

RDA Libraries for Research Data Interest Group

'Developing and Adapting to Research Data Policies in Libraries'

Session 4 - 24 September 2015
6th RDA Plenary Meeting, Paris



L4RD Co-chairs: [Wolfram Horstmann](#), [Kathleen Shearer](#), [Michael Witt](#)

Outline

- Introduction
- Invited panel: Developing and Adapting to Research Data Policies in Libraries - panel chairs: Amy Nurnberger & Birgit Schmidt
- Facilitated group discussion
- RDA/Sloan Data Share Fellow update on study of organizational models for libraries providing data services, Cheryl Thompson
- Closing remarks

Introduction to L4RD

- Wiki: <https://rd-alliance.org/node/1633/all-wiki-index-by-group>
- Subscribers: 148
- P2 first BoF meeting (D.C.)
- P3 BoF: Research Data Skills in Libraries (Dublin)
- P4 BoF: Research Data Solutions in Libraries (Amsterdam)
- P5 IG: Organizational Models for Data Services (San Diego)
- P6 IG: Developing and Adapting to Research Data Policies in Libraries plus three joint meetings:
 - Challenges for rescue of historical data and consolidating efforts to address them
 - Repository use case matrix and identify RDM tools
 - Building connections between libraries, discipline repositories and data services

Developing and Adapting to Research Data Policies in Libraries

Panelists:

- Sarah Jones, [@sjDCC](#), DCC, UK - Data policies at UK institutions and funder policies (European Commission, UK)
- Inna Kouper, [@inkouper](#), University of Indiana - Survey of US library strategic plans for data
- Birgit Schmidt, [@bschmid1](#), University of Göttingen - LIBER: Reviewing institutional data policies (workshop report)

Questions panelists will address

1. Looking at the spectrum of policies and mandates (funder, institutional, departmental, library, etc.), what have you found in terms of:
 - a. alignments or synergies?
 - b. gaps and barriers?
2. How have legal issues (intellectual property rights, data privacy etc.) been addressed in these policies (conflicts/alignments/complete absence)?
3. What recommendations do you have for:
 - a. Librarians/policy makers
 - b. RDA



Research data policy landscape

Sarah Jones

Digital Curation Centre, Glasgow

sarah.jones@glasgow.ac.uk

Twitter: @sjDCC

What is the Digital Curation Centre?

*“a centre of expertise in digital information curation
with a focus on building capacity, capability and
skills for research data management across the UK's
higher education research community”*



www.dcc.ac.uk

A proliferation of policies...

There are an increasing number of policies or statements covering Research Data Management issues:

- Codes of good practice
- Statements and joint principles
- Research funder policies
- Publishers policies
- Institutional data policies
- Group guidelines
- ...

Codes, statements or joint principles

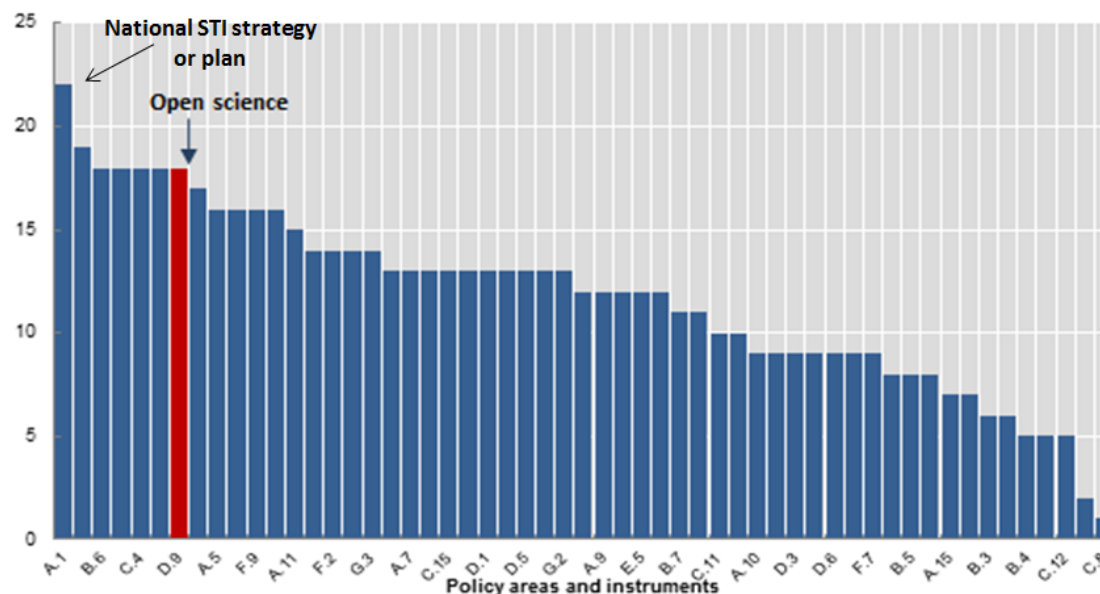
- OECD principles and guidelines for access to research data
www.oecd.org/sti/sci-tech/38500813.pdf
- UKRIO code of practice for research
<http://ukrio.org/publications/code-of-practice-for-research>
- RCUK common principles on data policy
www.rcuk.ac.uk/research/datapolicy
- RCUK draft concordat on open research data
www.rcuk.ac.uk/research/opendata
- G8 science ministers statement
www.gov.uk/government/uploads/system/uploads/attachment_data/file/206801/G8_Science_Meeting_Statement_12_June_2013.pdf
- Nairobi data sharing principles
<https://rd-alliance.org/sites/default/files/attachment/NairobiDataSharingPrinciples.pdf>
- FAIR data publishing principles
www.force11.org/group/fairgroup
- Panton principles for open data in science
<http://pantonprinciples.org>
- ...

