Institutional Model Policy for the Registration of Digital Object Identifiers (DOIs)

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About E-Infrastructures Austria Plus

The project "e-Infrastructures Austria Plus" (2017-2019) is a project of nine Austrian universities funded by the Austrian Federal Ministry of Education, Science and Research (https://bildung.bmbwf.gv.at/). The aim of the project is the coordinated development of an Austrian network for the establishment and further development of common e-Infrastructures by bundling resources and existing knowledge.
**Introduction**

The [Institution] recognises the importance of persistent identifiers for permanent access to digital objects. The [Institution] therefore advocates and facilitates the allocation of Digital Object Identifiers (DOIs) for digital objects created by its members under the provisions set out in this Policy [the Research Data Management Policy, the Open Access Policy and the Affiliation Guidelines].

**1. Policy objective**

This Policy stipulates the mandatory prerequisites for assigning and registering DOIs for digital objects at the [Institution]. It also defines the rights and obligations that arise for recipients of DOIs at the [Institution].

The regulations in this Policy are based on the specifications for the provision of DOIs for academic objects through the DOI registration agency [e.g. DataCite] as a contractual partner of the [Institution].

**2. Digital Object Identifier (DOI)**

A DOI is a permanent persistent identifier that is used to describe, cite and link digital objects. It consists of a unique character string divided into two parts, the prefix (in the case of the [Institution] 10.12345/) and the suffix (e.g. 1-123456789). This DOI name is permanently linked with the object and allows the object to be referenced, even if the storage location is changed. Current and structured metadata is allocated to an object via the DOI name, to include as a minimum the mandatory fields specified by the registration agency.

**3. Organisation**

The [Contact] is responsible for information on DOIs and for the assignment of DOIs at the [Institution].

The recipient and the [Contact] come to an agreement on assignment of the DOI based on this Policy. The [Contact] is responsible for the formulation of the DOI suffix.

The [Contact] registers DOIs in accordance with the contractual agreement between the [Institution] and the registration agency [e.g. DataCite].

**4. Rights and obligations / prerequisites**

**4.1. Requirements of the DOI recipient**

Eligible recipients are employees of the [Institution] who are involved in creating the digital objects in question and who are capable of meeting the following requirements for digital objects and metadata. The primary aim is to facilitate permanent and reliable data access based on the concept of persistent identifiers. The platform operator must guarantee that the data or objects will remain accessible for at least 10 years.
4.2. Requirements for the digital objects

**Landing Page**

A DOI name must reference a landing page and not the object itself. The object should be described on this landing page and information must also be provided on how to access the actual object.

**Type of objects**

The [Contact] registers DOIs for digital objects that are of long-term academic interest as well as for publications and other text and non-text materials, e.g. research data, grey literature, objects of cultural heritage, teaching and learning materials, etc.

**Granularity**

A DOI can be assigned at any level of granularity (book, chapter, individual chart, etc.); the key factors are expediency and the technical character of the platform. The granularity underlying the DOI registration is specified in the agreement between the recipient and the [Contact].

**Availability**

The [Institution] ensures that each digital object provided with a DOI is accessible online via a URL and HTTP. Access restrictions to these digital objects must be avoided wherever possible, and the landing page must be accessible in all cases.

**Content-related quality requirements / quality assurance**

To guarantee long-term usability, DOI registration requires the application of discipline-specific standards in creation of the objects and the availability of metadata. The objects must be citable. The DOI recipient must ensure that the content of the digital objects complies with the general rules of good academic practice.

**File formats**

The file format for the objects may be freely chosen. However, where possible formats should be selected which are suitable for long-term archiving in accordance with the latest available technology at the time of registration.

**Versioning**

An object provided with a DOI must not be modified. Modified or updated objects must be saved as new versions and separate DOIs must be registered for these.

4.3. Requirements for the metadata

The correct and complete metadata for the digital objects must be provided to the [Contact] by the DOI recipient in accordance with the requirements under the agreed metadata scheme [e.g. DataCite Metadata Schema]. The metadata is saved at the [Institution] and at the DOI registration agency [e.g. DataCite] and made available to the public in appropriate portals.
4.4. Technical requirements / persistence requirements

Storage location
A prerequisite for allocation of a DOI at the [Institution] is that the digital object must be permanently saved on a platform of the [Institution]. The decision regarding the selection of platforms for which DOIs are assigned lies with the [Contact] and is covered by a separate agreement between the platform operators at the [Institution] and the [Contact]. The objects and/or the links to these that are referenced via a DOI name must be accessible at the registered address on a long-term basis and without interruption. The DOI recipient is therefore required to save the object and/or its reference links on a system that is technically trustworthy by the standards of the latest technology available.

Update
In the event that a change is required to the object locator (URL), the DOI recipient is required to notify the [Contact] of the new address without delay. The latter will update the URL as soon as possible and ensure that the object can be addressed once again via the DOI.

Deletion
Recipients may only delete digital objects provided with a DOI following consultation with the [Contact]. If in justified cases an individual object is deleted or has to be removed from the webserver, the DOI in question will be redirected to an information page. If objects which have been assigned a DOI are are no longer considered eligible for archiving and are therefore deleted, the [Institution] must notify the recipient of the impending deletion. The metadata belonging to the object is saved beyond the object’s deletion so that any users who may be interested in it can track its path.

4.5. Costs
The [Institution] does not charge fees to its members in connection with the registration of DOIs.

5. Validity
This Policy is effective from [Date / by publication in Mitteilungsblatt of Institution]. The Policy will be reviewed by the [Person responsible] every [x] years and updated as necessary.