Overview and Issues around NII Research Data Policy and immediate OA in Japan

Meeting with the French Embassy

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Today's Talk

NII

NII Research Data Policy and Institutional Data Governance

NII research data policy planned to be for Japanese universities

- ☐ Why NII works on institutional research data policy for Japanese universities
  - Need to position NII RDC in Japanese universities' context
  - Needs to embed NII RDC, especially GakuNin RDM, into researcher's workflow
- ☐ Strategy
  - Draft NII research data policy and provide it as policy template to Japanese universities
  - Use "data governance" as the link between the policy and NII RDC

National context
on research data policy

☐ May 2021
☐ Cabinet Office, "6th Basic Plan for Science, Technology and Innovation"

Sets the targets:

1. All Japanese universities with an institutional repository need to set up a research data policy by 2025.

2. All funding agencies need to introduce DMPs for CFPs 2023 and a system supporting metadata schema needs to be introduced as well.

Universities with a research data policy

- Kyoto University
- Nagoya University
- Tokyo Institute of Technology
- Tohoku University
- Kanazawa University
- Keio University
- Kobe University
- Tokyo University

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Kyoto University Policy on Research Data Management and Sharing

(Preamble)

1. In this policy, research data is defined as the recorded information, both digital and non-digital,gathered or produced by the researchers of Kyoto University in the process of their research activities.

2. The researchers of Kyoto University should be aware that Research Data Management, defined as managing and preserving research data appropriately, is indispensable in conducting research of a high standard.

3. Kyoto University acknowledges that researchers who have gathered or produced research data in principle have the right and responsibility to implement Research Data Management. The researchers of Kyoto University implement Research Data Management in compliance with legal and ethical requirements in each research field for the purpose of retaining the value of research data.

4. Kyoto University will promote the utilization of research data by sharing it to the greatest possible extent unless otherwise specified, based on the understanding that research data, along with academic theses, serves as a foundation of knowledge that contributes to the current and future development of scholarship and society.

5. Kyoto University is responsible for providing the environment to support Research Data Management and sharing.

This policy will be reviewed as needed in response to changes in society and academic circumstances.

Approved by the Kyoto University Research Information Management Committee on March 19, 2020

University of Oxford
Policy on the Management of Data Supporting Research Outputs…ポリシーの目的

1.2 Purpose of policy

1.2.1 There is an increased requirement on researchers to manage and preserve their research data and to share it with as few restrictions as possible, while at the same time respecting concerns in relation to privacy, safety, security and commercial interests; this is under the assumption that the outputs of University research are a public good, produced in the public interest and for societal benefit. This policy aims to establish the measures needed to facilitate the appropriate curation and management of data, to secure its longevity and its potential to be shared.

1.2.2 This policy is intended to help promote good practice around research data, with the particular aim that it is:

a. stored securely and preserved in order to ensure its continuing utility;
b. appropriately identifiable, retrievable, and available when needed;
c. an accurate, complete, reliable and coherent representation of the materials collected;
d. kept in a manner that is compliant with legal obligations, including the Data Protection Act 1998 / The General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679) and the Freedom of Information Act 2000, and, where applicable, the requirements of funding bodies and project-specific protocols approved under the University Policy on the Ethical Conduct of Research Involving Human Participants and Personal Data;
e. able to be made available to others in line with appropriate ethical, data sharing and open access principles, especially when the data underpins published research.

University of Oxford
Policy on the Management of Data Supporting Research Outputs...ポリシーの目的

2.0 Responsibilities of the University

2.1 The University will provide:

    a. sufficient support, advice and information to researchers on all aspects of research data management
    b. suitable infrastructure to facilitate the appropriate management of research data.
    c. relevant training to promote best practice in research data management.

2.2 In order to support and enable this policy, the University is committed to engaging with researchers to fulfill the mutual responsibilities described herein, and through this engagement, ensure that the research data management services and infrastructure capabilities it provides are adequate and fit for the purpose of supporting researchers' compliance with the policy.

2.3 In the event that a research data management requirement cannot be addressed or treated via the advice, infrastructure and training noted above, then the University will be responsive to requests for bespoke support to ensure that researchers can meet their responsibilities under this policy.

3.0 Responsibilities of the researcher

3.1 Principal Investigators hold day-to-day responsibility for the effective management of research data generated within or obtained from their research, including by their research groups. This shall include understanding and complying with the requirements of any relevant contract with or grant to the University that includes provisions regarding the ownership, preservation and dissemination of research data.

3.2 Researchers will protect confidential, personal and sensitive personal research data in accordance with legal and ethical requirements related to the research they conduct.

3.3 Researchers will make every reasonable effort to keep an accurate and comprehensive record of their research, including documenting clear procedures for the collection, storage, use, reuse, access and retention or deletion of the research data associated with their records. Where appropriate, this should include defining and documenting protocols and responsibilities in collaborative research projects.

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https://researchdata.ox.ac.uk/university-of-oxford-policy-on-the-management-of-data-supporting-research-outputs/

HARVARD UNIVERSITY

Policy Title: Research Data Ownership Policy

Responsible Office: Office of the Vice Provost for Research
Effective Date: February 19, 2019
Revision Data: February 15, 2019

INTRODUCTION

Ultimately, the University is responsible for complying with laws, regulations, and requirements of its research sponsors, many of which pertain to research data. To ensure its ability to satisfy those requirements, the University asserts ownership over research data generated at Harvard for projects conducted at the University, under the auspices of the University, or with University resources. Although the University is the owner of all such research data, sound management practice and common-sense call for the University and researchers to work in partnership to fulfill these obligations. This policy defines "research data," assigns roles and responsibilities to key actors, and describes its relationship to other relevant University policies.

POLICY AND PROCEDURES

1. OWNERSHIP AND ROLES

A. <u>The University</u>: The University asserts ownership over research data for all projects conducted at the University, under the auspices of the University, or with University resources.

B. <u>Principal Investigators</u>: Principal Investigators (PIs) and other researchers are stewards and custodians of research data. However, if PIs choose to delegate responsibility within their research groups, the PIs remain accountable to the University for the stewardship of research data.

2. RESPONSIBILITIES

Harvard's responsibilities with respect to research data include, but are not limited to:

i. Ensuring compliance with the terms of research agreements;
ii. Protecting the rights of researchers, including, but not limited to, their rights to access to data from research in which they participated;
iii. Securing intellectual property rights;
iv. Facilitating the investigation of charges such as research misconduct or financial conflicts of interest;
v. Maintaining appropriate confidentiality and security protections over research data; and
vi. Complying with applicable federal, state, and local laws and regulations.

The University's rights and obligations are not subject to negotiation and may not be altered in any agreement or proposal prepared by any faculty member or administrator.

The PI's responsibilities with respect to research data include, but are not limited to:

i. Ensuring proper management and retention of research data in accordance with this policy and the Guidance on Retention and Records of Research Records and Data.
ii. Establishing and maintaining appropriate procedures for the protection of research data and other essential records, particularly for long-term research projects;
iii. Ensuring compliance with program requirements;
iv. Maintaining confidentiality of research data, where appropriate;
v. Maintaining appropriate data use agreements for the sharing of research data, and
vi. Complying with applicable federal, state, and local laws and regulations.

3. DATA RETENTION

Harvard's policies and the retention of research data and materials are set forth in the [Guidance on Retention and Records of Research Records and Data](#).

4. TRANSFER IN THE EVENT A RESEARCHER LEAVES HARVARD

If a PI leaves Harvard and a project is to be moved to another institution, ownership of the original data may be transferred from Harvard to the PI's new institution upon request from the PI subject to: (a) the prior written approval of the Vice Provost for Research; (b) written agreement from the PI's new institution that guarantees (1) its acceptance of ongoing custodial responsibilities for the data and (2) Harvard having access to the original data, should such access become necessary for any reason; and (c) relevant confidentiality restrictions, where appropriate.
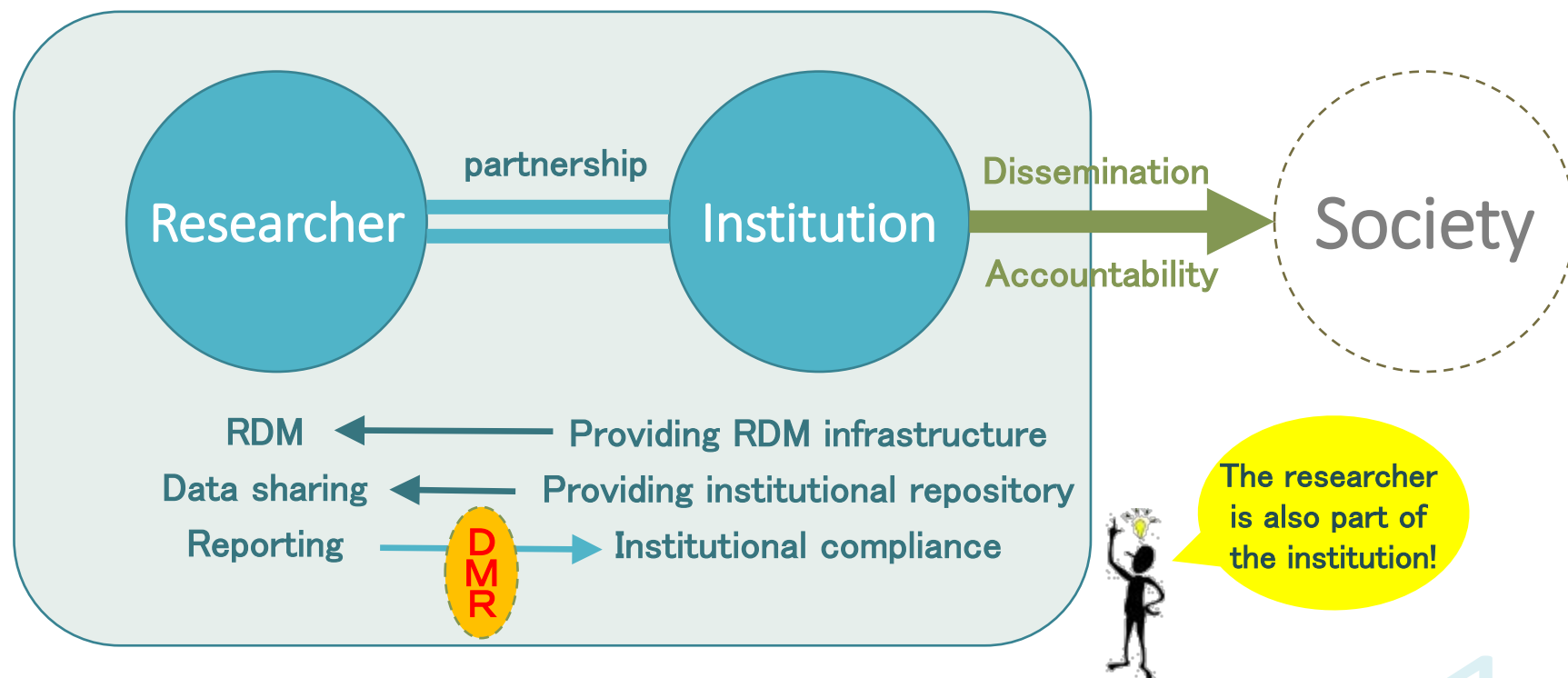
When individuals, other than PIs, who have been substantively involved in research projects at Harvard leave the University, they may take with them copies of research data resulting from these projects, subject to relevant confidentiality restrictions and any requirements of the original research project, and conditioned upon the approval of the individual's Department Chair or Dean. In this event the ownership of the research data remains with the University and original data must be retained at Harvard by the PI.
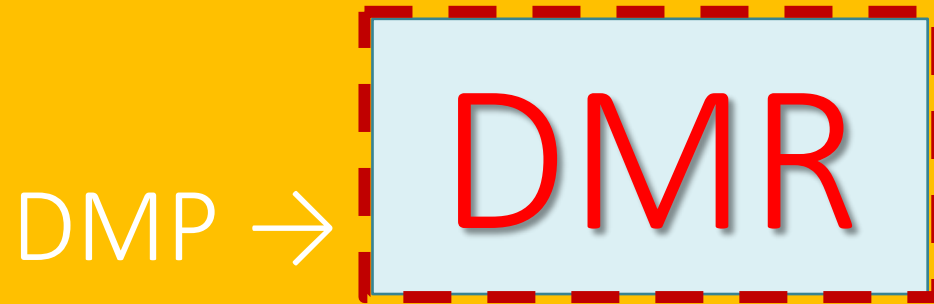
In either of these instances, the remaining members of the research team retain the rights to use the original data. Any publications resulting from the data will be subject to the Harvard University Authorship Guidelines as well as the specific requirements of the journal in which publication occurs.

