Grant agreement no. 654139

LEARN

Leaders Activating Research Networks: Implementing the LERU Research Data Roadmap and Toolkit

Coordination & support action
H2020-INFRASUPP-2014-2
Topic: e-Infrastructure policy development and international cooperation

D1.2 Workshops (2)

Work Package: WP1

Due date of deliverable: month 11

Actual submission date: 19 / May / 2016

Start date of project: 1 June 2015 Duration: 24 months

Lead beneficiary for this deliverable: *UCL*
Contributors: *LIBER, UB, UNIVIE, ECLAC*

Project co-funded by the European Commission within the H2020 Programme (2014-2020)		
Dissemination Level		
PU	Public	✓
CO	Confidential, only for members of the consortium (including the Commission Services)	
CI	Classified, as referred to in Commission Decision 2001/844/EC	

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1. Version log

Version	Date	Released by	Nature of Change
First version	12/5/2016	Paolo Budroni (UNIVIE)	
0.2	12/05/2016	Barbara Sanchez Solis	Incorporated comments from Rodney Amis
0.3	17/05/2016	Barbara Sanchez Solis	Minor changes (Ilaria Marsili)
1	18/015/2016	Martin Moyle	Minor changes

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2. Definition and acronyms

Acronyms	Definitions
LEARN	LEaders Activating Research Networks: Implementing the LERU Research Data Roadmap and Toolkit
LERU	League of European Research Universities
LERU Roadmap	Roadmap for universities and research organisations on how to tackle the challenges which research data poses. It also has a series of messages for researchers, support services, research institutions and policy makers.
LIBER	Association of European Research Libraries
RDM	Research Data Management
UB	Universitat de Barcelona
UCL	University College London
UNIVIE	Universität Wien
UN ECLAC	United Nations Economic Commission for Latin America and the Caribbean

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3. Introduction

Work Package 1 “Stakeholder Engagement” (Task 1.1) states that the LEARN Project will organise five Workshops to be organised in Europe and Chile. These Workshops form one of the main project activities. Speakers who are leaders in the field of RDM will address the Workshops. Attendees will come from the various sectors of the research community. The communities from which attendees will be sought will be identified by the project partners. The Workshops will be targeted to encourage attendance by all stakeholder groups in the research community – researchers themselves, data scientists/stewards, library and IT staff, faculty and University managers, research funders. The project partners will ensure that attendance comes from all stakeholder groups by using their influence in their own communities to encourage attendance. The mix of stakeholder groups will ensure that the Workshop presentations and discussions are broad and cover all relevant aspects of RDM. The Breakout Groups in the Workshops will help identify best practice and case studies which are significant to these sectors. These will then be gathered and published in the Toolkit.

This deliverable is the report on the 2nd LEARN Project Workshop entitled **“***Research Data Management towards Open Science – The Importance of Policies*”, held in Vienna on 6th April 2016.

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4. Activities carried out and results

4.1 Organisation

The second Workshop was held at the campus of the University of Vienna on 6th April 2016. The logistics for the event included catering, the organisation of additional rooms for breakout sessions and audio-visual support. Beforehand, the Workshop was publicised via direct, personalised letters by mail and personalised e-mails including an additional Project description. The event was also promoted via the LEARN Project's website and Twitter feeds as well as through mailings to identified contacts supplied by all the Project partners. Registration for the Workshop was possible via the Project's website using the Eventbrite booking system.

The Workshop attracted 56 registrations of whom 55 attended on the day. Representatives from different ministries, research institutions and research funding organisations from eight European countries, as well as two of the largest international publishing houses took part in the event. The full range represented by the registrants is listed in Appendix A.

A welcome pack was assembled providing each registrant with the Workshop programme, the LEARN flyer, a notice that resulting audio-visual documents would be stored at the institutional repository of the University of Vienna, the speakers' abstracts and profiles, a copy of the *LERU Roadmap for Research Data,* and details of the afternoon break-out groups (see 4.2.2 below).

4.2 Programme

The Workshop programme was developed to allow for four keynote speakers (three external and one from within the Project (UCL) and three break-out discussion groups. The four keynote presentations were recorded and the resulting videos will be made available via the LEARN website.

Paul Ayris (UCL) first addressed the growing importance of research data management (RDM) in the research lifecycle, the relevance of the LERU Roadmap for Research Data in the research landscape, and policy development and alignment within the European Open Science Cloud. The development of policies is closely related to a precise identification of data use, and the working group of the Research Data Alliance (RDA) on data citation represented by Andreas Rauber (Technical University of Vienna) elaborated recommendations on enabling precise identification and citability of dynamic data. In his talk he reviewed the identified challenges and discussed possible solutions. Gerhard Budin (University of Vienna) demonstrated in his keynote a use case on a large Austrian project in the field of Digital Humanities and linguistic research showing how policies should contemplate cross-disciplinary methodologies and derived challenges on the one hand, and, on the other, the federated research e-infrastructure including language technology and machine translation research environment. The growing engagement of publishers in the field of research data management was illustrated by Catriona MacCallum (PLOS). She focused on open access issues with liberal re-use rights to the research literature, embracing the validity of negative or inconclusive data.

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The promotion of transparent reporting remains a key editorial strategy in order to increase the availability of underlying data associated to papers.

The speakers' presentation slides can be viewed and downloaded at http://learn-rdm.eu/workshops/2nd-workshop/presentations/. The full programme is listed in Appendix B.

4.2.1 Keynote speakers

Profiles of all the keynote speakers can be viewed at http://learn-rdm.eu/workshops/2nd-workshop/speakers-profile/

4.2.2 Break-out discussion groups

Registrants were allocated to three break-out groups/Round Tables[1] in advance of the event. Each of these rounds was led by two partners from the LEARN Project (one moderator, one rapporteur provided from one of the Project partners) and was dedicated to a specific topic (see Appendix C). The opportunity to participate using the rotation principle at all afternoon sessions was well received and fostered very active discussion. Rapporteurs gave brief feedback from each group at the afternoon feedback session and then compiled full reports after the event and made available on the Project's website http://learn-rdm.eu/workshops/2nd-workshop/. A summary report illustrating the main themes to come out of all the discussions was also produced.

4.3 Evaluation and feedback

All attendees were contacted in the week following the Workshop and invited to complete an online satisfaction survey. 18 of the 55 attendees completed the survey and the results were made available via the Project website at http://learn-rdm.eu/workshops/2nd-workshop/.

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[1] 'Round Table' and 'Break-out group' are synonymous and used interchangeably throughout the project.

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5 Conclusions

The second LEARN Workshop “Research Data Management towards Open Science – The Importance of Policies” was designed to encourage all stakeholders – researchers, research funders, research organisations and senior decision-makers – to explore their roles and responsibilities in the fast-changing environment of infrastructure development and research data management. The topics were driven by four keynotes in the morning session which addressed policy development and alignment. In the afternoon session, representatives from eight European countries shared their experiences in three parallel Round Tables.

Overall the collected feedback from attendees delivered high approval ratings, which justified the content, approach and organisation of the Workshop. One of the key learning points for the Project is the importance of including the opinions of all identified stakeholders. It was evident that definitions of research data and research data management (RDM), as well as requirements of funders, vary considerably according to country. The awareness of these differences should be reflected in the results of the Project. A comparison between the first Workshop and the second Workshop shows a clear gap in terms of policy development, with UK institutions ahead of Central Europe and Italy. A further conclusion is that funders should enable long-term access to data through their policies and financing models.

