

Preprints Monitor Pilot
STATEMENT OF WORK NUMBER

1. **Terms and Conditions.** This Statement of Work (“SOW”) is governed by and by this reference incorporates the Professional Services Terms and conditions set forth in Schedule 5 of the Open Science Platform and Services Agreement (the “Agreement”) between **SURFmarket B.V.** and **Elsevier B.V.** (“Elsevier”) dated 15 May 2020 (the “Terms”). Capitalized terms used herein that are not otherwise defined will have the meanings ascribed to them in the Terms. This SOW concerns access to and testing a Preprints Monitor API and is entered into between **The Institution** (“Institution”) and **Elsevier B.V.** (“Elsevier”).
2. Institutions and Elsevier agree to abide to the Collaboration Principles laid down in Section 1.2 of the Terms.
3. **Commencement and Duration of this SOW.** This SOW shall come into force on the date on which it has been signed by both parties and shall continue in force until 31 December 2024, unless extended in writing by the parties or unless terminated earlier by the Institution by giving a sixty (60) *days*’ notice in writing.
4. **Acceptance Steering Committee.** This SOW can only enter into force after approval of the Steering Committee. The Service may only proceed after approval of the Steering Committee (as per the ‘Governance Structure’ in Schedule 5.1 of this Agreement).
5. **Services.** Elsevier and participating Institutions shall perform a Service and provides a Deliverable(s) in accordance with the following agreed specifications, acceptance criteria, time schedule and other relevant terms as may be set out herein.

5.1 ***Description of the Pilot Service***

Expected outcome:

This pilot aim at creating a data feed

- homogenized across different sources (preprint servers)
- enriched with metadata, e.g. profile links
- of preprints authored by an institution’s own researchers
- that could easily be ingested by participating institutions’ CRIS systems.

A long-term objective of this pilot (not part of the intended outcomes of the pilot) would be to enable linking of preprints to their final published versions (version of record).

There are no restrictions for the institutions how the enriched and stored data can be used; they can make it publicly available through their public portals, repositories, through a future Open Knowledge base, etc.

Process:

At the beginning of his pilot, participating institutions will receive a data dump of their preprints’ metadata. Later in this pilot, the preprints metadata will be made available to the (CRIS) systems of Dutch institutions through a web service (API) in a vendor neutral format. Institutions shall import/update the preprints and will validate the accuracy and completeness of the data.

Participating Institutions indicate if they would like to use their production environments or remain on staging environments.

It is assumed that institutional (CRIS) systems already contain information on research outputs that are to be matched with the preprints. (These can be fed through products like Scopus or running pilot on Data Monitor, or equivalent services provided by other vendors)

5.2 Description of the Deliverable(s)

Elsevier shall provide the following specific Deliverable(s) under this SOW:

Name	Description (needs to be checked by Andreea)
Capturing preprints metadata (from 5 preprints servers)	Elsevier team harvests preprints metadata from the following servers: arXiv, bioRxiv, ChemRxiv, medRxiv, and SSRN. Captured data is harmonized and enriched.
Preprints enrichment pipeline	The harmonized data set will go through the content enrichment pipeline, which includes such services as: <ul style="list-style-type: none"> • Matching of authors to Scopus (and, if available, ORCID) Author profiles • Matching affiliation to Scopus Institution profiles
Delivery method (feed)	A working delivery method of the data, approach and details of which to be discussed and co-developed with participating partners, supporting the expected outcome above
Define and document success criteria	Success criteria have been agreed with the participating institutions and is documented
Pilot Evaluation documents	Within 1 year of the start of the pilot, the partners will evaluate the pilot and create the required documentation for the steering group to review and sign-off on the evaluation of the pilot.

5.2 Specifications

The Service and Deliverable(s) under this SOW shall comply with the following specifications:

Name	Description
Frequency of harvesting	Elsevier will harvest the above-mentioned preprint servers on a daily basis. There will be some days (3-5 days) between appearing on the preprint server and appearing in the API due to pipeline processes.
Technical interface	The service will most likely provide: <ul style="list-style-type: none"> - Either, a RESTful API available via HTTPS and presenting data in JSON format. - Or, a feed of machine readable metadata delivered to customers' server.

5.3 Acceptance Criteria

The Acceptance Criteria are that the pilot Service and the Deliverable(s) must comply with all the specifications and all the requirements of this SOW, the Terms and other parts of the Agreement.

