Towards Better Access to Scientific Information

European Coordination Workshop

Workshop on access to and preservation of scientific information



Pre-Workshop Survey

Pre workshop survey for the European Coordination workshop on access to and preservation of scientific information (Monday 22nd October 2012 Barcelona, Spain)

Thank you for agreeing to complete this survey.

The European Commission, in line with many other agencies worldwide, is keen to encourage member states to adopt open access policies for peer-reviewed scientific publications and research data, particularly where that research has been publicly funded. Numerous benefits are anticipated across many sectors including academia, businesses and the general public. Policies also need to be promoted as regards the long-term preservation of these outputs and the e-infrastructures needed to access, re-use and combine them..

In July 2012 the European Commission issued a number of recommendations relating to access and preservation of scientific information grouped under the following headings:

- Open access to scientific publications
- Open access to research data
- Preservation and re-use of scientific information
- E-infrastructures
- Multi-stakeholder dialogue at national, European and international level
- Structured coordination of Member States at EU level and follow-up to the Recommendation

Each of these recommendations covers member state activities as regards definition of clear policies with concrete objectives, implementation plans and financial planning.

Members are also encouraged to consider how research and the related data can be made publicly accessible, usable and re-usable through digital e-infrastructures over an extended time frame and the effect such access could have on existing copyright, licensing and funding arrangements.

Responses

We will be discussing these recommendations in detail at a workshop in Barcelona on the 22 October 2012 (http://towardsbetteraccesstoscientificinformation.eventbrite.com/). The aim of this workshop is to bring together e-Infrastructure providers and funders from all member states to explore which actions are required to fulfil the recommendations and whether there are opportunities for member states to coordinate their actions. The proposed actions and next steps will be captured in a roadmap.

This questionnaire is intended to feed into that discussion and roadmap.

It is not intended to prematurely coerce respondents into making binding decisions about policy.

Rather, it is intended to develop thoughts around the subject as regards any one member states position and to generate discussion at the workshop. With this in mind, the results will be presented as a synthesis of views at the beginning of the workshop as opposed to a detailed report attributing particular points of view to particular respondents. It is intended that the workshop will help member states to firm up their individual responses and see where those responses fit in a European context.

Ideally we would like respondents to think about the following questions under each of the headings:

- What actions have you already taken?
- What actions do you have planned?
- Which priority would you like assign to this action?
- Which actions would require coordination at the European level?

After the workshop all respondents will receive a copy of this synthesis along with the report of the proceedings of the workshop.

Completing the Questionnaire

The responses will require a degree of thought which doesn't lend itself well to a long, continuous on-line submission process.

This paper version is provided to help you formulate responses before entering them on line.

Please only submit responses through the on-line survey

Please try and complete every question asked—even if your response is on the lines of "Not yet addressed", "Do not know" or "[Another organisation] is responsible for this"—so that we can gain as much of an insight as to the current state of access and preservation of scientific information as possible.

The words "You" and "Your" in this context relate to your organisation/country. Where possible and appropriate please provide responses that also identify the source of information (for example "UK government policy [whitepaper xxxx 2012] is to..." or "SURF [NL] has implemented...").

* Indicates a question that will require a response before you can proceed (if the question appears at all—the survey is dynamic and the appearance or non-appearance of some questions depends on the responses given for previous questions). We have kept these to a bare minimum.

Who are you and who do you represent?

Who are you and who do you represent?

The information in this section will allow us to identify the responding organisation and the constituency they represent. The contact information supplied will be used to circulate the collated results of the survey and may possibly be used for follow up enquires related to the survey.

It will not be used for any other purpose.

Individual responses to later questions will not be directly linked to this information. Nor will it be presented in a way that would allow the responses to be attributed to you or your organisation.

Family name *

Given name *

e-mail *

Job title *

Organisation *

Postal address

Telephone (Including international prefix)

Country *

Open access to scientific publications

The first set of recommendations relates to the policies and planning associated with providing open access to scientific publications.

The commission recommend that member states should:

- Define clear policies for the dissemination of and open access to scientific publications resulting from publicly funded research. These policies should provide for:
 - o concrete objectives and indicators to measure progress;
 - o implementation plans, including the allocation of responsibilities;
 - o associated financial planning.

