OpenAIRE Guidelines 1.0

Guidelines for content providers of the OpenAIRE information space

July 2010

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Introduction

The *OpenAIRE Guidelines 1.0* will provide orientation for repository managers to define and implement their local data management policies in compliance with the Open Access demands of the European Commission. Furthermore they will comply with the technical requirements of the OpenAIRE infrastructure that is being established to support and monitor the implementation of the FP7 OA pilot.[1]

By implementing these Guidelines repository managers are facilitating the authors who deposit their publications in the repository, in complying with the EC Open Access requirements.

For developers of repository platforms the Guidelines provide guidance to add supportive functionalities for authors of EC funded research in future versions.

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[1] For information on the FP7 OA pilot and OpenAIRE see http://www.openaire.eu.

Relation to DRIVER Guidelines

The OpenAIRE guidelines are supplementary and built on top of the DRIVER Guidelines. For OpenAIRE compliance purposes, all the aspects of the DRIVER Guidelines are valid, with the following exceptions:

1. **Textual resources**

   DRIVER Guidelines 2.0[2], pp.17-18, Part A – Textual Resources:
   Textual resources are open access, available directly from the repository for any user worldwide without restrictions such as authorisation or payment

   Not mandatory for OpenAIRE. Resources can be open access, be under embargo or restricted access.

2. **Use of dc:relation and dc:rights**

   DRIVER Guidelines, p. 90:
   The DC:RELATION field can typically be used for describing relations to other expressions, or versions of the document.

   For OpenAIRE compliancy purposes the use of dc:relation and dc:rights will be more specific than expressed in the DRIVER Guidelines 2.0. This will be addressed in the description of the new elements **accessRights**, **embargoEndDate** and **projectID** (see pages 6-7 of these Guidelines).

3. **Author names**

   DRIVER Guidelines 2.0, pp.17-18, encoding scheme for the elements 'Creator' and 'Contributor':
   APA bibliographic writing style as in a reference list. Syntax: surname, initials (first name)[http://en.wikipedia.org/wiki/Apa_style#Reference_list]

   Not mandatory for OpenAIRE. Full first name(s) may be provided if available.

4. **Use of MPEG-21 DIDL**

   DRIVER Guidelines 2.0, pp. 37, DIDL document:
   The DRIVER community supports the implementation of the metadataPrefix 'oai_dc' and the metadataPrefix 'didl'.

   Use of metadataPrefix 'didl' is not supported by version 1.0 of the OpenAIRE Guidelines.

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[2] References to the Driver Guidelines 2.0 refer to http://www.driver-support.eu/documents/DRIVER_Guidelines_v2_Final_2008-11-13.pdf

OpenAIRE Set

For harvesting of records relevant to OpenAIRE, the use of a specific set at the local repository is mandatory.

OpenAIRE Set naming

The OAI-PMH protocol states:
Repositories may organize items into sets. Set organization may be flat, i.e. a simple list, or hierarchical.[3]

The table below shows the preferred setName and setSpec that can be used to create the OpenAIRE set.

	setName	setSpec*
The OpenAIRE set	EC_fundedresources set	ec_fundedresources

*A harvester only uses the setSpec request to perform selective harvesting. The letters must be in small caps.

OpenAIRE Set Content definitions

The specific content of the ' ec_fundedresources ' set is to be determined at the local repository.

The content to be inserted in the OpenAIRE set must conform to the following:

- All the resources that will be harvested are outcomes from research projects funded by the EC.
- All the resources that will be harvested are peer-reviewed.

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[3] See: http://www.openarchives.org/OAI/openarchivesprotocol.html#Set.

OpenAIRE use of oai_dc

The use of oai_dc is based on the usage by DRIVER, as expressed in the DRIVER Guidelines 2.0, pp. 52-82.

In three cases the use of the DC elements is specific to OpenAIRE, opposed to a more general use in DRIVER:

- ✓ **projectID** is needed to connect project information to the publication in the OpenAIRE information space. It equals to the Grant Agreement number as found in all documentation/correspondence between the EC and the researcher/coordinator. The project information itself (project period, acronym, funding area etc.) will be ingested into the OpenAIRE information space by other means[4]
- ✓ **accessRights** will define the type of access to the publication
- ✓ When the value of accessRights is "embargoedAccess" **embargoEndDate** will define the date of the embargo period.

