

# Required Metadata and XML Tags for Submittal of AN 241.1 Information via Batch Upload

The following is a list of the required fields for using Batch Upload to submit AN 241.1 information. Required fields are designated by an asterisk (\*). Records without required fields will fail to load into E-Link for processing. Other fields available for your use are optional, though some, such as the Abstract/Description, are highly encouraged.

## REQUIRED

	Field Name	XML Tag Name	Additional Information
1	OSTI ID+	<osti_id>	Note that the OSTI ID is required only when an existing, previously submitted record is being resubmitted after having been updated at the submitting site.
2	Record Status*	<new/> <revdata/> <revprod>	These tags are required to inform the system of the status of the record being submitted.  See row above if updating an existing record and the information below for formatting requirement when updating.  Note that existing records may also be edited/updated one at a time with the EDIT button that appears under a record's OSTI ID on the E-Link search results screen.
	<b>Record Status Attributes are needed for " revdata" tag and "revprod" tag.</b> <revdata osti_id='1053369' /> <revprod osti_id='1053370' />		
3	Site Code*	<site_input_code>	
4	Product Type*	<product_type/>	Correct alpha code must be used as the value. Note that the values are upper case letters. Only one code can be placed in this field. Depending on the code, additional information may be needed. The allowed values are:
			<b>Code Definition</b> <b>TR</b> Technical Report or Workshop Report <b>CO</b> Conference/Event Paper, Proceedings, or Presentation (Additional info required) <b>JA</b> Journal Article (Additional info required) <b>TD</b> Thesis or Dissertation <b>PD</b> Program Document

			<b>FS</b> Factsheet <b>B</b> Book/Monograph (Additional info required) <b>AR</b> Accomplishment Report <b>P</b> Patent (Additional info required)
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<b>If product type = CO, the following field is also required:</b> Conference Information <conference_information/> Include name of conference, location, and inclusive dates.			
<b>If product type = JA, the following fields are also required/needed:</b> <ul style="list-style-type: none"> <li>Journal Type &lt;journal_type&gt; All JA products with a publication date of 10/01/2014 and forward are required to be submitted with the author's Accepted Manuscript (author's final draft with peer reviewed comments incorporated). The value for an Accepted Manuscript is AM. If you do not have an AM to submit, you may (until further notice) continue to use the value of AC (for Announcement Citation only) or FT (which translates to Manuscript in E-Link). A manuscript is an earlier version of the author's paper than the AM. If you are submitting AM or FT, remember that the value in your medium code tag will be ED.</li> <li>Journal Name &lt;journal_name&gt;</li> <li>Journal Volume &lt;journal_volume&gt;</li> <li>Journal Issue &lt;journal_issue&gt;</li> <li>Journal Serial ID &lt;journal_serial_id&gt;</li> </ul>			
<b>If product type = B, the following field is also required unless full text is being sent to OSTI:</b> Publisher Information <publisher_information/> Include name of publisher and city, state, and country if other than U.S.			
<b>If product type = P, the following field is also required:</b> Patent Assignee <patent_assignee/>			
5	STI Product Title*	<title/>	
6	Authors(s)*	<author/>	Format is Last Name, First Name, MI Separate multiple authors with a semi-colon followed by a space.
7	Report/Product Number(s)*	<report_nos/>	A value in this field is required if the product is a TR (report) or TD (thesis/dissertation). The value may be the word, None, if no report number exists. An identifying number unique to the product (a product number) may be used for any other product type.
8	DOE Contract Number(s)*	<doe_contract_nos/>	Use the format of the contract "as is," but please leave off any preceding "DE". If multiple contract numbers apply, separate with a semi-colon followed by a space.

9	Originating Research Organization*	<originating_research_org/>	<p>Use the spelled-out text exactly as shown in the Originating Research Organization Authority at <a href="https://www.osti.gov/elink/authorities.jsp">https://www.osti.gov/elink/authorities.jsp</a></p> <p>If work for this product was done at more than one research organization, multiple values may be listed; they should be separated by a semicolon and a space. The primary DOE organization should be listed first, followed by any others. If non-DOE orgs are included, input the spelled-out, full name of the organization.</p>
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10	Publication/Issue Date*	<publication_date/>	<p>Use one of these three Publication Date formats:</p> <ul style="list-style-type: none"> <li>• mm/dd/yyyy</li> <li>• yyyy</li> <li>• yyyy Month</li> </ul> <p>If product type = TR or TD, the mm/dd/yyyy format must always be used.</p>
11	Language*	<language/>	<p>Up to 75 characters; use format from OSTI's Language Authority; e.g. English</p> <p>Authority values are available at <a href="https://www.osti.gov/elib/authorities.jsp">https://www.osti.gov/elib/authorities.jsp</a></p>
12	Country of Origin/ Publication*	<country_publication_code/>	<p>Use two character code from OSTI's Country Code Authority; e.g. US</p> <p>Authority values are available at <a href="https://www.osti.gov/elib/authorities.jsp">https://www.osti.gov/elib/authorities.jsp</a></p>
13	Sponsoring Organization(s)*	<sponsor_org/>	<p>Use the spelled-out text as shown in the Sponsoring Organization Authority at <a href="https://www.osti.gov/elib/authorities.jsp">https://www.osti.gov/elib/authorities.jsp</a>. The DOE Order 241.1B now requires that three levels of sponsoring information be provided for DOE funding: Agency, Program Office, and the sub-program within the DOE Program Office. If funding for this product was provided from more than one organization, multiple values may be listed; they should be separated by a semicolon and a space. The primary DOE sponsor should be listed first, followed by any others. If any of the others are not included in the Sponsor Organization Authority (non-DOE organizations, for example), please include the spelled-out, full name of the other sponsoring organization.</p>
14	Access Limitation*	<access.limitation/>	<p>Access /Distribution Limitation(s) should be one of the following code values. Note XML formatting in 3.2 Access Limitations - Attributes and Values:</p> <p><b>Note: There are several attribute tags and values</b></p>

		<p>associated with the list of limited access codes. See the separate section below called “Access Limitations – Attributes and Values” for additional information needed when submitting access limitation values.</p>	<ul style="list-style-type: none"> <li>• UNL (Unlimited Announcement)</li> <li>• OPN (OpenNet)</li> <li>• CPY (Copyright Material with Restrictions)</li> <li>• OOU (Official Use Only)</li> <li>• OOUOEI (Export Controlled Information)</li> <li>• OOUOSI (Security Sensitive Information)</li> <li>• OOUOPROT (Protected Data – CRADA or Other)</li> <li>• OOUOPAT (Patent Pending)</li> <li>• OOUOLRD (Limited Rights Data (Proprietary/Trade Secret))</li> <li>• OOUOAT (Applied Technology)</li> <li>• OOUOPDOUO (Program Determined Official Use Only)</li> <li>• NNPI (Naval Nuclear Propulsion Info)</li> </ul>
15	Medium Code*	<medium_code/>	<p>Allowed values are</p> <ul style="list-style-type: none"> <li>• ED (if the full text document is being uploaded or FTP'd to OSTI or if a site URL is being provided for a full text document posted at the submitting site)</li> <li>• X (if the full text document can not be posted at the site or uploaded to OSTI.) If X , no URL is provided in the metadata; the submission is considered “Announcement Notice Only”.</li> <li>• AV (if the product is audiovisual material) Any product type may exist in an audiovisual format. The most common product type that gets an AV medium code is CO for conference/event presentations. .</li> </ul> <p>Note that the alpha codes should be upper case. Also note that, depending on the value put in this field, additional information will be needed.</p>
<p><b>If medium code = ED and the full-text product is posted at the site, the following 2 fields are required and/or needed.</b></p>			
	Site URL*	<site_url/>	<p>Allowed values are</p> <ul style="list-style-type: none"> <li>• PDFN (searchable PDF full text)</li> <li>• HTML</li> <li>• PPT</li> </ul>
	File Format	<file_format/>	
<p><b>If medium code = ED and the full-text product is being transmitted to OSTI, the following field is required and/or needed.</b></p>			
	File Format	<file_format/>	<p>Allowed values are</p> <ul style="list-style-type: none"> <li>• PDFN (searchable PDF full text)</li> </ul>