Move towards openness



Open science: a hot issue for OECD and non-OECD countries

Number of countries reporting that the situation has recently substantially changed in the policy area, compared with other STI policy areas or instruments



Note: Simple counts do not account for the magnitude and impact of policy changes.

Source: Country responses to the STI Outlook policy questionnaire 2014.

Policies driving service development



H2020 open data pilot is driving lots of national RDM pilots across Europe

Parallels the response to the EPSRC data policy in UK

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf

More harmonisation



Arts & Humanities
Research Council




EPSRC

Engineering and Physical Sciences
Research Council



Science & Technology
Facilities Council

RESEARCH
COUNCILS UK

Accessibility | Media Enquiries

Google Custom Search

Search

HomeFundingResearchInnovationSkillsPublic EngagementNews, Events and PublicationsAbout Us

Home / Research / RCUK Common Principles on Data Policy

RCUK Common Principles on Data Policy

Making research data available to users is a core part of the Research Councils' remit and is undertaken in a variety of ways. We are committed to transparency and to a coherent approach across the research base. These RCUK common principles on data policy provide an overarching framework for individual Research Council policies on data policy.

Principles




- Publicly funded research data are a public good, produced in the public interest, which should be made openly available with as few restrictions as possible in a timely and responsible manner.
- Institutional and project specific data management policies and plans should be in accordance with relevant standards and community best practice. Data with acknowledged long-term value should be preserved and remain accessible and usable for future research.
- To enable research data to be discoverable and effectively re-used by others, sufficient metadata should be recorded and made openly available to enable other researchers to understand the research and re-use potential of the data. Published results should always include information on how to access the supporting data.
- RCUK recognises that there are legal, ethical and commercial constraints on release of research data. To ensure that the research process is not damaged by inappropriate release of data, research organisation policies and practices should ensure that these are considered at all stages in the research process.
- To ensure that research teams get appropriate recognition for the effort involved in collecting and analysing data, those who undertake Research Council funded work may be entitled to a limited period of privileged use of the data they have collected to enable them to publish the results of their research. The length of this period varies by research discipline and, where appropriate, is discussed further in the published policies of individual Research Councils.
- In order to recognise the intellectual contributions of researchers who generate, preserve and share key research datasets, all users of research data should acknowledge the sources of their data and abide by the terms and conditions under which they are accessed.
- It is appropriate to use public funds to support the management and sharing of publicly-funded research data. To maximise the research benefit which can be gained from limited budgets, the mechanisms for these activities should be both efficient and cost-effective in the use of public funds.

Further guidance and information on the individual principles can be found within the [guidance documentation](#).

A blog piece on supporting research data management costs through grant funding, including responses to questions raised at the DCC/RDMF Special Event on funding for Research Data Management, is available [here](#).

This policy was published in April 2011 and revised July 2015.

Research funder data policy

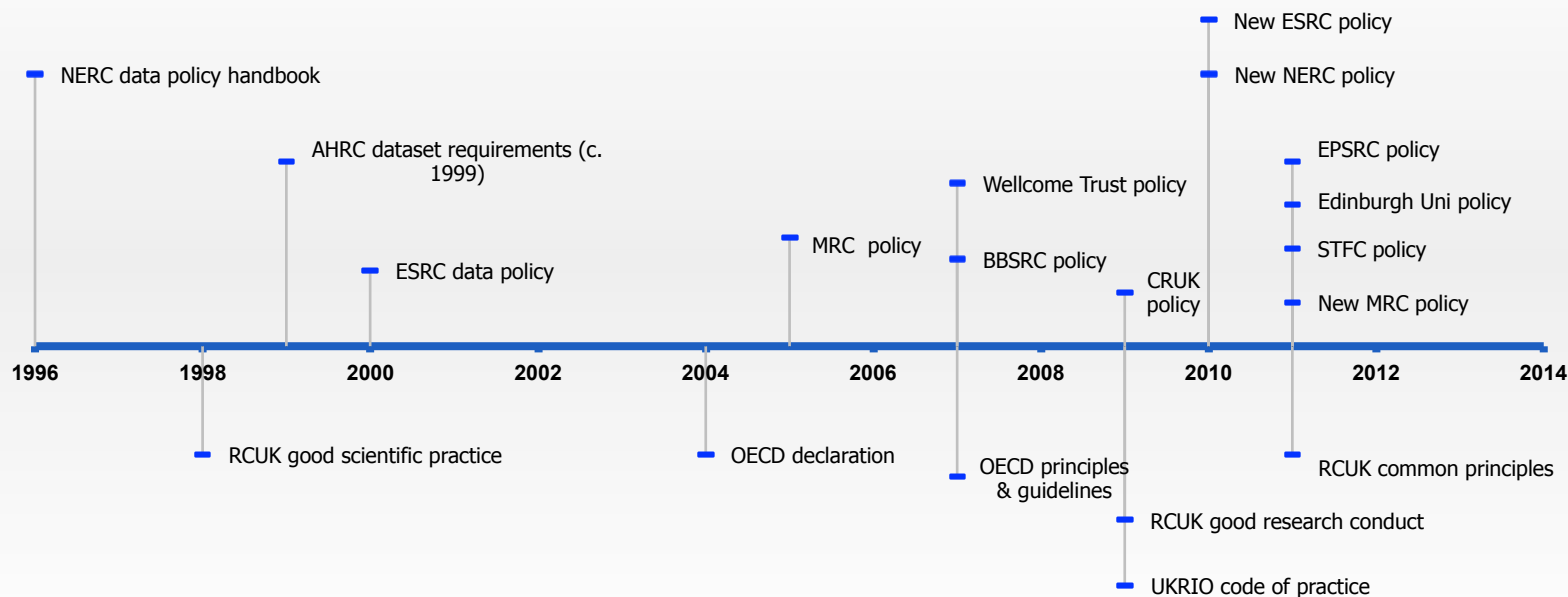
 Full Coverage
  Partial Coverage
  No Coverage

	Policy Coverage		Policy Stipulations					Support Provided			
Research Funders	Published outputs	Data	Time limits	Data plan	Access/sharing	Long-term curation	Monitoring	Guidance	Repository	Data centre	Costs
AHRC	●	●	●	●	●	◐	○	●	○	◐	◐
BBSRC	●	●	●	●	●	●	●	●	●	◐	●
CRUK	●	●	●	●	●	●	●	◐	●	○	○
EPSRC	●	●	●	◐	●	●	●	◐	○	○	●
ESRC	●	●	●	●	●	●	●	●	●	●	◐
MRC	●	●	●	●	●	●	○	◐	●	○	◐
NERC	●	●	●	●	●	●	●	●	●	●	◐
STFC	●	●	●	●	●	●	●	◐	●	◐	◐
Wellcome Trust	●	●	●	●	●	●	●	●	●	◐	●

www.dcc.ac.uk/resources/policy-and-legal/overview-funders-data-policies

Tracking data policy development

Research data policy developments



Sarah Jones, 'Developments in Research Funder Data Policy' in *International Journal of Digital Curation*, 2012, Vol. 7, No. 1, pp. 114-125 [doi:10.2218/ijdc.v7i1.219](https://doi.org/10.2218/ijdc.v7i1.219)

How have requirements changed?

- Increasing emphasis on data sharing & reuse
- Clearly defined roles and responsibilities
- Introduced notions of value to select data
- Money to meet costs associated with RDM

**More
pragmatic
and
enabling**

Publishers data policies

Journals are increasingly asking for associated data to be deposited. Some lists of these are emerging:

- Journal Research Data Policies (JRDPR)
<https://www.jisc.ac.uk/rd/projects/journal-research-data-policy-registry-pilot>
- Journal of open data policies
http://oad.simmons.edu/oadwiki/Journal_open-data_policies

Institutional research data policy

Institution	Policy name	Date released
University of Edinburgh	Research Data Management Policy	16 May 2011
University of Northampton	Research Data Policy	June 2011
University of Hertfordshire	Data Management Policy (see s.7 on research data and the appendix 'Guide to RDM')	1 Sept 2011
University of Warwick	Research Data Management Policy	7 Nov 2011
Glyndwr University	Policy on the Management of and Access to Research Data	20 December 2011
University of Southampton	Research Data Management Policy	February 2012
University of East London	Research Data Management Policy for UEL	15 March 2012
Brunel University	Research Data Management Vision	20 March 2012
University of Essex	Research Data Management Policy	April 2012
Queen Mary, University of London	Research Data Management Policy	7 June 2012
University of Sheffield	Research Data Management Policy	July 2012
University of Leeds	Research Data Management Policy	July 2012
University of Oxford	Policy on the Management of Research Data and Records	9 July 2012
University of the Arts London	Research Data Management policy	October 2012
Goldsmiths University	Research Data Management policy	January 2013
University of Lancaster	Research Data Management policy	February 2013
University for the Creative Arts	Research Governance	February 2013
Oxford Brookes University	Research Data Management Policy	February 2013
University of Durham	Research Data Management Policy	March 2013
Edge Hill University	Code of Practice for the Conduct of Research (see section 14 on Research Data Management)	May 2013
University of Exeter	Open Access Research and Research Data Management Policy	June 2013
University of Exeter	Open Access Research and Research Data Management Policy for PGR Students	June 2013
King's College London	Policy on Research Data Management	June 2013

Big trend in UK universities since 2011 to develop RDM policies.

There are now over 35

www.dcc.ac.uk/resources/policy-and-legal/institutional-data-policies

Also new paper on US position

Do You Have an Institutional Data Policy? A Review of the Current Landscape of Library Data Services and Institutional Data Policies

Kristin Briney, Abigail Goben, Lisa Zilinski

<http://jisc-pub.org/articles/abstract/10.7710/2162-3309.1232>

Analysis of what policies cover

Laurence Horton did an analysis of the 31 policies listed in 2014

- 74% specify a requirement for data to be open where possible
- 74% of unis require a DMP and a further 19% point to funder requirements. Only 2 don't mention DMPs at all.
- 55% specify a length of time for which data should be retained / preserved
- 45% give a full definition of research data
- Only 23% contain a statement on institutional ownership of research data
- Again, only 23% (7 out of 31) mention RDM costs

Horton, L and DCC (2014) 'Overview of UK Institution RDM Policies', Digital Curation Centre.
Available at: www.dcc.ac.uk/resources/policy-and-legal/institutional-data-policies

How to develop a policy

Guidance from the DCC to help institutions get started:

- Research data policy briefing

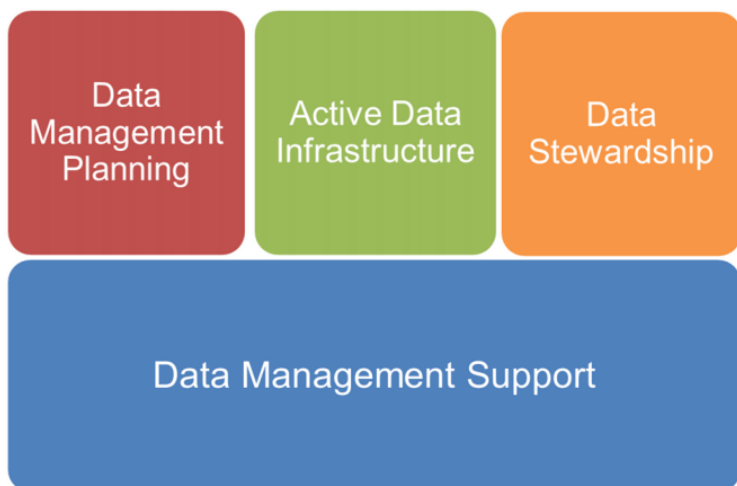
www.dcc.ac.uk/sites/default/files/documents/resource/policy/DCC_policy_briefing_2011.pdf

