

Guideline for the SWORD import on HAL

Pôle Archives Ouvertes Inria - Service IES

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Introduction

The scientific open publication repository HAL¹ provides an upload service for TEI-XML files using the Sword protocol. This service allows you a quick deposit of scientific articles in HAL and facilitate the articles transfer from one open archive to another.

The XML format used for this import is a subset of the HAL XML interchange format which in turn is based upon the TEI (Text Encoding Initiative) guidelines. Maintained by the TEI consortium (www.tei-c.org), the guidelines provide more than 500 elements for the documentation, representation and annotation of textual documents. The customization used for HAL platform focuses on the representation of meta-data information needed for scholarly documents, as they appear in a publication repository.

This documentation is a reference manual separated in two sections :

- General elements valid for all documents types (examples given for each part)
- Specific elements by documents types (examples given for every part)

1. Instructions

1.1. How to make an XML import ?

- Before using this service, you must already have an account on HAL or create a new one².
- Create your XML files with an XML editor³. Consult the section "1.2. Help for the XML file construction". Beware : you have to create one XML file for each publication.
- You have the possibility to make 2 different types of uploads: uploads without any attached file(s) (notice) or a deposit with an attached file(s). Consult the section "1.3.2. General elements : <editionStmt>"
- Validate your XML file with the XML schema of HAL⁴ on an XML editor or by command-line on Linux by copying the XML schema of HAL on your disk and launching the following command-line :
`xmllint --noout TEI_COUV_complet_Sword.xml --schema aofr-sword.xsd`
- If you want, you can import your files via a Web-API⁵.
- Connexion with your HAL login and password.
- Import your articles by transferring your XML files one by one.
- After your submission, there is a validation step .

¹ <http://hal.inria.fr>

² <https://hal.inria.fr/user/create>

³ List of XML editors : <http://www.xml.com/pub/pt/3>

⁴ <http://api.archives-ouvertes.fr/documents/aofr-sword.xsd>

⁵ <https://api.archives-ouvertes.fr/sword/upload/>

- After the validation and if no modification is required, your document is online.

1.2. Help for XML file construction

Description

To help you reading this section, we tried to construct an easily readable documentation modeled as an XML file.

We mentioned **in bold** the mandatory elements :

`<tag element="attribute">` for a mandatory tag
or
`<tag element="attribute">` for an optional tag

Comments are mentioned in green :

`<!--comments-->`

XML file construction describing a HAL document (see also appendices) :

```
<TEI xmlns="http://www.tei-c.org/ns/1.0" xmlns:hal="http://hal.archives-ouvertes.fr"> Header
  <text> beginning of the document description
    <body>
      <listBibl>
        <biblFull> Beginning of the bibliographical informations
          <titleStmt>...</titleStmt> this part describing titles and authors is not used anymore (see <sourceDesc> part)
          <editionStmt>...</editionStmt> Informations about the file(s)
          <publicationStmt>...</publicationStmt> Publication (License)
          <seriesStmt>...</seriesStmt> Collection
          <notesStmt>...</notesStmt> Mention of notes
          <sourceDesc>...</sourceDesc> Source description
          <profileDesc>...</profileDesc> Description of non bibliographical elements
        </biblFull>
      </listBibl>
    </body>
    <back> Complementary informations
      <listOrg type="laboratories">...</listOrg> Definition of new structures (laboratories)
      <listOrg type="projects">...</listOrg> Definition of new projects (anr, european)
    </back>
  </text>
</TEI>
```

1.3.1. XML Header

Description

The header of your XML file contains the XML version (1.0), the character encoding ("utf-8") and the namespaces and scheme.

It also contains various informations for the TEI.

Comment

You can insert the name of the XML file creator and the date of the creation as commentary.

Content

```
<?xml version="1.0" encoding="UTF-8"?>
<TEI xmlns=http://www.tei-c.org/ns/1.0
<!--%link to the chosen schema (TEI)-->
  xmlns=http://www.w3.org/2001/XMLSchema-instance
<!--%Define the namespace TEI-->
  xmlns:hal=http://hal.archives-ouvertes.fr/
<!--%define the namespace HAL
  xsi:schemaLocation="http://www.tei-c.org/ns/1.0 https://api.archives-
ouvertes.fr/documents/aofr-sword.xsd">
<!--%add one more schema to the TEI : the SWORD schema-->
<text>
```

1.3.2. General elements

Description

For all documents allowed in HAL, some general tags have to systematically appear in the XML document. We describe them in this section.

<text>
<body>
<listBibl>
<biblFull>

<editionStmt>

Description

Information about the attached file(s).

Three solutions are available:

- give the link url to the file
- create a .zip containing the .xml and the document
- Deposit your document on the HAL FTP server and then give the link to the file

List of tags and attributes

```
<date type="whenWritten" notBefore="yyyy-mm-dd"></date>
<!--%notBefore is the embargo date with a maximum of 2 years-->
<ref type="file, src or annex" target=".pdf or http://... or
ftp://ftp.ccsd.cnrs.fr/document.pdf" n="1 or 0"/>
<ref subtype="file, src or annex" target=".pdf or http://... or
ftp://ftp.ccsd.cnrs.fr/document.pdf" n="1 or 0"/>
```

<!--%%n=1 for a main file or a main annex, n=0 if not a main file or a main annex -->

Comment

You have to fill the attributes in the same way in the case you give the link to document or if you join the file in a .zip

The <editionStmt> tag and its subtags can be removed completely if you want to deposit only a notice.

