Preprint platform SERVER research form (part 1/2)

Status: this form is currently undergoing testing. Many thanks for your assistance as we smoothen this process!

INSTRUCTIONS:
This form is pre-filled with information found online by Jamie Kirkham and Naomi Penfold, and shared with you for validation and/or clarification. This information is to be compiled into an open (CC0) dataset, and shared via academic publication (Jamie Kirkham et al) and via an online directory (ASAPbio). Please clearly identify any information that you wish to withhold from this dataset.

We draw your attention to questions where we have not been able to find any information online or where we request clarification: please update the response or contribute information via this form. We further ask that you validate the existing answers (if correct, alternatively update them) implicitly via submission of the form at the end of the review.

We will discuss this request via a phone call at an arranged time. Submitting the form in advance of the call will allow conversation to focus on areas where information has been updated or clarified; alternatively, we can run through the form during the call. For the latter, this may require more than one hour.

Throughout, the word "platform" refers to any service -- publishing platform or server -- for simplicity's sake.

1. **Contributor name**

   _____

2. **Contribution type**
   Mark only one oval.

   ◯ Information entered before server validation (interim stage)

   ◯ Information provided by platform representative via online comments/submission/email feedback

   ◯ Information provided by platform representative via phone call with Jamie/Naomi

3. **Platform name**
   include full name (acronym) where appropriate

   _____

4. **Platform contact information - generic**
   Enter public-facing email address

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5. **Platform contact information - personal**
   Enter personal name, position and email contact information for platform providers, if known -- this is for the purposes of contacting to validate information, not for sharing publicly in the dataset.

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6. **Website URL**

   _____

7. **Access protocol**
   Mark only one oval.

   ◯ HTTP

   ◯ HTTPS

   ◯ Other: _____

8. **Electronic ISSN**
   If known, otherwise enter "Not reported"

   _____

9. **Print ISSN**
   If known, otherwise enter "Not reported"

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10. **DOI prefix**
    For example, preprints.org prefix is 10.20944

    _____

11. **Platform description**
    Paste short description provided by platform, generally found on homepage as one or a few sentences detailing what the platform does, its mission and scope. (Limit to a few sentences only.)

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12. **Date first content posted**
    Retrievable using advanced search for earliest record. Enter as YYYY/MM/DD. Where day or month unknown, enter as 00.

    _____

13. **End date (if applicable)**

State "Currently active" if active; if not active, enter date of last content posted or formal announcement of closure, whichever is later. Enter as YYYY/MM/DD. Where day or month unknown, enter as 00.

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14. **Disciplinary scope**

Enter as list separated by semi-colon (;); use discipline names provided by server only (we can categorise later); or enter "unknown - information not found online" or "unknown - question not considered"

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15. **Who owns the service?**

Name the owner; here defined as in control of the content and any major decisions such as closure of service; or enter "unknown - information not found online" or "unknown - question not considered"

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16. **Type of ownership**

Mark only one oval.

◯ Individual

◯ Publishing organisation (publisher)

◯ Funding organisation (funder)

◯ Academic institution

◯ Scientific society

◯ Other: _____

17. **Type of ownership - information & source URL**

Quote any useful information from the website.

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18. **For-profit / not-for-profit status (of platform)**

Mark only one oval.

◯ For-profit

◯ Non-profit or not-for-profit

◯ Unknown - information not found online

◯ Unknown - question not considered

◯ Other: _____

19. **For-profit / not-for-profit status (of platform) - information & source URL**

Quote any useful information from the website.

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20. **Sustainability of service**

Please provide details on current (and any planned) sources of income to sustain the service; or enter "unknown". Our online research focussed on information available from the platform website only. Please provide further information and clearly identify whether you consent for this information to be made available publicly.

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21. **Platform vendor**

Who provides the product the service runs on; or enter "unknown - information not found online" or "unknown - question not considered"

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22. **Platform technology used**

Name of technological platform used, if known & URL for product page where available; or enter "unknown - information not found online" or "unknown - question not considered"

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23. **Is platform software open source?**
For types of software licenses, see https://opensource.org/licenses/category
Mark only one oval.

