<center>**Funding data flow Pilot**
STATEMENT OF WORK NUMBER</center>

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 Data Monitor 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:
The aim of this pilot is to improve the open flow of data regarding research investments (awarded grants) of Research Funding Organizations (RFOs) and resulting research outputs, enabling universities participating in the project to inform key stakeholders such as funders, research administration and researchers. The open flow will increase the quality/coverage of the data, so that better and more complete information can be given and shared publicly (and subsequently better decisions can be made).
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:
This pilot is a first step towards a fully integrated data service that links public awarded grants information with the validated research output data, thus making quality data publicly (at the discretion of the institutions) available, while lowering the administrative burden for the research staff. As such it supports multiple Open Science use cases for the funder, the research administration office and for PIs/researchers. In this pilot, Elsevier and the pilot institutions will test (and learn from) a meta data enrichment service of open funding data (awarded grants) from the EC (and later NWO). The enriched meta data will be imported in the institutional research information systems (or any other institutional system) of the pilot institutions.

Following a review of the enrichment and ingestion processes and the available data, the partners may decide to start a follow-up pilot which will focus on:

- For institutions & researchers: researcher engagement and validation, further matching services, and subsequent delivery of the associated linked outputs (both traditional and non-traditional) to institutional portals or any other destination as determined by the applicable participating institutions.
- For the RFO: the automated delivery to and ingestion of research outputs associated with research funded by the RFO increasing coverage of those associated research outputs

Input:

Elsevier will harvest the (publicly available) awarded EC grants available through the Cordis Platform, run the data through a data harmonization & enrichment pipeline and make it available to be used by any CRIS or other systems as specified by the participating institutions. Specifications, release planning, testing and deployment will be jointly determined.

The Funding data 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 awarded grants 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 awarded grants. (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 EC awards data (CORDIS Platform) (and later NWO awarded grants data when available.)	Elsevier funding team will regularly capture awarded grants data available through the CORDIS Platform. Captured data will be harmonized to Elsevier funding data schema.
Award data enrichment pipeline	The harmonized data set will go through the content enrichment pipeline, which includes such services as: - matching of awardees to Scopus (and, if available, ORCID) Author profiles - Matching affiliation to Scopus Institution profiles - Conversion of EUR to USD for benchmarking analysis - NLP text mining to assign concepts and ASJC research categories Other enrichment services when these are built.
Data import into CRIS or middleware	After the enrichment process is complete, data will be delivered through the API (and through the existing integration to Pure).
Curate and complete the data quality workflow	For integrations with Pure, Matched grants data will be created in Pure as awards and related projects. Institutions can then curate and validate the records as needed. Where there are other awardees and possible collaborating institutions and researchers, these names can be added to the records for instance to facilitate future ability for other collaborating Pure Institutions to be able to receive grants records that are relevant

	to their institutions. In case of integration with other CRIS systems or other University Middleware, partners will discuss and define a curation workflow that works for that specific integration and that considers the specific capabilities of the partners system.
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 EC data via the provided platform on a weekly basis.
Frequency of updates in Pure	Pure will refresh the dataset of EC data on a weekly frequency in sync with the harvesting frequency.
API	The service will provide a RESTful API available via HTTPS and presenting data in JSON format.

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 time schedule, 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.
With the 5.22 release of Pure (October)	EC data is made available in Pure, and available for review by the institutions.

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

SIGNATURE_0001

By:

Date:

Name:

Title:

Agreed for and on behalf of Elsevier

SIGNATURE_0002

By:

Date:

Name:

Title: