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## Building Trust Around the French Open Research Archive HAL

Hélène Bégnis, Françoise Rousseau-Hans

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**HAL** is a multi-disciplinary open access archive for the deposit and dissemination of scientific research documents, whether they are published or not. The documents may come from teaching and research institutions in France or abroad, or from public or private research centers.

L'archive ouverte pluridisciplinaire **HAL**, est destinée au dépôt et à la diffusion de documents scientifiques de niveau recherche, publiés ou non, émanant des établissements d'enseignement et de recherche français ou étrangers, des laboratoires publics ou privés.



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# Building Trust Around the French Open Research Archive HAL

A Shared Governance for Efficient Collaboration  
with the French Institutional Community

Hélène Bégnis (CCSD)  
Françoise Rousseau-Hans (CEA)

LIBER 2023

## 7 Good Practice Principles For Scholarly Communication Service

### GOOD GOVERNANCE

The service has strategic governance that allows community input on the direction of the service and operational governance with community representation and decision making power.

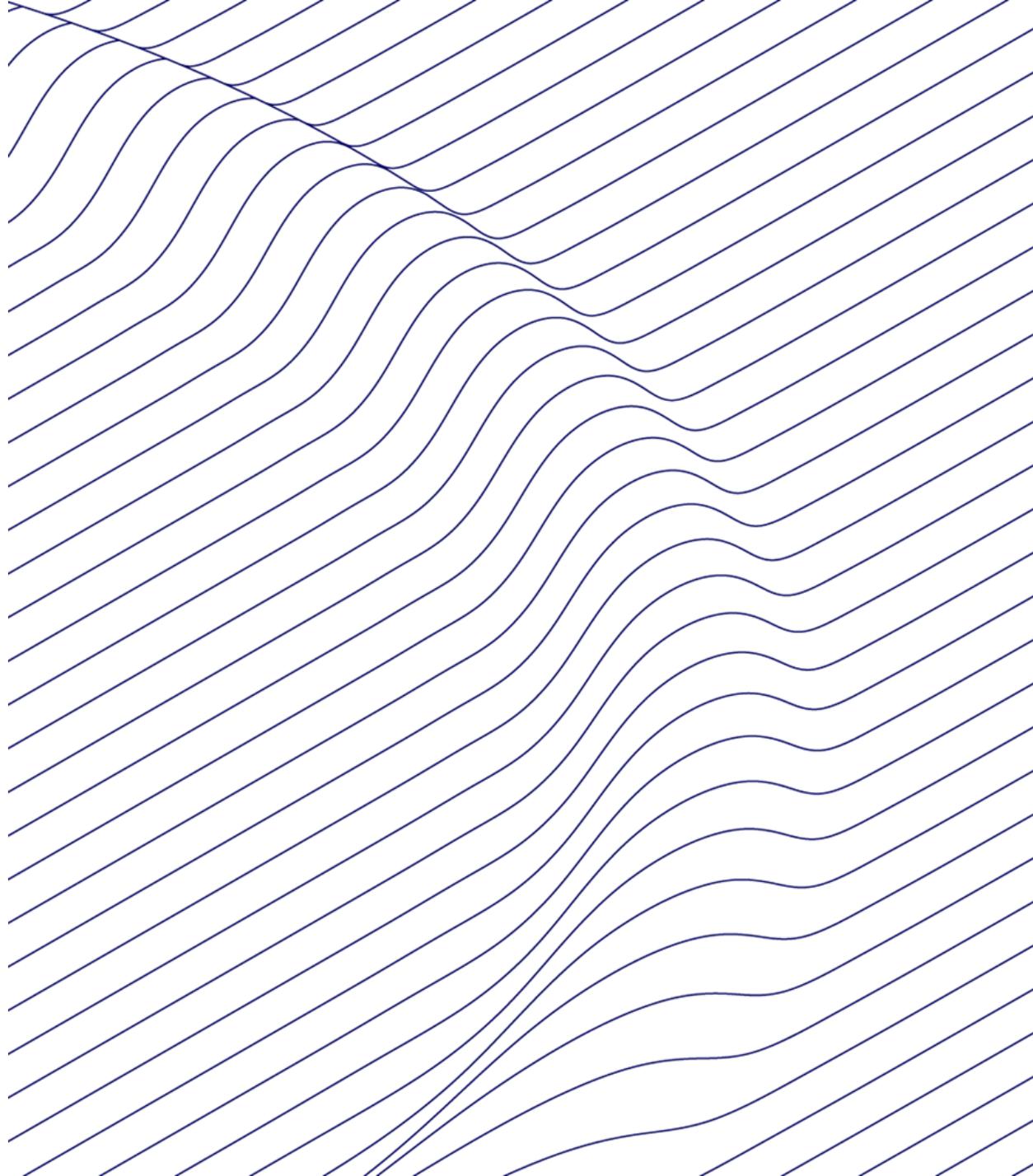


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# 01

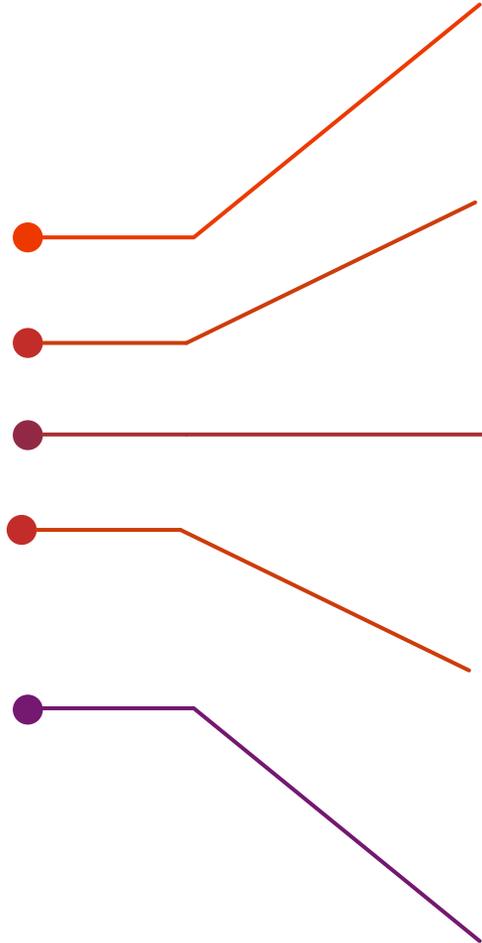
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## HAL, a French asset for open science



# An environment (very) favourable to open science in France

100%  
of open access  
Publications in  
2030



## Legislative support

Loi pour une république numérique



## Political support

French Higher Education and Research Ministry



## Scholarly Institutions

Many universities, organizations, schools

## Funding support

French National Research Agencies



## Official open repository





HAL is the multidisciplinary open archive chosen by the entire French scientific and academic community for the dissemination of knowledge



Diamond open access journal platform: a complete solution for editing and publishing journals

**26 Diamond open access journals**

*Ex : Journal of Theoretical, Computational and Applied Mechanics*



Platform dedicated to organisers of conferences, workshops or scientific meetings

**13 007 conferences managed on Sciencesconf**



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# ☐ The National Multidisciplinary Open Repository for French Research ☐

*Frédérique Vidal, press release, 25 september 2020*  
<https://www.enseignementsup-recherche.gouv.fr/fr/hal-une-gouvernance-partagee-et-un-modele-de-financement-perenne-46927>

## HAL Core principles



1

### Sustainability

= > Sovereign data hosting, open source code, **Community-driven governance**, institutional support and project funding

2

### Quality

= > Documentary, technical and legal control, respect for the authorship of the document, use of identifiers (ORCID, idHAL, **ROR**, project codes, etc.).

3

### Interoperability

= > **Transfer to ArXiv**, make files available in **REPEC** database, complete **ORCID** account, display publisher's policy on Sherpa-Romeo

4

### Visibility

= > OAI-PMH repository and API, search engines (Google Scholar, **OpenAire**), international directories (OpenDoar)

# HAL : a French-style mutualisation



« With HAL,  
we wanted to create a  
multidisciplinary arXiv »

Daniel Charnay, Hermès, La revue – Cognition,  
communication, politique, 2019, La  
communication au cœur de la connaissance,  
2019/3 (85), pp. 94-97.

