Policy workshop: ENVRI infrastructure policies, practices and technological solutions

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ENVRIFAIR

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Programme

- Introduction to the Workshop
  - Why this is relevant and to whom?
  - Goals of the workshop
  - Future of the policy work in ENVRI (FAIR)
- Some examples of policy work in the EPOS ERIC
- Introduction to group work
  - Group work on policies
- Returning together and discussion
- (optionally: Aspects of Policy Templates)

Goals of the workshop

- This is the **first workshop of a series** and it has 2 major goals

1. **Engagement of the ENVRI RI staff** on joint policy development

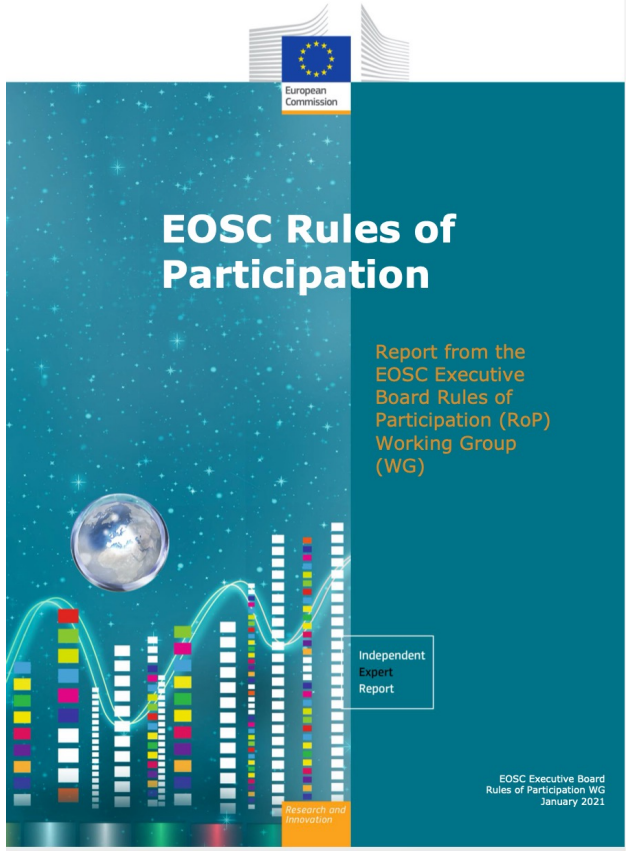
2. Finding out if the **basis** of the developing ENVRI policy framework are described in a way which is **suitable and usable** by the ENVRI RIs
    1. Is the Policy/Practice/Technology model useful basis for the RIs?
    2. What is the level of interest and possibility to influence the Policy level in participating RIs?
    3. What are the practical challenges in YOUR infrastructure to change things? Do you have existing processes for policy definition?

If we have time, we can also explore the

Why this workshop (1)?

Drivers of Workshop

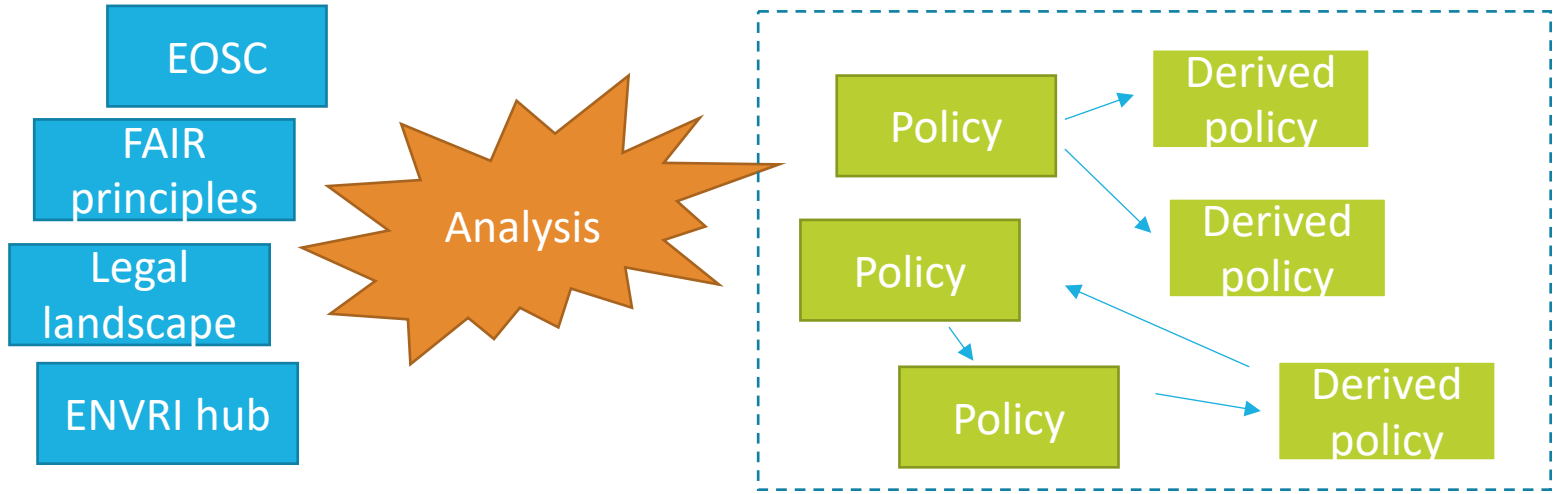
- There are many new requirements for ENVRI RIs, particularly on their data services. Examples:
  - European Open Science Cloud and their “Rules of Participation”
  - ENVRI HUB prototype
  - ESFRI push for open science / member state requirements
  - Copernicus services… etc
- **Often these are approached as purely technical challenges**,
  - leaves completely out the **necessary organisational changes** –in strategic level and within the organisations (RIs) own personnel behaviour



Why this workshop (2)?

ENVRI FAIR WP4

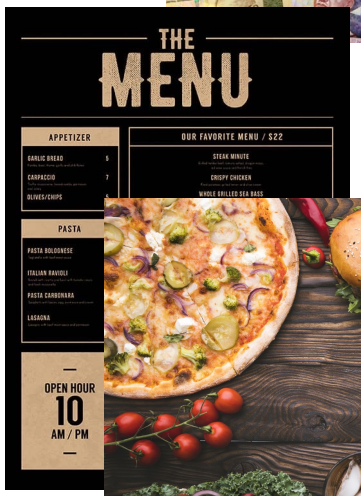
- The idea in WP4 of ENVRI FAIR is to build a **policy framework** for connecting to EOSC
- This is intended as a set of **Policy descriptions**, which are **interconnected** and fulfil the (known) EOSC **requirements**.
- Policies together form a *Framework* of interconnected organisational decisions



Why this workshop (2b)?

What needs to be specified for interoperability?

- When analyzing existing “policy documents”, it is sometimes difficult to find and understand what is actually decided in the policy. E.g.:
  - Information not clearly presented
  - Authorization is unclear
  - Documents are long and poorly titled
  - The documents include “internal info”
  - …
- For the EOSC interoperability, we should concentrate to **parts of such documents/decisions are crucial for interoperability**



Why this workshop (3)

Defining what to define

- Before going to individual policies in the future workshops/interactions, **we need to agree we are talking about**
- **What is the level the WP4 Policy framework SHOULD suggest to RIs?**
  - It is unrealistic to assume we provide all information - as a lot is dependent on your own organisation

- Questions such as:
  - **What is a policy**?
    - How about a best practice? *Is selecting a PID provider a policy*?
  - *Who decides on different kinds of decisions in RIs*?
  - How do we get from ”Our data needs to be FAIR” to actually researchers accessing the datasets freely?
    - What are the organisational steps in your RI?
- WP4 has approached this by creating a Policy/Practice/Technology model for RIs

Policy/Practice/Technology model

Basic structure

Policy

- "*What to be done*", e.g. "All RI datasets will have a PID"
- High level, principles, not details
- Requires authority, usually formal, written
- Strategic, based on organisational strategy, or high level external drivers (e.g. EOSC RoP).
- Can be generic (?)

