

Annex I

Implementation Notes

1. IMPORTANCE OF GREY LITERATURE

BELSPO mandates the deposit of and Open Access to grey literature. Grey literature is generally defined as academic literature that is not formally published (https://en.wikipedia.org/wiki/Grey_literature) and surpasses journal publications in scope. Nowadays, published articles lose in scientific relevance and gain in importance for career credits and establishing primacy. Hence the growing relevance of pre-prints, post-prints, book chapters, catalogues, conferences, reports, bachelor, master and doctoral theses, reviews, working papers and lectures which have evolved into the main channels for scholarly exchange. If applicable, exceptional protection and embargoes (for pre-prints and post-prints) apply.

2. NEGOTIATING WITH JOURNALS

When negotiating with journals, authors may call on either the OA contact person (if not their librarian) within their institution or on the Orfeo Helpdesk.¹ However, the researcher should be perfectly capable of taking the following steps towards achieving Open Access :

The depositing of a digital copy of a scientific article in a repository, preferably immediately but usually after a 6 or 12 month embargo, is accepted by journals in most cases, certainly when it involves pre- or post-prints. The researcher should consult the Sherpa-Romeo website (<http://www.sherpa.ac.uk/romeo/index.php>) for publisher Open Access policies. If the journal does not formally tolerate Open Access, the copyright holder should nevertheless try to cede only those rights which are necessary for commercial publication exploitation and keep the right to publish online in Open Access. In order to retrieve rights that may already have been ceded to the publisher, a licence or a simple authorisation per rider from the publisher, allowing for integration in a repository and online publishing, involving certain layout changes for instance, is sufficient. A standard rider will be provided by the Orfeo Helpdesk.

3. FULL TEXT ACCESS

OA is not illegal and an internationally recognised set of standard licences, known as Creative Commons (CC), have been developed to enable the sharing and use of knowledge through free legal tools without losing attribution. They are a simplification of existing copyright rules, adapted to the individual country's legislation. Before accessing the full text if available, the user has to accept the CC-BY usage licence (or CC BY-NC-SA licence for monographs) through the so-called 'click-wrap' which implicates an explicit intention of the user to subscribe to the proposed licence.

Orfeo will feature the OA Button. In cases of embargo, the OA Button will search the web for a version of the paper that can be accessed immediately. If that doesn't work, the Button will email the author with a request for a reprint and look for more information about the paper.

4. CHRONOLOGICAL SCOPE

There is however no need to immediately start scanning printed material from before 1993 just yet ! The gradual implementation of this mandate obligates the deposit of research results produced since 2009 only. Such was agreed among all Orfeo project partners. So any paper publication from

¹ See Annex 4, 1.5. Orfeo Governance

before 2009 need not yet be scanned. Retroactive depositing and if necessary, scanning will be discussed with the concerned project partners in the future. The included roadmap will serve as a guideline.

The reason why copies of scientific articles published before 1993 can be made Open Access no questions asked is because contracts from before 1993 did not cede rights for on line dissemination to publishers. (Providing of course no contract renegotiation took place, no valid cession or exclusive license was granted, unless for paper publication only, or if a valid cession or exclusive license has been granted but the journal's policy nevertheless allows for Green OA.)

Annex II

Orfeo Roadmap

This roadmap provides for a phased input in Orfeo based on the following necessities :

- Moving from bibliographic references to full text deposit, to Open Access
- Retroactive input of research results published before 2009
- Re-establishing the compulsory character of originally optional metadata
- Full OA by 2020 as recommended by the EU's 'Amsterdam Call for Action'