Example with .zip

```
<edition>
<date type="whenWritten">2014</date>
<ref type="file" target="546-3234-1-PB.pdf" subtype="author" n="1" />
<ref type="annex" target="pres.ppt" subtype="presentation" n="1">
</edition>
```

</editionStmt>

<publicationStmt>

Description

Information about Creative Commons Licenses.

List of tags and attributes

```
<availability>
  <licence target="http://creativecommons.org/licenses/by-nc-nd/,
  etc.6"></licence>
</availability>
```

Comment

You have no obligation to choose a Licence in particular. If you don't want to, you just have to remove the tag <publicationStmt>. By default it will be CC-BY.

Example

```
<availability>
<licence target="http://creativecommons.org/licenses/by-nc/">
</availability>
```

</publicationStmt>

<seriesStmt>

Description

Information about the stamps that you can add to the document.

⁶ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:licence&wt=xml&fl=*

List of tags and attributes

`<idno type="stamp" n="stamp value"/>`

Comment

You have no obligation to add a stamp. If you don't want to, you just have to remove the tag `<seriesStmt>`.

Pay attention : collections referring to the stamps must have been created BEFORE a deposit containing those stamps. If not, the API will return you an error message.

Example

`<idno type="stamp" n="CNRS"/>`

`<idno type="stamp" n="UNIV-PARIS5"/>`

`</seriesStmt>`

`<notesStmt>`

Description

Information about elements of characterization concerning the level of the publication.

List of tags and attributes

`<note type="" />`

Comment

This tag being really specific to the type of documents it describes, only the "type" attribute is mentioned here because it is required for all types of documents.

For the precisions and examples concerning each element type required by type of document in the "type" attribute, please refer to section "1.3.3. Specific element by types of documents".

`</notesStmt>`

`<sourceDesc>`

Description

Bibliographical information concerning the publication.

List of tags and attributes

`<biblStruct>`

`<analytic>`

`<title level="" type="main or sub" xml:lang="en, fr, ..." >title value</title>` multivalued


```

<!--%%xml:lang use language code ISO 639.1-->
<author role="aut, crp, edt, etc."7> multivalued
<persName>
  <forename type="first" or "middle"></forename>
  multivalued
  <surname></surname>
</persName>
<affiliation ref="#struct-xxx or localStruct-x/>
</author>
</analytic>
<monogr> or <monogr>
<!--%%<monogr> is a tag mandatory or optionnal, depending on the type of
document-->
</biblStruct>

```

Comment

The <title> tag can be repeated as needed in different languages or to specificate the subtitle.

To add an author, you have to fill the <persName> informations, excepted if you fill the author idhal or the id of the HAL author form.

For each document, one author at least have to be associated with one affiliation. There has to be at least one author and this author has to be affiliated to at least one laboratory.

For affiliation, use AuréHAL application (consult the section "2.3. HAL repository") to find identification number of author affiliation and replace xxx of "#struct-xxx" by this Id. **Beware : only valid affiliation can be added !**

If the affiliation doesn't exist in AuréHAL, add "localStruct-1", "localStruct-2", etc. as much as needed and report information in the back part of your XML file (see the section "1.3.2. General elements : <back>")

The <monogr> tag being really specific to the type of document it describes, only the <tag> is mentionned here. For the precisions and examples concerning each type of document, please refer to section "1.3.3. Specific elements by types of documents".

Example

```

<biblStruct>
<analytic>
<title xml:lang="en">Modelling Computing Systems</title>
<title type="sub" xml:lang="en">Mathematics for Computer Science</title>
<author role="aut">
<persName>
<forename type="first">prénom</forename>
<surname>nom</surname>
</persName>
<affiliation ref="#struct-13325"/>
</author>

```

⁷

http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:relator&fl=* &wt=xml

`</analytic>`
`</biblStruct>`

`</sourceDesc>`

`<profileDesc>`

`<langUsage>`

Description

Information about the language of the document.

List of tags and attributes

`<language ident="en, fr, ..." />`
`<!-- %%language code ISO 639.1-->`

Example

`<language ident="en"></language>`

`</langUsage>`

`<textClass>`

Description

Information about the keyword(s), the domain(s) and the type of document

List of tags and attributes

`<keywords scheme="author">`
 `<term xml:lang="en, fr, ...">` multivalued
`<!-- %%language code ISO 639.1-->`
`</keywords>`
`<classCode scheme="classification"/>` *classification number*
`value</classCode>`
`<classCode scheme="halDomain" n="info or info.info-au or info.info-bi etc.8" />` multivalued
`<classCode scheme="halTypology" n="OUV or COMM, etc.9" />`

Comment

The keywords are optionnal excepted for the types of document thesis and HDR witch are required in english and french.

The attribute "scheme" can be repeated to enter as much HAL domains as needed.

