ICEDIS Meeting at Frankfurt Book Fair
Hotel Bristol, Frankfurt am Main
Monday 17th October 2016

Minutes

1. Welcome and introductions

Our new co-chair Henning Schönenberger of Springer Nature opened the meeting and welcomed participants, who then briefly introduced themselves. Henning noted that he had been elected "in absentia" at the Bournemouth meeting in April, but fortunately he agreed to take on the role! A list of participants appears at the end of these minutes.

2. Minutes & actions from the previous meeting (Bournemouth, April 2016)

Tim briefly reviewed the minutes of the previous ICEDIS meeting at UKSG Bournemouth, in April 2016. Two points required correction:

- In the list of participants, the LM representative at the Bournemouth meeting should have been noted as Toni Christiansen, rather than Tom Christiansen.
- In the same list, Heather Staines' affiliation should have been noted simply as ProQuest.

The minutes were otherwise approved as accurate.

Several other points were noted:

- Under point 3.4, concerning members' views on extending ONIX-PC further, Tim reported that there seems to be some support for (a) enhancing support for EU tax handling within the format and (b) considering possible extensions and/or a specific ONIX-PC profile to support the deposit of OA metadata in DOAJ. By contrast, there seems to be no immediate support at the moment for an ONIX-PC Acknowledgement message.
- Under point 4, concerning better outreach to the library community, Heather volunteered assistance and ideas.
- On the question of "who has implemented what?" almost all current activity centres on additional implementation of ONIX-PC and encouraging the use of ONIX-PC metadata downstream from publishers. There are also some requests to persuade additional, usually smaller agents to start using the legacy ICEDIS standards, despite the known age and limitations of those formats.
- An extended discussion about the systematic review of the ISSN standard is reported separately next.

3. Update on the revision of the ISSN standard

Todd and Clément jointly updated the meeting on the forthcoming systematic review of the ISSN standard. Revision of the standard was recommended and approved by voting members. Ten persons had been nominated by the time of the ICEDIS meeting, almost all

from a library/ISSN national agency background, and work is planned to commence in early 2017. Four key areas were identified as being the main topics under review:
- The scope of ISSN assignment – what constitutes a "title" from an ISSN perspective, e.g. the title itself, a combination of title and format, etc?
- The granularity of ISSN – at what level(s) should it be assigned?
- Ensuring there is no undue overlap with other, mainly ISO identifiers
- Possible changes to the business model of the ISSN International Centre

The process of nomination to the review group was explained at some length. The general principle is that the domicile of the reviewer or her/his organization determines who may be nominated and by whom. For example, national standards organizations like BSI or DIN are the first ports of call for potential reviewers from the UK or Germany, respectively. Henning and Tim both queried how appropriate this is for, e.g. large multinational publishers; but these are ISO's established rules.

Clément welcomed the idea of assembling a review group that had good representation of other stakeholders, such as publishers; Henning said he felt that ISSN or ISO could be more proactive in canvassing opinions and input from publishers.

4. Communicating serials product information using ONIX-PC
After a short, context-setting section for those new to ICEDIS meetings, Tim focused particularly on recent work connected to the ONIX-PC serials catalog message. This format supports the communication of rich product metadata and simple through to complex pricing models for journals and other subscribe-able products. In note form, the main features of Tim's presentation included the following.

4.1. Open Access extensions to ONIX-PC
- Recent ICEDIS activity – support for OA offerings alongside paid-for subscriptions
- Established an ICEDIS OA working group
- Discussed and defined requirements
- Translated these into ONIX-PC modifications
- Participating in wider dialog with other initiatives supporting OA workflows

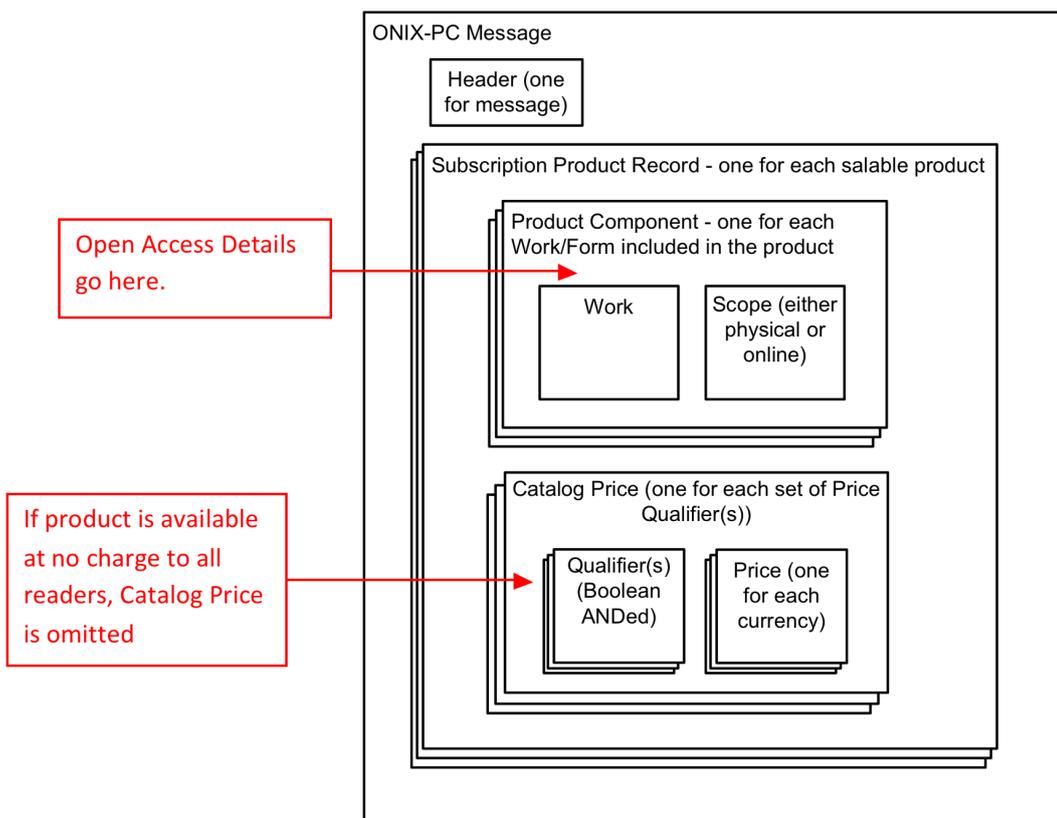### 4.2. OA features or business cases considered
- Better communicate details of an Open Access subscription product component (abbreviated below to "component").
- Signal a change in the OA status of a component, and the point at which the status change takes place.
- Communicate range of content to which OA status applies.
- Indicate which OA model (Gold, Green, etc.) is in use.
- Describe whether the component is fully or hybrid OA.
- Define any embargo period(s) that may govern the OA status of articles in this component.
- Communicate details of the repository (or repositories) where OA articles for this component are deposited.

- State which default license types are offered by the publisher for OA articles published in this component and where license details may be found.
- Convey details of any article processing charges that may be applicable, including associated prices.
- Report on the proportion of OA articles published in a hybrid component during some defined reference period.
- List any directories or other authority sources in which a component is cited as being OA.
- Suppress the catalog price section of ONIX-PC for fully-OA products.
- Communicate whether and under what circumstances a for-pay product is available for no charge to certain "subscribers".

And using existing ONIX-PC functionality:

- Communicate subscription prices for products that include one or more hybrid OA components.
- Communicate situations in which "Free" (as opposed to OA) products or components provide free access to certain categories of subscribers.

4.3. What's changed to support OA models

- Introduce a new "composite" (group of information elements) <OpenAccessDetails>
- Add some new controlled vocabulary terms to regulate the OA statements
- Make Prices optional, rather than mandatory, to cover un-priced OA products

4.4. Supporting materials available
- Version 1.2, including these new features, published September 2015, http://www.editeur.org/126/ONIX-PC/
  – PDF/HTML documentation
  – XML schema
  – Updated code lists
  – Illustrative sample files

4.5. Who's involved
- Already implemented/using ONIX-PC:
  – Springer-Nature, Wiley, Taylor & Francis, LM Info, Cambridge University Press, Elsevier (re-implementation)
- Interest expressed, reviewing test files:
  – GOKB, KBPlus, ProQuest, OCLC, ISSN Int. Centre, EBSCO
- Piloting or moving to the upgraded v1.2 right now:
  – Wiley, Springer, Harrassowitz, LM Info, CUP, Elsevier
- Active software vendor support from:
  – Ingenta/Vista
  – Developments by other vendors, such as Advantage or Klopotek, would be very useful in bringing other client publishers on board.

4.6. Next steps planned
- Formalise the v1.2 release (already done for code lists)
- Continue to encourage further implementations
- Offer training where required
- Progress extensions in various areas, subject to support from the membership:
  – Better support for EU tax requirements
  – Additional elements to help populate DOAJ etc
  – An ONIX-PC 'Acknowledgement' message (NOT seen as a current priority)
- Continue to share the standard and the ideas/approaches therein with others working to improve OA workflows
  – Particular example: Jisc work on journal-level policy expressions

In conclusion, Graham reminded the meeting that ONIX-PC, like all of the standards maintained by EDItEUR, is free to use. Also, he pointed out that some developments to support OA models have already been incorporated in ONIX for Books and others may be included in transactional standards, should the need arise.

5. "Fast Five: Prepare Yourself for the Upcoming COUNTER Release!"
Heather Staines (ProQuest and Board Member of Project COUNTER) gave an entertaining and informative preview of the upcoming release 5 of the COUNTER standard. These were the key points:
- Heather introduced herself; she works with the Global Content Alliance group for ProQuest, after the acquisition of SIPX; she joined the board of COUNTER in December 2015.

- 2002 Original COUNTER, then SUSHI, SUSHI Lite (not published yet?), and USUS – community website in 2015, Rel. 5.
- www.usus.org.uk – good info regarding COUNTER – links, news & opinions, usage report issues, hints & tips.
- Rel. 5 is designed to get more publishers on board; addressed issues with XML and HTML reports in Rel. 4; greater SUSHI compliance; simplification of reporting.
- Goals are consistency (XML and Excel SUSHI reports), clarity (implementation of COUNTER reports and SUSHI), simplification (filters instead of separate reports), continuous maintenance (introducing updates between releases).
- Almost complete draft of COUNTER 5; community comment EOY into spring 2017; analysis of comments, updates, and release in June 2017 with 18 months to comply.

Heather's presentation launched various useful discussions on whether or not Release 5 would be the final word for some years (probably not, interim modifications such as a Rel. 5.1 might be needed to cope with evolving demands), how compliancy procedures may change from Rel. 5 (too early to say), and how widespread is the use of COUNTER for scholarly ebooks (generally supported by the major STM publishers although possibly more challenging for smaller players).

We also touched on possible crossover ventures – e.g. a need for Project TRANSFER-like procedures to cope with ebooks that are changing either publisher or platform. Graham noted that EDItEUR already (selectively) promotes initiatives like TRANSFER and COUNTER.

6. **Broadening the scope of ICEDIS**

Henning led a wide-ranging discussion about the future role and scope of ICEDIS. He began with two questions:

- Is there any support or justification for re-examining and perhaps improving the older transactional standards or developing new ones?
- Should ICEDIS evolve into a wider group that considers serials metadata issues more generally, rather than being limited to the development of specific EDItEUR metadata standards.

On the first question (about *Transactions*), Tim pointed out that so much had changed in the industry since the original ICEDIS standards were created. He felt that, to paraphrase, perhaps we had spent a lot of effort in re-engineering solutions to yesterday's problems whilst not addressing topics like consortial deals, negotiated-price packages and a predominantly online rather than print serials environment. Graham remarked that these changes had perhaps eroded the value of process automation for transactions, with the underlying rules now more complex and difficult to articulate.

Todd related a remark that apparently only 10% of Elsevier's customers pay "list price" for their purchases and that there is no easy algorithm to calculate prices negotiated by publishers' sales teams. Annette said that in principle, we could use ONIX-PC type structures also to support bespoke, negotiated deals, but only when all the main players are thoroughly

conversant with these structures and remaining minor points have been ironed out: we need first to do the basics, fluently.

Annette mentioned that there are still transactional requirements that are un-met: for example, the discontinuation of X12 despatch date information from publishers causes difficulties for agents who still have to manage print holdings for a minority of their customers.

On the second question (ICEDIS's possible role as a wider *Discussion Forum*), Graham mentioned that he thought this was already happening to an extent. Anthony suggested closer liaison and cooperation with, for example, STM on standards/metadata questions. Clément said that he and the ISSN-IC already welcome the wider discussions and audiences provided by ICEDIS, particularly since it offers a bridge to players outside the library community.

There was general agreement with Greta's opinion that smaller players in the industry probably find conformance with standards, etc., more difficult than do the majors. Anthony suggested reaching out to university presses alongside other parties; he also regretted the fact that ALPSP are generally not represented at ICEDIS meetings. He recounted a conversation about a recent compliance document from the Wellcome Foundation: although its conditions seem very reasonable, it could be pretty burdensome for a smaller player, for example, to set up procedures for APC handling, to name but one.

We then turned to possible follow-up steps, to improve our knowledge of EDItEUR members' priorities and to seek sensible ways forward. Suggestions included:

- Running another extended, "who supports what" survey of the membership (and beyond)
- Creating a simpler survey framework (suggested by Henning): 1, is there support for a revisit of the transactional standards and 2, what are the five main "pain points" for the responder's organization.
- Putting together a white paper or similar (suggested by Tim), laying out the various observations made today and suggesting a "straw man" vision with which members could agree or disagree.

We need a wider and more representative audience with which to debate these points and will endeavor to create that, starting with the forthcoming Charleston and Harrogate meetings.

7. Related standards initiatives
Todd Carpenter from NISO gave a valuable update on various NISO and ISO initiatives currently active or under discussion.

NISO initiatives
   a. Newest publication – Recommended Practice from Altmetrics, funded by Sloan Foundation – assessing impact; definitions and metrics; alternative output types; code of conduct for data providers (Sept. 2016)
   b. Four new projects underway –

        i.   Tracking link origins – publishers whose content goes into discovery systems through a link resolver; mapping referring sources; source id – CID – in the OpenURL and can pass through; see JSTOR's syntax

      ii.   EBook metadata – describing metadata needs – publishing, libraries, preservation services, etc. (ONIX, MARC) – formation stages

    iii.   Library APIs – RESTful – exchange of data from libraries between users and content providers – academic and public (Library simplify project; Overdrive transactions – inconsistent interfaces – Queens (NY) Library – want to keep user in the library interface, not send user out to another system

    iv.   Automated exchange for KBART information – also may be based on SUSHI Lite structure (not published yet – JSON and RESTful; not SOAP); send info about a library's own subscriptions to discovery

c. Two initiatives "on the horizon –

        i.   Draft proposal for provisioning text and data mining

      ii.   A White Paper on OA Discovery

d. A possible collaboration, not yet formally with NISO – Authentication – working group in STM community trying to move away from IP authentication; set of principles; outreach phase; looking for partners for pilots (based on SAML (Security Assertion Markup Language) like Shibboleth); secure tokens; social identity systems); early in technology conversations; some conversations in December); perhaps a joint project with NISO for library and publisher contribution; purpose is to improve the user experience

TC46 – ISO Technical Committee

a. ISSN Revision – as reported earlier in these minutes

b. ISBN Revision – done; awaiting negotiation of registration authority agreement between ISBN International and ISO. Expected soon.

c. ISTC Revision – about to be launched; concerns about status of standard, its application, and the current registration authority

d. ISNI back on track with a formal office and a new director (Tim Devenport); ISNI for institutions – Ringgold, one of ISNI's registration agencies, will be releasing ISNI metadata freely using an open API later this fall

e. ISO-690 – out for ballot – standard on bibliographic references

f. Item identifier project - first draft has been circulated and its out with the community

g. Proposal for new standard for rights metadata

8. Persistent public identifiers for parties and organizations

In the short time available, Tim drew attention to the crucial role played by persistent public identifiers. These are a key component for unambiguous identification of entities (such as creative works or the various parties that are involved with them in some way) and work

alongside structured metadata sets in enabling communication and e-commerce. They can also act as "bridge" or "linking" identifiers, making it possible to correlate between different identifier schemes, some of which are public and others are proprietary.

Creative serials works are typically identified by ISSNs (for journals/serials), Crossref DOIs (for journal articles) and DataCite DOIs (for associated data sets). The ISBN is also important, e.g. for ebooks included in subscribe-able packages. Just as important is the robust identification of the parties associated with these works, which can be individuals, organizations or "personas" of either such as pseudonyms, brand or imprint names, etc. This is a crowded space, including public identifiers such as ISNI, ORCID, SAN, GLN and VIAF, alongside well-known proprietary schemes such as Ringgold ID, GRID ID and Researcher ID.

In summary, DOI, ISSN, ORCID and ISNI are probably of most immediate importance in our own area and several developments are currently underway:
- ORCID is starting to roll out assignments to books authors and contributors
- Ringgold is mapping its proprietary identifiers to ISNIs and making available free downloads of ISNI-based organizational identifiers
- British Library/PLS/ISSN-IC are working on various initiatives to assign ISNIs to publishers and imprints
- A meeting called PIDapalooza is scheduled to take place in Iceland in November.

9. Other news from EDItEUR: ONIX Books, Thema, EDItX and more

Graham presented a brief update on EDItEUR's work beyond the serials sector. Established in 1991 to provide governance for various EDI standards in Europe (hence the name!), the organization has just reached its 25th birthday.

We have recently delivered a significant upgrade – to version 3.0.3 – of the ONIX Books standard. This contained about a dozen new features and has been well received with almost all of the new features in use somewhere. Alongside this, the Thema international books subject classification scheme continues to flourish. Although it is only three years old, Thema is now available in 16 languages and in some countries – notably Germany and in Scandinavia – it has taken over from older nation-based schemes for Books in Print etc.

EDItEUR has for many years worked with dedicated international steering committees to provide governance, direction and priority-setting for ONIX Books, Thema and (via ICEDIS) its serials standards. It is now setting up a similar steering committee for the EDItX transactional standards, mainly used in the books supply chain.

EDItEUR provides management services for the International ISBN Agency as well as administrative support in recent years for ISNI. The ISNI arrangement has been broadened during 2016 to include part-time executive management to the ISNI International Agency in the form of Tim Devenport. This arrangement appears to be developing successfully. We are also in consultation with another identifier-related body, with the aim of offering administrative services and leveraging our experience and extensive network of contacts in this area.

Finally, we retain our involvement with the Linked Content Coalition. LCC was set up three years ago to manage and develop a set of technical standards for rights information and to develop a set of principles/good practice around the use of metadata and identifiers. The LCC principles already provide a useful framework in this area and, after a two-year hiatus, LCC itself looks set to recommence activities soon.

10. Dates of the next meetings

The next two scheduled meetings of the ICEDIS Committee will be on 2nd November 2016 in conjunction with the Charleston Conference and 12th April 2017 at UKSG in Harrogate.

List of participants:

Graham Bell	EDItEUR
Greta Boonen	Wiley
Todd Carpenter	NISO
Tim Devenport	EDItEUR
Christine Eckel	German National Library/ISSN Centre
Dan Heffernan	Advantage CS
Annette Hooss	Harrassowitz
Clement Oury	ISSN International Centre
Henning Schönenberger	Springer Nature
Christian Schütz	German National Library/ISSN Centre
Heather Staines	ProQuest SIPX
Anthony Watkinson	CIBER Research