ONIX for Books release 3.0.3

Contents

This document summarises the key additions and changes made in ONIX 3.0 rev.3. Initial proposals were made to the ONIX International Steering Committee, developed by a Technical Working Group and ratified by the International Steering Committee at its meeting during the London Book Fair in April 2016. Text in this document is largely taken either from the report of the working group or from the latest update of the *ONIX 3.0 Implementation and Best Practice Guide*.

All the changes are entirely optional and 'backward compatible' – any ONIX message conforming to ONIX 3.0, 3.0.1 or 3.0.2 also conforms to 3.0.3. Existing implementers of ONIX 3.0 should be able to handle receiving 3.0.3 messages, even if they make no use of the new data elements that might be included (provided they correctly ignore those new elements). However, some care may need to be taken by data senders before implementing the <PriceConstraint> composite – see 3. below.

This release of ONIX 3.0 requires the use of Codelists Issue 33 or later, as a number of new codelists are used by new data elements.

1. Renaming of <Conference> to <Event>

The <Conference> composite is one of the least often used parts of ONIX. It is intended to provide details of a conference with which a book is associated – for example, a set of conference proceedings, or a monograph composed of selected papers from a conference. In practice, this limits its use to academic publishing. Details include the name, dates, location, sponsor and website for the conference.

In ONIX 3.0.3, <Conference> is renamed <Event>, or more precisely, an <Event> composite is added with the same structure as the existing <Conference> composite (<Conference is retained for compatibility). This broadens the applicability of the composite to encompass any type of major event – to include sporting fixtures, art exhibitions and other events to which publications can be clearly linked.[1] The old <Conference> composite is deprecated.

In detail, there are some minor cardinality differences between the old <Conference> composite and the new <Event> composite – <EventRole> is mandatory, where <ConferenceRole> is optional, and for consistency with other textual elements, <EventAcronym>, <EventTheme> and <EventPlace> are repeatable in parallel languages.

2. Addition of <Territory> composites within <CollateralDetail>

There have been increasingly frequent requests for an option that allows marketing material – cover images, long descriptions, reviews, *etc* – to be market-specific, for example when a book is sold with a single ISBN yet with different covers in different countries, or where descriptive text for a product is available in both Castilian and Latin-American Spanish.

A <Territory> composite is added within <TextContent>, within <SupportingResource>, and for consistency also within <CitedContent> (though it is less relevant there), where it complements the use of <ContentAudience> to further refine the audience for whom the collateral resource is intended. This allows each collateral resource to be marked for use within a specific range of countries and regions. Use of <Territory> is optional, to preserve backwards compatibility, and an unmarked collateral item is assumed to be intended for use in any countries and regions not specifically targeted.

Note that the target territories for collateral need not necessarily be aligned with any specific markets or exclusive geographical ranges for distributors described in Group P.24, though often that will be the case. And because of the risk of leaving a particular country 'without' a cover to use, it is strongly recommended that one resource (of each type – for example one short description or one front cover) is left without a <Territory>, for use in 'any other country'.

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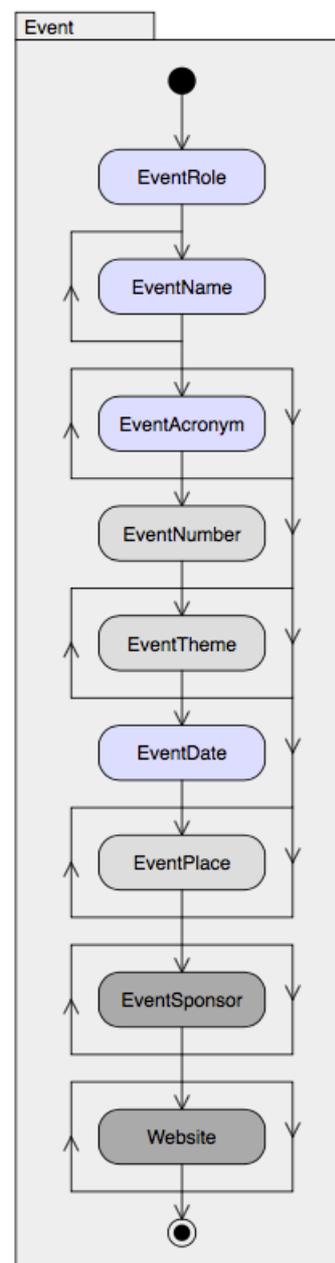
[1] Note that this should be understood as 'the book was created to mark or record the event', rather than 'the event being created to promote the book'. It is not intended for use with author tours and other publicity events.

3. Addition of <PriceConstraint> within <Price>

Within earlier versions of ONIX 3.0, there are two methods to handle *rentals*. The choice between the two methods is based on whether different rental periods (*eg* perpetual, one year, one month, one week *etc*) have *different* product identifiers, or whether the *same* product identifier is used for different rental periods. For the former, <UsageConstraint> can specify the duration of the rental within Group P.3 for each product record. For the latter, there is a single product record, and Group P.3 cannot be used: instead, <PriceCondition> within <Price> is used. Note that there is still a requirement for some sort of identifier that can be used to differentiate between a one month and a three month rental (*eg* for reporting purposes). The <PriceIdentifier> composite is intended for this type of differentiation.

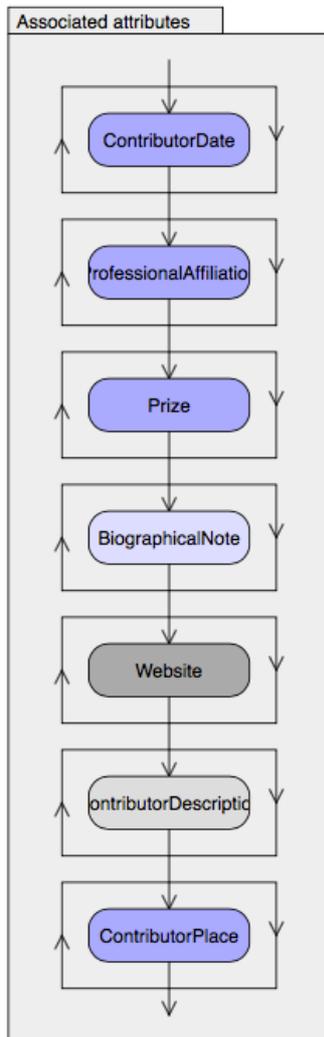However, rental period is only one of the possible price-level variations, and there is a need for others. As a result, <PriceConstraint> has been added within <Price>.

The new composite has a structure similar to that of <EpubUsageConstraint>. It is intended for use in circumstances where a single (digital) product is offered at different price points with different combinations of contractual terms and conditions. This could for example be used to distinguish between prices for single and multi-user versions of the same product – where the two versions are identical apart from the price charged, and the limits on concurrent users are purely contractual, *ie* there is a single product identifier, the difference between single and multi-user is not enforced by any technical protection, and the user experience is not affected. The constraints form part of the 'commercial offer' for the product, rather than being a feature of the product itself.

> Note that some types of constraint at price level would conflict with the ISBN standard, which requires that otherwise identical products with significantly different usage constraints be assigned different ISBNs. Use of <PriceConstraint> is limited to variations that do not affect the reader experience.

<PriceConstraint> adds another 'dimension' to the options for <Price>, which already carry multiple prices for the same product – each distinguished by a unique combination of <PriceType>, <PriceQualifier>, and <PriceCondition>, currency, country and date. In effect, each price is a cell in a multi-dimensional matrix of prices, and <PriceConstraint> simply adds an additional dimension.

An initial codelist for price constraint types mirrors some (but not all) of the options from the equivalent list for <EpubUsageConstraint>.

In all cases where <PriceConstraint> is used, it is strongly recommended that each repeat of <Price> also includes <PriceIdentifier>. This is usually required for reporting purposes. It should also be noted that it may be some time before all data recipients are able to implement <PriceConstraint>, so it should only be used after confirmation with all downstream supply chain partners.