Example

⁸ http://api.archives-ouvertes.fr/ref/domain/?fl=*&wt=xml
⁹ http://api.archives-ouvertes.fr/ref/typdoc/?fl=*&wt=xml

```

<textClass>
<classCode scheme="halDomain" n="info.info-mo"></classCode>
<classCode scheme="halDomain" n="math.math-oc"></classCode>

<classCode scheme="halTypology" n="OUV"></classCode>
</textClass>

```

</textClass>

<abstract>

Description

Information about the publication summary

List of tags and attributes

```

<abstract xml:lang="en or fr etc."></abstract> multivalued
<!-- %% abstract optionnal excepted for the types of document "Thesis",
"HDR" and also "Poster" when there is an attached file-->
<!-- %%language code ISO 639.1-->

```

Comment

The abstract tag can be repeated as much as needed in different languages.

Example

```

<abstract xml:lang="en">This engaging textbook presents the fundamental
mathematics and modelling techniques for computing systems in a novel and
light-hearted way, which can be easily followed by students at the very
beginning of their university education. Key concepts are taught through a
large collection of challenging yet fun mathematical games and logical
puzzles that require no prior knowledge about computers. The text begins
with intuition and examples as a basis from which precise concepts are then
developed; demonstrating how, by working within the confines of a precise
structured method, the occurrence of errors in the system can be drastically
reduced.</abstract>

```

</abstract>

<particDesc>

Description

Information about the collaboration

List of tags and attributes

```

<particDesc>
<org type="consortium" >collaboration or project value</org>
<particDesc>

```

Example

```
<particDesc>
<org type="consortium">Collaboration/Project</org>
</particDesc>
```

```
</particDesc>
```

```
</profileDesc>
</biblFull>
</listBibl>
```

```
<back>
```

Description

Information about the laboratories unknown in AuréHAL affiliated to one or several author(s) of the publication.

List of tags and attributes

```
<listOrg type="laboratories" >
<org type="institution or department or laboratory or researchteam"
xml:id="localStruct-x"/>
  <orgName>orgName value</orgName>
  <orgName type="acronym" >acronym value</orgName>
  <desc>
    <address>
      <addrLine>
        <country key="FR, EN, ..." />
        <!-- %%language code ISO 639.1 written in CAPITAL-->
      </addrLine>
    </address>
    <ref type="url">url value</ref>
  </desc>
  <listRelation>
    <relation type="institution or department or laboratory or
researchteam" >
      <!-- %%optionnal only for the <org type="institution"-->
    </listRelation>
  </org>
```

Comment

For an easier process, you can ask beforehand of your import the creation of the structures to your HAL admin alias.

Example

```
<listOrg type="laboratories">
  <org type="laboratory" xml:id="localStruct-1">
    <orgName>Mon nouveau laboratoire</orgName>
    <orgName type="acronym">CCSD</orgName>
```

```

<desc>
  <address>
    <addrLine>25 bd Pierre de Coubertin, 69100
Villeurbanne</addrLine>
    <country key="FR"/>
  </address>
  <ref type="url">http://ccsd.cnrs.fr</ref>
</desc>
<listRelation>
  <relation type="UPS" name="UPS2275" active="#struct-300000"/>
  <relation active="#localStruct-2"/>
  <relation active="#localStruct-3"/>
</listRelation>
</org>

```

Description

Information about the ANR projects unknown in AuréHAL

List of tags and attributes

```

<listOrg type="projects" >
  <org type="anrProject" xml:id="localProjanr-x">
    <!-- %%Reference of the ANR project-->
    <idno type="anr">
      <!-- %%Acronym of the ANR project-->
    <orgName>orgName value</orgName>
    <orgName type="program" >orgName program value</orgName>
    <!-- %%Program title of the ANR project-->
    <desc>desc value</desc>
    <!-- %%Title of the ANR project-->
    <date>date value</date>
    <!-- %%Date of the ANR project-->
  </org>
</listOrg>

```

Comment

For an easier process, you can ask beforehand of your import the creation of the project [to](#) your admin HAL

Example

```

<listOrg type="projects">
  <org type="anrProject" xml:id="localProjanr-1">
    <idno type="anr">ANR-05-PADAEZD-001</idno>
    <orgName>VIN</orgName>
    <orgName type="program">Programme fédérateur Agriculture et
Développement Durable</orgName>
    <desc>Quelles interventions publiques et privées pour réduire
l'utilisation des traitements phytosanitaires dans le secteur du vin ?</desc>
    <date>2005</date>
  </org>

```

Description

Information about the european projects unknown in AuréHAL

List of tags and attributes

```
<listOrg type="projects">
  <org type="europeanProject" xml:id="localProjeurop-x">
    <idno type="program">Programs of the european project</idno>
    <idno type="number">Official number of the european
project</idno>
    <idno type="call">Reference of the european project</idno>
    <orgName>Acronym of the european project</orgName>
    <desc>Title of the european project</desc>
    <date type="start">date value<date>
    <!-- %%YYYY-MM-DD form inevitably-->
    <date type="end">date value<date>
    <!-- %%YYYY-MM-DD form inevitably-->
  </org>
</listOrg>
```

Comment

For an easier process, you can ask beforehand of your import the creation of the project [to your admin HAL](#)