Key findings from the break-out discussion groups/Round Tables:

a. **Roles and competencies of acting entities**:

   Only a few institutions represented at the Workshop in Vienna have RDM policies in place; the majority are in the process of policy development. According to the attendees, authorship of a policy is usually a joint initiative of libraries, research support offices and ICT departments. The approval of a policy is usually carried out by a Board of Directors, the Academic Senate resp. the Rectorates. Regarding assignment of roles, competencies and obligations it is generally agreed that the driver for implementing RDM policies derives from funders. As for institutional RDM services, the offer depends a lot on the institutions. The researchers always have a subject-specific approach, so the acceptance of RDM services will depend a lot on the domain. To summarise, implementing a policy is key for setting up RDM services. Once an institution has a policy, this is the start of a process of recognition. The institutions will understand what kind of support they already have, what needs to be set up, and which departments need to collaborate.

b. **Role of policies concerning research data:**

   Regarding the question of what research data is, participants agreed on a wide and open definition. It may be counterproductive to state a closed and specific definition of research data at the level of the institutional data policy. The participants further agree that the whole research lifecycle needs to be considered and not only the deposit of data in repositories. Services supporting and accompanying this lifecycle should be put in place. Open educational resources should also be considered in a research data policy. There was a clear agreement on the fact that metadata is a constituent part of research data, and that it should be addressed within the research data policy. The permissions for and limitations of access and reuse of metadata should be clearly stated in a

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policy and a license incorporated within metadata records. There was also general agreement on the need for research data to be open by default, as long as there is an opt-out clause.

c. How might setting policies ensure research data can be shared and be re-usable?

Existing infrastructures are fragmented. Some countries lack national research strategy, e.g. where there is no central funding council. This is all the more reason for universities to take ownership/leadership of the issue of research data management, through university policy. Research funders may wish to make stipulations about data. They also have a (moral) obligation to push researchers in “the right direction”. Institutional and funder policies should be aligned. Policy development should involve all relevant stakeholders, such as institutions, data producers, research funders, and data curators; publishers also influence policy. Some disciplines have well-established structures already, so policy needs to be flexible and sometimes allow for exceptions. Finding the common ground between disciplinary practice and central institutional demands is very important. Researchers should have a right to say which data are / are not important in any given project. A policy should also recognise that the storage provider is involved in issues like safeguarding identity and integrity of data and security in order to ensure permanent access. Funders should be included in discussions of retention periods and also costs.

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Appendix A

Institutions represented at the Vienna LEARN Workshop

Academy of Fine Arts Vienna
Austrian Academy of Sciences
Austrian Federal Ministry of Science, Research and Economics
Austrian Ministry for Transport, Innovation and Technology
Berlin-Brandenburg Academy of Sciences and Humanities
Ca' Foscari University of Venice
Charles University Prague
Cineca
Elsevier
FFG-Austrian Research Promotion Agency
IIASA – International Institute for Applied Systems Analysis
Institute of Science and Technology Austria
JISC
Know-Center Graz
Österreichische Universitätenkonferenz (UNIKO)
PLOS
University of Freiburg
University of Geneva
University of Hannover
University of Innsbruck
University of Medicine Vienna
University of Milan
University of Vienna
Vienna University of Economics and Business
Vienna University of Technology
Webster University Vienna
WWTF - Vienna Science and Technology Fund
ZAMG Austria

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Appendix B

Programme of LEARN Workshop "Research Data Management towards Open Science – The Importance of Policies"

Moderator | Paolo Budroni, PhD, Vienna University Library and Archive Services

09.00 - 10.00 | Registration
09.30 - 10.00 | Coffee and pastries

10.00 - 10.10 | Welcome address by Mag. Maria Seissl, Vienna University Library and Archive Services

10.10 - 10.45 | Keynote address by Dr. Paul Ayris on "Research Data Management and the brave new world," Library Services, University College London, UK

10.45 - 11.20 | Keynote address by Prof. Andreas Rauber on "Enabling Precise Identification and Citability of Dynamic Data: Recommendations of the RDA Working Group," Department of Software Technology and Interactive Systems, Vienna University of Technology

