

AuROA service catalog for scientific open access publications

Transparent listing of tasks for book publications

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This service catalog provides a compilation of possible individual tasks and services in the scientific open access publishing process. The catalog is intended for use by all individuals and institutions involved in the publication process in their sometimes overlapping roles: authors and editors, publication service providers (publishers, repositories, etc.), sponsors (foundations, etc.), libraries, and other involved parties. They can decide for themselves which of the listed publication fields, services and technicalities are relevant to their work.

On the one hand, the aim is to create a basis for contracts or contract negotiations between the different involved parties in a transparent manner and on an equal footing, and to facilitate comparability. On the other hand, the catalog is intended to promote and facilitate cooperative forms of publication between the parties involved, especially in the digital domain.

The catalog is based on the results of the [AuROA project](#) (Autor:innen und Rechtssicherheit für Open Access - *authors and legal certainty for open access*), which examined the heterogeneous and complex needs, perspectives, and requirements entailed in open-access publishing for disciplines that regularly publish in book form. In order to achieve legally secure publication conditions, the [AuROA contract generator](#) was developed. This tool generates individual sample contracts for open access publications that are based, among other things, on elements from this service catalog. The University Library of the University of Duisburg-Essen headed the project in a two-year collaborative effort with the Department of Communication and Business at the IST Hochschule für Management in Düsseldorf and the Department of Book and Reading Studies at Johannes Gutenberg University in Mainz.

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Imprint

AuROA service catalog for scientific open access publications. Transparent listing of tasks for book publications

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Guide to the service catalog

In the scientific publication process, the roles and tasks of publishers, scientific libraries, and authors or editors are often intermingled. Realization of a publication project, or more precisely a book project, in collaboration with a publisher or other publication service provider is a complex, multistep and time-consuming process that is dependent on tried and tested workflows. There are various ways to publish a project, including (established) small and medium-sized specialist publishers, but also university presses, open access publishers and scholar-led initiatives, repositories, and various other service providers. These publication methods differ greatly in terms of their service portfolios. It is often difficult to obtain a precise overview of the services being offered, so as to be able to make a sound assessment of competing offers. The options on offer from publication service providers can in some cases vary considerably, particularly with regard to open access. A unifying compilation of possible services is needed to make the tasks and processes related to a publication transparent, especially for scientists. The services and thus also the prices of different providers thereby become more comparable. At the same time, the service catalog provides publication service providers with an overview of the possible services offered by other providers, so that they can, at best, expand their own services to become more competitive and better meet the needs of authors and/or editors.

The AuROA project (Autor:innen und Rechtssicherheit für Open Access - *authors and legal certainty for open access*) was therefore initiated to develop this task-centered catalog of services relating to the needs and options involved in open-access publication.¹ The compilation is intended to make the process of publishing simpler and more transparent, not least by making it easier to clearly define agreements and services in the modular model contracts². The service catalog is intended for the use of all individuals and institutions involved in the publication process.

We establish a framework in the sense of a clear commitment to open access, but do not dictate anything in terms of content - all interested parties can basically see, read, and get to know everything to do with the creation of a publication. We are committed to the principle of participation and cooperation on an equal footing between the involved parties. To a certain extent, this also entails promoting knowledge of various processes and details surrounding scientific publishing, a form of publishing literacy that has so far tended to be confined to the publishing industry. In a task-oriented and transparent view of publishing, these specialized skills are brought into the spotlight. At the same time, the roles of the various involved parties are merging and expanding, so that previous classifications such as "publishing tasks," "library tasks," and "author tasks" are no longer helpful. Promoting publishing literacy for all those involved means that we do not withhold aspects from any party or decide that they do not need this or that detail. Those involved have very different levels of interest and knowledge regarding the individual aspects of publishing and can decide for themselves where they want to take a closer look and which areas they prefer to disregard.

¹The service catalog is the end result of many individual steps in the project, including workshops, questionnaires, and numerous rounds of discussions with different constellations of involved parties in humanities and social science publishing and the open access community. For feedback on earlier versions, we would like to thank Carsten Borchert, Jennifer Eichler, Björn Gebert, Sonja Hendriks, Joachim Höper, Andreas Kirchner, Miriam Morek, Gisela Ogasa, Ulrike Pospiech, Björn Rothstein, Melanie Völker and Karin Werner. The service catalog has benefited enormously from their suggestions and criticisms.

²Modular model contracts for cooperative open access book publishing were developed as part of [Project AuROA](#).

How can this document be used?

The service catalog is designed to be of assistance to the different involved parties and can be read from different perspectives. The catalog can be used to agree very explicitly on services, e.g. as the basis for a contract and/or as a reference in negotiations as equals between all parties in the publication process.

Authors are supported and informed about which tasks and steps are part of the publication process and which services they can expect to receive from the respective publication service provider. The service catalog can be used to inquire about specific services or to compare different publication service providers, thereby generating a catalog of *requests*.

Publication service providers, for instance small and medium-sized publishers, can present the entire range and diversity of the services they offer in a transparent manner, at the same time demonstrating their advantages. Very specific communications with authors and editors about desires and services are facilitated, thereby creating a catalog of *choices*.

