

**DOI Conflicts –
Definition, management
and penalty fee policy**

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Definition

It is our policy that only one DOI be created for a given work. However, it is very difficult to prevent the assignment of multiple DOIs to the same work owing to the reliability and consistency of the metadata provided in a deposit and to accepted publisher practices.

A conflict exists when two or more DOIs have been assigned to the same logical work as represented by identical metadata or when subtle metadata differences may exist (e.g. a slight variation in the publication title or style differences in the item title).

Management

System identified conflicts

The CrossRef system attempts to automatically identify a conflict upon deposit of the second (or later) DOI name. This function looks for exact duplication in the deposited metadata (journal | author | volume | issue | page | year | article-title) with that of a pre-existing DOI name. Omitted metadata is not included in the comparison thus two DOI names for the same article where one omits page number will not produce a system identified conflict.

After making a deposit you will receive an XML log showing the results of the deposit process. System identified conflicts will be indicated as follows:

```
<record_diagnostic status="Warning">
  <doi>10.1007/s10530-007-9098-9</doi>
  <msg>Added with conflict</msg>
  <conflict_id>345585</conflict_id>
  <dois_in_conflict>
    <doi>10.1007/s10530-006-9073-x</doi>
  </dois_in_conflict>
```

Once a week an on-line report is generated that list all known unresolved system conflicts (<http://www.crossref.org/06members/59conflict.html>). In addition emails are periodically sent out to publisher technical contacts.

Repair of system identified conflicts

System identified conflicts where all DOIs are owned by the same publisher may be repaired by the publisher themselves. This is done either by using the user interface on doi.crossref.org (Metadata Admin -> Conflicts) or by uploading batch files to the system (ref. <http://doi.crossref.org/doc/tech/conflictMgmt.html>). Conflicts which involve DOI names owned by more than one publisher require the intervention of CrossRef staff

Non system identified conflicts

Since not all conflicts can be identified automatically by the system during deposit we have developed a secondary tool called the 'Missed Conflict Checker'. This tool is available from the Browseable Title List (<http://www.crossref.org/titleList>) where you can lookup which titles are held by CrossRef. Once a journal title is found you may select the

» icon to run a missed conflict report. This report may be run on multiple journal titles at the same time. The tool uses a less strict comparison and produces a report needing careful manual investigation.

Repair of non-system identified conflicts

Since by definition there is no system conflict to resolve the only repair solution is to use the forced prime/alias feature that is available using the batch upload process described above.

Preventative Measures

CrossRef strives to prevent conflicts from being created. One major resource to employ in this endeavor is the system's title ownership (aka. title lock-down) feature. This feature limits DOI name deposits to one publisher (the publication owner). Currently any new publication created is assigned ownership to the publisher creating the first DOI name. This helps to prevent accidental creation of duplicative DOI names.

Penalty fee

In July of 2007 the CrossRef board approved a penalty fee (set at \$2/conflict) to be levied against the creator of conflicts under certain conditions. The following situations, with the exception conditions listed below, will result in the penalty fee being assessed. In cases of title ownership transfer it is the responsibility of the acquiring publisher to determine if DOI names already exist for items and to re-use them.

1. After having acquired ownership of a publication a publisher deposits new DOI names for items (e.g. articles) that were already assigned DOI names by the former owner.
2. Upon moving to a new hosting platform, if the new platform automatically assigns new DOI names to items which were already assigned DOI names by the former hosting platform.
3. If a publication is co-hosted on multiple platforms or by multiple publishers and both parties using separate prefixes deposit DOI names for the same items
4. If the conflict is a non-system identified conflict which is brought to the attention of CrossRef staff by a third party or discovered by CrossRef staff.

Exception conditions:

If a conflict is created where all DOI names involved are of the same prefix and /or owner and the depositing member resolves the conflicts without involvement from CrossRef staff.

Appeals

If a member feels a levied fee is inappropriate review escalation will be 1) Director of Technology, 2) Executive Director, 3) Metadata Quality Committee and 4) the CrossRef board of Directors.