Features of
NII Research Data Policy

1. Concrete and actionable

2. Defines institutional research data governance

3. To be implemented utilizing data governance function of NII RDC

4. To be provided to the Japanese universities as a policy template along with NII RDC

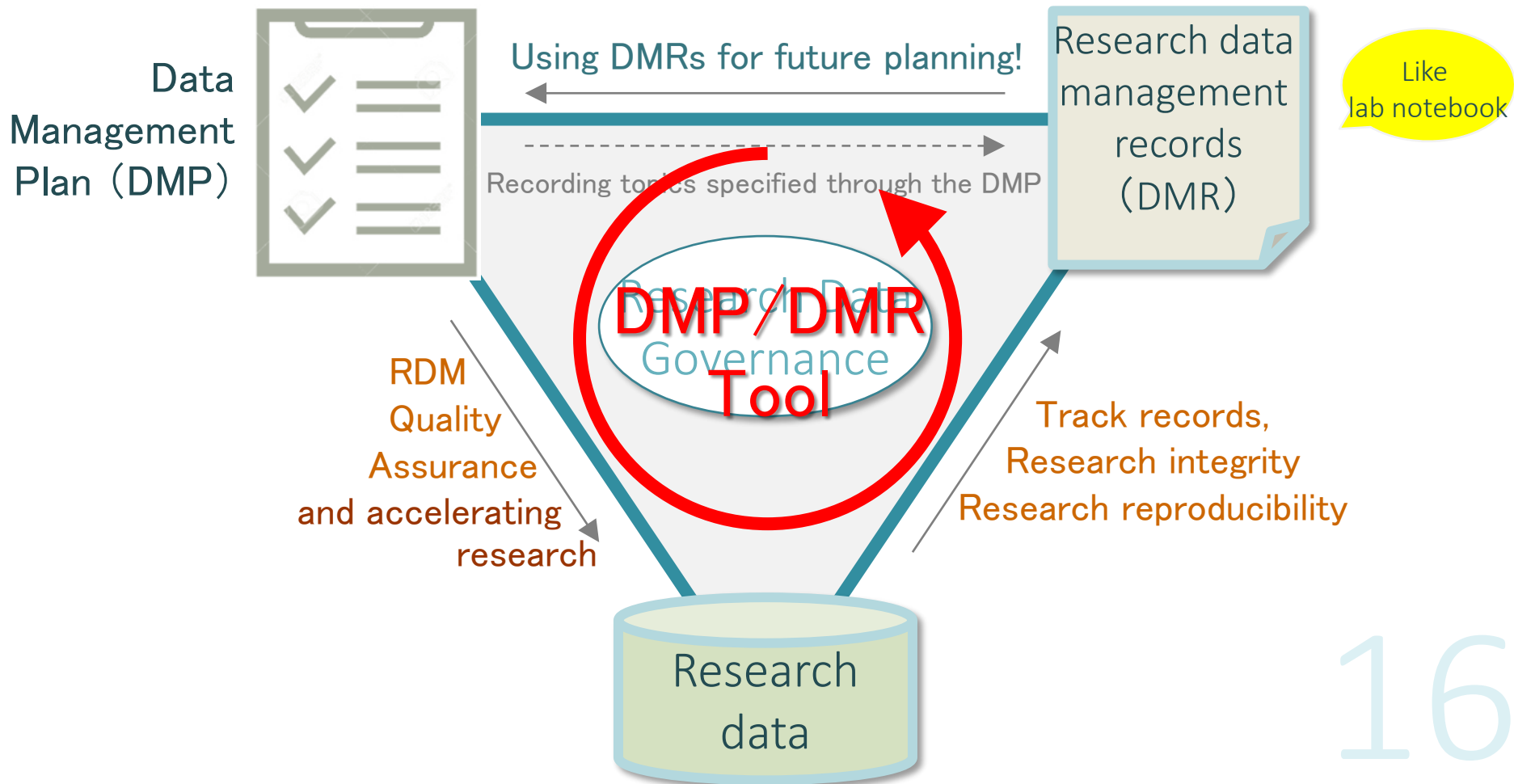# Institutional research data management through partnership between institution and researcher