Ensure that, as a result of these policies:

- there should be open access to publications resulting from publicly funded research as soon as possible, preferably immediately and in any case no later than six months after the date of publication, and twelve months for social sciences and humanities;
- licensing systems contribute to open access to scientific publications resulting from publicly-funded research in a balanced way, in accordance with and without prejudice to the applicable copyright legislation, and encourage researchers to retain their copyright while granting licences to publishers;
- the academic career system supports and rewards researchers who participate in a culture of sharing the results of their research, in particular by ensuring open access to their publications and by developing, encouraging and using new, alternative models of career assessment, metrics and indicators;
- transparency is improved, in particular by informing the public about agreements between public institutions or groups of public institutions and publishers for the supply of scientific information. This should include agreements covering the so-called 'big deals', i.e. bundles of print and electronic journal subscriptions offered at discounted price;
- small and medium-sized enterprises and unaffiliated researchers have the widest and cheapest possible access to scientific publications of the results of research that receives public funding.
- Ensure that research funding institutions responsible for managing public research funding and academic institutions receiving public funding implement the policies by:
 - defining institutional policies for the dissemination of and open access to scientific publications; establishing implementation plans at the level of those funding institutions;
 - making the necessary funding available for dissemination (including open access), allowing for different channels, including digital e-infrastructures where appropriate, as well as new and experimental methods of scholarly communication;
 - adjusting the recruitment and career evaluation system for researchers and the evaluation system for awarding research grants to researchers so that those who participate in the culture of sharing results of their research are rewarded. Improved systems should take into account research results made available through open access and develop, encourage and use new, alternative models of career assessment, metrics and indicators;
 - giving guidance to researchers on how to comply with open access policies, especially on managing their intellectual property rights to ensure open access to their publications;
 - conducting joint negotiations with publishers to obtain the best possible terms for access to publications, including use and re-use;
 - ensuring that results of research that receives public funding are easily identifiable by appropriate technical means, including through metadata attached to electronic versions of the research output.

The following questions are intended to establish the plans and policies relating to scientific publications that you (or rather the country/organisation you are representing) are considering for future implementation or have implemented already.

Have you already *formulated* (but not necessarily implemented yet) a policy relating to the dissemination of and open access to scientific publications resulting from publicly funded research? *

↓ Yes ↓	↓ No ↓
 Please describe in brief your policy for the dissemination of and open access to scientific publications resulting from publicly funded research paying particular attention to: the concrete objectives and indicators you use to measure progress; an overview of the implementation plans, including the allocation of responsibilities; 	 Please describe in brief your intended policy for the dissemination of and open access to scientific publications resulting from publicly funded research paying particular attention to: the concrete objectives and indicators you would use to measure progress; an overview of the implementation plans, including the allocation of responsibilities;
an overview of the associated financial planning. If you are able to do so, please outline how you are addressing the	 an overview of the associated financial planning. If you are able, please outline how you intend to address the areas
 areas of: open access within 6 months or less from date of publication researchers retention of copyright alternative career assessment metrics for researchers transparency in public institution / publisher relations access to research by small and medium sized enterprises 	of: • open access within 6 months or less from date of publication • researchers retention of copyright • alternative career assessment metrics for researchers • transparency in public institution / publisher relations • access to research by small and medium sized enterprises
Have you already <i>implemented</i> (or partially implemented) a policy for the dissemination of and open access to scientific publications resulting from publicly funded research? *	
↓ Yes ↓ ↓ No↓ Have you achieved any of the outcomes in your policies relating to scientific publications? * ↓ No↓ ↓ Yes ↓ ↓ No↓ Which outcomes have you achieved? ↓ No↓	

Do the research funding institutions responsible for managing public research funding and academic institutions receiving public funding have appropriate policies in place? *

$\mathbf{\Psi}$ No $\mathbf{\Psi}$
Please indicate how you think research funding institutions should
formulate future policies in this area. In particular, how could
these policies address:
 Funding for dissemination?
Improved systems for rewarding researchers who participate in the culture of sharing results?
Guidance for researchers on how to comply with open access
policies?
Joint negotiations with publishers?
 "Discovery" mechanisms for the research outputs?

Do you think that open access to scientific publications requires co-ordination at the European level? *

↓ Yes ↓	↓ No ↓
Please give reasons as to why you think it needs coordination at the	
European level?	

Do you have any additional information you'd like to add relating to open access to scientific publications?

Open access to research data

The second set of recommendations relates to the policies and planning associated with the dissemination of and open access to research data resulting from publicly funded research.

The commission recommend that member states should:

- Define clear policies for the dissemination of and open access to research data resulting from publicly funded research. These policies should provide for:
 - o concrete objectives and indicators to measure progress;
 - o implementation plans, including the allocation of responsibilities (including appropriate licensing);
 - o associated financial planning.

Ensure that, as a result of these policies:

- research data that result from publicly funded research become publicly accessible, usable and re-usable through digital e-infrastructures. Concerns in particular in relation to privacy, trade secrets, national security, legitimate commercial interests and to intellectual property rights shall be duly taken into account. Any data, know-how and/or information whatever their form or nature which are held by private parties in a joint public/private partnership prior to the research action and have been identified as such shall not fall under such an obligation;
- datasets are made easily identifiable and can be linked to other datasets and publications through appropriate mechanisms, and additional information is provided to enable their proper evaluation and use;
- institutions responsible for managing public research funding and academic institutions that are publicly funded assist in implementing national policy by putting in place mechanisms enabling and rewarding the sharing of research data;
- advanced-degree programmes of new professional profiles in the area of data handling technologies are promoted and/or implemented.

The following questions are intended to establish the plans and policies relating to research data that you (or rather the country/organisation you are representing) are considering for future implementation or have implemented already.

Have you already *formulated* (but not necessarily implemented) a policy relating to the dissemination of and open access to research data resulting from publicly funded research? *

↓ Yes ↓	↓ No ↓
Please describe in brief your policy for the dissemination of and open access to research data resulting from publicly funded research paying particular attention to:	Please describe in brief your intended policy for the dissemination of and open access to research data resulting from publicly funded research paying particular attention to:
 the concrete objectives and indicators you use to measure progress; an overview of the implementation plans, including the allocation of responsibilities; an overview of the associated financial planning. 	 the concrete objectives and indicators you would use to measure progress; an overview of the implementation plans, including the allocation of responsibilities; an overview of the associated financial planning.
If you are able to do so, please outline how you are addressing the areas of:	If you are able, please outline how you intend to address the areas of:
 how research data is made accessible privacy, trade secrets, national security, legitimate commercial interests and intellectual property rights mechanisms for identifying, evaluating and linking datasets reward mechanisms (for the sharing of research data) the implementation and promotion of advanced degree programmes related to data handling in this arena 	 how research data is made accessible privacy, trade secrets, national security, legitimate commercial interests and intellectual property rights mechanisms for identifying, evaluating and linking datasets reward mechanisms (for the sharing of research data) the implementation and promotion of advanced degree programmes related to data handling in this arena
4	$\checkmark \checkmark$

Open access to research data

Have you already *implemented* (or partially implemented) a policy for the dissemination of and open access to research data resulting from publicly funded research? *

↓ Yes ↓		↓ No ↓
Have you achieved any of the outcomes in your policies relating to research data? *		
↓ Yes ↓	↓ No ↓	
Which outcomes have you achieved?		

Do you think that open access to research data requires co-ordination at the European level? *

↓ Yes ↓Please give reasons as to why you think it needs coordination at the
European level?

Do you have any additional information you'd like to add relating to open access to research data?

Preservation and re-use of scientific information

This set of recommendations relates to the policies and planning associated with the preservation and re-use of scientific information.

The commission recommend that member states should:

- Reinforce the preservation of scientific information, by:
 - defining and implementing policies, including an allocation of responsibilities for the preservation of scientific information, together with associated financial planning, in order to ensure curation and longterm preservation of research results (primary research data and all other results, including publications);
 - ensuring that an effective system of deposit for electronic scientific information is in place, covering borndigital publications and, where relevant, the related datasets;
 - preserving the hardware and software needed to read the information in future, or by migrating the information to new software and hardware environments on a regular basis;
 - fostering the conditions for stakeholders to offer value-added services based on the re-use of scientific information.

The following questions are intended to establish the plans and policies relating to preservation and re-use of scientific information that you (or rather the country/organisation you are representing) are considering for future implementation or have implemented already.

Preservation and re-use of scientific information

Have you already *formulated* (but not necessarily implemented) a policy relating to the preservation and re-use of scientific information? *

↓ Yes ↓	↓ No ↓
Please describe in brief your policy for the preservation and re-use of scientific information paying particular attention to:	Please describe in brief your intended policy for the preservation and re-use of scientific information paying particular attention to:
or scentific mormation paying particular attention to.	and re-use of scientific information paying particular attention to.
 the concrete objectives and indicators you use to measure 	 the concrete objectives and indicators you would use to
progress;	measure progress;
 an overview of the implementation plans, including the allocation of responsibilities; 	 an overview of the implementation plans, including the allocation of responsibilities;
 an overview of the associated financial planning. 	 an overview of the associated financial planning.
If you are able to do so, please outline how you are addressing the	If you are able, please outline how you intend to address the areas
areas of:	of:
 curation and long-term preservation of research results 	 curation and long-term preservation of research results
(primary research data and all other results, including publications);	(primary research data and all other results, including publications);
 systems of deposit for electronic scientific information and datasets; 	 systems of deposit for electronic scientific information and datasets;
 preservation of legacy hardware and software to enable 	 preservation of legacy hardware and software to enable
information to be accessed in the future and/or migratiojn systems;	information to be accessed in the future and/or migratiojn systems;
 value added services based on the re-use of scientific 	 value added services based on the re-use of scientific
information.	information.
\mathbf{v}	$\checkmark \checkmark \checkmark$

Preservation and re-use of scientific information

Have you already <i>implemented</i> (or partially implemented for the preservation and re-use of scientific information?	
↓ Yes ↓	↓ No ↓
Have you achieved any of the outcomes in your policies relating to the preservation and re-use of scientific information? *♥ Yes ♥♥No♥Which outcomes have you achieved?	
which outcomes have you achieved?	

Do you think that the preservation and re-use of scientific information requires co-ordination at the European level? *

↓ Yes ↓	♥ No ♥
Please give reasons as to why you think it needs coordination at the European level?	

Do you have any additional information you'd like to add relating to the preservation and re-use of scientific information?

E-infrastructures

This set of recommendations relates to the policies and planning associated with the e-infrastructures required to disseminate the information.

The commission recommend that member states should:

- Further develop e-infrastructures underpinning the system for disseminating scientific information by:
 - Supporting scientific data infrastructures for dissemination of knowledge, research institutions and funding entities to address all stages of the data life cycle. These stages should include acquisition, curation, metadata, provenance, persistent identifiers, authorisation, authentication and data integrity. Approaches need to be developed to provide a common look and feel to data discovery across disciplines, thus reducing the learning curve required to achieve productivity;
 - supporting the development and training of new cohorts of data-intensive computational science experts, including data specialists, technicians and data managers;
 - leveraging and building on existing resources to be economically efficient and to innovate in the areas of analysis tools, visualisations, decision-making support, models and modelling tools, simulations, new algorithms and scientific software;
 - reinforcing the infrastructure for access to and preservation of scientific information at national level, and earmarking the necessary funds;
 - ensuring the quality and reliability of the infrastructure, including through the use of certification mechanisms for repositories;
 - o ensuring interoperability among e-infrastructures at national and global level.
 - Ensure synergies among national e-infrastructures at European and global level by:
 - contributing to the interoperability of e-infrastructures, in particular addressing scientific data exchange, taking into account experiences with existing projects, infrastructures and software developed at European and global level;
 - supporting transnational cooperative efforts that promote the use and development of information and communication technologies infrastructure for higher education and research.

The following questions are intended to establish the plans and policies relating to the e-infrastructures for disseminating scientific information that you (or rather the country/organisation you are representing) are considering for future implementation or have implemented already.