External drivers (e.g. FAIR principles, EOSC)

Practice

- "*Who will do it*?", e.g. "Steps in the RI to assign PIDs, responsible people & orgs, funding"
- Organisational level, practical, human- and organisation – oriented. Describes work flow in the organisation
- Often has internal authority, but can be informal or unwritten.
- Is usually specific for each RI (?)

Internal drivers (e.g. org. constraints, available expertise)

Technology

- "*How this is done*?", e.g. "We use DataCite DOIs", technical implementation in data centre
- Technological/solution level. Technology oriented, IT, describes the (semi)automated processes in a formal way
- Often has no direct authority, but has practical implications. *Should* be documented
- Tactical, refers to technical standards and documents
- Can be generic (?)

Techno-economic drivers (e.g. compatibility, legacy systems)

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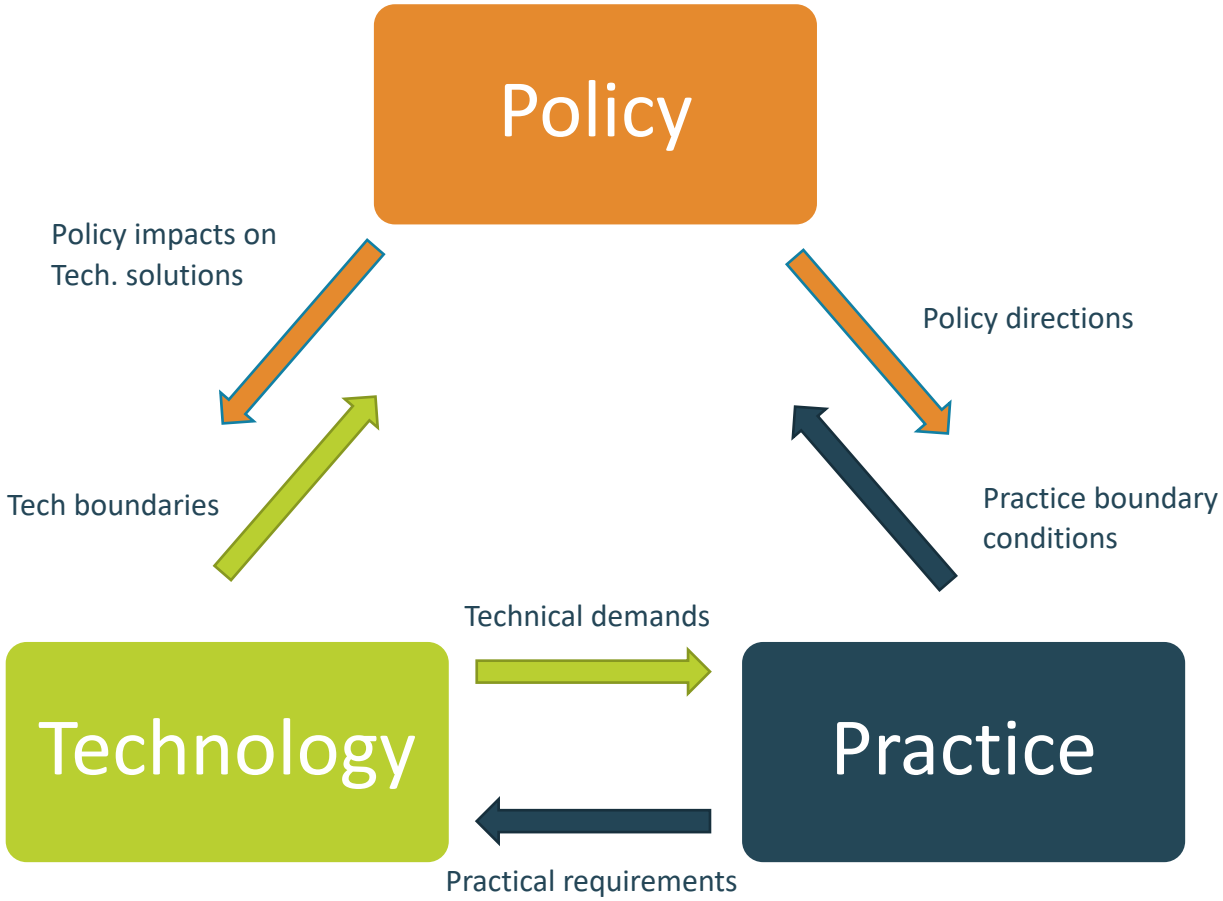
Policy/Practice/Technology model

Interactions



Which comes first?

- Policy driven (“top down”)
- Practice driven (“internally guided”)
- Technology driven (“Tool directed”)

The Policy Framework will intended to work on the **Policy Driven** approach

However, a lot of EOSC and ENVRI FAIR works from the **Technology Driven** approach

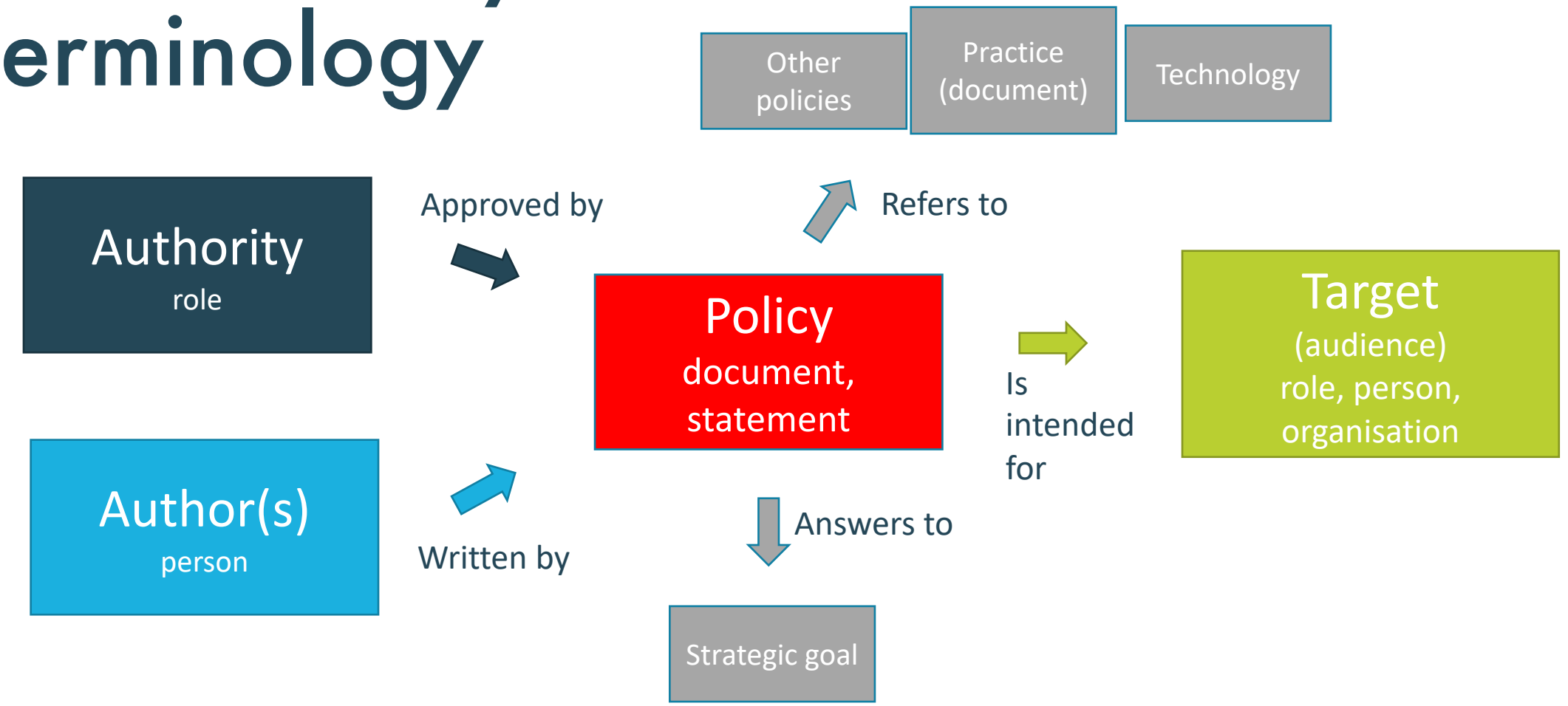
Practical application in RIs

- Altough these three aspects can (?) be separated in the theoretical level, **hardly any existing RI policies clearly separate these viewpoints**

- **Practical implementation of a Policy in RI should in most cases include all three aspects**
  - We consider that this separation has some merits though:
    - Possibility to the define common policies
    - Harmonization of technologies
    - Separate (but shareable!) Practices!
  - Separation has also organisational benefits
    - Authors are different
    - Targets are different
    - Timelines are often different

- Many documents titled “policy” have some aspects of all three, and **today we consider if this separation would be useful for policy templates we will present later in the project**
- **Note that you CAN still include all these aspects in your documents, but separating them can be useful also for your own RI**

ENVRI Policy model terminology



Open questions for the model

Today's discussion points

- **We want first of all to know what you actually think of this "*separation of powers*"?**
  - Can you **identify in your RI these steps as separate in your processes?**
  - **Is this a useful way to look into this**?
  - Could you think we can define some general sets of Policy level considerations – can your RI derive the necessary Practices from that approach?
  - Each RI is different: Who could be doing decisisions for each of these stages?

To help this discussion, you can choose **one or several** of these example Policy titles to consider in your RI: (you can also suggest others)

- "*Each Production Dataset in your RI data systems has a permanent unique identifier*"
- "*The Data Centre(s) have clearly defined target operational up-time goals, which are documented, communicated to users, and regularly evaluated*"
- "*All Production Dataset(s) have a common licence, which is referenced in the metadata*"

- Think these processes from the viewpoint of your RI
- *Who could decide the Policies, Practices, Technologies*?
  - Which parts come from Head Office, Central facilities and which are for National Nodes?
  - Who are the Targets of these types in your organisation?
- Are the responsibilities clear? What could be changed in your RI, what would be challenging?

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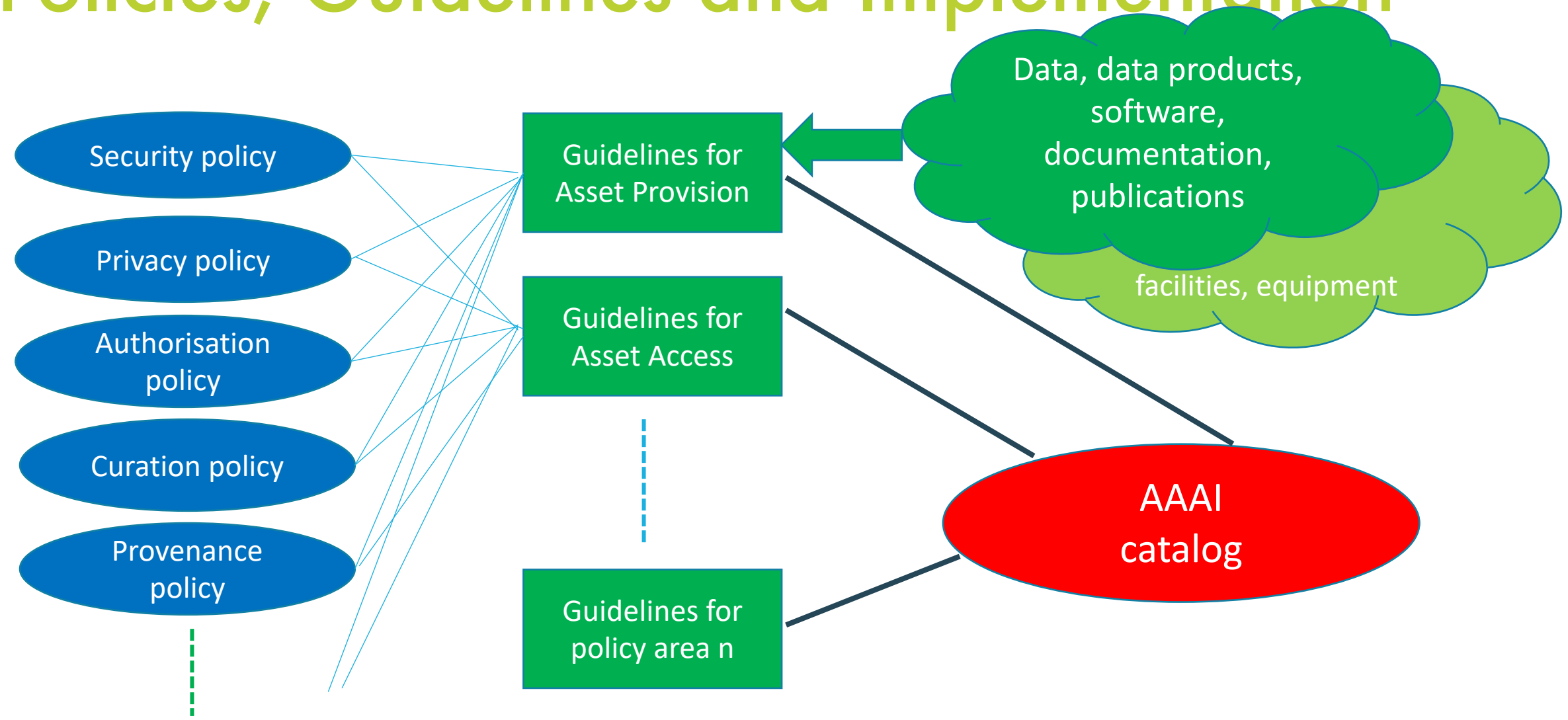
But before discussion.. Recent example from EPOS