DMP → **DMR**

Data **M**anagement **R**ecord

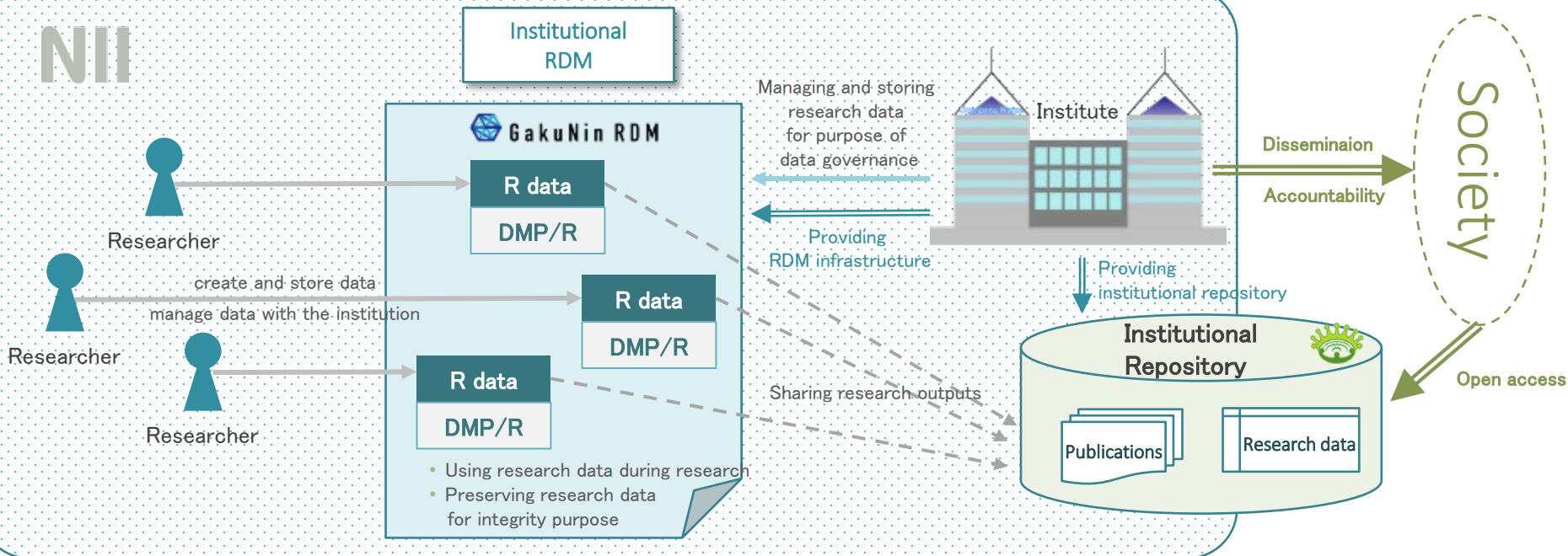Institutional research data governance should be underlined by DMRs, not DMPs!

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NII's Research Data Governance

- Shares DMP, DMR, and research data with the institution
- Shares research data as open as possible

- Institutional RDM and compliance
- Providing infrastructures for RDM and data sharing

Issues around NII Research Data Policy

1. Too detailed and difficult to get the buy in of Japanese universities

2. Difficult to get the buy in of researchers; they don't want additional burden

3. Technical difficulties to develop data governance function, i.e. DMP/DMR tool, machine-actionable

Immediate Open Access in Japan

Background on Open Access of Research Publication

☐ Until 2022: General agreement to promote OA

- ➤ Suffering under rising subscription cost of academic journals
- ➤ NII rolling out institutional repository (IR) cloud service, JAIRO Cloud
- ➤ IRs filled with gray literature such as university bulletins
- ➤ 2013: Mandate to make doctorate thesis available OA on institutional repositories

☐ May 2023: [G7 Science and Technology Ministers' Communique](#)

- ➤ "The G7 also supports immediate open and public access to government-funded scholarly publications and scientific data, and supports the endeavors of the scientific community to address challenges in scholarly publishing for broader sharing of appropriate scientific outputs."

https://www8.cao.go.jp/cstp/kokusaiteki/g7_2023/230513_g7_communique.pdf

Policy on Immediate Open Access of Research Publication in Japan (1)

☐ June 2023: <u>Integrated Innovation Strategy 2023</u>

(Promotion of open access to scholarly publications and scientific data)

- ➢ In addition, based on the G7 Communiqué in 2023, we will <u>formulate a national policy to promote immediate open access to publicly funded scholarly publications and scientific data</u> <u>underlying the publications for new applications starting FY2025 of the competitive research funds</u>.

- ➢ Specifically, the government will support enhancing the ability to negotiate for universities and research institutes with academic publishers, based on the national policy.