OpenAIRE specific use of three elements

Element name	projectID
DCMI definition	dc:relation
Usage	Mandatory
Usage instruction	A vocabulary of projects will be exposed by OpenAIRE through OAI-MPH, and available for all repository managers. Values will include the project name and projectID. The projectID equals the Grant Agreement number, and is defined by the namespace info:eu-repo/grantAgreement/EC/FP7 The namespace defines the grant agreement number from the funder (EC) and funder program (FP7).[5]
Do not confuse with	--
Examples	```<dc:relation>
info:eu-
repo/grantAgreement/EC/FP7/12345
</dc:relation>```

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[4] In a future version of these Guidelines another option will be presented for providing project information, in which a separate set of metadata on the project can be provided in addition to the bibliographical set in the repository. The project metadata can e.g. be presented through a Current Research Information System (CRIS).

[5] See http://wiki.surffoundation.nl/display/standards/info-eu-repo/#info-eu-repo-GrantAgreementIdentifiers

Element name	**accessRights**
DCMI definition	dc:rights
Usage	Mandatory
Usage instruction	Use values from vocabulary Access Rights at http://wiki.surffoundation.nl/display/standards/info-eu-repo/#info-eu-repo-AccessRights; values are: info:eu-repo/semantics/closedAccess info:eu-repo/semantics/embargoedAccess info:eu-repo/semantics/restrictedAccess info:eu-repo/semantics/openAccess
Do not confuse with	--

Examples	```<dc:rights>```
	    ```info:eu-repo/semantics/openAccess```
	 ```</dc:rights>```

Element name	**embargoEndDate**
DCMI definition	dc:date
Usage	Recommended
Usage instruction	Recommended when accessRights = info:eu-repo/semantics/embargoedAccess The date type is controlled by the name space info:eu-repo/date/embargoEnd/, see http://wiki.surffoundation.nl/display/standards/info-eu-repo/#info-eu-repo-DateTypesandvalue. Encoding of this date should be in the form YYYY-MM-DD (conform ISO 8601).
Do not confuse with	--

Examples	```<dc:date>```
	   ```info:eu-repo/date/embargoEnd/2011-05-12```
	 ```<dc:date>```

All elements: short description

For a detailed explanation of all the DRIVER elements see the DRIVER Guidelines, pp. 58-82.

Legend

- extended element compared to DRIVER Guidelines, see above
- **mandatory** *(M)* = the element must always be present in the metadata record. An empty element is not allowed.
- **mandatory when applicable** *(MA)* = when the element can be obtained it must be present in the metadata record
- **recommended** *(R)*= the use of the element is recommended
- **optional** *(O)*= it is not important whether the element is used or not

Basic element	Status	Encoding schemes
Title	M	None, free text
Creator	M	None. Recommended practice is "last name, first name(s)"
Subject	MA	Choice of keywords and classifications can be free text (preferably in English) and defined by an URI scheme (preferably info:eu-repo/classification).
Description	MA	None, free text. Recommended practice is to include an abstract in English. "Abstract" is the default interpretation to the value for dc:description
Publisher	R	None
Contributor	O	None. Recommended practice is "last name, first name(s)"
Date	M	Date	ISO 8601 W3C-DTF - "Published" is the default interpretation to the value for dc:date; When accessRights = embargoedAccess, the addition of the embargo end date is recommended, defined by the URI scheme info:eu-repo/date/embargoEnd[6]
Type	M	Publication type and Version type defined by an URI scheme (preferably info:eu-repo/semantics).
Format	R	IANA registered list of Internet Media Types (MIME types) [http://www.iana.org/assignments/media-types/]

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[6] http://wiki.surffoundation.nl/display/standards/info-eu-repo/#info-eu-repo-DateTypesandvalue

Identifier	M	URI scheme, linking to persistent identifier (URN, handle, DOI), full text document or human start page. Identifiers should be unique.[7]
Source	O	Guidelines for Encoding Bibliographic Citation Information in Dublin Core Metadata [http://dublincore.org/documents/dc-citation-guidelines/] as in dcterms:bibliographicCitation
Language	R	ISO 639-3
Relation	M	Project identification defined by namespace info:eu-repo/grantAgreement/EC/FP7[8]
Coverage	O	"Period" is the default interpretation to the value for dc:coverage. Encoding: DCMI Period [http://dublincore.org/documents/2000/07/28/dcmi-period/] For more encoding schemas see Chapter 5 Use of vocabularies and semantics.
Rights	M	accessRights mandatory, from vocabulary "AccessRights"[9]
Audience	O	None. "Education level" is the default value for dc:audience.

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[7] See
http://www.openarchives.org/OAI/openarchivesprotocol.html#UniqueIdentifier
[8] http://wiki.surffoundation.nl/display/standards/info-eu-repo/#info-eu-repo-GrantAgreementIdentifiers
[9] http://wiki.surffoundation.nl/display/standards/info-eu-repo/#info-eu-repo-AccessRights