Framework document Steering group UNL/NFU/NWO – Elsevier

Name Pilot/Service: Author disambiguation service		
The problem this project aims to address is the following: Disambiguation: link instances of the same author, institution, or publication with different names - and distinguish between instances of unique authors, institutions, or publications with similar names. And it can be broken down into two separate demands: ● Enable a better exchange of author records to increase metadata quality and by doing so lighten the administrative burden on local CRIS metadata management. ● Provide a more accurate way to describe, match and share organizations of these authors in the Dutch CRIS systems. This database could very well be a subset of the OKB or Open Research Information (ORI), and as such will be an important use case for the OKB/ORI project.		
1. (a) Participating institutions Participation in the Professional Services is at each Institution's sole discretion and a pilot shall only commence if there is a minimum participation by at least three Institutions *	Evaluation YES NO	Evidence and Comments
Are at least 3 institutions involved in the pilot?	yes	VU, Groningen, Delft, Eindhoven
Evidence of how and when other institutions can join	yes	The purpose is that as many institutions as possible will join, as the service is meant to be implemented nationally
1. (b) Interoperability and vendor neutrality Elsevier shall use all reasonable efforts to ensure that the Professional Services are interoperable, both on the input (uploaded) and output side (created) *	Evaluation YES NO	Evidence and Comments
Use of open identifier systems	yes	ORCID (when available), next to Scopus IDs; the final objective is to connect these with identifiers from other open databases
Use of standardised metadata schemas	NA	NA

Existence of a well-documented API and open data-dump function	yes	(IDx) API is available to universities. University partners can share their own link tables per author
Ability to export data in a variety of formats	yes	Author disambiguation is about linking metadata. Metadata fields are as much as possible PIDs.
Ability for other commercial parties to join	yes	Client side: non-Elsevier systems (not just Pure) can use the service and request author information to complement their metadata. Supplier side: this can be mixed with data and profiles of other vendors as well as open profiles. This pilot is only the first part of a broader project that should be executed with all services and vendors of Dutch researcher profiles to reach the objective of true disambiguation across profiles.
2. Transparency, inclusion and collaboration The Services and resulting Deliverables are aimed to make science and research more transparent, efficient, inclusive, openly and freely accessible, and collaborative. *	Evaluation YES NO	Evidence and Comments
Provenance on how and where metadata was derived	YES	CRIS systems, Scopus, ORCID
Descriptions of workflows that result in indicators, metrics and/or other relevant outcomes will be open and transparent. These will demonstrate, for example calculation steps, search strings used to define entities, etc.	NA	No indicator will be created as part of this pilot
Description of the services used to create metadata	YES	Elsevier IdX service, see SoW
Insights and lessons published with Open Access licence	YES	A white paper will be created at the end of this pilot to evaluate the project and share lessons learnt
Will the pilot contribute to Open Science?	YES	It is important and consistent with Open Science that research outputs are made available as soon as possible in the creation process. Some outputs may be data or preprints, posters or other non-peer reviewed. These must be made

			available as well and added to profiles, as well as all copies of articles. Adding author IDs to those records is the most efficient way to do so.
	Demonstration of connection to non-Elsevier products	YES	The API will work with any CRIS or other system (using ORCID)
3. Access to research data and metadata Elsevier will give enduring access during the Term to all (research) data, including metadata, analytics and information*		Evaluation YES NO	Evidence and Comments
	Describe the ownership / licencing of data made as part of the service	YES	All metadata derived from the service will remain in the institutional information system when the service is cancelled/discontinued
	Describe how access (institutional and / or public) to the data will be set-up during the term; this section will also indicate cases where certain data is not publicly access.	YES	Access will be granted through an API.
4. Data portability Institution shall be entitled to transfer the data provided, uploaded or created to its own or to a third party host environment *		Evaluation YES NO	Evidence Comments
	Evidence on how data transfer is possible.	YES	The data is portable and/or remains in the institutional information system when the service is cancelled/discontinued
	How can an institution withdraw data?	NA	NA
5. Intellectual property *		Evaluation YES NO	Evidence Comments
	Details on IP related to data provided, created or enriched	YES	IP for the existing Elsevier (IdX) tool remains with Elsevier. However, the data generated by the tool during the pilot will be owned by the participating institutions and can be ported to any system so wished by the institutions during the pilot and in case the pilot is ceased.

6. **Additional considerations**	Evaluation YES NO	Evidence Comments
What processes will be put in place to evaluate the service during and at the end of pilot	YES	The pilot will be evaluated according to success criteria described in the SoW
Terms of use of the deliverables during and after contract period	YES	The deliverables of this pilot are stated in the SoW. If participating institutions wish, service is available as part of the agreement until December 31, 2024. In case participating institutions do not want to continue to use the service, all data serviced by IDX will remain in the participating institutions' systems
Pilot project team	YES	Names of the partners' contacts detailed in the respective SoWs

* For the full text, please refer to the contract.

Approved by the VSNU/NFU/NWO-Elsevier steering group	Date: