

GESIS - Leibniz-Institute for the Social Sciences
ZBW - German National Library of Economics - Leibniz Information Center
for Economics

da|ra Policy

Policy for Assigning Digital Object Identifiers (DOI®) via the Registration
Agency da|ra

Version 4.0
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IMPORTANT NOTE: This text shall be governed by and construed in accordance with the laws of Germany. The English version of this text serves only for information and is not part of this legal transaction. Therefore, in the event of any inconsistency between the German and the English version, only the German version shall apply.

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1 Registration agency da|ra

In cooperation with DataCite, the GESIS-Leibniz-Institute for the Social Sciences (GESIS) and the ZBW-Leibniz Information Centre for Economics (ZBW) pursue the goal of promoting and establishing uniform standards for acceptance of research data as independent, citable scientific objects. By providing DOI names, the registering agency da|ra establishes the foundation for permanent identification, localization, and reliable citation of social and economic research data.

2 Goal

This policy statement formally establishes the requirements under which the Registration agency for social and economic data (da|ra) may assign a persistent identifier in the form of a Digital Object Identifier (DOI name). Besides, this will also delineate the rights and responsibilities resulting for the DOI receiver (Consortium Organization) and the Registration agency da|ra, from the assignment. The policy also determines the requisite decision-making authority. It is directed primarily towards the Consortium Organizations.¹

The policy reflects the recommendations of DataCite.

3 Digital Object Identifier (DOI)

A DOI is a permanent, persistent identifier used for citing and indirectly linking objects in digital networks. The DOI name is comprised of a unique alphanumeric character sequence having both a prefix and suffix. The DOI name is permanently linked to the object as an entity and allows referencing the object even if there is a storage location change. Current, structured metadata is assigned to each object via the DOI name, and this prescribed set of metadata is directly linked to the DOI reference when assigned.

da|ra obtains the DOI names via DataCite, an international association accredited as an official DOI registration agency by the International DOI Foundation (IDF). DataCite organizes the prefix management and the connection to the IDF. The suffix design is subject to specific rules defined by da|ra. Within these rules, the suffix can be freely defined by the consortium organization.

4 Organization

4.1 Data registration agency da|ra

da|ra is an administrator for assigning DOI names. It is a non-commercially oriented service. The elaboration of the Service Level Agreement (SLA), the administration of metadata, and the DOI registration are organized by da|ra on a division of labor between GESIS (social science data) and ZBW (economic data).

¹ Single researchers or temporary research groups which request a DOI name for their social or economic data may use the archiving facilities offered by GESIS (<https://www.gesis.org/en/services/archiving-and-sharing>).

4.2 DARA Consortium

GESIS has founded a consortium for the allocation of DOIs via DataCite. All DOI-recipients become Consortium Organizations by the declaration of accession and thus receive the right to obtain DOIs via da|ra. GESIS, as the consortium lead, is a member of the DataCite association and represents the consortium's interests.

4.3 Consortium Organization

Data-holding institutions that wish to register DOIs for their objects should contact da|ra. When the Service Level Agreement (SLA) comes into force, and the declaration of accession to the DARA consortium comes into effect, they receive a consortium organization's status.

4.4 Service level agreement (SLA)

A bilateral service level agreement (SLA) between one of the operators of da|ra (GESIS for social sciences data and ZBW for economic data) and the respective Consortium Organization establishes the contractual basis for the issuing of DOI names through da|ra. The SLA contains special arrangements for the assignment of the DOI names for each Consortium Organization. da|ra assigns DOI names according to these arrangements. The SLA obligates da|ra to the reliable long-term operation of the technical systems; the Consortium Organization is obligated to the permanent and long-term fulfillment of the technical and logistical requirements listed in Section 5.

5 Requirements

5.1 Consortium Organizations' requirements

Potential DARA Consortium Organizations are academic organizations or units thereof that can demonstrably fulfill the requirements for digital objects, metadata, and storage systems listed below. The priority is to guarantee permanent and reliable data accessibility in the sense of the concept of the persistent identifier.

5.2 Digital object requirements²

5.2.1 Type of objects

da|ra allocates DOI names for **research data** which are created in the context of social science and economic research processes as well as objects that are related to the registered research data. The data remains at the local data center and data providers. da|ra decides on the objects' admissibility for allocating a DOI name according to the SLA regulations.

² See also the da|ra-Best Practice at <https://www.da-ra.de/support#best-practice>.

5.2.2 Name assignment and granularity

The Consortium Organization receives a fixed prefix from da|ra, which must be used to register all their objects. Identifying an object can be executed to any desired level of granularity (element of a file, a file, a file collection, etc.) as the purpose dictates. Recommendations of the IDF (<http://www.doi.org/hb.html>) should be taken into consideration. The basic granularity will be adhered to when allocating a DOI name in line with the SLA.

5.2.3 File formats

The file format is essentially open. However, a format should be selected, which ensures long-term archiving according to assessments current at the registration time.

5.2.4 Versioning

An object with an assigned DOI name should not be changed. Each change must be saved as a new version, and a new DOI name must be given. The Consortium Organization is responsible for the versioning. The da|ra best practices should be considered (<https://www.da-ra.de/support#best-practice>).