Libraries, foundations, and other sponsors can specify or inquire about their funding conditions in detail, creating a catalog of *requirements*.

The document covers core aspects of the publication process in main chapters. These include familiar areas such as production and distribution and various aspects of quality assurance, but also the field of digital enhancement of publications, which is specific to open access publishing. In addition, licensing is firmly based on the guiding principle of the Berlin Declaration³ (2003) and various opportunities for cooperative publishing are presented. The individual chapters "A. Production", "B. Digital Enhancement", "C. Quality Assurance", "D. Additional Services", "E. Distribution", "F. Cooperative Publishing", and "G. Licensing" are divided into individual tasks and services in as much detail as possible to achieve maximum transparency for all parties involved. This level of detail, especially in the technical field, is probably not equally important to all involved parties. The document is designed to compile the maximum range of publication services currently available, but its sheer length is not intended to be daunting. We intentionally refrained from creating differing, condensed or prioritized versions, as we did not want to preempt the different parties. We neither can nor want to decide for them what they should be interested in, into which aspects of the publication process they should gain more insight or where they should exercise their right of co-determination. On the other hand, we would like to address the largest possible number of publication service providers, with or without an already well-developed open access service portfolio. The maximum range of services compiled here is not intended to suggest that all the options listed must be met by every publication service provider. We have highlighted the central areas for authors and editors in **gray below** and in **bold in the table of contents**; for the aforementioned reasons, we have not differentiated any further. In the following individual chapters, possible services are listed in main and sub-categories and elaborated where appropriate.

³ <https://openaccess.mpg.de/Berliner-Erklaerung> (17 Nov 2022).

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A. Production

The production process is comprised of many different subsections. It ranges from the conception of format specifications and templates, the preparation and submission of the manuscript (and associated research data, if applicable), to the technical and editorial processes. It includes details relating to internal processing and the interaction with authors and editors, formatting and image formats, workflow, and layout. Production also includes the implementation of accessibility measures and the creation of various (machine-readable) publication formats. For each relevant aspect of production, tasks, services, and options are to be transparently presented and elaborated as necessary.

A.1 Submission formats	What manuscript submission formats will the publication service provider accept? Is it possible to embed reference management software in the submitted manuscript?	
	<input type="checkbox"/> .docx	<input type="checkbox"/> Printable PDF
	<input type="checkbox"/> .dotx	<input type="checkbox"/> LaTeX
	<input type="checkbox"/> .odt	<input type="checkbox"/> TUSTEP
	<input type="checkbox"/> established reference management software	<input type="checkbox"/> _____

A.2 Submission process	What options for submission/technical transmission of the manuscript and possible revisions does the publication service provider offer?	
	<input type="checkbox"/> Email	<input type="checkbox"/> Cloud services
	<input type="checkbox"/> Submission system	<input type="checkbox"/> FTP (File Transport Protocol)
	<input type="checkbox"/> Repository Upload	<input type="checkbox"/> _____

A.3 Template

Does the publication service provider provide a template to format the manuscript or convert the manuscript into the desired format? If yes, what options are there?

- .doct Markdown
- .docx XML schema
- LaTeX
- Embedding reference management software
- Online editor for converting to the required format
- _____

A.4 Format settings

Which publication service provider formatting specifications must authors or editors comply with when submitting their manuscripts?

- literature-related specifications
- publication service provider formatting recommendation/style sheet
- word processing software template (Word, Open Office, etc.)
- conform with established styles (e.g., Harvard, APA, MLA, German citation).
- consistent formatting in author's/editor's style
- no specifications
- _____

A.5 Resolution

What graphic quality does the publication service provider provide? Two forms are widely used - pixel density resolution for printing (dots per inch, DPI) and for digital display (pixels per inch, PPI) or scalable vector formats:

- DPI/PPI (300 | 600 | 1200)
- vector graphics

A.6 Image files

What are the publication service provider specifications for possible image files in the manuscript? In which formats must or may image files be submitted? How should image files be submitted?

<input type="checkbox"/> PDF	<input type="checkbox"/> minimum resolution 300 DPI
<input type="checkbox"/> PNG	<input type="checkbox"/> separate submission
<input type="checkbox"/> EPS	<input type="checkbox"/> integrated in the manuscript
<input type="checkbox"/> SVG	<input type="checkbox"/> no specifications
<input type="checkbox"/> Drawing ML	
<input type="checkbox"/> EMF	
<input type="checkbox"/> JPEG	
<input type="checkbox"/> TIFF	

A.7 Fonts

Which manuscript font systems does the publication service provider accept?

<input type="checkbox"/> Unicode UTF-8 (complete)	<input type="checkbox"/> IPA (International Phonetic Alphabet)
<input type="checkbox"/> Cyrillic	<input type="checkbox"/> Greek
<input type="checkbox"/> Arabic	<input type="checkbox"/> Hebrew
<input type="checkbox"/> East Asian fonts	<input type="checkbox"/> Egyptian hieroglyphs
<input type="checkbox"/> Sanskrit	<input type="checkbox"/> Hindi
<input type="checkbox"/> Latin with other single characters	<input type="checkbox"/> Latin only
<input type="checkbox"/> specific fonts, e.g. based on specialist tradition	

A.8 Layout

Which layout formats does the publication service provider offer?

<input type="checkbox"/> A4	<input type="checkbox"/> US-Letter
<input type="checkbox"/> A5	<input type="checkbox"/> individually customizable
<input type="checkbox"/> 17 x 24	

	Transparency of the process	✓	Explanation
A.12 Workflow management	<p>Does the publication service provider make transparent at which stage the publication process is? So is it clear to authors/editors at all times, e.g. through a dedicated contact person at the publication service provider, which tasks they will need to complete and what the next steps should be?</p>		<p>The workflow is not only important to the publication service provider's internal processes. During the publication process, authors and editors must be active in checking or altering texts, submitting additional information, or giving their approval. Various delays may occur during these interactions. If the publication service provider makes processes, tasks, and subsequent steps transparent with average time estimates, e.g. through the use of a content management system or through personal support, authors and editors will gain planning security for their work.</p>

	Transparency in data collection	✓	Explanation
A.13 Data tracking	<p>Publication users When the publication is used, e.g. by accessing and downloading, is it clear what data is collected from users and how it is processed? Is the option to object in the sense of the GDPR provided for?</p>		<p>Publication service providers may collect various general types of data from scientists or users during the workflow. In accordance with the GDPR⁴, they are obligated to transparently inform users in advance about the collection of data and how it will be used (for instance about the possible transfer to third parties) and to obtain their consent. Moreover, users must be informed about their rights regarding restrictions to the processing, rectification, erasure and revocation of their data, and also generally their right to object to such processing.⁵</p>
	<p>Author/Editor Is it clear to authors and editors during the publication process, e.g. when using content management systems, which personal data is collected and how it is processed? Is the option to object in the sense of the GDPR provided for?</p>		

⁴ To download the PDF in English, see

<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:L:2016:119:TOC> (4 May 2016).

⁵ See also the DFG criteria list of the characteristics of a scientifically acceptable form of publication (Deutsche Forschungsgemeinschaft | AG Publikationswesen: Wissenschaftliches Publizieren als Grundlage und Gestaltungsfeld der Wissenschaftsbewertung (*scientific publishing as the basis and formative environment for scientific assessment*)). (18 May 2022) <https://doi.org/10.5281/zenodo.6538163>, p. 58): "The publication process transparently discloses how data generated in the course of publication and its use are employed, obtains consent for its use, and allows the publishers to decline further collection of data and usage tracking through the publication format or by authorized third parties without restriction of access or other disadvantages."

A.14 Digitally assisted workflow

A digital or digitally supported workflow incorporates different sequences in the publication process. In a *broad* sense, this includes all processes that are executed with the help of software programs: text and image editing programs, layout, typesetting, publication on the website, etc.

In a *narrower* sense, it is about switching to integrated digital workflow management systems for the entire publication sequence, i.e. for content-oriented/editorial, production-oriented and management-oriented processes. Depending on how the workflow system is structured, it is possible to make the publication fully machine-readable, to ensure compatibility with other programs, and to incorporate, for example, interfaces, databases, code, environments, and/or publication platforms.

In an analog workflow, no digital management systems are used, even though most publication processes involve at least a few specific software programs (e.g. for image processing or typesetting).

Does the publication service provider provide a digital workflow in the narrower sense?

- no, there is no digital workflow
- yes, there is a digital workflow using _____
- Media-neutral production

A.15 Barrier-free accessibility

There are legal requirements and standards to ensure barrier-free accessibility in publishing. The objective is to make it easy for people with and without disabilities to access publications. Implementing barrier-free accessibility makes it possible, for example, to make efficient use of auxiliary technologies for making use of publications. What forms of barrier-free accessibility does the publication service provider employ?⁶

- identification of documents with tags (structural information)
- bibliographic information about the publication is available as metadata in the document properties
- clear structure and reading sequence
- searchability of the entire text
- machine readability of the text
- quickinfos about interactive elements/form elements
- special labeling of tables
- clear structure of lists, for example, for the readability of assistive technologies
- graphics and hyperlinks are provided with alternative texts
- embellishing graphics are marked as artifacts and moved to the background
- technical inspection of barrier-free accessibility
- human visual inspection of barrier-free accessibility.
- automated checks of EPUB and web publication with subsequent test report
- presentation of the abstract in metadata
- implementation of the EU directive regarding the [European Accessibility Act](#) (EAA)
- implementation of the PDF/UA standard
- implementation of the [Web Content Accessibility Guidelines](#) (WCAG 2.0 | 2.1 | 2.2 | 3.0).

⁶ See the specifications given by the Börsenverein (*publisher's association*) at <https://www.boersenverein.de/beratung-service/barrierefreiheit/leitfaden-zur-erstellung-barrierefreier-pdf-dokumente/#c25647> (Nov. 16, 2022).

B. Digital enhancement

Publication processes are increasingly being digitalized. New technologies are providing an increasing range of diverse ways to enhance a publication, including multimedia or interactive elements, hypertext, the integration of different programs, and the simultaneous publication of research data. Not all publication service providers offer the same range of *digital enhancement* services. Digital services can often be implemented through a one-time or long-term collaboration with other institutions, or they can be custom developed as needed.