Example

```
<listOrg type="projects">
  <org type="europeanProject" xml:id="localProjeurop-1">
    <idno type="program">REGAZPOT</idno>
    <idno type="number">204727</idno>
    <idno type="call">FP7-REGPOT-2007-1</idno>
    <orgName>ESTSSSPACE</orgName>
    <desc>Expose capacity of the Estonian Space Research and Technology
through High Quality Partnership in Europe</desc>
    <date type="start">2008-03-01</date>
    <date type="end">2011-02-28</date>
  </org>
</listOrg>
```

```
</back>
</body>
</text>
```

1.3.3. Specific elements by types of documents

1.3.2.1. Journal articles (ART)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Journal articles".

List of tags and attributes

<note type="commentary">commentary value</note>

<note type="description">description value</note>

<note type="audience" n="1 or 2 or 3¹⁰" />

<note type="popular" n="0 or 1¹¹" />

<note type="peer" n="0 or 1¹²" />

Example

<note type="popular" n="0" />

<note type="peer" n="0" />

<note type="audience" n="2" />

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "Journal articles".

List of tags and attributes

<monogr>

<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId, issn or eissn">number value</idno>

<title level="j" type="main or sub">title value</title>

<!-- %%You don't have to mention the title level and type if you add an issn known in auréHal-->

<respStmt>resp value</respStmt>

<editor>editor value</editor>

<imprint>

<publisher>publisher value</publisher>

<biblScope unit="serie">serie value</biblScope>

<biblScope unit="volume">volume value</biblScope>

¹⁰ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml

¹¹ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml

¹² http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:peerReviewing&fl=*&wt=xml

```

    <biblScope unit="issue">issue value</biblScope>
    <biblScope unit="pp">pages value</biblScope>
    <date type="datePub, dateEpub">date value</date>
</imprint>
<series>
    <editor>series editor</editor>
    <title>lecture name</title>
</series>
<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
"pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."13 target="related
description"></relatedItem>
</monogr>

```

Comment

journal title, date and the number of pages of the publication are required (excepted for the journal title if you add an issn know by auréHAL)

Example

```

<monogr>
<title level="j" type="main">Discrete Mathematics and Theoretical Computer
Science</title>
<imprint>
<biblScope unit="pp">1-38</biblScope>
<date
type="datePub">2008</date>
</imprint>
</monogr>

```

How to add a journal ?

If the journal is already in AuréHAL, you just have to add its ID HAL (<idno type="halJournalId">****</idno>)

If you have to create a new one, you have to mention the issn number and the title of the new review (<idno type="issn">***</idno> and <title level="j">***</idno>)

Example to add the HAL Journal ID

```

<monogr>
<idno type="halJournalId">103112</idno>
</monogr>

```

Example to create a new journal

```

<monogr>
<idno type="issn">1462-7264</idno>

```



```
<title level="j" type="main">Discrete Mathematics and Theoretical Computer Science</title>
</monogr>
```

</sourceDesc>

1.3.2.2. Conference papers (COMM)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Conference papers"

List of tags and attributes

```
<note type="commentary">commentary value</note>
<note type="description">description value</note>
<note type="audience" n="1 or 2 or 314" />
<note type="invited" n="0 or 115" />
<note type="popular" n="0 or 116" />
<note type="peer" n="0 or 117" />
<note type="proceedings" n="0 or 118" />
```

Example

```
<note type="audience" n="2"/>
<note type="invited" n="0"/>
<note type="popular" n="0"/>
<note type="peer" n="1"/>
<note type="proceedings" n="1"/>
```

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "conference papers".

List of tags and attributes

¹⁴ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml

¹⁵ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:invitedCommunication&fl=*&wt=xml

¹⁶ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml

¹⁷ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:peerReviewing&fl=*&wt=xml

¹⁸ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:proceedings&fl=*&wt=xml

```

<monogr>
  <idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId,
  issn or eissn">number value</idno>
  <title level="m" type="main or sub">title value</title>
  <meeting>
    <title>title meeting value</title>
    <date type="start">date value</date>
    <date type="end">date value</date>
    <settlement>city value</settlement>
    <country key="FR, EN, ..."/>
    <!-- %%language code ISO 639.1 written in CAPITAL-->
    <respStmt>resp value</respStmt>
    <editor>editor value</editor>
  </meeting>
  <imprint>
    <publisher>publisher value</publisher>
    <biblScope unit="serie">serie value</biblScope>
    <biblScope unit="volume">volume value</biblScope>
    <biblScope unit="issue">issue value</biblScope>
    <biblScope unit="pp">pages value</biblScope>
    <date type="datePub, dateEpub">date value</date>
  </imprint>
  <series>
    <editor>series editor</editor>
    <title>lecture name</title>
  </series>
  <idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
  "pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
  etc.>number</idno>
  <ref type="seeAlso", "publisher Link">reference of link</ref>
  <relatedItem type="isIllustratedBy, illustrate, etc."19 target="related
  description"></relatedItem>
</monogr>

```

Comment

The conference title, the starting date, the city and the country of the conference are required.