- ➢ In addition, we will enhance the research DX platforms for managing and utilizing research outputs such as scholarly publications, research data, and preprints, and enhance the ability of researchers and the research community to disseminate their research outputs.

Policy on Immediate Open Access of Research Publication in Japan (1)

☐ June 2023: <u>Integrated Innovation Strategy 2023</u>

(Promotion of open access to scholarly publications and scientific data)

...Continued

➢ Through these efforts, we will promote collaboration with countries, regions, and international organizations that share values with Japan, such as the G7, in order to promote open access to research outputs.

➢ We also aim to establish and transition to a new system for evaluation and providing incentives, while reviewing the excessive reliance on quantitative indicators in research evaluation and understanding and analyzing the current status and issues for promoting open science.

世界的な学術出版社による研究成果の市場支配への対応の方向性　案

【基本方針】
- 価値観を共有する国との連携（G7科学技術大臣会合：本年5月12～14日 仙台開催）
- 国レベルのオープンアクセス（OA）に関する方針を策定
  - ✓ 欧州（独・仏など）では既に対抗措置をとり、OSTP（米国大統領府科学技術政策局）も昨年8月にオープンアクセス方針を公開し、我が国でもCSTIにおける集中的な検討を開始（昨年11月より）

> 公的資金による研究成果の速やかな国民への還元
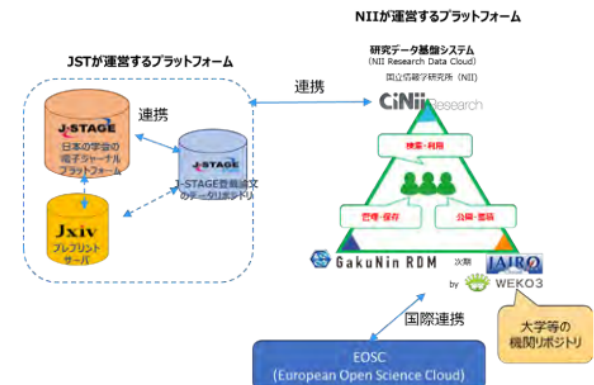> ・地球規模課題（感染症、災害等）への貢献

2025年度新規公募分から、学術論文等の即時オープンアクセス＜検討中＞

【具体的施策】
1. 公的な研究成果プラットフォーム（NII・JST）の充実。公的資金による学術論文の著者最終稿（バックデータ含む）の掲載の義務づけ（2025年度新規分公募より）＜グリーンOA＞
2. 掲載公開料（APC）の支援＜ゴールドOA＞
3. 学術出版社に対する交渉力の強化（国としての交渉体制の構築など）
4. 研究者や研究コミュニティの研究成果発信力の強化
5. 国際的な連携（G7等の価値観を共有する国との学術出版動向のモニタリング、政策連携など）

【環境整備】
1. 開かれた学術出版の市場環境の構築
2. 研究コミュニティの自律性の確保と適切な評価システムの構築

※NII：国立情報学研究所、JST：科学技術振興機構

Policy measures in consideration for immediate OA in Japan

☐ Immediate OA to be in effect after FY2025 applications of the competitive research funds.

1. Enhance the public scholarly publication platforms (NII, JST). Mandate green OA of Author Accepted Manuscript (AAM) after FY2025 research funds publication.

2. Support APCs (gold OA)

3. Enhancing the negotiation power against academic publishers
   - RU11 to negotiate transformative agreements (TA) and rights retention strategy (RRS).
   - Establish "Digital-U-Library" to provide access to academic journals for individual researchers whose affiliation lack contract with academic publishers.

4. Enhance the ability to disseminate research outputs.

5. International collaboration with G7 and other like-minded countries.

Issues around immediate OA policy measures in Japan

- ☐ Mandate green OA after FY2025 research funds publication.
  1. Overloading librarians work to register research outputs. Need to allow self-archive by researchers?
  2. Only few universities able to register research data on IRs.

- ☐ Support APCs (gold OA)
  1. Overlapping funds for promotion of OA (green & gold OA).

- ☐ RU11 to negotiate transformative agreements (TA) and rights retention strategy (RRS).
  1. Universities other than RU11 excluded
  2. Are RRS negotiations by the universities possible?

- ☐ Establish "Digital-U-Library" to provide access to academic journals for individual researchers whose affiliation lack contract with academic publishers.
  1. Are such negotiations with the publishers possible?