1

National OpenRepository

1 200 800 full texts documents



2

Institutionnal Repository

143 HAL portals



3

Thematic Repository

HAL SHS, HAL THESIS, MediHAL



# HAL Portals offering for institutions : CEA example

➔ Expression of an open science policy

➔ Enhancing the publications and scientific data of their researchers and faculty members

## Advantages

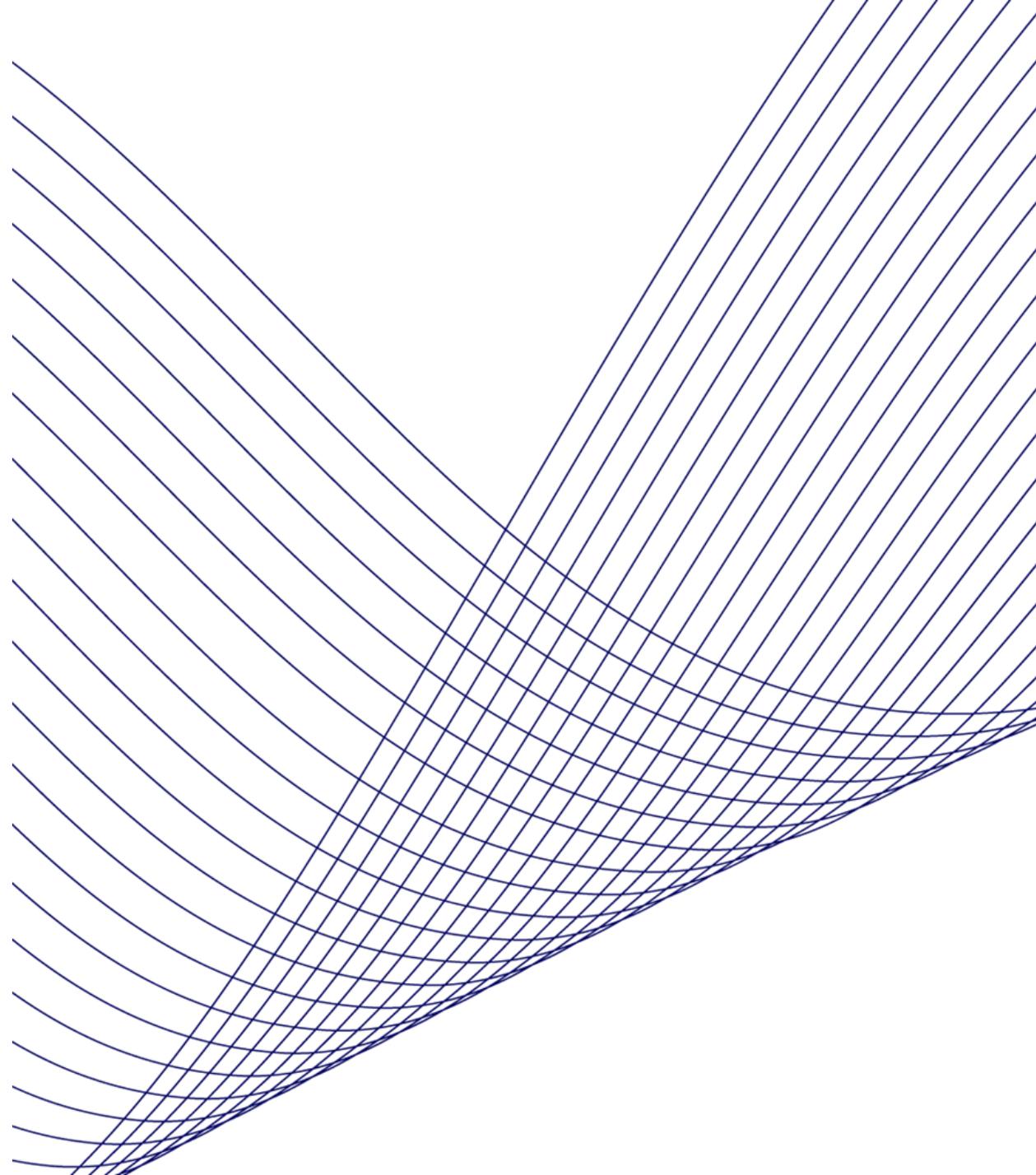
- > Capitalising on publications
- > International Visibility
- > Long-term data protection
- > National pooling

The screenshot shows the HAL-CEA website interface. At the top, there is a navigation bar with the HAL logo, a search bar, and a 'Déposer' button. The main header features the CEA logo and the text 'Articles scientifiques du CEA en libre accès'. Below this, there is a navigation menu with 'Accueil', 'Consulter', 'Documentation', 'Tutoriels', and 'Aide'. The main content area includes a descriptive paragraph about HAL-CEA as a platform for scientific articles, followed by a list of research domains and a list of geographical centers. On the right side, there are four data cards: 'Nombre de documents' (45 541), 'Nombre de références bibliographiques' (66 356), 'Indicateur d'Open Access' (61%), and 'Evolution'. At the bottom, there is a 'Dépôts récents' section.

# 02

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## Rethinking governance



## Governance and steering : past and present

2013 - 2018

Partnership agreement for open archives and the HAL shared platform

**25 signatory institutions**, not representative of all French academic institutions.

**500 000+**  
full text documents

**130+**  
HAL institutional portals



2018  
2019

Make HAL the repository for French research and scholarly output

Anchor HAL in the French and international context

HAL serving open science

French plan for Open Science

### The need :

- To make the Platform sustainable
- To build a governance structure that is more inclusive and representative of all partners
- To change the way the Platform is funded

From 2020

## A **shared** governance model

### Steering Committee

- > Defines the overall strategy of the CCSD in direct relation to the national Open Science Policy chaired by the Open Science Committee

### Orientation Committee

- > Proposes orientations based on the needs of the institutional communities



### HAL Partners Assembly

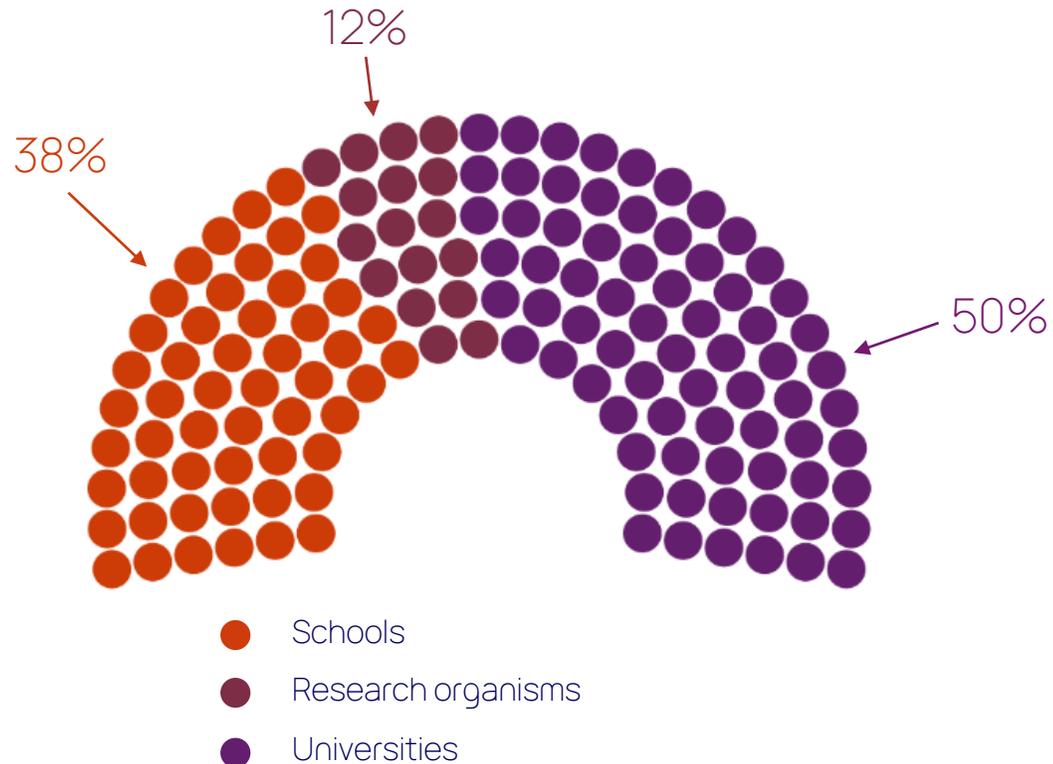
- > Expresses institutional needs

### International Scientific Council

- > Proposes European and international collaborations

## HAL's partners Assembly : the aim

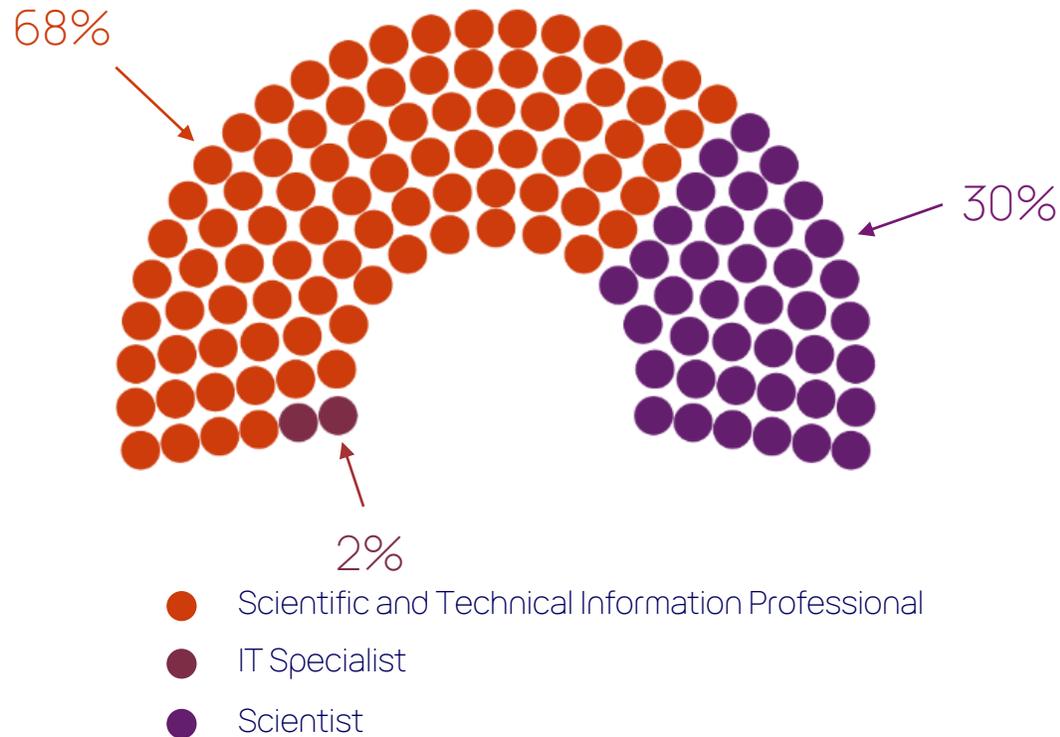
**➔ 143 institutions**



- To communicate the needs of institutions as users of HAL.
- To facilitate the exchange of information between the CCSD and institutions.
- To promote the exchange of information between institutions.

# HAL's partners Assembly: one representative from each institution

➔ 143 representatives



= > To act as a liaison

- Represent your institution in the Partners' Assembly
- Advocate for your institution's Open Science strategy
- Being able to engage different stakeholders involved in HAL within one's own institution

## 5 representatives with a specific function



**Representation** of the institutions on the CCSD Orientation Committee

**To assess** user satisfaction

**Participate** in chairing the annual meeting of the Partners Assembly

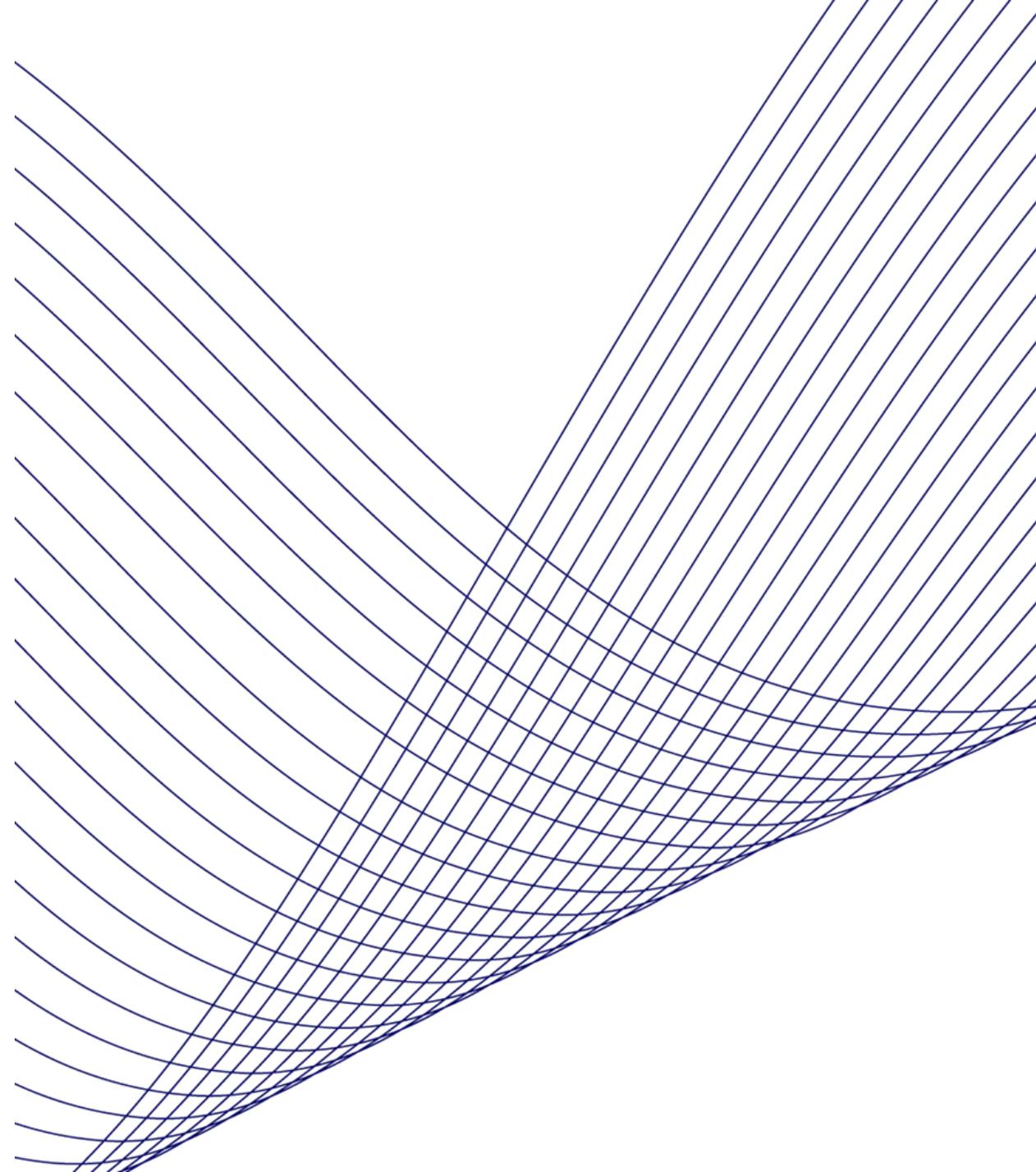
**To participate** in working groups aimed at developing and communicating the HAL, bringing an external perspective, institutional experience/expertise.

**To act** as a channel for the flow of information up and down the organisation.

# 03

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First realisations and after



## Building a collective : laying the first milestones

2021

### Establishment

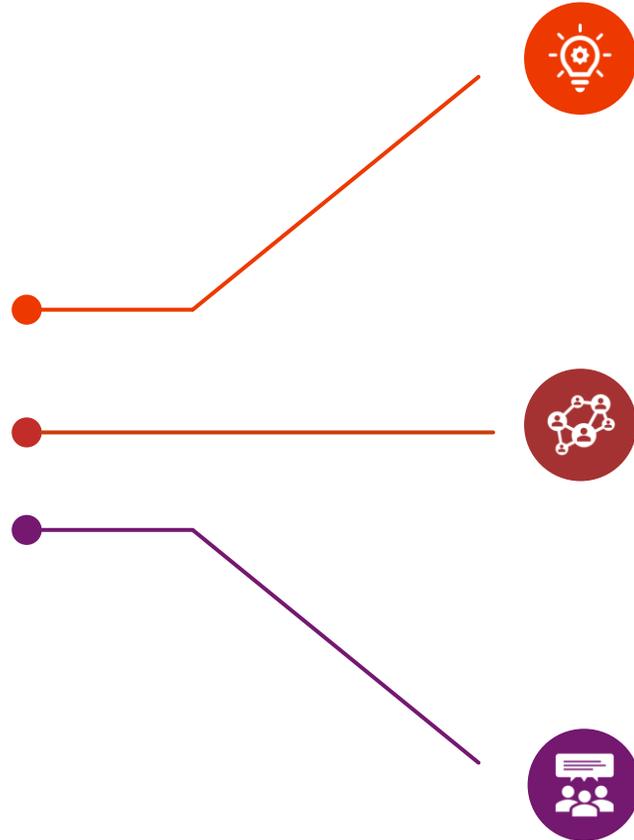
- 143 designated representatives
- 5 representatives elected by their peers.
- A survey conducted to understand institutional interests and profiles.
- First meeting held remotely by COVID with 5 workshops organised based on survey results, animated by elected representatives and CCSD members.
- First version of HAL portal terms and conditions sent out.

### Actions

- A mailing list for communication
- 10 meetings CCSD/Elected representatives
- 1 webinar for representatives

# Building a collective : A Three-Step Approach

2022  
- 23



## Rethinking information sharing

Ex : Webinars Let's Talk Open Science now open to all; regular webinars presenting the CCSD Action Plan; 3 CCSD-maintained mailing lists,

## Implementing a community of practices

Ex : Establish regular workshops by and for representatives to share experiences ; a working group to develop the mutualisation of moderation in HAL.

## Involving representatives

Ex : Organise a consultation with representatives to develop HAL's terms and conditions for portals; Steering Committee and Orientation Committee jointly draft a policy statement reaffirming HAL's partnership dimension.

# Building a collective : Initial results of the Three-Step Approach

Since 2022



1 300+

participants in CCSD's events



15

Online events organized



10

institutions consulted for the evolution of HAL Portal's Terms of Service

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**HAL, open archive built in common to share and disseminate scientific knowledge**

Steering Committee and Orientation Committee of the CCSD, HAL Partners Assembly - June 2022

HAL's mission is to share internationally and to archive scientific publications, of all disciplines, emanating from French or foreign research, public or private. Working with the enclosure of knowledge, HAL, allows the free circulation of knowledge through rapid, transparent and complete dissemination of research results and open access to scientists as well as to the whole of civil society. By guaranteeing long-term access and preservation, HAL is also an open and sustainable instrument of scientific sovereignty.

HAL's operating model is clearly original. It is based on the principles of openness, sharing and pooling. HAL is at the heart of a large community of scientists, universities, research organizations, laboratories, houses and funding agencies.

It is a common good collectively built, anchored and used for the opening up of publications, their visibility and their preservation. It is also a lever for institutional policies in favour of open science. Each and every good initiative to the benefit and the quality of HAL, which archives today more than one million scientific documents, is given as continuous with the shared ambition of being the open archive for French scientific production. The Centre for Direct Scientific Communication (CCSD) ensures its development, operational and availability. It supports and trains HAL users, whether they are scientists or institutions.

Because it is a source of trust, the quality of the national open archive is a central issue. It involves all the partners, the CCSD and submission institutions. Alignment is a reference.

HAL is a key or identity journal (e.g. scientific journals) or the like projects that collect or aggregate with the HAL service on social networks and portals.

CCSD and submission institutions alignment is a reference.

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CCSD and submission institutions alignment is a reference.

HAL is also part of a global ecosystem and relies on formats and standards in line with the FAIR principles. There are many interactions and collaborations with other platforms, software and services developed on the framework of open science:

- Software Heritage for the promotion of source codes and software;
- recherche.data.gouv.fr, the national federated platform for research data in its data and publications;
- large international servers (arXiv, REPEC, FNC, Zenodo);
- the identification and identifier systems (ORCID, ROR, DOI, data.gouv.fr, crossref, Openaire, etc.).

One of the decisive challenges is to consolidate existing interconnections and to develop new ones. This networking is a source of value and efficiency for HAL, its partners and its fully in line with the orientations of the National Plans for Open Science since 2018.

**2001** Creation of HAL

**2016** HAL is labelled as a research infrastructure

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**2018** PNSO 1

The first National Plan for Open Science (PNSO) identifies HAL as the French national open archive.

**2020** The Steering Committee of Open Science validates a shared governance and a sustainable funding model

**2021** PNSO 2

The second National Plan for Open Science reaffirms the central role of HAL, the quality of publications and the creation of an ecosystem being publications, data and codes.

**2021** HAL+

Bringing together the HAL, Episciences and Scienscope platforms, HAL+ is labelled as a research infrastructure.

**Governance**

HAL Partners Assembly brings together the institutions (universities, research organizations, Grandes Écoles) that have HAL, and contribute to the development of the platform. It meets at least once a year. Its members take part in the steering of HAL, in the management of the CCSD website and exchange sessions organized by the CCSD contribute to its mission.

The Assembly aims not only to share information and good practices, but also to identify and meet the needs of its members. The Assembly approves the annual budget and the orientation of the platform, and the President of the International Scientific Council (ISC) is elected by the Assembly. It represents the interests of the CCSD and HAL, particularly, and to develop the needs of the users of the various CCSD platforms and to give their views.

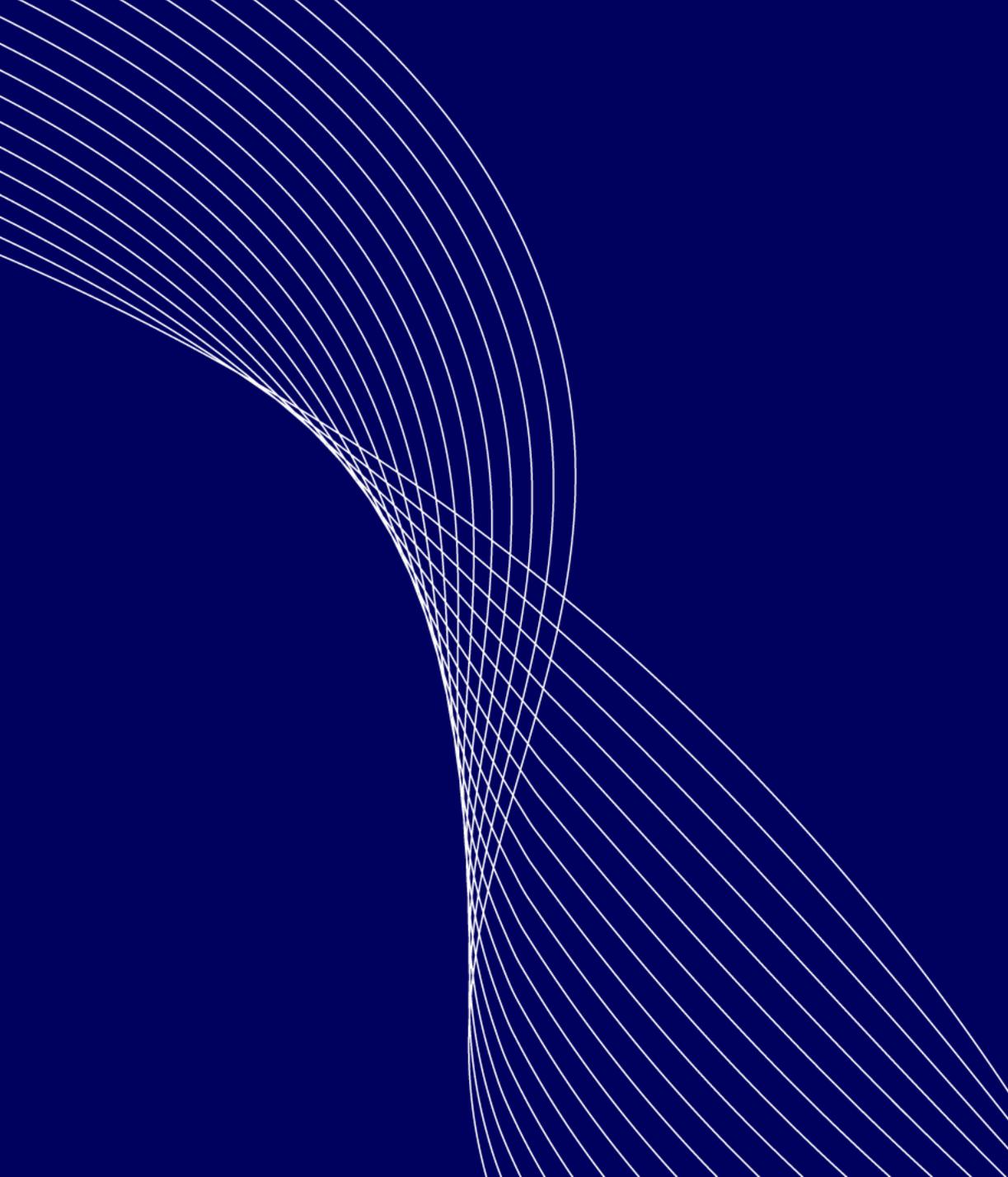
The Orientation Committee associates the Steering Committee (representatives of the CCSD's supervisory bodies, the partners, including the Director and the French Ministers and the CCSD's management), the elected members of the HAL Partners Assembly, the representatives of Episciences and the President of the International Scientific Council (ISC). Its mission is to define the strategic orientations of the CCSD and HAL, particularly, and to develop the needs of the users of the various CCSD platforms and to give their views.

The CCSD is a support and research unit under the triple leadership of CNRS, Inria and Inria. It is supported by the Ministry of Higher Education and Research.

CCSD

Building a collective : always in progress

- 
- 1 **Strengthening** institutional commitment
  - 2 **Strengthening** the participatory approach
  - 3 **Increase** the value of contributions from partner institutions
  - 4 Continuously **improve** transparent dissemination of results and decisions



**CCSD**  
Centre pour la Communication  
Scientifique Directe

Merci !

Hal.science

  
MINISTÈRE  
DE L'ENSEIGNEMENT  
SUPÉRIEUR  
ET DE LA RECHERCHE  
*Liberté  
Égalité  
Fraternité*



*Inria*

**INRAE**