Example

```

<monogr>
  <title level="m">2011 IEEE International Conference on Acoustics, Speech
  and Signal Processing (ICASSP)</title>
  <meeting>
    <title>IEEE International Conference on Acoustics, Speech and Signal
    Processing - ICASSP 2011</title>

```

¹⁹

http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:relatedType&fl=*&wt=xml

```

<date type="start">2011-05-22</date>
<date type="end">2011-05-27</date>
<settlement>Prague</settlement>
<country key="CZ"/>
</meeting>
<imprint>
<publisher>IEEE</publisher>
<biblScope unit="pp">17-20</biblScope>
<date type="datePub">2011</date>
</monogr>

```

</sourceDesc>

1.3.2.1. Poster communications (POSTER)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Poster communications"

List of tags and attributes

```

<note type="commentary">commentary value</note>
<note type="description">description value</note>
<note type="audience" n="1 or 2 or 320" />
<note type="invited" n="0 or 121" />
<note type="popular" n="0 or 122" />
<note type="peer" n="0 or 123" />
<note type="proceedings" n="0 or 124" />

```

Example

```

<notesStmt>
<note type="popular" n="0" />
<note type="proceedings" n="1"></note>
<note type="peer" n="1"></note>
<note type="invited" n="0"></note>
<note type="audience" n="2"></note>
</notesStmt>

```

²⁰ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml

²¹ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:invitedCommunication&fl=*&wt=xml

²² http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml

²³ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:peerReviewing&fl=*&wt=xml

²⁴ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:proceedings&fl=*&wt=xml

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "Poster communications".

List of tags and attributes

<monogr>

<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId, issn or eissn">*number value***</idno>**

<title level="m" type="main or sub">*title value***</title>**

<meeting>

<title>*meeting title value***</title>**

<date type="start">**</date>**

<date type="end">**</date>**

<settlement>*city value***</settlement>**

<country key="FR, EN, ..." />

<!-- %%language code ISO 639.1 written in CAPITAL-->

<respStmt>*resp value***</respStmt>**

<editor>*editor value***</editor>**

</meeting>

<imprint>

<publisher>*publisher value***</publisher>**

<biblScope unit="serie">*serie value***</biblScope>**

<biblScope unit="volume">*volume value***</biblScope>**

<biblScope unit="issue">*issue value***</biblScope>**

<biblScope unit="pp">*pages value***</biblScope>**

<date type="datePub, dateEpub">*date value***</date>**

</imprint>

<series>

<editor>*series editor***</editor>**

<title>*lecture name***</title>**

</series>

<idno type="doi, "arxiv", "bibcode", "ird", "pubmed", "ads", "pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra", etc.">*number***</idno>**

<ref type="seeAlso, "publisher Link">*reference of link***</ref>**

<relatedItem type="isIllustratedBy, illustrate, etc."²⁵ target="related description">**</relatedItem>**

</monogr>

Comment

The conference title, the starting date, the ending date, the city and the country of the conference are required.

²⁵

http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&wt=xml

Example

```
<monogr>
<meeting>
<title>SIAM Day Cardiff</title>
<date type="start">2014-01-17</date>
<date type="end">2014-01-17</date>
<settlement>Cardiff</settlement>
<country key="GB"/>
</meeting>
<imprint>
<date type="datePub">2014-01-17</date>
</imprint>
</monogr>
```

</sourceDesc>

1.3.2.4. Books (OUV)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Books".

List of tags and attributes

```
<note type="commentary">commentary value</note>
<note type="description">description value</note>
<note type="audience" n="1 or 2 or 326" />
<note type="popular" n="0 or 127" />
```

Example

```
<note type="popular" n="0" />
<note type="audience" n="2"/>
```

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "Books".

List of tags and attributes

<monogr>

²⁶ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml

²⁷ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml

```

<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId,
issn or eissn">number value</idno>
<title level="m" type="main or sub" >booktitle value</title>
<meeting>
  <title>meeting title value</title>
  <date type="start"></date>
  <date type="end"></date>
  <settlement>city value</settlement>
  <country key="FR, EN, ..." />
  <!-- %%language code ISO 639.1 written in CAPITAL-->
  <respStmt>resp value</respStmt>
  <editor>editor value</editor>
</meeting>
<imprint>
  <publisher>publisher value</publisher>
  <biblScope unit="serie">serie value</biblScope>
  <biblScope unit="volume">volume value</biblScope>
  <biblScope unit="issue">issue value</biblScope>
  <biblScope unit="pp">pages value</biblScope>
  <date type="datePub, dateEpub" >date value</date>
</imprint>
<series>
  <editor>series editor</editor>
  <title>lecture name</title>
</series>
<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
"pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."28 target="related
description"></relatedItem>
</monogr>

```

Comment

The date of the publication is required.

Example

```

<monogr>
<imprint>
<date type="datePub">2013</date>
</imprint>
</monogr>

```

</sourceDesc>

1.3.2.5. Book sections (COUV)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Book sections".

List of tags and attributes

<note type="commentary">commentary value</note>

<note type="audience" n="1 or 2 or 3²⁹" />

<note type="popular" n="0 or 1³⁰" />

Example

<note type="popular" n="0" />

<note type="audience" n="2"/>

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "Book sections".

List of tags and attributes

<monogr>

<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId, issn or eissn">number value</idno>

<title level="m" type="main or sub">booktitle value</title>

<editor>editor value</editor>

<imprint>

<publisher>publisher value</publisher>

<biblScope unit="serie">serie value</biblScope>

<biblScope unit="volume">volume value</biblScope>

<biblScope unit="issue">issue value</biblScope>

<biblScope unit="pp">pages value</biblScope>

<date type="datePub, dateEpub">date value</date>

</imprint>

<series>

<editor>series editor</editor>

<title>lecture name</title>

</series>

29 http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml

30 http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml

```

<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
"pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."31 target="related
description"></relatedItem>
</monogr>

```

Comment

The book title and the date of the publication are required.