Orfeo Roadmap 2017-2020	Jul-18	Dec-18	Jan-19	Jul-19	Dec-19	Jul-20	Dec-20
Input of literature references of research results dated 2009-July 2018							
Input of literature references of research results dated before 2009							
Deposit of digital articles dated 2009-Dec. 2018							
Deposit of digital articles dated before 2009							
Deposit of digital grey literature dated 2009-Dec. 2018							
Deposit of digital grey literature dated before 2009							
Deposit of digital monographs dated 2009-Dec. 2018							
Deposit of digital monographs dated before 2009							
Deposit of scanned articles of currently financed researchers dated before Dec. 2019							
Deposit of scanned articles of researchers no longer financed							
Deposit of scanned grey literature of currently financed researchers dated before Dec. 2019							
Deposit of scanned grey literature of researchers no longer financed							
Deposit of scanned monographs of currently financed researchers dated before July 2020							
Deposit of scanned monographs of researchers no longer financed							
OA to articles of currently financed researchers dated before Dec. 2019							
OA to articles of researchers no longer financed							
OA to grey literature of currently financed researchers dated before Dec. 2019							
OA to grey literature of researchers no longer financed							
OA to Monographs of currently financed researchers dated before July 2020							
OA to Monographs of researchers no longer financed							
Input of the 'Description' metadata							
Input of the 'Audience' metadata							
Input of the 'Subject' metadata							
Adoption of the 'Liège Model' for evaluation based on literature references							
Adoption of the 'Liège Model' for evaluation based on full text deposits only							

Financed = direct (project related) or indirect (institutional dotation) BELSPO financing

The 'Liège model' consists of evaluation based on a bibliographic list extracted from Orfeo only. If research results have not been deposited in Orfeo, they won't show on the list. Evaluations will start however, based on literature references only. When all technical and human barriers to input of full text will have been removed, ideally by August 2020, evaluations will be based on lists of deposited full text only.

Annex III

Out of Mandate Recommendations

1. FAIR GOLD OPEN ACCESS

In consultation with the Belgian federated entities and research organisations, BELSPO recognises the full liberty for researchers to publish in the venue of their choice. If Gold Open Access journals provide genuine added value and proportionate pricing they should be taken into consideration. On top of commercial APC based journals under the conditions mentioned in the mandate, BELSPO considers two Gold Road business models to be recommended for OA : Publishing in free of charge so called Diamond Open Access Journals run by public organisations; Freemium journals, the on line version of which is provided free of charge, but where the user may be charged for advanced features, functionality, or virtual goods.

2. CHOICE OF INFRASTRUCTURE

The most economical and practical solution for achieving OA to BELSPO research is direct incremental import by all researchers into a central repository, i.e. Orfeo. Second best is the creation of fully compatible OA repositories at the institutional level from where data can be harvested by Orfeo. As a third choice BELSPO strongly recommends that federal science policy organisations make their existing or planned Integrated Library Systems (ILS) compatible with the OAI-PMH protocol and Dublin Core metadata. BELSPO project reports will be uploaded by the BELSPO central administration.

3. IMPORT PROCEDURE

Individual import by the researcher is encouraged as it benefits the immediate incremental update of the repository's content. Moreover researcher control over the assigned metadata guarantees quality. The Orfeo interface, the institutional OA Contact Person and the BELSPO Orfeo Helpdesk will provide assistance with the deposit procedures.

If no institutional repository is available and incremental updating is not feasible, institutional batch imports to Orfeo will have to be considered and the researcher's institution OA Contact Person will organise an update at least every 6 months. The Orfeo Helpdesk will assist if necessary. Training will be provided.

4. INTERNAL SUPPORT

Every institution involved with Orfeo will name an Open Access contact person for internal project follow up and for communication with the BELSPO OA Project Administrator and the Orfeo Helpdesk.² On top of this however, a resolute and rigorous devotion of the institutional hierarchy is instrumental to the successful implementation of the OA mandate. For instance, it is imperative that evaluation panels and scientific counsels refuse bibliographies provided by candidates or evaluated researchers and resort to bibliographies produced by the institutional OA Repository or Orfeo only, lest the mandate would lose all credibility. It is also paramount for research institutions' directors and accountants to enforce the mandate's APC provisions, which cannot be monitored at BELSPO level.