Associated attributes
ContributorDate
rofessionalAffiliatio
Prize
BiographicalNote
Website
ontributorDescriptio
ContributorPlace

4. Addition of <Prize> within <Contributor>

All earlier versions of ONIX treat literary prizes as something awarded to the *product*, or as something awarded to the author *in respect of a particular product*. But in some cases, prizes are awarded to contributors based on their *whole body of work*. Examples include the Nobel Prize for Literature, Edgar Grand Master, and many 'Author of the Year' awards.

ONIX 3.0.3 adds an optional and repeatable <Prize> composite within <Contributor>, so that such prizes can be highlighted in a structured way. The structure of the <Prize> composite itself remains the same, and the existing <Prize> composite within Block 2 is of course retained – its established use to list prizes awarded to the product is unchanged. The new location of <Prize> is intended only for additional awards made to a contributor on the basis of a body of work.

5. Addition of <Funding> details within <Publisher>

For open access publishing, fees are paid by a funder to the publisher to defray some or all of the costs of article preparation and publication (in the journals world, these fees are termed 'article processing charges' or APCs). The product itself is free at the point of consumption (at least when in electronic form). The funder may also be the funder of the research upon which the publication is based.

In ONIX for Books, funders for specific publications may be listed alongside the publisher (with a different <PublishingRoleCode>), and there is an established identification scheme (CrossRef's FundRef) that assigns DOIs to identify each funder organisation. But there is an additional requirement for particular grants (which have grant reference numbers) to be identifiable and trackable, so that the effectiveness of a funding programme can be assessed through its research and any resulting publications. The new <Funding> composite allows each grant from each funder to be identified and tracked via its grant reference number. A similar structure has also been added to a mEDRA ONIX for DOI Registration message.

6. Addition of <RelatedProduct> within <ContentItem>

It is a clear anomaly in earlier versions of ONIX that <ContentItem> composites (often describing chapters within a book) can reference related *works* (so a short story in an anthology can reference the original work from which it was taken, or a scientific monograph can list the CrossRef DOI of each of the academic papers of which it is composed), but cannot directly reference related *products* (eg the ISBN of any concrete version of that other work). Thus some types of citations cannot easily be listed.

ONIX 3.0.3 adds <RelatedProduct> alongside <RelatedWork> inside <ContentItem>, to allow <ContentItem> to contain citations to other *products*. It enhances the general model of <ContentItem> as a mini-record that could become the basis of a full ONIX record if that chapter were to be turned into a standalone product.

7. Addition of a <Gender> element within <Contributor>

Is a contributor male or female? Strictly within the usual scope of ONIX for Books, this clearly doesn't matter. But some ONIX recipients use supplied <Contributor> information for ISNI registration, and the gender flag is an optional part of the ISNI metadata schema. There is also interest in some countries in compiling statistical information about gender balance across the industry. ONIX 3.0.3 includes a new and optional <Gender> data element that can be used to indicate whether a contributor is female, male, or that their gender is unknown or unstated for any reason (these designations are based in ISO 5218).

Note that the new gender flag proposal is concerned exclusively with the gender of the *persona*, not of the natural person 'behind' the persona. The persona is the public-facing identity the person chooses to present to the world, and its gender therefore not particularly private in nature. And it concerns only gender, not sexuality. This greatly reduces or removes any associated privacy issues.

Is the gender of the author George Elliot male or female? George Elliot the *persona* was male – it's the sole reason why the (female) *person* Mary Evans created her pseudonym, as she thought it more likely her books would be published if she were perceived as male. (Consider Robert Galbraith and JK Rowling as a more contemporary example.)

Note that corporate contributors cannot carry the <Gender> element.

8. Structured star ratings included with reviews

Reviews often carry star ratings (*eg* 4.5 out of five stars). ONIX 3.0.3 adds three new data elements inside a <ReviewRating> composite to carry this information in a structured manner. Ratings can be included in both P.14 <TextContent> and P.15 <CitedContent>, where review snippets, endorsements and links to reviews occur:

```
<ReviewRating>                          <!-- 4.5 stars out of five -->
    <Rating>4.5</Rating>
    <RatingLimit>5</RatingLimit>
    <RatingUnits language="eng">stars</RatingUnits>
    <RatingUnits language="fre">étoiles</RatingUnits>
</ReviewRating>
```

9. Restructured <UnpricedItemType>

In earlier versions of ONIX, free of charge (FOC) items are handled as one of several <UnpricedItemType> codes. 'Free of charge' is not 'unpriced' – it is a very specific price – but it is handled as a special type of unpriced item.