B.1 Research data publication	<p>Which options for research data publication - for instance in cooperation with other institutions, services, and repositories - does the publication service provider offer?</p> <ul style="list-style-type: none"> <input type="checkbox"/> institutional data repository <input type="checkbox"/> institutional repository <input type="checkbox"/> research data center <input type="checkbox"/> subject repository <input type="checkbox"/> publishing repository <input type="checkbox"/> link via DOI <input type="checkbox"/> link to repository <input type="checkbox"/> AV portal of the TIB (<i>technical information library</i>) <input type="checkbox"/> no possibility of research data publication.
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B.2 In-house developments	<p>If the publication service provider provides its own developments for the digital enhancement of processes, for instance in cooperation with existing projects or initiatives (NFDI4Culture, RADAR4Culture) - which additional digital services does this make possible?</p> <p><input type="checkbox"/> _____</p>
---------------------------	---

B.3 Digital forms of publication

Different disciplines have different needs for specialized digital services. If other digital publication forms are part of the publication service provider's portfolio - which services are they?

- software scripts (R, Python, raw data, etc.)
- text strings
- compiled databases, e.g. public domain image collections, literature
- data mapping on charts
- _____

B.4 DOI allocation

At what level is the Digital Object Identifier (DOI) assigned by the publication service provider?

- | | |
|---|--|
| <input type="checkbox"/> entire publication | <input type="checkbox"/> chapter |
| <input type="checkbox"/> article in the collective work | <input type="checkbox"/> graphics/tables/figures |

Where will the digital publication be hosted?

German (Austrian, Swiss) national library

Publication service provider/external

website/server/repository of the publication service provider

institution data processing center/server

external hosting with the technical service provider

Repositories

institutional repository

subject repository

general repositories (e.g. [Zenodo](#)).

GitHub

[OAPEN](#) (Open Access Publishing in European Networks)

Initiatives/Networks/Software

[NFDI](#) (Nationale Forschungsdateninfrastruktur - *national research data infrastructure*)

[EOSC](#) (European Open Science Cloud)

DSpace

B.6 Code development	Programming services	✓	Explanation/example
	LaTeX code snippets for formatting		e.g. for individual customization of tables and enumerations
	Creation of (XML) documents in standardized formats		e.g. creation of an XML- TEI document
	Conversion and display of (XML) documents in other formats		e.g. provision of various contents of TEI in web pages or PDF
	Embedding components in HTML, for instance using JavaScript		e.g. D3.js data visualization on websites
	<input type="checkbox"/> needs-based, event-driven software development.		
	<input type="checkbox"/> Templates through external service provider		
	<input type="checkbox"/> code integration, e.g. in Jupyter -Notebook		
	<input type="checkbox"/> integrated adaptive visualization		
	<input type="checkbox"/> _____		

B.7.1 Interactive elements	Service: interactive elements	✓	Explanation
	Emulation		Electronic publications are more problematic in terms of long-term availability, as digital playback systems quickly become obsolete. Computer (partial) replication of obsolete systems can ensure the availability and usability of electronic publications in different development versions.
	parallel scrolling for synoptic display		Comparison of multiple documents/records within a single screen
	configured views on edition texts		This allows an edited text to be viewed alongside the facsimile
	<iframe>-Tag		An iframe tag allows external content to be integrated in an HTML document
	multi-authoring tools		Programs to facilitate collaboration among multiple users in content creation (often combining multiple media elements).
	Annotation software		Allows the (in some cases publicly visible) commenting on and marking of the text by users (e.g. Hypothes.is)
	Data visualization		e.g. in an image cloud
	living handbook		as Wiki (searchable/linkable) or dynamic publication method (for anthologies/proceedings)
	direct linking		e.g. to relevant publications, audio/video files, existing platforms
IIIF -image-integration		The International Image Interoperability Framework (IIIF) features four Application Programming Interfaces (APIs) and represents a standardized method for describing and transmitting images on the network as well as their structured metadata.	

B.7.2 Interactive elements	Further interactive elements:	
	<input type="checkbox"/> collaborative codebook	<input type="checkbox"/> slider operation
	<input type="checkbox"/> category selection	<input type="checkbox"/> integration of questionnaires
	<input type="checkbox"/> integration of tests	<input type="checkbox"/> versioning
	<input type="checkbox"/> PDF optimization for literature management programs	<input type="checkbox"/> integration of multimedia elements, e.g., videos or video abstracts.
	<input type="checkbox"/> diagram adaptation	

B.8 Semantic markup	Service: Semantic markup	✓	Explanation
	Persons (ORCID , GND)		Automatic recognition of persons by linking them to non-commercial applications for unique identification
	Scientific institutions (ROR)		Automatic recognition of institutions by linking them to non-commercial applications for unique identification
	Open Citations		Non-commercial provider of infrastructure for the publication of open bibliographic data
	entity-fishing e.g. NERD (Named Entity Recognition and Disambiguation)		applications for automatic recognition of proper names/entities
	<input type="checkbox"/> linked references	<input type="checkbox"/> glossary entries	
	<input type="checkbox"/> visual elements (images)	<input type="checkbox"/> Wikimedia	

B.9 Metadata standards

Which metadata standards does the publication service provider support?