Have you already *formulated* (but not necessarily implemented) a policy relating to the e-infrastructures necessary for the dissemination of scientific information? *

↓ Yes ↓	↓ No ↓
Please describe in brief your policy relating to the e- infrastructures necessary for the dissemination of scientific information paying particular attention to:	Please describe in brief your intended policy relating to the e- infrastructures necessary for the dissemination scientific information paying particular attention to:
 the concrete objectives and indicators you use to measure progress; an overview of the implementation plans, including the allocation of responsibilities; an overview of the associated financial planning. 	 the concrete objectives and indicators you would use to measure progress; an overview of the implementation plans, including the allocation of responsibilities; an overview of the associated financial planning.
If you are able to do so, please outline how you are addressing the areas of:	If you are able, please outline how you intend to address the areas of:
 supporting all stages of the data life cycle including acquisition, curation, metadata, provenance, persistent identifiers, authorisation, authentication and data integrity; common look and feel for data discovery across disciplines; development and training of data-intensive computational science experts; how you might build on existing structures reinforcing the infrastructure and ensuring its quality and reliability interoperability at both national and global levels synergies amongst national e-infrastructures both at a European and an global level support for transnational cooperative efforts 	 supporting all stages of the data life cycle including acquisition, curation, metadata, provenance, persistent identifiers, authorisation, authentication and data integrity; common look and feel for data discovery across disciplines; development and training of data-intensive computational science experts; how you might build on existing structures reinforcing the infrastructure and ensuring its quality and reliability interoperability at both national and global levels synergies amongst national e-infrastructures both at a European and an global level support for transnational cooperative efforts
4	\mathbf{h}

E-infrastructures

Have you already *implemented* (or partially implemented) a policy relating to the e-infrastructures necessary for the dissemination of scientific information? *



Do you think that e-infrastructures for the dissemination of scientific information require co-ordination at the European level? *

↓ Yes ↓	↓ No ↓
Please give reasons as to why you think it needs coordination at the	
European level?	

Do you have any additional information you'd like to add relating to the e-infrastructures necessary for the dissemination of scientific information?

Multi-stakeholder dialogue at national, European and international level

This set of recommendations relates to the anticipated dialogue regarding access and preservation of scientific information that should take place.

The commission recommend that member states should:

- Participate in multi-stakeholder dialogues at national, European and/or international level on how to foster open access to and preservation of scientific information. Participants should in particular look at:
 - ways of linking publications to the underlying data;
 - ways of improving access and keeping costs under control, e.g. through joint negotiations with publishers;
 - new research indicators and bibliometrics encompassing not only scientific publications but also datasets and other types of output from research activity and the individual researcher's performance;
 - o new reward systems and structures;
 - the promotion of open access principles and implementation at international level, especially in the context of bilateral, multilateral and international cooperation initiatives.

The following questions are intended to establish the nature of any dialogues that may or may not have taken place to date and those that you (or rather the country/organisation you are representing) are considering for the future.

Have you participated in any multi-stakeholder dialogues at national level? *

↓ Yes ↓	↓ No ↓	
Please give details of the stakeholder groups you have been talking to.	Do you intend to participate in multi-stakeholder dialogues at a national level? *	
		♦No
Please give details of topics covered in your discussions especially if those topics included:	Please give details of the stakeholder groups you intend to talk to at a national level and if possible the core subjects to be discussed.	
 Linking publications to the underlying data improving access joint negotiations with publishers and other similar cost reduction exercises bibliometrics and research indicators relating to datasets and other types of output new reward systems/structures promotion of open access principles 		
Do you intend to participate in <i>further</i> multi-stakeholder dialogues at a national level? *		
↓ Yes ↓↓No↓Please give details of the stakeholder groups you intend to talk to at a national level and if possible the core subjects to be discussed.		

Have you participated in any multi-stakeholder dialogues at a European level? *

↓ Yes ↓	↓ No ↓	
Please give details of the stakeholder groups you have been talking to.	Do you intend to participate in multi-stakeholder dialogues at a European level? *	
Please give details of topics covered in your discussions especially if those topics included:	✓ Yes ↓ Please give details of the stakeholder groups you intend to talk to at a European level and if possible the core subjects to be discussed.	<u>VNo</u> V
 Linking publications to the underlying data improving access joint negotiations with publishers and other similar cost reduction exercises bibliometrics and research indicators relating to datasets and other types of output new reward systems/structures promotion of open access principles 		
Do you intend to participate in <i>further</i> multi-stakeholder dialogues at a European level? *		
↓ Yes ↓↓No↓Please give details of the stakeholder groups you intend to talk to at a European level and if possible the core subjects to be discussed.		