² See Annex 4, 1.5. Orfeo Governance

Annex IV

Federal Open Access Project Framework

1. FUTURE DEVELOPMENTS FOR THE ORFEO REPOSITORY

1.1. ORFEO BIBLIOMETRIC, CONVERSION, REPORTING AND MANAGEMENT TOOLS

The following software instruments are planned :

Content and Usage Analysis - This module allows content and usage monitoring. It records data about the addition of items, the number of page views and the number of file downloads. The module adds two tools to the repository user interface that allow an administrator to view the recorded data in the form of tables and graphs. Those visualisations can also be added to public pages.

Information Conversion - File format obsolescence is a major challenge for anybody wanting to preserve digital files. The information conversion module performs a large variety of file conversions, supporting migration strategies and enhancing accessibility of stored information. Yet, the depositor is encouraged to submit publisher versions in PDF/A format. Additional formats that allow better use of text and data mining techniques are strongly encouraged such as XML or HTML.

Listings & Reports Module - This module automates the creation of reports based on information, such as metadata stored in the repository.

Metadata Quality Module - Metadata quality, management and curation tools allowing batch metadata editing and duplicate checking among others.

Orfeo will also provide links to recognised reference abstract and citation databases of peer-reviewed literature featuring tools to track, analyse and visualise research.³

1.2. ORFEO AND SOCIAL MEDIA

Research citations might be correlated with the number of times the article was discussed in certain social media. It remains to be seen if the OA community is moving towards a consensus on best practices in this field. BELSPO will look into ways to establish links with funder, institutional or author related media such as relevant webpages, blogs and social networks (e.g. Twitter and facebook, Research Gate, Academia,...) allowing for 'personal branding', tracking related research; creation and maintenance of networks of collaborators and peer experts; support of research impact and career advancement and funding. E-mail notification to authors and 'followers' might be considered.

BELSPO strongly discourages substituting (but not complementing) OA with non OA-compliant solutions such as Academia and ResearchGate. Neither their sustainability nor their quality can be guaranteed. Moreover, recognised OA Repository citations are taken into account with IFs.

1.3. THE ROYAL LIBRARY AND ORFEO ADMINISTRATION

Orfeo management was transferred from the Scientific and Technical Information Service (STIS) to the Royal Library. Both are BELSPO organisations. Moreover, Orfeo might merge with the Royal

³ In 2017 : <http://www.elsevier.com/solutions/scopus>

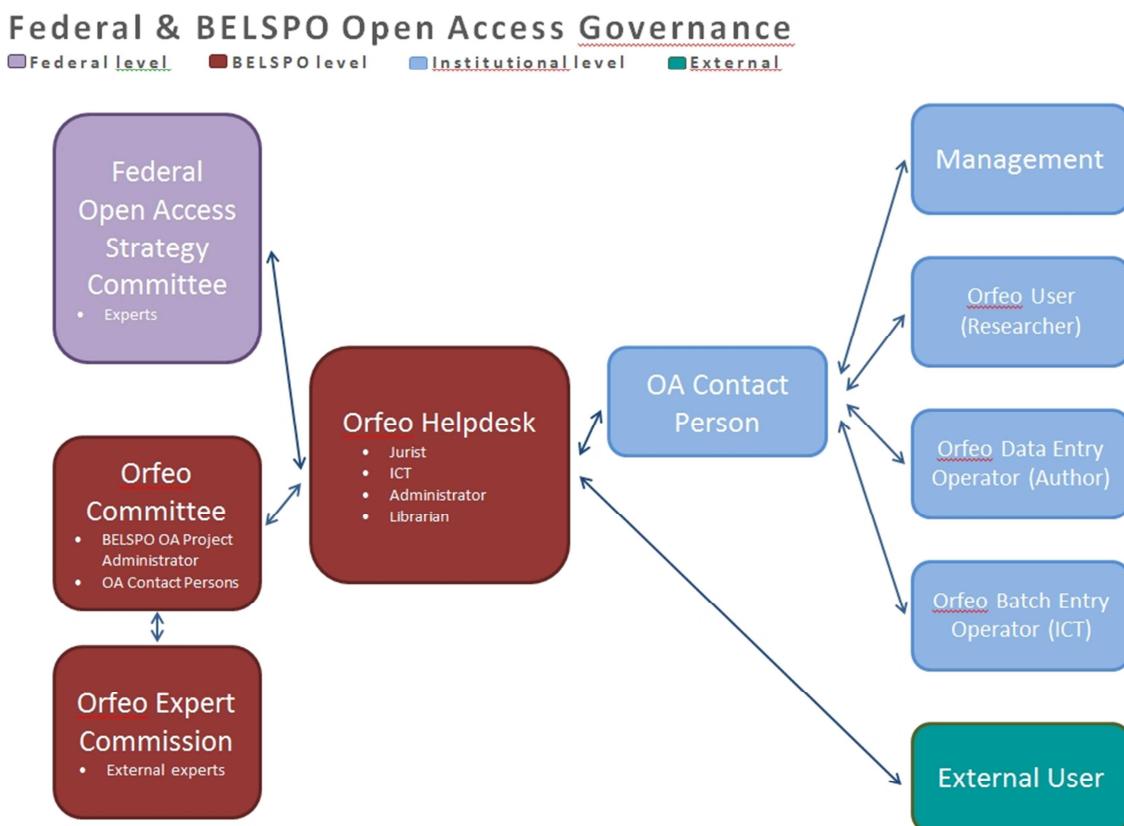
Library's e-depot which is the digital extension of the Belgian Legal Depot in which all Belgian publications have to be deposited by law. When the e-depot is rendered OA compatible and the merger takes place the BELSPO OA mandate will be adapted accordingly.