ONIX 3.0-XML

KBART

RIS

MARC21

JATS/BITS

CoinS

MARCXML

CSV

Dublin Core

RFC 1807

BibTex

[TEI](#)

B.10 API

Does the publication service provider support or operate an application programming interface (API)?

[OAI-PMH](#) (Open Archives Initiative Protocol for Metadata Harvesting)

REST-API (Representational State Transfer)

[SWORD API](#) (Simple Web-service Offering Repository Deposit)

[HIRMEOS](#) metrics suite

custom development (API for workflow XML-PDF)

a program interface is not supported/operated

B.11 Usage statistics

What forms of usage statistics does the publication service provider provide?

Download counts

[Matomo](#)

Altmetrics

[OPERAS metrics](#)

Citations

[Counter](#)

[Crossref](#)

C. Quality assurance

High quality standards in scientific publishing are a decisive factor for all involved parties. However, "quality" or "quality assurance" encompasses a whole range of different contents and meanings, depending on perspective.

In their role as authors and editors, *scientists* strive to publicize their work, safeguard their authorship of relevant material that is being discussed, and enhance their own reputation through high-quality publications.⁷ This is usually accomplished by choosing a renowned publishing house that is regarded as a guarantor of high quality standards, e.g. in terms of review processes or high-quality print copy production. They expect the selected publication service provider to have a wide audience in the discipline and to enhance the reputation of their work. In their role as readers, scientists want to find content that is strictly in accordance with good scientific practice⁸, with relevant and original findings, and for this reason also turn to reputable publishing institutions. The specific services provided that justify this reputation, especially with regard to the review processes, are not always transparent. This service catalog is intended to facilitate such transparency.

With increasing digitalization, *publication service providers* must meet many technical and infrastructural requirements in the publication process. They regard process management workflows, technical digital production and the creation of metadata as key quality standards.

Libraries often model their perception of quality on renowned publishers. Moreover, the nature and provisioning process of metadata by publication service providers play a major role for libraries.

Funding agencies such as the German Research Foundation (DFG) call for quality assessment measures⁹ at the procedural and technical level, the guarantee of transparency with regard to the funding of all participants, as well as peer review and publication in open access.¹⁰ While there are major differences in "practices of quality assessment of publications, their acceptance and performance"¹¹ for discipline-specific scientific publications, there are no fundamental differences in quality standards for digital open-access publications.¹² The objective of this chapter is to establish transparent standards for different levels of quality that are useful for book publications in different disciplines.

⁷ Cf. Deutsche Forschungsgemeinschaft | AG Publikationswesen: Wissenschaftliches Publizieren als Grundlage und Gestaltungsfeld der Wissenschaftsbewertung (*scientific publishing as the basis and formative environment for scientific assessment*). (18 May 2022). <https://doi.org/10.5281/zenodo.6538163>, p. 9-10.

⁸ Version 2 (2022) of the 2019 Codex can be found at <https://doi.org/10.5281/zenodo.6472827>.

⁹ Deutsche Forschungsgemeinschaft | AG Publikationswesen: Wissenschaftliches Publizieren als Grundlage und Gestaltungsfeld der Wissenschaftsbewertung (*scientific publishing as the basis and formative environment for scientific assessment*). (18 May 2022). <https://doi.org/10.5281/zenodo.6538163>.

¹⁰ See also the recommendations of the Science Council: Science Council (2022): Empfehlungen zur Transformation des wissenschaftlichen Publizierens zu Open Access (*recommendations for the transformation of scientific publishing to open access*); Köln. <https://doi.org/10.57674/fyrc-vb61>.

¹¹ Cf. Deutsche Forschungsgemeinschaft | AG Publikationswesen: Wissenschaftliches Publizieren als Grundlage und Gestaltungsfeld der Wissenschaftsbewertung (*scientific publishing as the basis and formative environment for scientific assessment*). (18 May 2022). <https://doi.org/10.5281/zenodo.6538163>, P. 20.

¹² Cf. Digitales Publizieren in den Geisteswissenschaften: Begriffe, Standards, Empfehlungen (*digital publishing in the humanities: terms, standards, recommendations*). Ed. by AG Digitales Publizieren. (= Zeitschrift für digitale Geisteswissenschaften/Working Papers, 1). Wolfenbüttel 2021. „Der wissenschaftliche Qualitätsanspruch der digitalen Publikation ist derselbe wie bei gedruckten Publikationen. Nachprüfbarkeit, logischer Aufbau, klar formulierte Fragestellungen, kritische Auseinandersetzung mit den bisherigen Forschungsergebnissen, Reflexion von Methoden, sprachliche und strukturelle Exaktheit und schließlich die Erwähnung von den eigenen Schlüssen

C.1 Quality certificates

Which international open science and research ethics requirements and possibly specific quality criteria does the publication service provider comply with?