- ◯ Open source with permissive license (e.g. licenses that permit reuse, such as MIT, BSD)
- ◯ Open source without permissive license (e.g. licenses that do not permit reuse)
- ◯ Public source code but not licensed
- ◯ A combination of proprietary software with open source elements or components
- ◯ Closed source
- ◯ Unknown - information not found online
- ◯ Unknown - question not considered

24. **Open source technology - information & source URL**
Quote any useful information from the website.

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25. **Does platform have an advisory board?**
Mark only one oval.

- ◯ Yes
- ◯ No
- ◯ Unknown - information not found online
- ◯ Unknown - question not considered

26. **Are researchers included in the advisory board?**
Mark only one oval.

- ◯ Yes
- ◯ No
- ◯ Unknown - information not found online or not clear
- ◯ Unknown - question not considered

27. **Advisory board - information & source URL**
Please provide URL where advisory board is detailed, e.g. members are listed, and any other relevant information; or enter "unknown - information not found online" or "unknown - question not considered"

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28. **Content language(s) accepted**
If unknown, select one option for "Unknown..." only
Check all that apply.

- ☐ English only
- ☐ English and others (listed as others below)
- ☐ Unknown - information not found online
- ☐ Unknown - question not considered
- ☐ Other: _____

29. **Content language - information & source URL**
Quote any useful information from the website.

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30. **Content types accepted**
For example, research articles, posters, new data. Copy text directly from website & source URL; or enter "unknown - information not found online" or "unknown - question not considered"

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31. **Major content states accepted for submission**
   Check all that apply.

   ☐ Preprint (complete scientific manuscript before acceptance through journal-led peer review)

   ☐ Author-accepted manuscript

   ☐ Publisher PDF

   ☐ Unknown - information not found online

   ☐ Unknown - question not considered

   ☐ Other: _____

32. **Content states accepted - information & source URL**
   Quote any useful information from the website.

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33. **Permitted submission formats for text content**
   Use Other to specify in free text any other formats allowed
   Check all that apply.

   ☐ PDF

   ☐ Word doc

   ☐ WordPerfect

   ☐ LaTeX

   ☐ Unknown - information not found online

   ☐ Unknown - question not considered

   ☐ Other: _____

34. **Permitted submission formats for non-text content**
   Use Other to specify in free text any other formats allowed
   Check all that apply.

   ☐ Included in single complete manuscript as PDF only

   ☐ PDF

   ☐ Zip file (or Tar)

   ☐ JPEG (or JPG)

   ☐ TIFF

   ☐ EPS

   ☐ PPT

   ☐ PICT

   ☐ BMP

   ☐ XLS(X)

   ☐ PSD

   ☐ CSV

   ☐ PNG

   ☐ RDF

   ☐ Unknown - information not found online

   ☐ Unknown - question not considered

   ☐ Other: _____

35. **Submission formats - information & source URL**
   Quote any useful information from the website; applies to all Qs above about submission formats.

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36. **Are supplementary materials accepted with manuscript?**
   Mark only one oval.

   ◯ Yes, without restrictions

   ◯ Yes, with restrictions (see details)

   ◯ No

   ◯ Unknown - information not found online

   ◯ Unknown - question not considered

37. **Supplementary file restrictions and guidance**
   Include guidance from platform with URL where found, where possible. For example, which types of
   supplementary files are allowed; file size limit; are authors encouraged to submit large data files to
   external repositories; which external repositories; guidance for source code files?

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38. **Posted preprint format**
Check all that apply.

- [ ] As supplied by author
- [ ] PDF
- [ ] HTML
- [ ] XML
- [ ] Unknown - information not found online
- [ ] Unknown - question not considered
- [ ] Other: _____

39. **Posted supplementary files format**
Check all that apply.

- [ ] As supplied by author
- [ ] Generated PDF
- [ ] Unknown - information not found online
- [ ] Unknown - question not considered
- [ ] Other: _____

40. **Is full-text content available in machine-readable format (in the future, if not already)?**
Our online research focussed on information available from the platform website only. Please provide
further information and clearly identify whether you consent for this information to be made available
publicly.

