been introduced alongside ONIX for Books transmissions, to allow for a simple or more detailed handshake between sending and receiving systems. With very minor modifications, the Acknowledgement could be amended for use with ONIX-PC too, if there is perceived to be a need. The general consensus was that this would be less valuable in the ONIX-PC context but **EDItEUR** will prepare a short briefing note so that members can consider this idea in more depth.

5. Guest presentation: Ian Hames (Publisher Solutions International)

PSI’s Ian Hames kindly gave a guest presentation under the rubric “*Who’s Really Reading Your Valuable Content – And Did They Pay For It?*” This set out to explore the challenges faced by PSI and its publisher clients in countering misuse and abuse of IP authenticated online resources. These range from access being accidentally opened up by mis-keying IP addresses, through the activities of miscreants who are fraudulently obtaining or reselling access, to distortion of usage statistics because IP addresses are not correctly correlated with the correct institutions.

The presentation was well received and generated much subsequent interest and discussion. For more detail, please contact Ian via ianhames@publishersolutionsint.com.

6. Standards implemented to date

Tim advised that he is in the process of updating our summaries of which organizations have implemented which standards. Clearly the current focus is on ONIX-PC, as indicated elsewhere, but other standards – notably the legacy ICEDIS formats – are in very widespread use. EDItEUR will look to amend procedures as they have done for ONIX Books, so that other organizations (outside of EDItEUR or ICEDIS membership) can also sign up, thus giving everyone a clearer view of the breadth and ‘long tail’ of standards implementation.

7. News from EDItEUR (Graham Bell)

Graham updated the meeting on EDItEUR's structure and activities beyond serials. The organization continues to grow slowly (we now have about 115 members), making it possible to avoid increases in membership fees. Alongside standards work, EDItEUR runs various management services on behalf of other agencies: our contract for management of the International ISBN Agency has recently been extended for 3 more years and that for ISNI for another year. There are question marks around ISTC, as take up of that identifier has been very slow.

ONIX for Books is EDItEUR's biggest and most widely used standard. A sun-setting exercise regarding the older v2.1 was implemented in January 2015 – implying that levels of support have been reduced to encourage users to transition to the newer and more fully-featured v3.0. So far this transition has proceeded smoothly, albeit slowly. A minor update to v3.0 is currently under consideration, responding to user requests. More information:

<http://www.editeur.org/83/Overview/>.

One standard that has achieved traction very swiftly is Thema, which is an international subject classification scheme for books. The current version is v1.1 and already, only 12 months on, a v1.2 is in preparation. The German Books in Print organization has transitioned to Thema and we see a similar situation in Scandinavia. Initially we see Thema classifications co-existing alongside individual national schemes, and it could eventually replace some of them although that is not the current aim. Various national scheme-to-Thema mappings exist, including one for the North American BISAC scheme. More information: <http://www.editeur.org/151/Thema/>.

EDItEUR also participates selectively in project and consultancy work, where the topics are closely aligned with our own areas of expertise and our wider goals or those of our members.

A recent example is Project Forward. This is an EU-funded scheme involving about 12 national film heritage institutions (FHIs). The aim is to pool descriptive metadata held by these FHIs to simplify the process of determining the rights to audiovisual items that they hold, and specifically to identify any so-called “orphan works” so that these can be both effectively and legally exploited. Many of the issues raised – on metadata structures and identifiers – are surprisingly close to those encountered in text-based publishing.

8. Related standards initiatives (Todd Carpenter, NISO)

Todd updated meeting participants on a number of initiatives, sponsored by NISO, ISO and others. Here are very brief notes and pointers to more information:

- a. ALI – Access and License Indicators. Deals with two article-level features: whether or not the content is free to read and under what terms. Has been published as a NISO Recommended Practice and is currently in adoption phase via metadata channeled to Crossref and by inclusion in JATS (Journal Article Tag Suite) metadata. <http://www.niso.org/workrooms/ali/> and <http://www.niso.org/workrooms/journalmarkup>

- b. PESC – Protocol for Exchanging Serial Content was published in June. It is a packaging standard for selling and/or transferring an entire corpus of content. <http://www.niso.org/workrooms/pesc/>
- c. Transfer – a code of practice to guide publishers through transfers of journals so as to avoid interrupted access for subscribers. Version 3 of the Code is now a NISO Recommended Practice and its management/maintenance has been transferred from UKSG to NISO, though UKSG continues to maintain the Transfer registry and alerting service. <http://www.niso.org/workrooms/transfer/>
- d. SUSHI – protocol to assist in the automated harvesting of usage data. Published a recommended practice on server test procedures. Also working on Sushi Lite – a web service for exchanging Counter-compliant information. <http://www.niso.org/workrooms/sushi>
- e. Protection of patron information, particularly related to privacy. NISO will be releasing a set of principles – on publisher data in library and publishing systems, which is applicable to publishers, libraries, vendors, and software providers. Principles are based initially on US privacy law but it’s hoped the initiative will have wider relevance and support.
- f. KBART and KBART II – Knowledge base protocol. NISO continues to maintain and support this work as well as the Open Discovery Initiative. <http://www.niso.org/workrooms/kbart> and <http://www.niso.org/workrooms/odi/>
- g. ISO Identifiers. NISO and thus Todd chair the ISO Identifiers group. Currently this involves work on four topics of particular interest to this group:
- h. ISBN – the International Standard Book Number. Some important work going on – particularly around rules for assignment of ISBNs to ebooks. A draft should be ready by the end of this year, followed by 2 months for comments (act promptly!).
- i. ISSN – the International Standard Serial Number. Is up for systematic review and will probably be recommended for revision next year.
- j. ISO-8 is a standard for the presentation of publications, introduced many years ago and focused entirely on print. Current work is evaluating whether/how best this can be updated to cater for online resources; a probable direction is to achieve convergence with the recommendations of the PIE-J project (Presentation and Identification of Electronic Journals). <http://www.niso.org/workrooms/piej>
- k. ISTC – the International Standard Text Code. Introduced as a work-level identifier but uptake and general interest has been low; currently asking the communities involved what to do with this standard.

9. Election of a new co-chair for ICEDIS

This meeting marked the end of Dan’s formal, three-year term as ICEDIS co-chair. Tim led in asking for a vote of thanks to Dan for all of his excellent contributions over this period.

One very good candidate has come forward to take up the role. Laurie Kaplan, an active member of the ICEDIS Open Access working group, is Content Business Analyst Lead with responsibilities across the ProQuest group of companies. She has had extensive previous experience with Bowker, Serials Solutions and elsewhere, and also in other standards initiatives across the industry.

Tim felt that Laurie would be an excellent choice, and specifically that she would be able to help ICEDIS in becoming more directly relevant for libraries and LMS vendors. The meeting was in agreement and Laurie was elected unanimously as co-chair.

10. Other business & dates of next meetings

The next meeting of ICEDIS will be aimed particularly at our North American colleagues and will be held on 4th November 2015 during the Charleston Conference, Charleston, SC. After that, the following full ICEDIS meeting will be held on the final day of UKSG, 13th April 2015, Bournemouth, UK, 13:30 - 16:30, venue to be finalized. Between those two meetings there will also be several phone conferences of the Open Access Working Group and of organizations implementing ONIX-PC: more details from tim@editeur.org.

List of participants:

Graham Bell	EDItEUR
Greta Boonen	Wiley
Todd Carpenter	NISO
Tim Devenport	EDItEUR
Matt Gomersall	Taylor & Francis
Ian Hames	PSI Ltd
David Hetherington	Klopotek
Dan Heffernan	Advantage CS
Jeff Iezzi	Springer
Alex Ingram	EDItEUR
Hiro Kano	Kinokuniya
Jouni Kuusinen	LM Info
Iris Nord	Springer
Henning Schönenberger	Springer Nature
Heather Staines	ProQuest SIPX
Juha Tiitinen	LM Info
Shilo de Vries	Taylor & Francis
Anthony Watkinson	Publishers Association

Apologies received from:

Annette Hooss	Harrassowitz
John Keston-Hole	Publishing Technology
Alan Medd	Turpin Distribution
Barbara Schwarz	Springer
Keith Whiter	Elsevier