Have you participated in any multi-stakeholder dialogues at an international level? *

↓ Yes ↓	↓ No ↓				
Please give details of the stakeholder groups you have been talking to.	Do you intend to participate in multi-stakeholder dialogues at an international level? *				
	$\Psi Yes \Psi \qquad \Psi No\Psi$				
Please give details of topics covered in your discussions especially if those topics included:	Please give details of the stakeholder groups you intend to talk to at an international level and if possible the core subjects to be discussed.				
 Linking publications to the underlying data improving access joint negotiations with publishers and other similar cost reduction exercises bibliometrics and research indicators relating to datasets and other types of output new reward systems/structures promotion of open access principles 					
Do you intend to participate in <i>further</i> multi-stakeholder dialogues at an international level? *					

Do you have any additional information you'd like to add relating to multi-stakeholder dialogue at national, European and international level?

Structured coordination of Member States at EU level and follow-up to the Recommendation

Structured coordination of Member States at EU level and follow-up to the Recommendation

This set of recommendations relates to Structured coordination of Member States at EU level and follow-up to the Recommendation.

The commission recommend that member states should:

- Designate by the end of the year a national point of reference whose tasks will be:
 - o coordinating the measures listed in this Recommendation;
 - acting as an interlocutor with the European Commission on questions pertaining to access to and preservation of scientific information, in particular better definitions of common principles and standards, implementation measures and new ways of disseminating and sharing research in the European Research Area;
 - reporting on the follow-up to this Recommendation;

The following questions are intended to establish what actions have been taken (if any) regarding the appointment of a national point of reference and their terms of reference.

Structured coordination of Member States at EU level and follow-up to the Recommendation

Has a national point of reference been appointed in your arena? *

↓ Yes ↓	↓ No ↓			
Who has been appointed and what are their terms of reference?	Do you intend to appoint a national point of reference in your arena? *			
	✓ Yes ↓ What will their terms of reference be and are there any likely candidates?	<u>VNo</u> V		

Do you have any additional information you'd like to add relating to coordination and follow-up?

Reviewing and Reporting

Reviewing and Reporting

This final recommendation relates to the process for review and reporting.

The commission recommend that member states should:

• Inform the Commission 18 months from the publication of this Recommendation in the Official Journal of the European Union, and every two years thereafter, of action taken in response to the different elements of this Recommendation, in accordance with formalities to be defined and agreed. On this basis, the Commission will review the progress made across the EU to assess whether further action is needed to achieve the objectives laid down in this Recommendation.

Have you taken steps to ensure that the commission is informed on or before January 2014 about progress in the field of access to and preservation of scientific information? *

↓ Yes ↓	↓ No ↓
Please outline the steps you have taken.	Please outline the steps you intend to take.

Do you have any additional information you'd like to add relating to review and reporting?

Please assign priorities to each of the recommendations as regards to the organisation you are representing.

1 is low priority and 5 is high priority *

Please choose the appropriate response for each item:

	Low				High
	1	2	3	4	5
Open access to scientific publications	0	0	0	0	0
Open access to research data	0	0	0	0	0
Preservation and re-use of scientific information	0	0	0	0	0
E-infrastructures	0	0	0	0	0
Multi-stakeholder dialogue at national, European and international level	0	0	0	0	0
Structured coordination of Member States at EU level and follow-up to the recommendation	0	0	0	0	0
Reviewing and Reporting	0	0	0	0	0

Please assign priorities to each of the recommendations as regards to European level co-ordination.

1 is low priority and 5 is high priority *

Please choose the appropriate response for each item:

	Low				High
	1	2	3	4	5
Open access to scientific publications	0	0	0	0	0
Open access to research data	0	0	0	0	0
Preservation and re-use of scientific information	0	0	0	0	0
E-infrastructures	0	0	0	0	0
Multi-stakeholder dialogue at national, European and international level	0	0	0	0	0
Structured coordination of Member States at EU level and follow-up to the recommendation	0	0	0	0	0
Reviewing and Reporting	0	0	0	0	0

Priorities

Do you have any additional information you'd like to add relating to priorities?

Comment

Comment

Please add any comments you feel to be appropriate.

Comments