- The model is essentially the same:

- ENVRI Policy <-> EPOS Policy
- ENVRI Practice <-> EPOS Guidelines
- ENVRI Technology <-> EPOS Implementation

Policies, Guidelines and Implementation



EXAMPLE EPOS: GUIDELINES

Each guideline depends on/enacts (parts of) a number of policies

Each guideline (one (set) per policy area) will be structured in these main sections:

- **Issue**: what is the problem to be tackled ➔ policy
- **Solutions**: how can it be solved ➔ Practice + Technology
- **Actors**: who has to do the actions ➔ Practice
- **Short term actions**: action/by whom
- **Long term actions**: action/by whom

Asset Provision
Asset Access
Personal data protection (including GDPR)
Security (including privacy and authorisation)
Responsible Research and Innovation

EPOS EXAMPLE: ASSET ACCESS - DOCUMENTATION

- Issues
  - A clear policy under which we can share project documentation should be defined.
  - Project document category:
    - Meetings presentations at all levels (SCC, IT BOARD, Executive Board, ICS-TCS interaction, etc.)
    - Functional requirements documentation
    - Pitches
    - Technical development documentation
    - Quality assurance documentations
    - Tests results
    - Devops procedure and configurations
    - Architectural interviews and documentation
- Actors and skills
  - Policymakers for the topic, Project management office, ECO, Boards participants, Developers DevOps
- Priorities and solutions
  - Complete the above mentioned document category list
  - Define a list of all assets available (document, recordings, technical configurations etc)
  - For each category define the accessibility, the publishing policies and the licence rules
  - For each document or documents' folder insert a clear licence

Discussion time 45min

Return by

Introductions

Short round of introductions

Discuss the model

Is it reasonable?

Can this can of separation be useful in your RI?

Consider process in your RI to implement one example policy

What are the challenges?
Who is responsible for what?

Open questions for the model

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Return discussion

Moderators, participants

- Is the model presented suitable or mappable to your RIs?
  - Difficulties, suggestions to improve?
- Do you think this kind of (terse, short) policy definition could be transferable to your RI?
  - How do you think this kind of information should be shared to be most useful?
- Do you think you are interested to continue these workshops in more detailed aspects of the Policy Framework?

Part II: Investigating a “good policy practices” template

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Policy template development

"How to write policies?"

