

# **ONIX for Books**

## **Product Information Message**

Application Note: Describing Open Access monographs in ONIX 3.0

Open Access monographs are e-books – and possibly also some conventional printed products – that are made available under a permissive ‘open’ licence. This might be a Creative Commons licence, or a proprietary licence that grants the reader a similar range of rights to use and re-use the content of the book. While open access academic journals are well established, there is small but growing number of open access monographs. These monographs face all the same issues of discoverability, cataloging and supply chain communication as commercial books. How can open access books be represented in ONIX?

## 1. What is an ‘open access’ monograph?

While there is no single accepted definition of what ‘open’ is<sup>1</sup>, open access e-books are generally academic works made available free of charge for anyone to read, and may be downloaded from some easy-to-access repository. In many cases, the author(s) or a funding body defrays the publisher’s costs of publication and distribution. Perhaps even more fundamentally, open access encompasses the idea of ‘free of restrictions’. Often, the book is made available under a licence allows largely unconstrained reuse or redistribution of the e-book, but may contain restrictions such as the need to give credit to the original author or a prohibition against direct commercial exploitation. But there are many flavours of ‘open’, and ONIX does not in itself mandate a single definition.

Open access publishing is much more common in the world of academic journals, where the principle of free access to scholarly information is more established. Open access monographs are – so far – relatively rare.

## 2. Does the metadata differ for books that are open access?

Mostly no.

In almost all respects, the metadata attached to an OA monograph is the same as that for any other e-book. For example, OA monographs should be given ISBNs in the normal way to facilitate their being handled in the normal supply chain, in libraries and so on, and the key metadata would be handled in the normal way. Formats, titles, contributors, edition, language, extent, subject would be specified exactly as they would be for any other book, as would any collateral material and publishing details like imprint and pub date. So for example, in ONIX, the name of the author might look exactly the same as the author of a commercial book:

```
<Contributor>
  <SequenceNumber>1</SequenceNumber>
  <ContributorRole>A01</ContributorRole>
  <NameIdentifier>
    <NameIDType>16</NameIDType>
    <IDValue>0000000116216947</IDValue>
  </NameIdentifier>
  <PersonNameInverted>Peach, Ceri</PersonNameInverted>
  <ProfessionalAffiliation>
    <Affiliation>University of Oxford</Affiliation>
  </ProfessionalAffiliation>
</Contributor>
```

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<sup>1</sup> The nearest there is comes from the original [Budapest Open Access Initiative](http://www.budapestopenaccessinitiative.org/boai-10-recommendations): ‘By “open access” [ ... ] we mean [ ... ] free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.’ (<http://www.budapestopenaccessinitiative.org/boai-10-recommendations>).

The example is ONIX 3.0, but ONIX 2.1 would be very similar.

In the case of academic authors, <ProfessionalAffiliation> is perhaps a more important data composite than it would be for trade books, and academic authors may also be more likely to have name identifiers such as an ORCID (use <NameIDType> code 21) or an ISNI (as above).

### 3. 'Mostly no'? So what *does* differ?

There are a handful of metadata requirements that are *specific* to OA monographs. In particular:

- crediting funding bodies;
- providing a link to the OA licence;
- providing an 'open access statement' and flag.

Each of these can be specified in either ONIX 3.0 or the older ONIX 2.1 standard.

And OA monographs may need to make use of particular data elements to specify free-of-charge access, and the location of any digital repository the e-book may be retrieved from. These data elements are not unique to OA, but are used only infrequently with commercial products.

### 4. How do I credit the funding bodies?

It is common for funding bodies to require credit for the research and publication that they fund. In ONIX 2.1 and ONIX 3.0, funders can be listed alongside the publishers, co-publishers and other such organisations <sup>2</sup>:

```
<Publisher>
  <PublishingRole>01</PublishingRole>
  <PublisherName>Springer</PublisherName>
</Publisher>
<Publisher>
  <PublishingRole>16</PublishingRole>
  <PublisherName>Wellcome Trust</PublisherName>
</Publisher>
```

In this case, Springer is the publisher (<PublishingRole> 01) and the Wellcome Trust is the funding body (<PublishingRole> 16).

It is possible to list the research funder and funder of the publication separately if necessary, through use of different role codes, and to list the web addresses of each funder.

### 5. Can ONIX data be used to track individual funder grants?

In ONIX 3.0, yes. Within the <Publisher> composite, there is the <PublisherIdentifier> composite that can carry a unique identifier for the funding organization such as the FundRef ID. Also within <Publisher>, in ONIX 3.0, there is the <Funding> composite that can carry specific grant references or numbers.

### 6. How do I provide a link to the OA Licence?

While 'open access' is a neat headline, the exact permissions and constraints of a particular licence are varied, and the requirements of licences (*eg* for attribution, or for similar licensing of derivative works) must be

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<sup>2</sup> Note that funders are not listed as 'contributors'. Their role is like that of a publisher, to *facilitate* the research or publication, rather than a creative role like that of a researcher or author.

understood by those who make use of the content. It's common to publish OA material under a Creative Commons licence, but other standard or proprietary licences can be used.

However, it would be impractical to embed the entire text of a licence, or a machine-readable licence expression within the ONIX data itself. Only a *link* to the licence is provided. In ONIX 3.0, the <EpubLicense><sup>3</sup> composite can be used to provide links to both human-readable licence text and to machine-readable licence expressions.

```
<EpubLicense>
  <EpubLicenseName>Creative Commons Attribution 4.0 International
    Public License</EpubLicenseName>
  <EpubLicenseExpression>
    <EpubLicenseExpressionType>02</EpubLicenseExpressionType>
    <EpubLicenseExpressionLink>http://creativecommons.org/
      licenses/by/4.0/legalcode</EpubLicenseExpressionLink>
  </EpubLicenseExpression>
</EpubLicense>
```

But the <EpubLicense> composite is unique to ONIX 3.0 – in ONIX 2.1, there is a limited ‘workaround’ using <OtherText>:

```
<OtherText>
  <TextTypeCode>46</TextTypeCode>
  <TextLinkType>01</TextLinkType>
  <TextLink>http://creativecommons.org/licenses/by-sa/3.0/
    deed.en_GB</TextLink>
</OtherText>
```

These licence links are not exclusively for OA monographs, as non-open licences may also be specified.

## 7. If the licence links are not exclusive to OA, how do I know that the book is open access? Is there a single ‘OA indicator’ field?

There is a practical need to provide a pithy ‘this is open access’ headline or indicator – not in itself a legal statement (for that, you have the licence) or a detailed description of the exact *type* of OA, but simply a statement to highlight those items in a repository or store that are broadly OA. It is simply a summary of the status and perhaps of one or two key conditions, primarily for ‘marketing’ purposes. An example statement might be ‘Open access – no commercial reuse’. The statement might be displayed next to the book on a website, to highlight its OA status (and clicking on the statement could in principle link to the full licence, using the URL provided in <EpubLicense>).

This statement also acts as an ‘OA flag’. Presence or absence of this OA statement should be treated as the critical indicator of whether the book is OA, and unlike the licence links, the statement is exclusively for OA products. However, inclusion of the statement *without* a licence link is strongly discouraged.

In ONIX, this OA statement can be delivered alongside other text-based supporting resources, within <TextContent> (for ONIX 3.0) or <OtherText> (for ONIX 2.1):

```
<!-- ONIX 3.0 -->
<TextContent>
  <TextType>20</TextType>
  <ContentAudience>00</ContentAudience>
  <Text>Open access – no commercial reuse</Text>
</TextContent>
```

<sup>3</sup> Note the US spelling of XML tag. Note also that the use of ‘Epub’ does not imply any particular link to the EPUB file format. Licences can be linked to *any* type of e-publication.

```
<!-- ONIX 2.1 -->
<OtherText>
  <TextTypeCode>47</TextTypeCode>
  <Text>Open access – no commercial use</Text>
</OtherText>
```

## 8. For free of charge products, can I use a <PriceAmount> of zero?

No. In ONIX, the price of a product is carried in the <PriceAmount> data element. But for free of charge items, a <PriceAmount> of zero is not allowed. Instead, use the <UnpricedItemType> element to specify free of charge:

```
<UnpricedItemType>01</UnpricedItemType>
```

## 9. How do I specify where the OA product can be downloaded from?

OA monographs are usually made available from one or more ‘repositories’ – online collections of freely-available books (some repositories also include journal articles). Repositories can be run by publishers, libraries or other bodies. Occasionally, OA material may be available from a repository managed by the author. And there is little or nothing to stop OA material being made available via commercial e-book retail platforms too.

In ONIX, there are a number of <Website> composites, linked to author, publisher or ‘supplier’ which could be used to specify a link to the e-book file held in the repository:

```
<Website>
  <WebsiteRole>29</WebsiteRole>
  <WebsiteLink>http://www.oapen.org/download?type=document&docid=
    341341</WebsiteLink>
</Website>
```

Role code 29 specifies that the product may be downloaded from the link given. This <Website> composite should be included in the correct context (author, publisher, supplier), according to which party is responsible for maintaining the repository (and there might be more than one).

## 10. Are there any problems with the use of ONIX with OA e-books?

There are a couple of known limitations in the way OA e-books can be described in ONIX at present, though these don’t significantly affect current OA material. First, it would not be possible to specify a ‘hybrid’ monograph where some chapters are OA and others are not, or where chapters are available under different open licence terms. It is assumed that the whole monograph is available under a single licence, and that all parts of the content – text, images, data tables and so on – are equally open. Second, there is no explicit differentiation between so-called ‘Green’ and ‘Gold’ OA<sup>4</sup> – rather, this is implicit in the context and target of any repository link provided. Third, there is no way to specify a post-publication delay after which a previously non-OA monograph becomes open. Each of these could be addressed in a future update of ONIX 3.0, should the requirement arise, but at present, no such need is apparent.

The discussion also assumes that OA monographs are primarily e-publications. However, the ‘openness’ of a publication applies to the *content* of a book, not to the book itself, and thus does not preclude conventionally printed or print-on-demand OA publications. All the above could apply equally to printed OA publications, excepting that they are unlikely to be free of charge (they may be available at not-for-profit prices) and the <EpubLicense> tag is specifically intended for e-publications.

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<sup>4</sup> ‘Gold’ is generally where the material is available from a repository managed by the publisher. ‘Green’ is where it is available from a repository managed by the author, or from some third party repository