Example

```

<monogr>
<title level="m">Machine Learning in Healthcare Informatics</title>
<imprint>
<date type="datePub">2014</date>
</imprint>
</monogr>

```

</sourceDesc>

1.3.2.6. Directions of work or proceedings (DOUV)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Directions of work or proceedings".

List of tags and attributes

```

<note type="commentary">commentary value</note>
<note type="description">description value</note>
<note type="audience" n="1 or 2 or 3"32>/>
<note type="popular" n="0 or 1"33>/>

```

Example

```

<note type="popular" n="0" />
<note type="audience" n="2"/>

```

</notesStmt>

³¹ [http://api.archives-](http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml)

[ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml](http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml)

³² http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:audience&fl=*&wt=xml

³³ http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:popularLevel&fl=*&wt=xml

<sourceDesc>

Description

Specific bibliographical information concerning the type of document
"Directions of work or proceedings".

List of tags and attributes

<monogr>

```
<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId,
issn or eissn">number value</idno>
<title level="m" type="main or sub">booktitle value</title>
<meeting>
  <respStmt>resp value</respStmt>
  <editor>editor value</editor>
</meeting>
<imprint>
  <publisher>publisher value</publisher>
  <biblScope unit="serie">serie value</biblScope>
  <biblScope unit="volume">volume value</biblScope>
  <biblScope unit="issue">issue value</biblScope>
  <biblScope unit="pp">pages value</biblScope>
  <date type="datePub, dateEpub">date value</date>
</imprint>
<series>
  <editor>series editor</editor>
  <title>lecture name</title>
</series>
<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
"pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."34 target="related
description"></relatedItem>
</monogr>
```

Comment

The date of the publication is required.

Example

```
<monogr>
<imprint>
<date type="datePub">2007</date>
</imprint>
</monogr>
```

</sourceDesc>

1.3.2.7. Patents (PATENT)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Patents".

List of tags and attributes

<note type="commentary">commentary value</note>

<note type="description">description value</note>

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "Patents".

List of tags and attributes

<monogr>

<idno type="patentNumber">patent number</idno>

<country key="FR, EN, ..." />

<!-- %%language code ISO 639.1 written in CAPITAL-->

<title level="m" type="main or sub">title value</title>

<meeting>

<respStmt>resp value</respStmt>

<editor>editor value</editor>

</meeting>

<imprint>

<publisher>publisher value</publisher>

<biblScope unit="serie">serie value</biblScope>

<biblScope unit="volume">volume value</biblScope>

<biblScope unit="issue">issue value</biblScope>

<biblScope unit="pp">pages value</biblScope>

<date type="datePub, dateEpub">date value</date>

</imprint>

<series>

<editor>series editor</editor>

<title>lecture name</title>

</series>

<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads", "pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra", etc.>number</idno>

<ref type="seeAlso", "publisher Link">reference of link</ref>

```

    <relatedItem type="isIllustratedBy, illustrate, etc."35 target="related
    description"></relatedItem>
</monogr>

```

Comment

The patent number, the country and the date of publication are required.

Example

```

<monogr>
<idno type="patentNumber">WO2014078320</idno>
<country key="US"></country>
<imprint>
<date type="datePub">2014-05-22</date>
</imprint>
</monogr>

```

</sourceDesc>

1.3.2.8. Other publications (OTHER)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Other publications".

List of tags and attributes

```

<note type="commentary">commentary value</note>
<note type="description">description value</note>
<note type="audience" n="1 or 2 or 3"36>/>
<note type="popular" n="0 or 1"37>/>

```

Example

```

<notesStmt>
<note type="description">Documents de travail du Centre d'Economie de la
Sorbonne 2014.33 - ISSN : 1955-611X</note>
</notesStmt>

```

</notesStmt>

<sourceDesc>

³⁵ [http://api.archives-](http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml)

[ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml](http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml)

³⁶ http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:audience&fl=*&wt=xml

³⁷ http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:popularLevel&fl=*&wt=xml

Description

Specific bibliographical information concerning the type of document "Other publications".

List of tags and attributes

<monogr>

<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId, issn or eissn">number value</idno>
<title level="m" type="main or sub">booktitle value</title>
<meeting>
 <respStmt>resp value</respStmt>
 <editor>editor value</editor>
</meeting>
<imprint>
 <publisher>publisher value</publisher>
 <biblScope unit="serie">serie value</biblScope>
 <biblScope unit="volume">volume value</biblScope>
 <biblScope unit="issue">issue value</biblScope>
 <biblScope unit="pp">pages value</biblScope>
 <date type="datePub, dateEpub">date value</date>
</imprint>
<series>
 <editor>series editor</editor>
 <title>lecture name</title>
</series>
<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads", "pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra", etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."³⁸ target="related description"></relatedItem>
</monogr>

Comment

The date of the publication is required.

Example

```
<monogr>
<imprint>
<date type="datePub">2014-04</date>
</imprint>
</monogr>
```

</sourceDesc>

³⁸

http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&wt=xml

1.3.2.9. Preprints (UNDEFINED)

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Preprints".

List of tags and attributes

```
<note type="commentary">commentary value</note>
<note type="description">description value</note>
<note type="audience" n="1 or 2 or 339"/>
<note type="popular" n="0 or 140"/>
```

Example

```
<notesStmt>
<note type="commentary">19 pages</note>
</notesStmt>
```

</notesStmt>

1.3.2.10. Reports (REPORT)

<notesStmt>

Description

Specific informations about the elements of characterization concerning the level of the type of document "Reports".

List of tags and attributes

```
<note type="report" n="41" />
<note type="commentary">commentary value</note>
<note type="description">description value</note>
```

Example

```
<notesStmt>
<note type="report" n="6" />
</notesStmt>
```

</notesStmt>

<sourceDesc>

³⁹ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml
⁴⁰ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml
⁴¹ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:reportType&fl=*&wt=xml

Description

Specific bibliographical informations concerning the type of document "Reports".

List of tags and attributes

<monogr>

```
<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId,
issn or eissn">number value</idno>
<title level="m" type="main or sub">booktitle value</title>
<meeting>
  <respStmt>resp value</respStmt>
  <editor>editor value</editor>
</meeting>
<imprint>
  <publisher>publisher value</publisher>
  <biblScope unit="serie">serie value</biblScope>
  <biblScope unit="volume">volume value</biblScope>
  <biblScope unit="issue">issue value</biblScope>
  <biblScope unit="pp">pages value</biblScope>
  <date type="datePub, dateEpub">date value</date>
  <authority type="institution">authority
value</authority>
</imprint>
<series>
  <editor>series editor</editor>
  <title>lecture name</title>
</series>
<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
"pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."42 target="related
description"></relatedItem>
</monogr>
```

Comment

Publication's date and institution's name are required.

Example

```
monogr>
<idno type="reportnumber">PI1787</idno>
<imprint>
<date type="datePub">2006</date>
</imprint>
<authority type="institution">Ecole Nationale Supérieure des
Télécommunications de Bretagne</authority>
```

⁴²

http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml

</monogr>

</sourceDesc>

1.3.2.11. Thesis (THESE)

<editionStmt>

<edition>

<date type="whenWritten">date</date>

<ref type="file" target="https:// " subtype="author"
n="1"></ref>
</edition>

</editionStmt>

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "Theses".

List of tags and attributes

<note type="commentary">commentary value</note>

<note type="description">description value</note>

<note type="audience" n="1 or 2 or 3⁴³">

<note type="popular" n="0 or 1⁴⁴">

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "Theses".

List of tags and attributes

<monogr>

<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId,
issn or eissn">number value</idno>

<title level="m" type="main or sub">booktitle value</title>

<meeting>

⁴³ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml

⁴⁴ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml

```

    <respStmt>resp value</respStmt>
    <editor>editor value</editor>
</meeting>
<imprint>
    <publisher>publisher value</publisher>
    <biblScope unit="serie">serie value</biblScope>
    <biblScope unit="volume">volume value</biblScope>
    <biblScope unit="issue">issue value</biblScope>
    <biblScope unit="pp">pages value</biblScope>
    <date type="dateDefended" >date value<:date>
    <authority type="school, institution, supervisor or
    jury">authority value</authority> multivalued
</imprint>
<series>
    <editor>series editor</editor>
    <title>lecture name</title>
</series>
<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
"pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."45 target="related
description"></relatedItem>
</monogr>

```

Comment

Defense date, institution's name and supervisor are required.

Example

```

<monogr>
<imprint>
<date type="dateDefended">2014-03-26</date>
</imprint>
<authority type="institution">Université Pierre et Marie Curie - Paris
VI</authority>
<authority type="supervisor">M. Jean BAUDRY</authority>
<authority type="jury">Mme Valérie CABUIL [Présidente]</authority>
<authority type="jury">M. Jérôme BIBETTE [Co-Directeur de
thèse]</authority>
<authority type="jury">M. Fernando LEAL-CALDERON
[Rapporteur]</authority>
<authority type="jury">M. Jean-Philippe RENAULT
[Rapporteur]</authority>
<authority type="jury">M. Philippe NERIN [Examineur]</authority>
</monogr>

```

⁴⁵

http://api.archives-ouvertes.fr/ref/metadataList?q=metaName_s:relatedType&fl=*&fl=*&wt=xml

</sourceDesc>

1.3.2.12. HDR (HDR)

<editionStmt>

<edition>

<date type="whenWritten">date</date>

<ref type="file" target="https:// " subtype="author"

n="1"></ref>

</edition>

</editionStmt>

<notesStmt>

Description

Specific information about the elements of characterization concerning the level of the type of document "HDR".

List of tags and attributes

<note type="commentary">commentary value</note>

<note type="description">description value</note>

<note type="audience" n="1 or 2 or 3⁴⁶">

<note type="popular" n="0 or 1⁴⁷">

</notesStmt>

<sourceDesc>

Description

Specific bibliographical information concerning the type of document "HDR".

List of tags and attributes

<monogr>

<idno type="nnt, isbn, patentNumber, reportNumber, localRef, halJournalId, issn or eissn">number value</idno>

<title level="m" type="main or sub">booktitle value</title>

<meeting>

<respStmt>resp value</respStmt>

<editor>editor value</editor>

</meeting>

<imprint>

<publisher>publisher value</publisher>

⁴⁶ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:audience&fl=*&wt=xml

⁴⁷ http://api.archives-ouvertes.fr/ref/metadataList/?q=metaName_s:popularLevel&fl=*&wt=xml

```

<biblScope unit="serie">serie value</biblScope>
<biblScope unit="volume">volume value</biblScope>
<biblScope unit="issue">issue value</biblScope>
<biblScope unit="pp">pages value</biblScope>
<date type="dateDefended" >date value<:date>
<authority type="school, institution, supervisor or
jury">authority value</authority> multivalued
</imprint>
<series>
  <editor>series editor</editor>
  <title>lecture name</title>
</series>
<idno type="doi", "arxiv", "bibcode", "ird", "pubmed", "ads",
"pubmedcentral", "irstea", "sciencespo", "oatao", "ensam", "prodinra",
etc.>number</idno>
<ref type="seeAlso", "publisher Link">reference of link</ref>
<relatedItem type="isIllustratedBy, illustrate, etc."48 target="related
description"></relatedItem>
</monogr>

```

Comment

The date of Defense and the names of the institution and supervisor of the HDR are required.

Example

```

<monogr>
<imprint>
<date type="dateDefended">2004-09-14</date>
</imprint>
<authority type="institution">Université Joseph-Fourier - Grenoble
I</authority>
<authority type="supervisor">Laurent Levy</authority>
<authority type="jury">Franck Hekking</authority>
<authority type="jury">Dominique Mailly</authority>
</monogr>

```

</sourceDesc>

2. Appendices

2.1. Examples

You can find examples for each type of document.

The main example about the XML file construction describing a HAL document:

```
<?xml version="1.0" encoding="utf-8"?>
<TEI xmlns="http://www.tei-c.org/ns/1.0" xmlns:hal="http://hal.archives-ouvertes.fr">
<text>
<body>
<listBibl>
<biblFull>
<titleStmt>
<title xml:lang="FR">Les macros d'édition dans E-anim</title>
<author role="aut">
<persName>
<forename type="first">Destrumel</forename>
<surname>Philippe</surname>
</persName>
<email>e-anim@orange.fr</email>
<affiliation ref="#struct-xxxxx"/>
</author>
</titleStmt>
<editionStmt><edition>
<date notBefore="2014-11-10"/><date
type="whenWritten">2014</date><ref type="file" target="p1-
destrumel.pdf" subtype="author" n="1" />
</edition></editionStmt>
<notesStmt>
<note type="audience" n="2"/>
<note type="popular" n="0"/>
<note type="proceedings" n="1"/>
<note type="peer" n="1"/>
<note type="invited" n="0"/>
</notesStmt>
<sourceDesc>
<biblStruct>
<analytic>
<title xml:lang="FR">Les macros d'édition dans E-anim</title>
<author role="aut">
<persName>
<forename type="first">Destrumel</forename>
<surname>Philippe</surname>
</persName>
```

```

<email>e-anim@orange.fr</email>
<affiliation ref=""/>
</author>
</analytic>
<monogr>
<title level="m">26e conférence francophone sur l'Interaction Homme-
Machine</title>
<meeting>
<title>26e conférence francophone sur l'Interaction Homme-Machine</title>
<date type="start">2014-10-28</date>
<date type="end">2014-10-31</date>
<settlement>Lille</settlement>
<country key="FR"/>
</meeting>
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1-2</biblScope>
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</imprint>
</monogr>
</biblStruct>
</sourceDesc>
<profileDesc>
<langUsage>
<language ident="FR"/>
</langUsage>
<textClass>
<keywords scheme="author">
<term xml:lang="fr">Macros d'édition</term>
<term xml:lang="fr"> ruban</term>
<term xml:lang="fr"> arborescence</term>
<term xml:lang="fr"> gadget</term>
<term xml:lang="fr"> widget</term>
<term xml:lang="fr"> Collection</term>
<term xml:lang="fr"> Style</term>
<term xml:lang="fr"> Flash</term>
<term xml:lang="fr"> html5</term>
</keywords>
<classCode scheme="halDomain" n="info"/>
<classCode scheme="halTypology" n="COMM"></classCode>
</textClass>
<abstract xml:lang="fr">E-anim est un éditeur pour créer des animations en
Flash ou en html5. Il comporte un module, nommé Edidget, pour composer
des barres-d'outils-utilisateurs.</abstract>
</profileDesc>
</biblFull>
</listBibl>
</body>

```

</text>
</TEI>

2.2. XML schema

You can find the XML schema⁴⁹ defining the structure of HAL.

2.3. AuréHAL

Description

You can consult the repository AuréHAL⁵⁰ to find the identification numbers of the following datas :

- Authors
- Research structures (institution, laboratory, department, research team)
- Disciplines (domains)
- Reviews
- ANR projects
- European projects

Example

<affiliation ref="#struct-300009"> : affiliation number of the CNRS

2.4. Misc.

Doc import SWORD: <http://api.archives-ouvertes.fr/docs/sword>

⁴⁹ <http://api.archives-ouvertes.fr/documents/aofr-sword.xsd>

⁵⁰ <https://aurehal.archives-ouvertes.fr/>