11.20 - 11.55 | Keynote address by Prof. Gerhard Budin on "Big (Language) Data - From research strategies to proof-of-concept and implementation projects in linguistics research," Centre for Translation Studies, University of Vienna

11.55 - 12.30 | Keynote address by Catriona MacCallum, PhD on "How can we ensure research data is re-usable? The role of Publishers in Research Data Management", PLOS Acting Advocacy Director

12.30 - 13.45 | Lunch

13.45 - 15.15 | Three parallel round tables, each led by LEARN project partners

15.15 - 15.30 | Coffee break

15.30 - 16.30 | Feedback from the three round tables (10 minutes each): a plenary discussion led by Paolo Budroni, PhD, UK

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Appendix C

Breakout session Briefing Notes:

The Round Tables (13.45-15.15)

There will be three parallel round tables (RT), each chaired by two LEARN project partners (1 Moderator, 1 Rapporteur).
Each of the round tables will be assigned to a dedicated topic and commissioned to answer some questions. The Rapporteur(s) will take notes from the discussion.
The main outcomes of each RT shall be presented by the Rapporteurs (10 min. each) in the form of a short report containing common position statements.

Formula of the Round Tables: Rotation principle, 30 min. per round table
20 min. discussion | 10 min. for chairs to recollect / for participants to change RT

Leaders of the Round Tables:

Group RT 1 | Chair: **Paul Ayris** (UCL – University College London)
Rapporteur: **Barbara Sánchez Solís** (University of Vienna)
Location: *Campus of the University of Vienna* | **Hörsaal A**

Group RT 2 | Chair: **Ignasi Labastida** (University of Barcelona)
Rapporteur: **Gema Bueno de la Fuente** (Stichting LIBER)
Location: *Campus of the University of Vienna* | **Aula am Campus**

Group RT 3 | Chair: **Paolo Budroni** (University of Vienna)
Rapporteur: **Martin Moyle** (UCL – University College London)
Rapporteur: **Imola Dora Traub** (University of Vienna)
Location: *Campus of the University of Vienna* | **Stiegl-Ambulanz**

Round Table 3 will be opened by discussing the following:

a) Who among the attending institutions has released/published a RDM-Policy?
b) When?
c) Who was the author of the policy?
d) Who is planning to release/publish RDM-policy?
e) When?

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Round Table 1

Policies: Roles and competencies of acting entities

Main questions:

About Authorship:

Who is the author of a policy?

___

Who approves a policy?

___

Who reviews the policy?

___

Concerning the assignment of roles, competencies, obligations **- please define:**

a) The role of the Data Producing Entity in a policy

___

b) The role of the Institution in a policy

___

c) The role of the Research Supporting Services in a policy

___

d) The role of the Funder in a policy

___

e) Are there further entities to be identified?

___

f) *Who among the stakeholders are the drivers of policies?*

___

Round Table 2

Role of policies concerning research data

Main questions:

a) What data should be assessed for deposit and retention?

___

b) What is “research data”?

___

c) What are “records”?

___

d) Should open educational resources be considered in a research data policy?

___

e) Are metadata research data?

___

f) What are “research data of future historical interest”?

___

g) Should research data that represent records of the University be retained?

___

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h) Should research data be open by default?

i) Are there exceptions?

Round Table 3

About re-use: How might setting policies ensure research data can be shared and be re-usable?

Main questions:

a) Where should data be stored?

b) Who decides on it?

c) Who controls the integrity of data?

d) Who decides about planning horizons and periods?

e) Who controls the release of data?

f) *Who controls the publication processes of data?*

g) *Who should not control the publication processes of data?*

h) Who manages the data throughout the research data lifecycle?

i) Who defines “the research data life cycle”?

j) How long should the data be retained?

k) What is the minimum retention period for research data and records?

l) What are the exceptions for the minimum retention period in a policy?

m) What kind of data deserves the right to be “forgotten”?

n) When should research data and records be deleted or destroyed?

o) Who decides this?

p) Who carries this out?

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