			<ul style="list-style-type: none"> <li>• PDFI (non-searchable PDF)</li> <li>• HTML</li> <li>• PPT</li> </ul>
<b>If medium code = AV and the video is posted at your site or websites such as YouTube or Scivee, the following 3 fields are required and/or needed.</b>			
	Site URL*	<site_url/>	
	Audio/Video Content	<av_content/>	
	File Format	<file_format/>	Allowed values: "WMA", "WMV", "MP2", "MP3", "MP4", "MPEG", "ASF", "AVI", "ACV", "DV", "FLV", "MOV", "RM", "WAV" (See <a href="http://www.osti.gov/stip/audiovisualsti">http://www.osti.gov/stip/audiovisualsti</a> for more on these formats)
	Format Other	<format_other/>	Provide the length of the video as shown in this example: Run time: 00:50:25
16	Released by Name*	<released_by/>	The name of the designated releasing official responsible for approval of distribution/access limitation and for ensuring no PPI is contained in the metadata or the full text. OSTI admin field; does not display in output databases.
17	Released Date*	<released_date/> mm/dd/yyyy	Date that the record was released to osti by the releasing official.
18	Released by Email* Released by Phone*	<released_by_email/>  <released_by_phone/>	Both of these fields must be included in the metadata. This is contact information only and will not be display in the output databases.

## Access Limitation(s) – Attributes and Values

Unclassified, unlimited information (UNL) is available to the U.S and non-U.S. public, but certain types of information have restricted access whose publication or distribution is restricted by various laws, federal codes, executive orders, international agreements, etc. Records describing STI products with access limitations are not released to OSTI’s publicly available databases. They are available to DOE and DOE contractors in Science Research Connection (SRC) with different levels of access based on the product and the requestor.

Records with access limitation codes other than UNL may require additional, different information formatted as “attributes” rather than “elements.” The following table provides this formatting guidance. For more guidance on the actual restrictions, markings, and handling of STI with access limitations, see the STIP home page at <http://www.osti.gov/stip/> or contact OSTI staff.

Access Limitation Code	Definition	Tags, examples, other information	
UNL (Unlimited Announcement)	Select this option if the STI Product should have unlimited and unrestricted distribution to the U.S. and non-U.S. public.	<b>Example:</b> <access_limitation> <unl/> </access_limitation>	
OPN (OpenNet)	OpenNet is a website supported by DOE's Office of Classification to provide access to declassified documents and other related information, in support of the national Openness Initiative.	<b>Example:</b> <access_limitation> <opn/> </access_limitation>	See OpenNet policy and guidance at <a href="https://www.osti.gov/opennet/">https://www.osti.gov/opennet/</a>  STI Products marked as OpenNet will be announced by OSTI on the OpenNet database as well as on the STI announcement systems. To enable OSTI to transfer data to the OpenNet database, the following OpenNet data must be provided.  Non-STI OpenNet products should be submitted using the DOE F 475.1.
<b>Required/Needed Attributes of &lt;access_limitation/&gt; if Access Limitation is OpenNet (OPN)</b>			
OpenNet Accession Number*	<opennet_accession_no>		
OpenNet Document Location	<opennet_doc_location>		
Applicable field Office Acronym	opennet_fieldoffice_acronym		
OpenNet Declassification Status*	<opennet_declass_status>	Use the appropriate acronym provided in OpenNet DeClassified Information Database Data Input Specifications, revised April 3, 1998.  Allowed values: D (Declassified) S (Sanitized) N (Never Classified) U (Unknown).	
OpenNet Declassification Date*	opennet_declass_date	Required if opn_declass_status = 'D' or 'S'. Format is mm/dd/yyyy	
OpenNet Document Categories*	opennet_document_keywords	<b>Example:</b> <access_limitation> <opn opennet_accession_no='111' opennet_document_location='doc loc' opennet_fieldoffice_acronym='test OFC' opennet_document_keywords='OPN KEYS' opennet_declass_date='01/01/2001' opennet_declass_status='U'/> </access_limitation>	
CPY (Copyright)	Copyrighted material	<b>Example:</b>	

Material with Restrictions)	may be subject to restrictions on reproduction, distribution, the preparation of derivative works, including translations; public display of the material; and public performance of the material.	<access_limitation> <cpy/> </access_limitation>	
OUO (Official Use Only)			(Provide exemption number if OUO and no other OUO category applies.)
OUOECI (Export Controlled Information)	Information containing technical data as defined in and controlled by U.S. export control statutes. (e.g., under ITAR/EAR) (FOIA Exemption 3)		
OUOSSI (Security Sensitive Information)		<access_limitation> <ouossi/> <access_limitation> <access_limitation_other>other access lim<access_limitation_other>	
OUOPROT (Protected Data – CRADA or Other)	Information produced in the performance of a CRADA that is marked as being Protected CRADA Information by a party to the agreement and that would have been proprietary information had it been obtained from a non-Federal entity. It may be protected for a period up to 5 years from the date it was produced, except as expressly provided for in the CRADA.	Example: <access_limitation> <ouoprot protected_data_crada='Y' access_limitation_rel_date='01/21/2011' /> </access_limitation>	
<b>Required Attributes of &lt;access_limitation/&gt; if Access Limitation is Protected Data (OUOPROT)</b>			
Protected Data CRADA	protected_data_crada	Allowed values: "Y" or "N"	
Protected Data Other	protected_data_desc	Required if Access Limitation equals Protected Data (OUOPROT) and protected_data_crada = 'N'	
Access Limitation Release Date (mm/dd/yyyy)	access_limitation_rel_date		

PDOUO Exemption Number exemption_number		
OUOPAT (Patent Pending)	Federal agencies are authorized to withhold from public disclosure any invention in which the Government owns or may own a right, title, or interest, for a reasonable length of time so that a patent application can be filed.	<access_limitation> <ouopat/> </access_limitation>
OUOLRD (Limited Rights Data (Proprietary/Trade Secret))	Information that embodies trade secrets or is commercial or financial and confidential or privileged, to the extent that such data pertain to items, components, or processes developed at private (not government) expense, including minor modifications.	<access_limitation> <ouolrd/> </access_limitation>
OUOAT (Applied Technology)	Unclassified category established by NE to preserve the foreign trade value of certain NE-funded progress and topical reports containing engineering, development, design, construction, and operation information pertaining to particular programs.	<access_limitation> <ouoat/> </access_limitation>
OUOPDOUO (Program Determined Official Use Only)	This type of OUO is based on approved guidance as reflected in DOE Order 471.3, Identifying and Protecting Official Use Only Information.	Examples: <access_limitation><ouopdouo exemption_number='2' />  <access_limitation> <ouopdouo exemption_number='7' /> <access_limitation> <access_limitation_other>other access lim</access_limitation_other>
<b>Required/Needed Attributes of &lt;access_limitation/&gt; if Access Limitation is Program Determined Official Use Only (OUOPDOUO)</b> Access Limitation Release access_limitation_rel_date Date (mm/dd/yy) PDOUO Exemption Number exemption_number		
NNPI (Naval Nuclear Propulsion)	Unclassified information related to any aspect of	Example: <access_limitation>

Info)	propulsion plants of naval nuclear-powered ships and prototypes, including the associated shipboard and shore-based nuclear support facilities. See Chief of Naval Operations Instruction N9210.3, Safeguarding of Naval Nuclear Propulsion Information.	<nnpi/> </access_limitation>
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