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41. **How is preprint full-text viewable?**
Check all that apply.

- [ ] By PDF download only
- [ ] PDF viewable in browser without download
- [ ] Full-text viewable in browser without PDF (e.g. as HTML)
- [ ] Unknown - information not found online
- [ ] Unknown - question not considered
- [ ] Other: _____

42. **Posted & viewable format(s) - information & source URL**
Quote any useful information from the website; applies to all Qs above about posted content formats.

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43. **Unique identifier type**
Check all that apply.

- [ ] DOI
- [ ] URL
- [ ] Platform-specific ID (e.g. arXiv ID)
- [ ] Other: _____

44. **Unique identifier type - information & source URL**
Quote any useful information from the website.

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45. **Versioning policy**
Mark only one oval.

- ( ) Platform accepts first submission only
- ( ) Platform accepts new versions of content up until acceptance at journal
- ( ) Platform accepts any new versions
- ( ) Unknown - information not found online
- ( ) Unknown - question not considered
- ( ) Other: _____

46. **Does each version receive a unique DOI or citable identifier?**
   Checkboxes to allow selection of both yes options; otherwise, select only one answer.
   Check all that apply.

   ☐ Yes - each version receives its own DOI (including sub-DOIs); this also applies if only one version permitted

   ☐ Yes - each version receives its own non-DOI citable identifier; this also applies if only one version permitted

   ☐ No - each submission is issued a single DOI and new versions retain this DOI

   ☐ Unknown - information not found online

   ☐ Unknown - question not considered

47. **Versioning - information & source URL**
   Quote any useful information from the website; this applies to all Qs above about versioning.

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48. **Does platform express a commitment to comply FAIR principles?**
   Our online research focussed on information available from the platform website only. Please provide further information and clearly identify whether you consent for this information to be made publicly. FAIR = objects are findable, accessible, interoperable and reusable, according to principles at https://www.force11.org/group/fairgroup/fairprinciples. Identify whether the platform has a commitment to comply with this and how (and where possible, evidence of compliance).
   Mark only one oval.

   ◯ Yes

   ◯ Yes, with restrictions or partial commitment

   ◯ None as yet

   ◯ Unknown - information not found online

   ◯ Unknown - question not considered

49. **Details on commitment to comply with FAIR principles**
   As above, our online research focussed on information available from the platform website only. Please provide further information and clearly identify whether you consent for this information to be made available publicly.

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50. **Are related research objects (e.g. externally stored data) discoverable from the the abstract page?**
   If not reference or not known, select one answer only.
   Check all that apply.

   ☐ Link to external content via DOI URL

   ☐ Link to external content via non-DOI URL

   ☐ Non-linked reference to external content

   ☐ External content not referenced from the abstract page

   ☐ Unknown - information not found online

   ☐ Unknown - question not considered

   ☐ Other: _____

51. **Abstract links to related research objects - information & source URL**
   Quote any useful information from the website.

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52. **Data availability statement**
   Mark only one oval.

   ◯ Platform requires data availability statement

   ◯ Platform encourages data availability statement

   ◯ Platform does not request or require data availability statement

   ◯ Unknown - information not found online

   ◯ Unknown - question not considered

53. **Data availability statement - information & source URL**
   Quote any useful information from the website.

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54. **Is it clearly stated that content is not peer-reviewed directly on the record page?**
Mark only one oval.

○ Yes

○ No

55. **Is it clearly stated that content is not peer-reviewed within easily discoverable preprint server pages (e.g. FAQs or similar)?**
Mark only one oval.

○ Yes

○ No

56. **Content not peer-reviewed - information & source URL**
Quote any useful information from the website; this applies to all Qs above about clearly stating content is not peer-reviewed.

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57. **What are the licensing options available for the preprint manuscript?**
If unknown or none, select one answer only
Check all that apply.

☐ CC0 (public domain)

☐ CC-BY

☐ CC-BY-NC

☐ CC-BY-ND

☐ CC-BY-NC-ND

☐ All rights reserved

☐ No license(s) stated

☐ Unknown - information not found online

☐ Unknown - question not considered

☐ Other: _____

58. **What is the preferred or default license applied to the preprint manuscript?**
If unknown or none, select one answer only; (Answers checkboxes in case policy is not a single license, e.g. "CC-0 or CC-BY preferred")
Check all that apply.

☐ CC0 (public domain)

☐ CC-BY

☐ CC-BY-NC

☐ CC-BY-ND

☐ CC-BY-NC-ND

☐ All rights reserved

☐ No default or preferred license specified

☐ Unknown - information not found online

☐ Unknown - question not considered

☐ Other: _____

59. **Manuscript licensing - information & source URL**
Quote any useful information from the website; this applies to all Qs above about manuscript licensing.

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60. **What are the licensing options available for supplementary materials?**
Are they different to the manuscript? Quote policy/information and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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61. **Continue with part 2**
which starts from screening checks (then policies, timeframe, metadata, features)

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Preprint platform SERVER research form (part 2/2)

Continued from part 1

1. **Platform name**
   To cross-reference

   _____

2. **Platform's description of the screening check**
   Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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3. **Who screens submissions?**
   Enter details found online about who is involved in the screening process, including URL(s) where appropriate; or enter "unknown - information not found online" or "unknown - question not considered"

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4. **Are researchers involved in screening process?**
   Mark only one oval.

   ( ) Yes
   ( ) No
   ( ) Unknown - information not found online
   ( ) Unknown - question not considered

5. **Screening checks - overview**
   Are the following checked for during screening. More detailed information in following questions.
   Check all that apply.

   [ ] Competing interests declared
   [ ] Plagiarism (e.g. run through software)
   [ ] Misconduct or integrity checks
   [ ] Authors are genuine
   [ ] All authors provide permission to post
   [ ] Compliance with ethical and legal requirements
   [ ] Funders acknowledged
   [ ] Clinical trial registration
   [ ] Other: _____

6. **Screening check for authorship: are authors genuine?**
   For example, policy regarding authentication via ORCID (more questions below). Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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7. **Screening check for authorship: do all authors consent?**
   For example, policy regarding whether authors are asked to sign as consent to post (more questions below). Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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8. **Screening check for compliance with ethical, legal and/or societal standards**
   Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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9. **Screening check for completeness of manuscript**
Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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10. **Screening check for funder acknowledgement**
Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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11. **Screening check for clinical trial registration, where appropriate**
Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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12. **Competing interest policy**
Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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13. **Misconduct policy**
Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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14. **Plagiarism policy**
Note this is for their general plagiarism policy that may apply during screening or after posting. Quote policy and include URL where possible; If none, state "none", or enter "unknown - information not found online" or "unknown - question not considered"

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15. **Is data availability checked?**
Use other box for any free text comments or details.
Mark only one oval.

○ Yes, during screening of submission

○ Yes, platform staff check after posting

○ Maybe, open for community moderation after posting

○ No, not checked

○ Unknown - information not found online

○ Unknown - question not considered

○ Other: _____

16. **Is software/code availability checked?**
Use other box for any free text comments or details.
Mark only one oval.

○ Yes, during screening of submission

○ Yes, platform staff check after posting

○ Maybe, open for community moderation after posting

○ No, not checked

○ Unknown - information not found online

○ Unknown - question not considered

○ Other: _____

17. **Data/code availability checks - information & source URL**
Quote any useful information from the website; this applies to all Qs above about checking for data/code availability.

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18. **Are all authors asked for permission before posting?**
Use other box for any free text comments or details.
Mark only one oval.

◯ Yes, during screening of submission

◯ Yes, platform staff check after posting

◯ No, not checked

◯ Unknown - information not found online

◯ Unknown - question not considered

◯ Other: _____

19. **Are authors authenticated using ORCID iD?**
Use other box for any free text comments or details.
Mark only one oval.

◯ Yes - mandatory

◯ Yes - optional

◯ No

◯ "unknown - information not found online"

◯ "unknown - question not considered"

◯ Other: _____

20. **Are all authors required to register in order to submit?**
Use other box for any free text comments or details.
Mark only one oval.

◯ All authors must register for account with platform

◯ Corresponding author only must register for account with platform

◯ Submitting author only must register for account with platform

◯ No registration required by authors

◯ Unknown - information not found online

◯ Unknown - question not considered

◯ Other: _____

21. **Author info & permission - information & source URL**
Quote any useful information from the website; this applies to all Qs above about author permission, authentication and registration.

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22. **Time from submission to posting**
Enter as advertised online (with source URL); or enter "unknown - information not found online" or "unknown - question not considered"

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23. **Processing charges**
Enter total charge for submitting and posting content (with source URL); if free, enter "0"; if unknown, enter "unknown - information not found online" or "unknown - question not considered"

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24. **Are the preprints available open access?**
"Open Access is the free, immediate, online availability of research articles coupled with the rights to use these articles fully in the digital environment" -- https://sparcopen.org/open-access/
Mark only one oval.

◯ Yes

◯ No

◯ Unknown - information not found online

◯ Unknown - question not considered

◯ Other: _____

25. **Open access - information & source URL**
    Quote any useful information from the website.

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26. **Reader registration**
    Mark only one oval.

    ◯ Reader must register for account with platform in order to access basic metadata and abstract

    ◯ Reader can view basic content (title, abstract) without account but must register to view and
    download full content

    ◯ Reader can view full content without account but must register to download full content;

    ◯ No reader registration is required to view and download full content

    ◯ Unknown - information not found online

    ◯ Unknown - question not considered

27. **Reader registration - information & source URL**
    Quote any useful information from the website.

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28. **Metadata availability**
    How is metadata made available to third parties; if unknown, enter "unknown - information not found
    online" or "unknown - question not considered"
    Mark only one oval.

    ◯ Openly available direct from the platform via API

    ◯ Openly available via Crossref

    ◯ Available for free upon request

    ◯ Available with charge upon request

    ◯ Not available

    ◯ Unknown - information not found online

    ◯ Unknown - question not considered

    ◯ Other: _____

29. **What does metadata contain?**
    Select any options where the server indicates they share it in the metadata (even if the data field is not
    always complete or accurate).
    Check all that apply.

    ☐ Title

    ☐ Identifier (e.g. DOI)

    ☐ Publication/deposition date

    ☐ Author name(s)

    ☐ Abstract

    ☐ Relational link to final journal publication (e.g. in crossref metadata)

    ☐ Author affiliation(s)

    ☐ Funder acknowledgement(s)

    ☐ License type(s)

    ☐ Subject category

    ☐ Full-text content

    ☐ References

    ☐ Unknown - information not found online

    ☐ Unknown - question not considered

    ☐ Other: _____

30. **Is Crossref metadata record updated when preprint is linked to publication (when known)?**
    This affects how europePMC and other Crossref metadata users can index preprints and provide third-
    party services.
    Mark only one oval.

    ◯ Yes

    ◯ No

    ◯ Other: _____

31. **Metadata availability, format and contents - information & source URL**
    Please provide details on current (and any planned) provision of metadata, including format (is it OAI-PMH?), accessibility (API, free or limited), and contents (as per options above); or enter "unknown". Our online research focussed on information available from the platform website only. Please provide further information and clearly identify whether you consent for this information to be made available publicly.

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32. **Where is content indexed externally?**
    Our online research focussed on information available from the platform website only. Please provide further information and clearly identify whether you consent for this information to be made available publicly.
    Check all that apply.

    ☐ Google Scholar

    ☐ Prepubmed

    ☐ EuropePMC

    ☐ SHARE (via the Association of Research Libraries (ARL) and Center for Open Science (COS))

    ☐ SciLit (MDPI product)

    ☐ Not indexed

    ☐ Unknown - information not found online

    ☐ Unknown - question not considered

    ☐ Other: _____

33. **External indexing - information & source URL**
    Quote any useful information from the website.

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34. **Permanence of content (post-moderation policy)**
    Mark only one oval.