DOAB [PRISM](#)
 [Kriterium.se](#)

[OASPA](#)
 [OOpen Peer Review Policy](#)

[FAIR-Prinzipien](#)
 [COPE](#) (Committee on Publication Ethics)

[DORA](#) (San Francisco Declaration on Research Assessment)
 [DINI certificate](#) for publication services in open access

C.2 Methodological quality assurance

Quality assurance of the applied methodology is fundamental to the scientific nature of the publication and serves to determine whether the publication meets minimum quality requirements.¹³ Is the paper written in accordance with scientific quality standards and is it comprehensible at least with regard to the following criteria?

accurate scientific work

correctness of the data

transparency of the applied methodology

if applicable, correctness of the image citations

How are minimum quality requirements ensured?

zuwiderlaufenden Fakten sind selbstverständlich auch Basis digitalen wissenschaftlichen Publizierens. (*The scientific quality standard for digital publications is the same as for printed publications. Verifiability, logical structure, clearly formulated questions, critical examination of existing research results, reflection on methods, linguistic and structural accuracy, and finally the reference to facts that contradict one's own conclusions of course also constitute the basis of digital scientific publishing.*)" https://zfdg.de/wp_2021_001#pid5. (12 Jan 2023)

¹³ Cf. Deutsche Forschungsgemeinschaft | AG Publikationswesen: Wissenschaftliches Publizieren als Grundlage und Gestaltungsfeld der Wissenschaftsbewertung (*scientific publishing as the basis and formative environment for scientific assessment*). (18 May 2022) <https://doi.org/10.5281/zenodo.6538163>, P. 20.

C.3 Procedural quality assurance

Elements of procedural quality assurance:

- plagiarism assessment
- compliance with [FAIR-principles](#)
- use of a Creative Commons license
- information on funding status
- publication process/review status.
- identification of all involved parties in their respective roles (editing, graphics, typesetting, illustration, proofreading, etc.).
- link to relevant publications
- reference to supporting research data
- date of first publication

C.4 Technical quality assurance	The technical processes involve numerous individual tasks and assessment steps. It is important for all parties involved to maintain transparency regarding cross-process technical quality assurance. Which services does the publication service provider offer in the field of technical quality assurance?	
	Service	✓ Explanation
	Technical availability of the publication infrastructure	Digital infrastructure, backup and operational reliability, dependability of the technical infrastructure and availability
	Print options	Paper types and thicknesses, formats, inclusive - service or print on demand, hardcover/softcover, b/w/color
	<input type="checkbox"/> acquisition of bibliographic metadata (e.g. author, title, keywords, abstract) <input type="checkbox"/> integration of literature management programs (e.g. BibTeX, Zotero, Citavi) <input type="checkbox"/> assignment of persistent identifiers and versioning (e.g., DOI, URN, handle). <input type="checkbox"/> template provision (e.g. LaTeX, Word, pandoc, InDesign, XML) <input type="checkbox"/> design/layout	

C.5.1 Types of assessment/peer review

Evaluation by experts in the research field is usually considered a standard of content assessment. Exactly how this form of quality assurance is designed depends on the respective publisher and discipline. The process, form, and scope of assessment, as well as any revisions by authors and editors, should be as transparent as possible.

Reviewer/type of review

Which persons (number/qualification) are involved in the assessment process?

- | | |
|--|--|
| <input type="checkbox"/> review consortium | <input type="checkbox"/> community review |
| <input type="checkbox"/> independent experts | <input type="checkbox"/> specialized professional editing with ___ reviewers |
| <input type="checkbox"/> editorial review | <input type="checkbox"/> editorial board |

Scope of the review

In what way and to what extent is the manuscript reviewed?

- | | |
|---|---|
| <input type="checkbox"/> complete review | <input type="checkbox"/> partial review |
| <input type="checkbox"/> post publication review + revision or versioning option. | <input type="checkbox"/> review of the proposal |

C.5.2 Forms of assessment/peer review	Blindness/Openness		
	Review processes are referred to as "blind"/"anonymized" if they are not transparent/accessible in at least one respect, for instance regarding the identity (of author(s)/reviewer(s)) or content of the reviews (for author(s)/reader(s)). "Open (peer) review" ¹⁴ represents a new practice of disclosing single/multiple aspects of the review process, including identities, participation of outsiders (experts from the scientific community who are not directly involved in the publication process), or the publication of expert opinions.		
	Review processes	✓	Explanation
	Single anonymized ¹⁵		Reviewers know the identity of the authors, but not vice versa
	Double anonymized		Reviewers and authors do not know each other's identities
	Open participation		A community of experts can participate in the review process, e.g. using annotation software
	Open report		Expert opinions are published (in their entirety)
	Open identities		The identities of the reviewers and the authors are mutually known and publicly available
Open communication		Communication processes between reviewers and authors/editors are possible and publicly accessible	

¹⁴ For a more detailed differentiation of roles and processes, see Peer Review Terminology (2.1) of the International Association of Scientific, Technical and Medical Publishers' project "A Standard Terminology for Peer Review" https://osf.io/68rnz/?view_only= (28 Sept 2022).

¹⁵ The more commonly used term "blind" is substituted here in favor of a more neutral expression.

C.6 Process management

Is the publication service provider transparent about the editing and review processes?

- creation of a jointly agreed timetable & schedule of responsibilities for the entire publication
- display of each individual step in the publication process
- designation of the number of proofreading passes
- feedback to authors on editing steps
- no information on review and editing processes

D. Additional services

Depending on the internal setup and size of the publication service provider, certain services may be part of the basic service package or may be additionally requested. Such services may entail additional investments in digital infrastructures or developments or may necessitate a contract with (an) additional service provider(s). They may also include traditional services, such as printing or translation. The important thing is to disclose which services are included in the publication process and how.

D.1 Additional (digital) services	Possible additional services
	<input type="checkbox"/> code development
	<input type="checkbox"/> translation
	<input type="checkbox"/> linguistic editing
	<input type="checkbox"/> printing, if necessary including special features e.g. hardcover, ribbon bookmark
	<input type="checkbox"/> development of an individual layout
	<input type="checkbox"/> peer review/expert opinion/collaborative editing/open review process
	<input type="checkbox"/> multimedia presentation
	<input type="checkbox"/> usage statistics
	<input type="checkbox"/> ID usage for linked data and browsing (graph). ¹⁶
	<input type="checkbox"/> research data publication
	<input type="checkbox"/> I4OC Open Citations
	<input type="checkbox"/> authoring/visual programming environment
	<input type="checkbox"/> _____

¹⁶ e.g. <https://www.rawgraphs.io/> (17 Nov 2022).

E. Distribution

A scientific publication must reach its target readership as widely as possible. This requires high quality metadata and extensive systematic dissemination through the relevant directories, databases, search engines, and the various intermediaries, libraries, and bookstores. Professional marketing ensures rapid findability. Availability of the publication in common formats and reliable long-term archiving ensure that the publication remains referencable and permanently available. As such, it meets the scientific requirement for verifiability.

E.1 Format options	In which formats does the publication service provider offer the publication?	
	<input type="checkbox"/> print copy	<input type="checkbox"/> HTML
	<input type="checkbox"/> MOBI	<input type="checkbox"/> EPUB
	<input type="checkbox"/> PDF	<input type="checkbox"/> XML
	<input type="checkbox"/> PDF/A	<input type="checkbox"/> _____

E.2 Marketing the publication	How does the publication service provider promote the publication in digital and analog form?	
	<input type="checkbox"/> libraries	<input type="checkbox"/> web shop/web catalog
	<input type="checkbox"/> bookstore	<input type="checkbox"/> trade fairs/conventions
	<input type="checkbox"/> international presentations	<input type="checkbox"/> lecturer/examination copies
	<input type="checkbox"/> review copies	<input type="checkbox"/> hypothes.is
	<input type="checkbox"/> print media announcement	<input type="checkbox"/> social media: _____
	<input type="checkbox"/> advertisement placement, print marketing	<input type="checkbox"/> email marketing
	<input type="checkbox"/> businesses (e.g. PaperHive link).	<input type="checkbox"/> _____

E.3 Notification of publication/metadata

Which central databases, relevant directories and search engines does the publication service provider notify of the publication's metadata or allow to harvest the metadata?

- | | |
|--|---|
| <input type="checkbox"/> libraries | <input type="checkbox"/> availability to OAI |
| <input type="checkbox"/> library suppliers | <input type="checkbox"/> library network center (s) |
| <input type="checkbox"/> retail booksellers (e.g. VLB) | <input type="checkbox"/> DNB |
| <input type="checkbox"/> DOAB | <input type="checkbox"/> OCLC |
| <input type="checkbox"/> JSTOR | <input type="checkbox"/> Web of Science |
| <input type="checkbox"/> HathiTrust | <input type="checkbox"/> Scopus |
| <input type="checkbox"/> Google Scholar | <input type="checkbox"/> CrossRef |
| <input type="checkbox"/> Open library | <input type="checkbox"/> Project MUSE |
| <input type="checkbox"/> EBSCOhost | <input type="checkbox"/> international sales network |
| <input type="checkbox"/> BASE | <input type="checkbox"/> subject-specific repositories/initiatives. |
| <input type="checkbox"/> subject-specific FID | <input type="checkbox"/> professional subject-specific database(s) |

When does the publication service provider notify central databases, relevant directories, and search engines of the publication?

Guaranteed notification within ___ months

E.4 Long term archiving

Which long-term archiving facilities does the publication service provider offer?

- | | |
|--|---|
| <input type="checkbox"/> DNB and National & State Libraries. | <input type="checkbox"/> TIB |
| <input type="checkbox"/> Portico | <input type="checkbox"/> Open library |
| <input type="checkbox"/> CLOCKSS | <input type="checkbox"/> FID |
| <input type="checkbox"/> Rosetta | <input type="checkbox"/> subject -specific repository |
| <input type="checkbox"/> _____ | |

F. Cooperative publishing

Various parties are involved in a publication, but not all of them are necessarily named in a contract. Outsourcing is often not explicitly mentioned, but it is playing a growing role in the increasingly digitalized publishing process. New collaborative models between different institutions such as libraries, publishers, and repositories, which coordinate the assumption of specific tasks, form the basis for cooperative publishing. The following sections are intended to provide a transparent overview of which parties enter into a contract, which activities are affected by a cooperative agreement or which tasks third-party service providers make take on, and which constellations of collaboration may be encountered in a specific case.

F.1 Involved parties	<p>Which parties are involved in the publication?</p> <p><input type="checkbox"/> author(s), editor(s)</p> <p><input type="checkbox"/> author(s), contributing author(s))</p> <p><input type="checkbox"/> publication service provider - publisher</p> <p><input type="checkbox"/> publication service provider - publication platform</p> <p><input type="checkbox"/> publication service provider - repository</p> <p><input type="checkbox"/> scientific institution (university/college; institute; research institution; professional society; research information service), represented by (editorial board/advisory board)</p> <p><input type="checkbox"/> library (sponsor; publication service provider)</p> <p><input type="checkbox"/> consortium (sponsor; publication service provider)</p> <p><input type="checkbox"/> further printing and distribution service providers (incl. graphic designer, typesetter, layout editor, etc.)</p> <p><input type="checkbox"/> science-driven/scholar-driven initiative (author; sponsor; publication service provider).</p> <p><input type="checkbox"/> _____</p>
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F.2 Cooperative fields of activity

Possible fields of activity for cooperative ventures at the scientific content, technical/digital, scientific information or sales level:

- (long-term) library collaborations (e.g. [open-access.network](#))
- collaboration with authors/institutes (content level) and libraries/distributors/intermediaries (distribution level)
- cooperative publishing model (e.g. via the Enable community¹⁷)
- broader use of open software and code sharing for new publication modules
- harvesting by subject-specific repositories
- comprehensive development of open metrics based on open data
- cooperation for marketing
- support in establishing and/or implementing open-journal-system and open-monograph-press initiatives
- advisory panel for program design and evaluation of quality or quality standards
- partner for media-neutral publishing
- creation or maintenance of virtual research environments
- _____

¹⁷ A survey paper on services and costs was prepared in collaboration with the Enable community: Eichler, J., Lembrecht, C., & Werner, K. (2021). *Services and budgetary frameworks for contemporary open-access publications in the humanities and social sciences: Proposal for a differentiation of open access fees for typical publishing services*. Bielefeld: ENABLE!-Community. <https://doi.org/10.21241/ssoar.72649>.

F.3 Services for third-party contracting

Possible services for third-party service providers:

- copy editing
- proofreading
- design/layout/cover design
- printing
- hosting/provisioning
- programming/code development
- distribution to retail book outlets
- documentation/indexing
- data steward/data curating
- foreign language editing
- translation
- public relations in social media
- quality control (with label/certificate, if applicable).
- integration into virtual research environments/collaborative databases.
- media-neutral publishing
- _____

F.4 Possible constellations

Possible constellations for a cooperative publication project:

- publication medium monograph: institution¹⁸ - author - publication service provider
- publication medium anthology: publishing institution - editors - publication service provider and subcontract between
- editors - authors of the specific contribution/article
- publication medium publication series: publication service provider (institution) - editors (individual volumes of a publication series are legally treated as monographs)
- authors/editors - consortium of libraries on behalf of the institution - publication service provider
- university/research institution/library - authors/editors - publication service provider
- institution (editors) - institution (publication service provider)
- authors - institution
- _____

¹⁸ "Institution" is understood here as a public body that can function in various roles, for instance as a publishing body, a funding body, or a publication service provider.

G. Licensing

The Berlin Declaration on Public Access to Knowledge in the Sciences and Humanities (2003)¹⁹ defines open access with clear specifications on the accessibility and use of scientific publications: "The authors and rights holders of such publications irrevocably grant all users the free, worldwide right of access to such publications and authorize them to copy, use, distribute, transmit, and display the work publicly - in any digital medium and for any responsible purpose - and to create and distribute adaptations thereof, subject to proper attribution of authorship."

Pursuant to this Open Access understanding as well as to science policy recommendations²⁰, the standard formats for licensing book publications as Creative Commons 4.0 licenses are CC-BY and CC-BY SA 4.0. According to this understanding, the exclusive rights of use remain with the authors, who grant simple rights of use for the publication of their works. The licensing is assumed by the authors.

	Service	✓	Explanation
G.1 Standard license	CC BY		IA. with the exception of figure no. _____
	CC BY-SA		IA. with the exception of figure no. _____
	IA. exception		reason: _____

	Service	Author	Publication service provider
G.2 Responsibilities	Control of illustrations/image citations	<input type="checkbox"/>	<input type="checkbox"/>
	Reproduction of illustrations	<input type="checkbox"/>	<input type="checkbox"/>
	Obtaining and attaching authorizations for previously published illustrations	<input type="checkbox"/>	<input type="checkbox"/>
	Exclusion of CC licensed illustrations	<input type="checkbox"/>	<input type="checkbox"/>
	Is advice/information material on licensing issues provided?	<input type="checkbox"/>	<input type="checkbox"/>

¹⁹ <https://openaccess.mpg.de/Berliner-Erklaerung> (17 Nov 2022).

²⁰ see also: die Empfehlung des Wissenschaftsrats (*recommendation of the Science Council*) (2022) www.wissenschaftsrat.de/download/2022/9699-22.html.