> It is a common error to use a <PriceAmount> of zero. Up to date versions of the ONIX 3.0 will not validate messages that use <PriceAmount>0.00</PriceAmount> (or similar). It has always been implicit that <UnpricedItemType> should be used, but more recently this has been made explicit and validation of the XML now flags this as an error. The issue arises because IT systems may confuse a nil or blank (*ie* the price has not been set yet) with zero (free of charge). This could lead to serious issues with customers who place orders for goods they expect to be free. Thus ONIX treats 'price not yet set (a database nil) and 'free of charge' (a database zero) as special cases, and requires the use of <UnpricedItemType>.
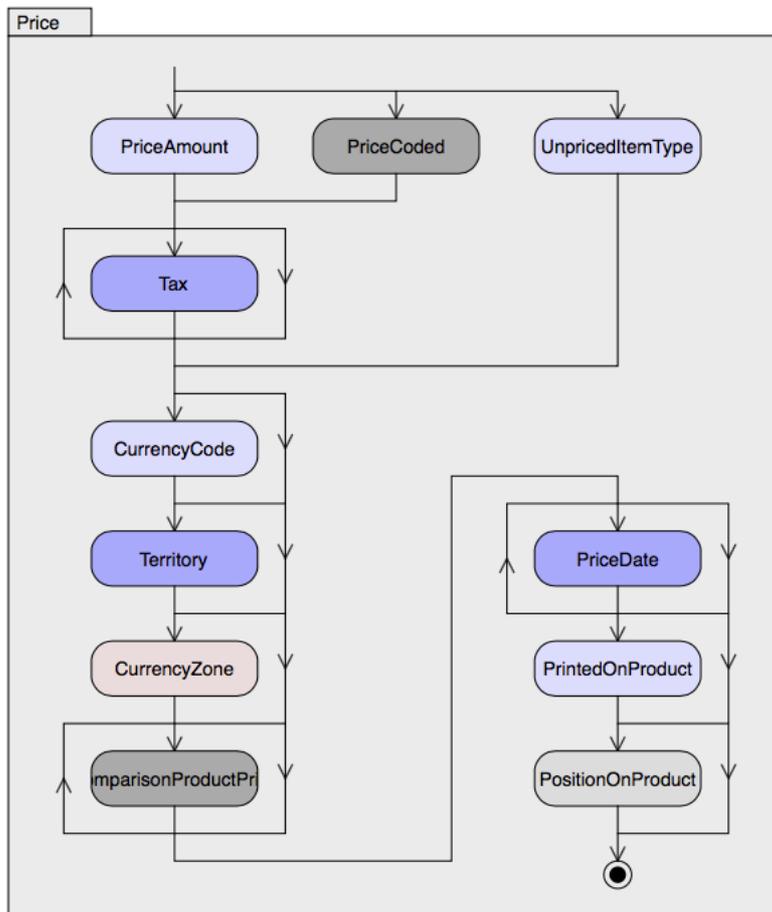
But prior to release 3.0.3, <UnpricedItemType> was an alternative to 'all the prices that a supplier offered'. A supplier could not easily specify an item was FOC in one set of circumstances and priced normally in another (*eg* free of charge to schools but priced for normal consumers, FOC in one country but priced in another, or priced until a particular date but FOC thereafter). ONIX 3.0.3 adds a second option to allow the <UnpricedItemType> tag *within* <Price>, as diagrammed above, as an alternative to <PriceAmount>.

The new structure shown in the diagram allows FOC (or other unpriced options including 'price not yet set' *etc*) to be associated with a price type and qualifier, dates, territories *etc*, so that a single supplier can specify a product is FOC in one set of circumstances and priced normally in another.

Note that the existing location of <UnpricedItemType> remains a valid option, and should be used when the product is completely unpriced – *ie* when no price has been set at all, or where the product is FOC in all circumstances.

## 10. Enhanced <NameAsSubject>

One of the main use cases for <NameAsSubject> is for biographies, where the subject of the biography may not always be named in the title of the book. Listing the subject's name is vital for discoverability. The subject's name is semantically 'richer' if listed specifically in <NameAsSubject>, rather than as an unstructured keyword or within broader marketing text such as the short description.

But sometimes, the professional affiliation is an important part of why the subject of a biography is interesting – Akio Morita, as founder and chairman of Sony, Jack Welch, as CEO of General Electric – and listing their affiliation improves discoverability further.

The structure of <NameAsSubject> is a subset of the way contributor names are described, but in ONIX 3.0.3, that subset is bolstered by the addition of <AlternativeName>, <ProfessionalAffiliation> and <SubjectDate> (equivalent to <ContributorDate>).

In earlier versions of ONIX, an alternative name – for example a pseudonym of the subject of a biography – could be listed using a second repeat of <NameAsSubject>, but this would imply a joint biography of two people. Allowing the <AlternativeName> composite within <NameAsSubject> allows a single subject to carry both real name and pseudonym, and is semantically more correct.

11. Restructure of <UnnamedPersons> within <Contributor>
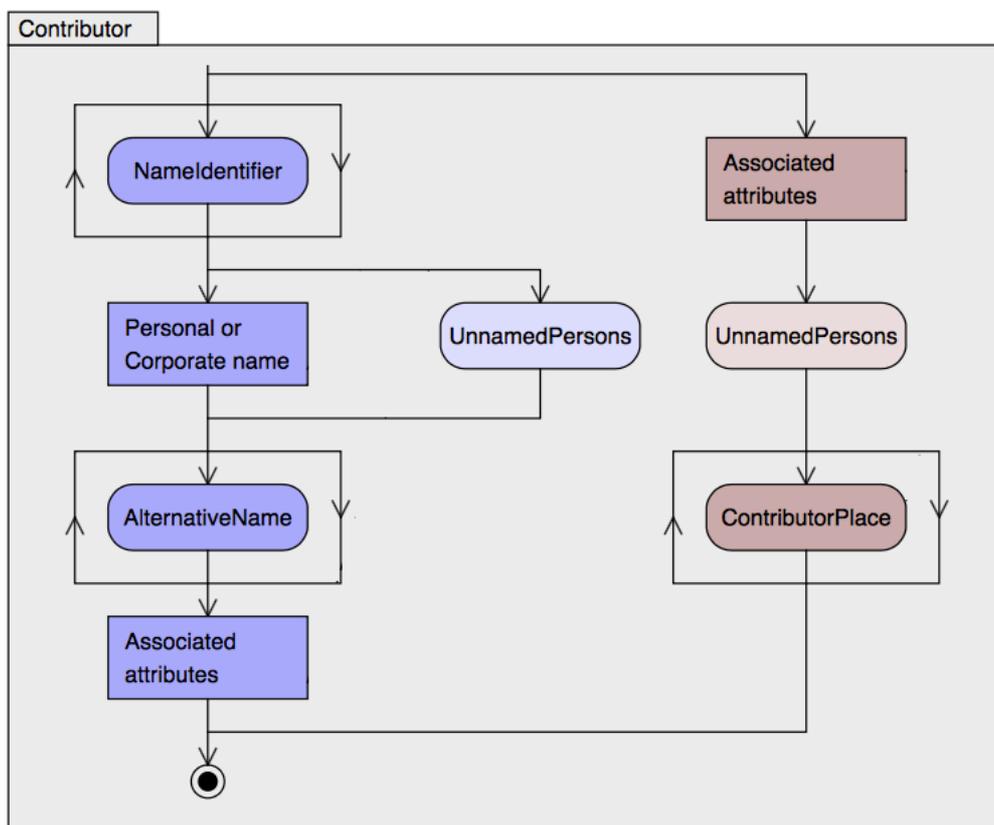
In prior versions of ONIX, the structure of the <Contributor> composite was such that an anonymous contributor using the <UnnamedPersons> element could be associated with a name identifier – which meant that books known to be written by different 'Anonymous' authors could not easily be treated separately (each 'Anonymous' could not be disambiguated). Neither could anonymous authors be associated with an alternative name, which is be desirable when their anonymity is lost. For example, the book *Primary Colors* by Anonymous is now well-known to have been written by Joe Klein, and the inclusion of Joe Klein as an alternative name would improve discoverability.

As a result, the position of <UnnamedPersons> within the <Contributor> composite has been modified, to allow anonymous authors to be associated with an identifier and alternative names. This also improves consistency of handing associated attributes such as contributor dates, biographies and so on are handled. The old position remains valid, but is deprecated.

12. Addition of <ProductIdentifier> within <Tax>

This addition in ONIX 3.0.3 is necessary to meet tax requirements in Germany (and possibly other countries). It allows different amounts of tax to be associated with different <ProductPart> descriptions of the components of a multi-item product.

> To be clear, ONIX has had the ability to deal with multi-item products where each component is taxed differently since at least version 1.1 (2000). This addition to ONIX 3.0.3 is solely concerned with explicit (rather than simply implicit) links between particular tax amounts and particular components. In general use, this is not required.

13. Specification of minimum order quantities

ONIX has included a <MinimumOrderQuantity> (P.26.51) since version 2.0 (2001), but this is intended for use with multi-item trade packs that do not have their own product identifier (*eg* a book that is available to the trade only in quantities of 25). The price for a 'pack' such as this is the price for the pack, not the unit price of each book. ONIX also allows for a <PackQuantity>, to reflect the packaging of physical books delivered from the printer and binder. This is intended only for convenience, as it has no effect on minimum order quantities or pricing.

ONIX 3.0.3 adds two new (and optional) data elements to enable a supplier to specify true minimum order quantites – <OrderQuantityMinimum> and <OrderQuantityMultiple>. For example, if the product unit value is very low, the supplier may only accept orders for at least a certain number of copies. A minimum order quantity of (for example) 8 means that orders for 1 or 5 copies will *not* be accepted by the supplier, though an order for 8 or 9 or 15 *would* be accepted.

The provision of a separate <OrderQuantityMultiple> specifies that orders larger than the minimum must exceed the minimum by a multiple of the specified number of copies.

Order minimum	Order multiple	Acceptable order sizes
6	not specified	6, 7, 8…
6	3	6, 9, 12…
6	4	6, 10, 14…
6	6	6, 12, 18…

Note that there is no requirement for the minimum or multiple to be linked to the pack quantity or the minimum order quantity (though for reasons of convenience it often will be). And the minimum order sizes apply to a single order line (*ie* a number of copies of a single product), not a minimum order size for the complete order consisting of multiple order lines for different products.

14. Other minor changes

- Addition of <ProductPackaging> within <ProductPart>.
- Addtion of a <ReturnsNote> textual element to carry special instructions related to returns, in addition to a returns conditions code.
- Changes to cardinality of <LocationIdentifier> and <LocationName> within <Stock>.
- Added *language* attribute on <ResourceLink>.
- Increases in ecommended maximum length of <SubjectHeadingText> (which is important for keywords) and elements within <Territory>.
- The XML schemas (XSD and RNG) implement the stricter validation of numeric data elements, checking for integer and real numbers, elements that allow only positive numbers, only positive or zero, only 0–100 for percentages *etc*. (This was trialled in a 'strict' version of the schemas throughout 2015 without reported issued, and was implemented in the 3.0.2 schema in January 2016).

15. New documentation and future work

The updated *Specification* for ONIX 3.0 revision 3 is now available from the EDItEUR website, together with an updated *ONIX 3.0 Implementation and Best Practice Guide,* the necessary XML schemas and Issue 33 of the ONIX Codelists.[2]

The ONIX International Steering Committee has agreed a future Technical Working Group should consider further additions to the standard related to manufacturing instructions – particularly for 'print on demand' products – and digital asset distribution.

Graham Bell
EDItEUR
25th April 2016

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[2] http://www.editeur.org/93/Release-3.0-Downloads/