1.4. EXTENDING ORFEO TO FEDERAL PUBLIC SERVICES OTHER THAN BELSPO

The BELSPO OA Repository Steering Committee has stated that the Orfeo Pilot Project (2014) and extension to 11 additional BELSPO organisations (2015) is to be followed by an invitation to federal research organisations which do not answer to the federal science policy administration to join the project as well.

1.5. ORFEO GOVERNANCE

The aforementioned OA Contact Person will represent his/her institution at the Orfeo Committee meetings. Depositing authors, Orfeo users in our institutions in need of assistance, or any staff members or managers who wish to question, to amend or to be briefed about Orfeo, may call on the OA Contact Person. The OA Contact Person will in turn get help and training from the Orfeo Helpdesk which will be staffed by the project administrator, ICT and library experts and a jurist. Outsiders who have problems consulting Orfeo will approach the Orfeo Helpdesk directly. The Orfeo Committee will discuss executive technical and policy issues concerning Orfeo and will treat requests for exceptions to the mandate requirements. If external expertise proves necessary, advice will be obtained from an ad hoc Orfeo Expert Commission, named by the Orfeo Committee.



1.6. ADVOCACY AND COACHING OF RESEARCHERS AND SUPPORTING STAFF

BELSPO will organise a yearly workshop to train and inform Institutional contact persons and other involved staff on latest developments and best practices in the fields of OA to publications, OA to Data and Open Science.

1.7. EXTENSION TO OPEN DATA AND OPEN SCIENCE

Once Orfeo is well on track and made sustainable, BELSPO will consider opening up the project to OA to Open Research Data and Open Science. This will be done in consultation with other federal departments and the federated entities.

2. THE BELSPO OPEN ACCESS PROJECT

2.1. OA CONSULTATION

The BELSPO OA project Administrator conducts widespread consultations to ensure alignment on policy matters, technical compatibility and repository interconnectability at the international, national and federal level but also performs a technology watch for OA, Open Research Data and Open Science. He/she will share information with and submit suggestions to both the Orfeo Committee and the Federal OA Strategy Committee.

The BELSPO OA Project Administrator will promote the OA Project and look after the project's interests at international, national and federal levels.

2.2. INTERNATIONAL REPORTING ON OA

With the help of his peers in the federated entities, the BELSPO OA Project Administrator reports on the evolution of OA in Belgium to international organisations such as the European Community, ERAC and the OECD. Contributions from institutional OA contact persons will occasionally be required.