    ○ Content is posted permanently (as long as server and archive exists) with no removal options

    ○ Content is posted permanently with some removal options in extraneous circumstances

    ○ Content may be removed by operator/owner only

    ○ Content may be removed by author (or operator/owner)

    ○ Unknown - information not found online

    ○ Unknown - question not considered

35. **What are the acceptable reasons for content removal?**
    Check all that apply.

    ☐ Contravention of copyright

    ☐ Plagiarism

    ☐ False or inaccurate content

    ☐ Other ethical or legal reasons

    ☐ Unknown - information not found online

    ☐ Unknown - question not considered

    ☐ Other: _____

36. **Does removed or withdrawn content retain basic webpage presence?**
    For example: https://www.biorxiv.org/content/early/2018/10/06/131862 (if this content were removed, although it is still accessible by previewing PDF). Use Other to specify any details.
    Mark only one oval.

    ○ Yes

    ○ No

    ○ Unknown - information not found online

    ○ Unknown - question not considered

    ○ Other: _____

37. **Removal of content - information & source URL**
    Our online research focussed on information available from the platform website only. Please provide further information about permanence of content and content removal and clearly identify whether you consent for this information to be made available publicly.

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38. Is there a mechanism to report concerns about posted content ('moderation' or 'flagging')?

Our online research focussed on information available from the platform website only. Please provide further information and clearly identify whether you consent for this information to be made available publicly.

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39. Where can manuscript be submitted for journal publication?

This is based on platforms that directly funnel authors to a specific journal only, it does not account for journal policies for accepting submissions that have been preprinted nor for direct submission options that are available for any journal to request/sign on to.

Mark only one oval.

- ◯ Unrestricted - manuscript can be published in any destination
- ◯ Restricted - manuscript can only be published in journal linked to server
- ◯ Unknown - information not found online
- ◯ Unknown - question not considered
- ◯ Other: _____

40. Journal directly associated with platform

Name journal directly associated with the platform; if none, list as "none"; or enter "unknown - information not found online" or "unknown - question not considered"

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41. Journal submission - information & source URL

Our online research focussed on information available from the platform website only. Please provide further information where needed and clearly identify whether you consent for this information to be made available publicly.

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42. Direct submission to journal options

List journals able to submit manuscript to from preprint server; our online research focussed on information available from the platform website only. Please provide further information where needed and clearly identify whether you consent for this information to be made available publicly.

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43. Is peer-reviewed version linked from preprint once published?

Mark only one oval.

- ◯ Link to publication added by server within one month of publication (stated time may be sooner)
- ◯ Link to publication added by server after one month of publication
- ◯ Link to publication can be added by author(s) or journal
- ◯ No link added
- ◯ Unknown - information not found online
- ◯ Unknown - question not considered

44. Link to publication from preprint - information & source URL

Our online research focussed on information available from the platform website only. Please provide further information where needed and clearly identify whether you consent for this information to be made available publicly.

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45. What is the long-term preservation strategy for submitted content?

Our online research focussed on information available from the platform website only. Please provide information about content preservation strategy, including which content is/would be preserved, where it would be stored (and which service this is linked to, where appropriate). Please also state where/how the policy/process is communicated to users. Please provide further information where needed and clearly identify whether you consent for this information to be made available publicly.

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46. **Which usage metrics are available on the abstract page?**
Check all that apply.

- ☐ Views
- ☐ Downloads
- ☐ Altmetrics
- ☐ Social media interactions (from individual platforms not Altmetric)
- ☐ Unknown - information not found online
- ☐ Unknown - question not considered
- ☐ Other: _____

47. **Usage metrics - information & source URL**
Quote any useful information from the website.

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48. **Additional features**
Use other to describe any not yet covered.
Check all that apply.

- ☐ Commenting (including annotation plug-ins)
- ☐ Onsite search
- ☐ Alerts (e.g. RSS, email alerts)
- ☐ Unknown - information not found online
- ☐ Unknown - question not considered
- ☐ Other: _____

49. **Additional features - information & source URL**
Quote any useful information from the website.

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50. **Additional notes**
Note an additional data element to include in the directory is which funders the platform complies with the policy(ies) for, which is as yet undetermined.

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