

# Requirements for Submitting Books Sold as Chapters to IEEE Xplore

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## 1. Important Information

In order to submit Chapters to IEEE Xplore, you must first submit the book information as described in “[Requirements for Submitting Complete Books to IEEE Xplore](#)”. The one exception is that you **do not include** the full book PDF file as specified in that document. Once you’ve created the book information you are ready to deliver the chapter level information. This document explains on how to prepare the chapter information. [Sample ONIX, Chapter XML, PDFs, and JPEG \(JPG\) files are available online.](#)

## 2. Submission Requirements for Chapters

IEEE must receive the following:

1. A valid book information zip file. *(See Section 1)*
2. A valid chapter information zip file. *(See Section 5.1).*
3. PDF files that meet the [IEEE PDF Specification](#). *(See Section 4)*
4. The chapter XML file (for each chapter) using the [IDAMS Exchange XSD](#). *(See Section 5)*
5. The complete submission must be delivered as two separate zip files to an IEEE designated ftp site via secured FTP. Account details will be provided. *(See Sections 5.1, 5.2, and 5.3.)*

## 3. General File and Folder Naming Conventions

All files and folders will follow the conventions below unless otherwise indicated. All files must have the appropriate extension.

1. Must take the form of: [filename].[extension]
2. Valid characters for filename are: a-z, A-Z, 0-9, -, \_  
**NOTE:** The comma is a *delimiter*! It is **not** allowed in the filename.
3. May not contain any of these characters: @#%(^)
4. For PDF, XML, and JPEG files, only a single period "." separating the filename from the extension is allowed.
5. Spaces are prohibited.
6. *Maximum file name length 50 characters* (excluding the 4 character extension, e.g., “.xml”).
7. File name extensions **must** be in lower-case.
8. The only allowable extensions for [filename] are “pdf” (for PDF files), “xml” (for XML files), and “jpg” (for cover images).

**NOTE:** Folders do not have an extension but must follow all the other rules.

## 4. Technical Requirements for PDFs

All PDF files must be IEEE Xplore compatible. Please follow the [IEEE PDF specification](#). If there is a back file being loaded then IEEE waives the requirements that:

1. The files are Acrobat 5-8 only. (Instead, the files must be Acrobat 8 or earlier),
2. All fonts are embedded and subset.

However, *current files* must follow the *full* IEEE PDF specification referred to above.

## 5 Chapter PDF and XML Delivery Information

The Chapter delivery consists of:

1. A book folder. IEEE recommends but does not require that this folder is named with the book's ISBN.
2. Chapter folders for each individual chapter. IEEE recommends, but does not require, that this folder begins with the book's ISBN, followed by a dash, and then the name of the PDF file (minus the extension).
3. Each Chapter folder contains the Chapter PDF and Chapter XML files.
  - Allowable Chapter PDF file names consist of (1) any alphanumeric character or (2) an underscore, (3) followed by “.pdf”.
  - The Chapter XML file must always be named “**idams\_metadata.xml**”.

### 5.1 Packaging Chapter XML for Delivery

Chapter level metadata is required for individual chapters. Chapter metadata must conform to [IDAMS Exchange XSD](#) (See Section 5.2, “Chapter XML Sample” for details).

The table below is an example, where we use the book's ISBN to name the files<sup>1</sup>. Each chapter XML file *must always* be named **idams\_metadata.xml**.

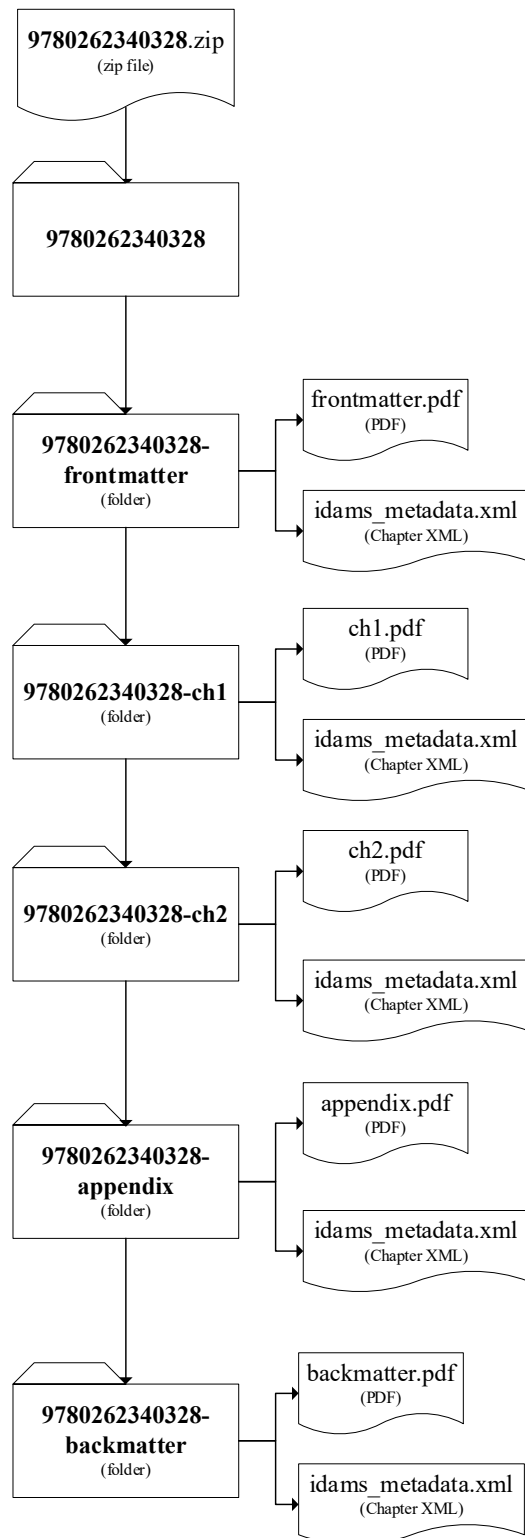
Name	Type	Description
<b>9780262340328</b>	<b>Delivery Folder</b>	Name of the book folder. This is the book's ISBN.
<b>9780262340328-frontmatter</b>	<b>Chapter folder</b>	Sub-folder under 01272017
frontmatter.pdf	PDF file within folder	Front matter PDF
idams_metadata.xml	Chapter XML file	Front matter XML file
<b>9780262340328-ch1</b>	<b>Chapter folder</b>	Sub-folder under 01272017
ch1.pdf	PDF file within folder	Chapter PDF
idams_metadata.xml	Chapter XML file	Chapter level XML file
<b>9780262340328-ch2</b>	<b>Chapter folder</b>	Sub-folder under 01272017
ch2.pdf	PDF file within folder	Chapter PDF
idams_metadata.xml	Chapter XML file	Chapter level XML file
<b>9780262340328-appendix</b>	<b>Chapter folder</b>	Sub-folder under 01272017
appendix.pdf	PDF file within folder	Appendix PDF
idams_metadata.xml	Chapter XML file	Appendix XML file
<b>9780262340328-backmatter</b>	<b>Chapter folder</b>	Sub-folder under 01272017
backmatter.pdf	PDF file within folder	Back matter PDF
idams_metadata.xml	Chapter XML file	Back matter XML file

Once all the files are added to the delivery folder, the folder is zipped. The resulting zip file is named using (1) alphanumeric characters (2) plus the underscore. For example, the zip file could be named:

1. 9780262340328.zip (For a zip file containing all the chapter files for the book with ISBN 9780262340328)

The file structure described in the table above is shown in the figure on the following page:

<sup>1</sup> Any file name can be used as long as it consists of (1) ASCII alphanumeric characters (2) the underscore, (3) a single period, and (4) a valid extension.

**NOTES:**

1. IEEE only accepts files in zip format.
2. IEEE must receive both parts of the delivery and all the files for a book to appear in IEEE Xplore.
3. The name of the chapter XML *must always* be “**idams\_metadata.xml**”.

## 5.2 Chapter XML Sample

Below is an example of a chapter XML file. The chapter XML must be in the [IDAMS Exchange XSD](#). After the example are comments regarding the tagging.

```
<?xml version="1.0" encoding="utf-8"?>
<!DOCTYPE book PUBLIC "-//IEEE//IDAMS Exchange V1.0//EN"
"ieee_idams_exchange.dtd">
<book>
  <title/>
  <bookinfo>
    <isbn>9780262338301</isbn>
  </bookinfo>
  <chapter>
    <title>Energy in Prehistory</title>
    <chapterinfo>
      <chapterseqnum chapterseqtype="Book">30</chapterseqnum>
      <chaptercontenttype>chapter</chaptercontenttype>
      <chapternum>ch2</chapternum>
      <abstract abstracttype="Regular">Understanding the origins of the genus
Homo and filling in the details of its subsequent evolution is a never-ending quest
as new findings push back many old markers and complicate the overall picture
with the discovery of species that do not fit easily into an existing hierarchy
(Trinkaus 2005; Reynolds and Gallagher 2012).</abstract>
      <authorgroup>
        <author>
          <firstname><![CDATA[Emmanuel]]></firstname>
          <surname><![CDATA[Jeannot]]></surname>
          <affgrp>
            <affn>
              <orgname><![CDATA[Infineon Technologies
AG]]></orgname>
              <orgdiv><![CDATA[Wernerwerkstra&#xdf;e 2]]></orgdiv>
            <address>
              <city><![CDATA[Regensburg]]></city>
              <country>Germany</country>
            </address>
          </affn>
        </affgrp>
        <authortype>author</authortype>
      </author>
    </authorgroup>
    <filename filetype="MainPDF">ch2.pdf</filename>
    <chapterpagenums startpage="21" endpage="47"/>
  </chapterinfo>
</chapter>
</book>
```

### 5.3 Comments on Chapter XML Sample

Tag	Comment	Required or Optional?
<book><title/>	This is for the book's title. Provide if available. Otherwise use empty tag.	Required
<bookinfo><isbn>	The book's ISBN	Required
<chapter> <title>	The chapter's title	Required (if available)
<chapterseqnum chapterseqtype=>	<ol style="list-style-type: none"> <li>1. Defines the order of the chapters in the book.</li> <li>2. Chapterseqtype must always be "Book".</li> <li>3. Number the chapters as either 1, 2, 3 or 10, 20, 30. Either way is acceptable.</li> </ol>	Required
<chaptercontenttype>	Allowed values for <chaptercontenttype> are: <ul style="list-style-type: none"> <li>• Front matter</li> <li>• Chapter</li> <li>• Back matter</li> <li>• Miscellaneous</li> <li>• Part Introduction</li> <li>• Erratum</li> </ul>	Optional
<chapternum>	Abbreviated chapter name. For example, ch1, ch2, fm, bm, index, etc.	Optional
<abstract abstracttype=>	Must always be "Regular"	Optional
<authorgroup><author>	Contains one or more chapter authors if present. Each individual author must be in an <author></author> pair.	If Present
<firstname>	Author's first or given name	If Present
<surname>	Author's surname or family name	If Present
<authorgroup><author> <affgrp><affn> orgname>	Author's Organization Name	Required (if available)
<orgdiv>	Author's Organization Division	Required (if available)
<authorgroup><author> <affgrp><affn><address><city>	Organization's City	Required (if available)
<country>	Organization's County	Required (if available)
<postcode>	Organization's Postal Code	Required (if available)
<authorgroup><author> <authortype>	Is either "author" or "editor"	Required (if available)
<filename>	The chapter's PDF file name	Required
<chapterpagenums>	Will always have both a "startpage" and "endpage" attributes.	Optional