5.2.5 Quality assurance

The Consortium Organization is responsible for the quality of the contents of objects. The contents should fulfill the Consortium Organization's quality standards and be valid according to the rules of good scientific practice in the relevant scientific discipline.

5.3. Metadata requirements

5.3.1 Quality of metadata

When obtaining a DOI name, metadata must be delivered according to the current da|ra metadata schema and in a predetermined format defined in the SLA. The da|ra metadata schema is compatible with the official DataCite Metadata Schema. The SLA controls the formalities of obtaining metadata, its transfer, and updating.

5.3.2 Currency of metadata

The Consortium Organization is responsible for transmitting proper and current metadata. Changes of the URL must be updated in the da|ra system within three workdays, and the metadata must be updated correspondingly.

da|ra reserves the right to review metadata at regular intervals to verify that the metadata is up to date. The results will be communicated to the Consortium Organization. In case metadata will not be updated in spite of repeated requests, da|ra reserves the right to exclude the metadata from the search index.

5.3.3 Usage rights

The Consortium Organization grants da|ra the non-exclusive, free, and timely perpetual rights to use the metadata. The usage rights include the right to publish, disseminate,

reproduce, and make available to the public the transmitted metadata. The metadata are stored by da|ra in a central information system.

da|ra has waived all copyright and related or neighboring rights to the database entries of da|ra (Creative Commons CC0 1.0 Universal Public Domain Dedication). The Consortium Organization grants a right to the operators of da|ra to distribute the metadata under this license.

5.4 Requirement of persistence

5.4.1 Storage location

Digital objects referenced via an identifier must be permanently and continuously available, without interruption, under the registered address. Thus the Consortium Organization is required to save the object using a reliable service that meets the state of the art technology.

5.4.2 Availability

The Consortium Organization ensures that every digital object furnished with a DOI name is available via a URL and the HTTP at all times. Access restrictions are to be avoided if possible. If access to an object is limited (i. e. registration is required), the DOI name must redirect to a website that provides sufficient information on that object's contents and the registration process.

Should access to a digital object with an assigned DOI name foreseeably become impossible at a certain time, the Consortium Organization is obligated to inform da|ra about the availability immediately, but at the latest five workdays before the object will not be available anymore. In case an object becomes unexpectedly unavailable, the Consortium Organization must inform da|ra immediately.

5.4.3 Deleting individual objects

There may be reasons why an object with an assigned DOI name is no longer considered worth archiving and should be deleted. In such cases, the Consortium Organization is required to report this deletion to da|ra according to the regulations in Section 5.4.2. da|ra can save the metadata related to this object despite the omission and inform the user of the object's deletion.

5.4.4 Relinquishing the storage location

If the Consortium Organization relinquishes the storage location da|ra can only guarantee continued persistence under the following conditions:

- a) The legal successor of the organization takes over the SLA.
- b) The legal successor of the organization concludes an SLA, which stipulates the assumption of all responsibilities.
- c) If no successor is named, the data could be stored in the GESIS Data Archive.

d) The DOIs generated until the registration is abandoned must be maintained in the DataCite System (DOI Fabrica).

5.4.5 Change to another allocation agency

If the Consortium Organization changes to another DataCite Consortium or any other DOI Service Provider, the prefix for registering new objects can be transferred. The metadata of objects already registered remains with da|ra. Further maintenance of the metadata will be regulated in renegotiations of the SLA agreed between the Consortium Organization and da|ra, unless the objects are deleted (see 5.4.3).

6 Costs

The DOI registration is free of charge for academic institutions. It may be necessary later to pass along to the Consortium Organization costs accrued by da|ra for registration of the DOI names. An amendment of the cost model on the part of da|ra will be announced within the timeframe stipulated in the SLA. In the case of cost model amendments, the Consortium Organization has the right to terminate the SLA with immediate effect.

7 Rights of third parties

Registering of a DOI name in no way entails a transfer or waiver of rights to an object to da|ra except for the storage of metadata and making the metadata accessible to the public.

The Consortium Organization warrants that the registering of a DOI name does not infringe on the rights of any third party.

In cases regarding copyright, data protection law, or other third party rights, the Consortium Organization guarantees that he holds all necessary rights concerning the objects registered by da|ra. If a third party should file a corresponding claim against one of the da|ra operators for which the Consortium Organization can be held responsible, the Consortium Organization will ward off all claims against GESIS and its cooperation partners. The Consortium Organization will release GESIS and its cooperation partners from all third-party claims against possible infringement of rights through the storage of information. The Consortium Organization will also reimburse all costs arising from claims for which he is responsible, particularly the costs of legal expenses. This does not apply in cases where claims are filed against GESIS and its cooperation partners for using the information in a manner violating the rights granted in this regulation and the SLA.

8 Data protection statement

da|ra collects, processes and uses personal data arising from the registration process in compliance with the applicable data protection regulations. GESIS and ZBW are each jointly responsible, together with the individual consortium organizations, for the processing of personal data of the data-holding institutions within the meaning of Art. 26 DSGVO. The division of responsibilities under data protection law is agreed in each case in the SLA.

Translated with www.DeepL.com/Translator (free version)

9. Legal force

This policy comes into effect on 1 January 2021.

Mannheim/Hamburg/Kiel, 31 December 2020