5.4 **Time Schedule**

The Services and the Deliverables shall be provided according to the following tentative time schedule (depending on outcomes of discussion around approach, details, etc.), or as may be adjusted by agreement in writing between the parties:

Date or Time Period	Description of Stage or Milestone
12 weeks after the start of the pilot	API design has been completed and signed-off by the partners and success criteria have been agreed and documented
12 weeks after completion of the design	Delivery of the API including testing, documentation, and deployment. If for unforeseen reasons Elsevier is unable to meet that timeline, it will update the partners of this delay at least 2 weeks prior to the deadline and agree with the partners a new delivery schedule.

5.5 **Location**

The data enrichment Services automatically run via an enrichment pipeline which is hosted on the AWS cloud. The ingestion of the data takes place in the locally hosted or cloud hosted instances of the CRIS system.

5.6 **Named Personnel**

Elsevier and participating Institutions shall use its best endeavors to ensure that the appropriate individuals shall perform the Services and Institutions’ responsibilities, respectively, but each of Elsevier and these Institutions may substitute other personnel for such individuals provided that it has notified and agreed this in advance in writing with the other party.

The names of the individuals performing the service shall be shared among the partners one months before the pilot will commence.

5.7 **Other Details**

[Insert any other details if applicable]

6. **Acceptance for Deliverables.**

6.1 For any Deliverables, such Deliverables provided shall be checked by participating Institutions and Elsevier for compliance with the agreed specifications. Elsevier and participating Institutions shall use reasonable efforts to modify the rejected Deliverable so that it meets the applicable specifications and deliver the modified Deliverable for checking.

6.2 If the parties fail to modify a Deliverable that has been rejected so that it meets the specifications within the period specified in the applicable rejection notice, the parties may, at its option:

- 6.2.1 terminate:
 - (a) the applicable Deliverable;
 - (b) the applicable SOW;

6.2.2 perform additional corrections to the Deliverable or component thereof within a specified extended period; or

6.2.3 accept the Deliverable despite its deficiencies.

7. **REPORTING.** WITHIN 30 DAYS AFTER THE END OF EACH MONTH, THE PARTIES WILL PROVIDE A FULL AND ACCURATE REPORT TO THE STEERING COMMITTEE SUMMARIZING ALL SERVICES ACTIVITIES PERFORMED THAT OCCURRED DURING SUCH MONTH.
8. **REVIEW MEETINGS.** IF REQUESTED BY THE STEERING COMMITTEE, APPROPRIATE PERSONNEL WILL PARTICIPATE IN FORTNIGHTLY STATUS REVIEW MEETINGS, WHICH MAY BE CONDUCTED BY TELEPHONE OR AT SUCH TIMES AND LOCATIONS AS MAY BE REASONABLY SPECIFIED. THE MEETINGS WILL BE FOR THE PURPOSE OF REVIEWING THE PERFORMANCE AND PROGRESS HEREUNDER AND DISCUSSING AND RESOLVING ANY PROBLEMS BETWEEN THE PARTIES. BOTH PARTIES CAN INITIATE A REVIEW MEETING AT ANY TIME THEY FEEL ONE IS NEEDED AND AN ALTERNATE MEETING SCHEDULE / FREQUENCY CAN BE AGREED UPON DURING THE TERM OF THE AGREEMENT IF CIRCUMSTANCES OR NEED CHANGES.
9. **ON-SITE TERMS.** WHEN ELSEVIER PROVIDES ANY SERVICES WHILE BASED ON ANY LOCATION, THE FOLLOWING TERMS SHALL APPLY:
 - 9.1 **On-Site Personnel.** While Personnel are based on Institution's locations in connection with the performance of any of the Services, Personnel shall comply with all of Institution's rules, regulations and policies, concerning such matters as working hours (which will be established by Institutions contact), holidays, and Institution's customary security measures. Prior to commencing the performance of any assignment, Personnel may be issued with an identification card which Personnel shall return to their Institution's contact on the last day of the performance of the Services. Institution shall supply Personnel with suitable workstations like those provided by Institution to its employees of a similar position, and Institution will furnish Personnel with the supplies and equipment they need to perform their assigned tasks. Within 2 weeks after the start of Personnel, Elsevier shall inform Institution in writing how much vacation time each Personnel member is entitled to take during the agreed period of the Services and when such vacation will be taken. Institution shall not be charged for vacation time taken by Personnel.
10. **Governing law.** This SOW is governed by the laws of the Netherlands.

Agreed for and on behalf of participating Institutions

By: SIGNATURE_0001

Date:

Name:

Title:

Agreed for and on behalf of Elsevier

By: SIGNATURE_0002

Date:

Name:

Title: