IDS / IGIDR OII
Stakeholders Workshop

Report of the workshop held on March 12-13, 2015

G K Manjunath, March 2015
About IGIDR:

Indira Gandhi Institute of Development Research (IGIDR) is an advanced research institute and deemed university established by Reserve Bank of India (RBI). It is located in the beautiful hillocks of Goregaon (E), near the Film City having the architecture of famous Ajanta and Ellora caves. The institute conducts M.Sc, M.Phil and PhD courses in development economics. Its state of the art library caters to the information needs of its faculty members, students and also the visitors from other academic institutes. (More details at: http://www.igidr.ac.in)

About IDS, Sussex:

The Institute of Development Studies (IDS) established in 1966, is a leading global institution for development research, teaching and learning, and impact and communications, based at the University of Sussex. IDS hosts range of open knowledge and digital services such as Eldis, Bridge, OpenDocs and Global Knowledge Hub (GOKH) in partnership with global institutes for effective dissemination of research by adopting open approaches for knowledge sharing. It also houses the British Library of Development Studies (BLDS), which boosts with resources on all spheres of development published by different organizations. (More details at: http://www.ids.ac.uk)

About this report:

This report is a summary of IDS/IGIDR stakeholders’ workshop, held in Mumbai (India) hosted by Indira Gandhi Institute of Development Research (IGIDR) and sponsored by Institute of Development Studies (IDS). The workshop brought together 9 OII stakeholders working in different economic research institutes in India to discuss collaboration in contributing metadata of publications to OII and OKhub under open licensing or Creative Commons License. This report captures thinking and learning that emerged as an outcome of this workshop in relation to metadata contribution, open licensing, expectations of participants, technical architecture of OII and OKhub and MOU agreements.
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Workshop Overview and Key Reflections

About Open Index Initiative

Open Index Initiative (OII) is one of IGIDR library services, which intends to index Indian social science literature published in Indian Social Science journals and research publications, and theses and dissertations emanating from Indian Social Science research institutes.

In addition to bibliographic data, it has also attempted to collect journal holdings data of Indian libraries, especially social science libraries. The bibliographic records pertaining to journal articles when retrieved provide links to journal holdings data thus enabling researchers to find out availability of journals in participating libraries. This in turn promotes document delivery service.

The data contribution to OII is purely voluntary and expected to come from individual members and institutions. (More details at: http://oii.igidr.ac.in)

Workshop Objectives:

The workshop was conducted at IGIDR, Mumbai, India, with the sponsorship from the Institute of Development Studies (IDS), UK. The purpose of the workshop was to:

- Create awareness about open licensing or Creative Commons License among OII partners and to make them stakeholders in the GOKH project.

- Ensure metadata contribution (by self and partners) for subject specific literature emanating from India in any document form, such as journal articles, working papers, theses and dissertations, conference papers, etc. into the OKhub.

Workshop Format:

The workshop was conducted for two days; day one focused on the introduction to the Global Knowledge Hub (GOKH) project, Open Index Initiative (OII), participants’ presentations, open licensing and open knowledge project examples. On day two discussions were focused on attribution of metadata in OII and GOKH, discussion on partners’ requirements, data contribution and technical issues of OII, data conversion, data standards and MOU agreements.

Workshop participants engaged actively in the proceedings of the workshop and a range of participatory methods were used to capture and facilitate learning and collaboration, which included presentations, group discussions and demonstrations.
Key Reflections:

At the commencement of first session, participants were asked to point out, on a chart, their knowledge about the OII, OKhub, Open Access (OA) and Open Data so that their knowledge on these issues could be assessed in the beginning and also at the end of workshop. At the end of workshop their knowledge on these issues was found to be at higher levels.

1. Introduction to the Open Knowledge Hub (OKhub) and Open Index Initiative (OII) projects

The first session of the workshop provided an introduction to both the Open Knowledge Hub (OKhub) and Open Index Initiative (OII). During this session, participants learnt about following key aspects of both the projects:

- Genesis of the projects based on OA principles
- Key contents of the OKhub and OII, and coverage
- Project partners and stakeholders, and their roles
- Two way distribution of content from stakeholders to OII and from the OII to OKhub, and vice versa
- Working model of OII and OKhub
- Major challenges to OII

It was hoped that, an introduction to these projects would give all the participants a fair idea to make their institutions’ publications available for wider audiences.

2. Presentations by participants about their activities

This session offered an opportunity for the participants to share information about their institute’s publications’ activities and the three main challenges they faced in making their institute’s research visible and usable. Each of the participants made a short presentation describing the publications’ activities of their organization, library, the present efforts in the dissemination of research, and the problems they faced in making the research visible. Presentations were made by the participants representing the following Indian economic and social science research institutes.

- Center for Development Studies (CDS), Trivandrum
- Center for Science and Environment (CSE), New Delhi
- Indian Institute of Management (IIM), Ahmadabad
- Institute for Socio and Economic Change (ISEC), Bengaluru
- Institute for Studies in Industrial Development (ISID), New Delhi
- Institute of Economic Growth (IEG), New Delhi
Indian Council for Research on International Economic Relations (ICRIER), New Delhi
National Council for Applied Economic Research (NCAER), New Delhi
TERI University, New Delhi

From the presentations of participants, it was found that each of them had varied types of challenges in making their institute’s research visible and usable, starting from infrastructure, standards, funders’ policies, licensing issues, technical skill levels, lack of knowledge about OA among stakeholders and management, audiences, tools and investment.

Reflections:

Each of the participants’ presentation demonstrated the activities and challenges faced in disseminating research for wider audiences. Even though some were better off with technology, each one of them had some common challenges such as stakeholders’ knowledge about OA, issues relating to open licensing, and sharing of data with global platforms (barring few exceptions of sharing data with RePEc).

3. Participants’ expectations from the workshop and how we might work together

The session offered participants a platform to express their expectations from the workshop on the backdrop of challenges they face in making their institutes’ research visible and usable. Also this was based on a pre-workshop survey in which results were used to assess their knowledge about OA, data standards and open licensing.

Participants were divided into two groups to discuss their expectations from the workshop and were then asked to present their discussion points before all the other participants. Each of the groups was moderated by Alan Stanley and Peter Mason from IDS.

Group-1:

Participants in this group discussed the existing publication policies of their institutions and how they could persuade their institutes to publish materials as per prevailing practices of OA and open licensing (at least starting with metadata). In order to undertake this, they suggested following measures:

- Explain advantages of OA and open licensing
- Request to develop a policy after evaluating existing policies of other institutes or research bodies

In addition to persuading the institute, they expected OII to issue a joint statement about principles of joining OII on its website. They also expected it to share format for data sharing and inform
them about a standard taxonomy for usage, linking or sharing; in order enable them to use standard keywords while sharing metadata of publications.

**Group-2:**

Participants in this group discussed key priorities in sharing metadata with OII and a few of the issues discussed were quite similar to that of **Group-1**. The common observations included engagement with their institute authorities to educate and advocate OA and open licensing for publishing institute publications. They also expressed that institutes need to make licensing requirements clear and transparent.

In line with the first group, they expected OII to devise a Memorandum of Understanding (MOU) having clear cut activities and terms for sharing metadata of their institute publications with OII or global platforms like the OKhub. They also expected OII to develop common standards for data sharing to reduce duplication of work and ensure consistency and easy sharing of data with different platforms.

**Reflections:**

Each of the groups, even though they discussed their expectations separately, it was found that convincing their authorities to adopt OA and open licensing for dissemination of their respective institute’s research were found to have many commonalities. Participants’ expectation from OII in devising common standards for exchange of metadata showcased importance of data standards in sharing the metadata.

**4. Open licensing of research documents and bibliographic information**

This session described Open Access (OA) and open licensing and its current state of implementation in India. The session started with a brief introduction to OA and also discussed about Gold and Green OA, which act as delivery vehicles of OA. This was followed by introduction to open licensing with Creative Commons, types of such licenses, and their benefits for authors.

The presentation also discussed about current OA policies in India covering policy mainly of the Department of Science and Technology and Department of Biotechnology (DBT/DST). Ms. Anubha Sinha, an IPR expert from the Center of Internet Society for India, while explaining the OA policy of DBT/DST, highlighted the key features of the policy such as Gold OA, mandatory Green OA, mandatory creation of repository infrastructure, the embargo period, etc. She highlighted some of the weaknesses of the policy, its ambiguity regarding doctoral theses and dissertations. She also pointed out how their policy is silent about authors’ career advancements based on journal factors such as the impact factor, which is considered as one of the key factors for promotions.
The second part of the presentation highlighted works, other than journal articles, such as data, learning materials and methodologies or documentation associated with works which are produced by social science researchers. It also discussed about open academic data, its licensing and formatting issues, and gave an account of open data initiatives undertaken by government and non-government organizations in India. Mr. Sumand Rao Chattapadhyay, an expert on open data and OA, from the Center of Internet Society for India (Bangalore), explained the National Data Sharing and Accessibility policy (2013), Open Government Data platform of Government of India (2013) and the India Biodiversity Portal (2008). He also gave a brief overview of the national data portal of India.

From the presentations it was hoped that participants would get an overview of OA, open data, open licensing and their present status of implementation in India.

5. Open Knowledge project examples

The aim of this session was to showcase the participants’ examples of some of the projects in order to make them aware of potential additional benefits of open approaches. Peter Mason talked about the OKhub project and demonstrated how the content is stored on the portal with due credit to the source, giving examples of content derived from Eldis and OII services. There was a brief discussion on the questions raised by some of the participants.

Reflections from participants on day one of the workshop:

On the 2nd day of the workshop, participants were asked to reflect on the deliberations of the 1st day of the workshop and to discuss their understanding of ‘open’ (specifically in reference to open licensing) to make out whether it had improved their understanding and whether they were more convinced about the value of licensing their content as open. Most of the participants expressed that they had a clearer understanding about the value of openness, and promised to take the issue to their authorities, in order to make the content of their institutes’ research open. The difference in the level of their understanding about openness and OII and OKhub projects was reflected on a chart, in which each one of them were asked to put a cross (x) mark to indicate their level.

6. Attribution in the OII and OKhub: What are the partners’ requirements?

This session gauged the partners’ requirements in attributing their content in both OII and OKhub projects. It was observed that OII attributed bibliographic content derived from its partners, especially institutes’ publications such as working papers by duly acknowledging the source and also wherever possible provided links back to the source to enable users to retrieve the full text of the document. In the case of OII, each of the record related to working papers, when searched and retrieved, displayed the following fields.
Similarly, the OKhub too provided a source along with bibliographic details of a document. When clicked at the title, it further provides detailed information regarding the document along with a list of related documents with hyperlinks available from other partner organizations.

**Impact Evaluation of National Rural Employment Guarantee Scheme in India**

This study aims to thoroughly evaluate the impacts of India’s National Rural Employment Guarantee Scheme (NREGS), the largest public works project in the world. NREGS was started in 2006, following the 2005 Act that provides each rural household with a legal right to be employed up to 100 days per year at state-level minimum wage...

Participants in two groups were asked to draw a picture of a webpage indicating how they would like to see their content, by giving an example of a working paper attributed on OII and how users will come to know who provided it and where to find more.

Each of the groups, after having detailed discussions, suggested inclusion of following additional fields while displaying data on its webpage, in addition to existing fields such as author/s, title, abstract, keywords, JEL classification and link for full text:

- Authors affiliation
- Subject descriptors
- Logo of the institute
- Web 2.0 links
- License information

While discussing the suggestions, Dr. Manjunath informed the participants that efforts would be made to incorporate all the suggested data elements while displaying the records in OII.
Reflections:

Participants’ active participation and their suggestions indicated their desire to see more feature-rich content from their institutes on OII, in order to enable end users to make better use of the available content and reuse it as per the licensing terms.

7. Data contribution and technical issues of OII

This session aimed to give an overview of technical architecture of OII and how the contributed data by each of the partners is stored in its database. Dr. Manjunath, explained to the participants the technical architecture of OII and demonstrated the flow of data, its storage in individual MySQL tables, link to the thesaurus, data checking and finally transferring data to the master table to ensure a federated search of the content. He also demonstrated how the individual records in database are linked to the union catalogue of participating libraries.

With regard to data contribution, he informed participants that data to OII can be contributed either using a standard template available on its website or an Excel sheet containing some fixed fields such as author, title, source, etc. He further explained that, for contributing data on its website, a username and password would be assigned to each of the participating institutes through which they could contribute data. He informed the participants that for any institute who wish to contribute data using Excel sheets a template containing all the required fields would be provided. He also emphasized on how the data of journal articles can be easily contributed to OII, if the data was available in certain standard formats such as Endnote, BIBTex, etc. using a utility created by the OII team.

Taxonomies:

To gain participants’ views regarding the taxonomy (thesaurus) to be used for assigning keywords while contributing metadata to OII, two groups were formed to discuss the following:

- Existing taxonomies used for indexing
- Creating and maintaining shared taxonomy for Indian Social Science content for the OII

Existing taxonomies used for indexing:

Members of both the groups were first asked to list out existing taxonomies used in their respective organizations to index content either generated by their institute or procured from outside agencies or publishers. It is observed from the discussions and further listing of taxonomies that each of the participants use either standard subject headings or thesaurus such as Library of Congress and OECD thesaurus, or own keywords while indexing all types of content in their respective databases.
Creating and maintaining shared taxonomy for Indian Social Science content for the OII:

As a follow up activity, both the groups were again engaged to work out their shared vision for collectively creating, maintaining and improvising the existing thesaurus used by OII for Indian Social Science literature. Each of the groups after having a detailed deliberation reported the following shared vision to strengthen the taxonomy for OII:

- Participating institutes share their taxonomy with OII
- Mapping needs to be undertaken by OII
- OII has to share mapped taxonomy back to participating institutions
- Geographic indicators need to be integrated with the thesaurus (if possible auto inclusion)
- Develop a new national classification system for Indian Social Science content

It is hoped that, participants would engage themselves in further improvement of OII thesaurus by contributing or suggesting new keywords. It was also hoped that the OII would make its best efforts in utilizing the contribution of participants in further strengthening the taxonomy for Indian Social Science literature.

8. Data conversion and Data Standards – OII and OKhub

This session was intended to give participants an overview of different data standards used for the exchange of metadata and the data conversion tools used (for converting data from one format to another). Dr. Manjunath explained to participants about data standards such as MARC (.mrc), CCF (.iso), Dublin Core XML and Excel, and also he briefly talked about data conversion tools such as ISISASCII, ISISMARC and MARCEdit. He further emphasized that data in any of the above mentioned standards or direct data input from the OII website is acceptable for their contribution. Regarding the data standard for OKhub - it was agreed that OII would submit its partners’ data in Dublin Core XML or any other formats acceptable to the platform.

9. MOU agreements and next steps

A Memorandum of Understanding (MOU) strengthens the bond between organizations and gives an official approval to undertake a shared activity as per the agreed terms and conditions. In order to strengthen the bond between OII and its partners, in this session a draft of MOU was put before the participants to seek their feedback and suggestions, before being finally sent for their institute’s approval.

The draft MOU highlighted the vision, mission and purpose of the joint initiative, and listed activities to be undertaken by the partner organization and OII in the contribution of metadata. It
also gives their permission to share metadata with global platforms, such as the OKhub, under open licensing.

Alan explained each of the points covered in the draft copy of MOU and sought participants’ feedback. The suggestions offered and agreed by them were incorporated into the draft. Feedback from Anubha Sinha, IPR expert from the Center of Internet Society for India on the MOU was also sought and the suggestions offered by her were also incorporated in the draft. It was hoped that the MOU will lead to further strengthening relations between OII and its stakeholders, and enable data sharing under open licensing.

**Feedback on Workshop:**

Participants were asked to give their feedback regarding the topics covered in the workshop to assess its success and meeting of the set objectives. Most of the participants expressed that, topics covered in the workshop were good and informative. It was hoped that the workshop gave good exposure to the participants on topics such as open licensing and open data, which are at their infancy stage in Indian social science context.
Appendix-1

IDS/IGIDR OII Stakeholders Workshop participants’ list:

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Name of the Participant</th>
<th>Affiliation</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ms. Kiran Pandey</td>
<td>Centre for Science and Environment, New Delhi</td>
<td><a href="mailto:kiran@cseindia.org">kiran@cseindia.org</a></td>
</tr>
<tr>
<td>2</td>
<td>Dr. P.K. Jain</td>
<td>Institute of Economic Growth, New Delhi</td>
<td><a href="mailto:pkjain1310@gmail.com">pkjain1310@gmail.com</a></td>
</tr>
<tr>
<td>3</td>
<td>Ms. Chhaya Singh</td>
<td>Indian Council for Research on International Economic Relations, New Delhi</td>
<td><a href="mailto:csingh@icrier.res.in">csingh@icrier.res.in</a></td>
</tr>
<tr>
<td>4</td>
<td>Mr. Amitava Dey</td>
<td>Institute for Studies in Industrial Development, New Delhi</td>
<td><a href="mailto:adey@isid.org.in">adey@isid.org.in</a></td>
</tr>
<tr>
<td>5</td>
<td>Mr. Sriram</td>
<td>Centre for Development Studies, Trivandrum</td>
<td><a href="mailto:vsrirams@gmail.com">vsrirams@gmail.com</a></td>
</tr>
<tr>
<td>6</td>
<td>Mr. B. Chand</td>
<td>Institute for Socio and Economic Change, Bangalore</td>
<td><a href="mailto:bbchand@isec.ac.in">bbchand@isec.ac.in</a></td>
</tr>
<tr>
<td>7</td>
<td>Mr. Jignesh Amin</td>
<td>Indian Institute of Management, Ahmedabad</td>
<td><a href="mailto:jignesh@iimahd.ernet.in">jignesh@iimahd.ernet.in</a></td>
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<tr>
<td>8</td>
<td>Dr. Bharati Paliwal</td>
<td>TERI University, New Delhi</td>
<td><a href="mailto:bharatp@teri.res.in">bharatp@teri.res.in</a></td>
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<tr>
<td>9</td>
<td>Ms. Shilpi Tripathi</td>
<td>National Council for Applied Economic Research, New Delhi</td>
<td><a href="mailto:stripathi@ncaer.org">stripathi@ncaer.org</a></td>
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### Appendix-2

**OII stakeholders web survey results:**

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<th>Question</th>
<th>Response</th>
<th>Text</th>
<th>Excellent</th>
<th>Good</th>
<th>Poor</th>
<th>Average</th>
<th>None</th>
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</thead>
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<td>Understanding of Open Access Issues</td>
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<td>How would you characterize your own understanding of Open Access issues?</td>
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<td>Linked Open Data</td>
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<td></td>
<td>We publish our research in pay-for-access journals</td>
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<td>7</td>
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<td>We publish our research in open access journals</td>
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<td>6</td>
<td>1</td>
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<td></td>
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<td>We make our research available for free on our website</td>
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<td>1</td>
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<td>What problems or barriers do</td>
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<td>6</td>
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<td>Access Publishing Models</td>
<td>Researchers in your organization face in publishing their research using Open Access publishing models?</td>
<td>Awareness about the quality of journals</td>
<td>Institutional restriction-sponsored and sensitive research topics</td>
<td>Limited knowledge of sources and lack of initiative</td>
<td>Perception of low citations and quality</td>
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<td>Funding</td>
<td>Where does your organization receive research funding from? (Provide names of funders, if possible)</td>
<td>7</td>
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<td>5</td>
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<td>Barriers librarians/knowledge brokers face in making use of open access documents</td>
<td>What problems or barriers do librarians or other knowledge brokers face in using research documents published using Open Access models?</td>
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<td></td>
<td></td>
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<tr>
<td></td>
<td>Scattered content and it is difficult to aggregate on specific topic. The quality is a concern</td>
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<td>No Single platform for accessing all relevant content</td>
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<td>Too much of Open Access content. It is difficult to judge, which are the most useful ones for the faculty?</td>
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<td>Researchers rely more on information published in journals, internationally acclaimed websites, etc.</td>
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<td>Lack of sufficient good quality OA publications.</td>
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<td>Predatory OA journals</td>
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