- After analyzing a lot of policy documents, WP4 also determined some of the **key Aspects** which make the Policy documents easier to understand and manage

- However, these are just our opinions, and we could use the rest of the Workshop to consider these **Aspects** from the following viewpoints:

  - **Are they useful and necessary for your organisation?**
  - **Are they already implemented in your organisation?**

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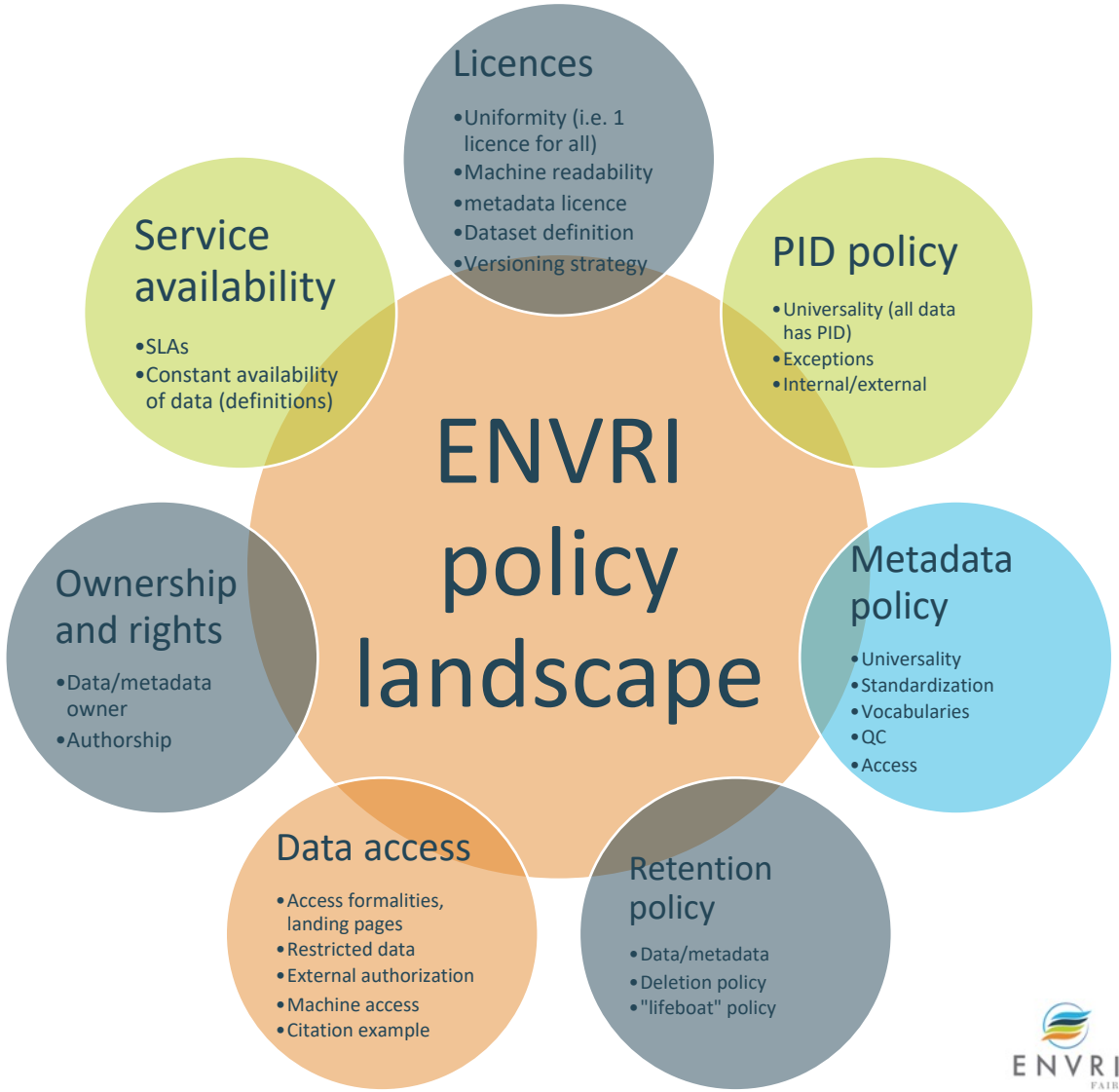
Next steps

- Finalize the first draft of the Policy Framework based on this workshop
  - Defining the Policies in useful format
  - Using the landscape analysis to find out potential difficult parts
- Next workshop will be more focused on individual policies – most likely on *Data identification and documentation*
- *Please respond on how useful you have found this workshop in the survey*



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