- Five steps to developing a research data policy

www.dcc.ac.uk/resources/policy-and-legal/five-steps-developing-research-data-policy



Implementing research data policy

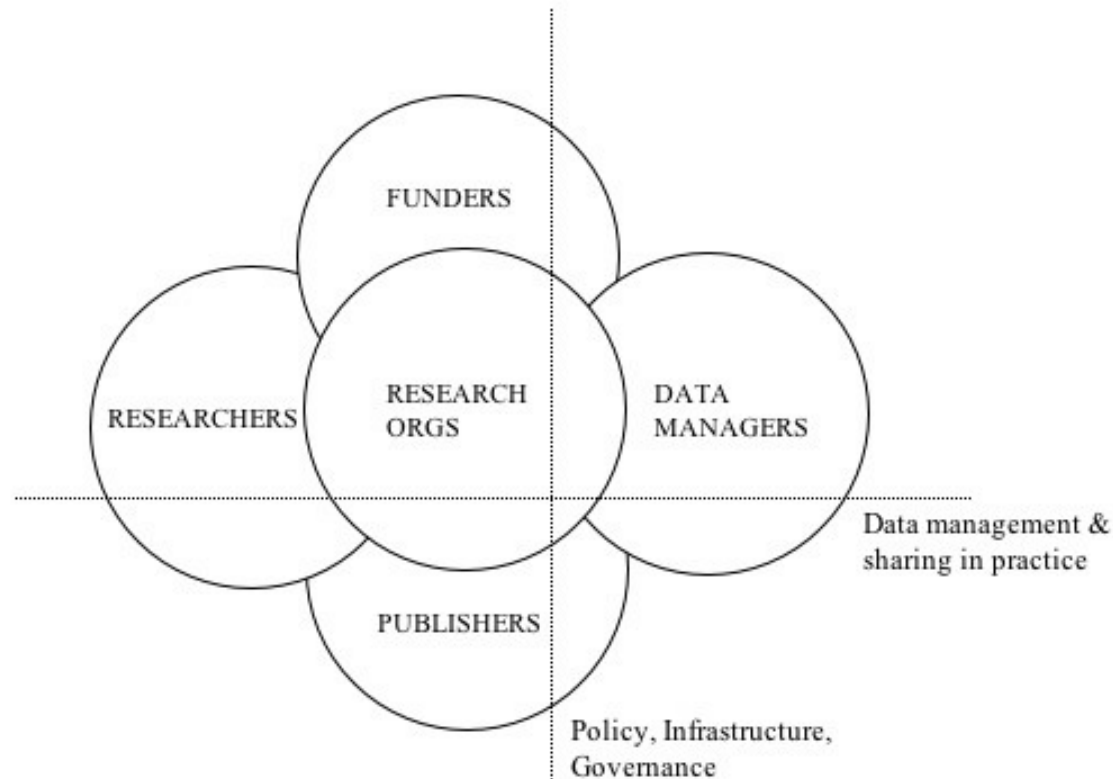


Edinburgh RDM roadmap example shows how to break work down into sections and allocate out tasks across divisions

www.ed.ac.uk/information-services/about/strategy-planning/rdm-roadmap

Data Stewardship Tools and services to aid in the description, deposit, and ongoing management of completed research data outputs. Addresses RDM policy clauses 6, 7, 9, 10. Responsible: Library & University Collections and Data Library				
Objective	Outcomes	Actions	Deliverables	Target date
6. To develop the data repository for enhanced deposit and discovery of data collections generated by University researchers	Number of new data collections added to the repository Metrics show increased use of data collections in repository	Pilot use of Edinburgh DataShare by 2-3 research groups to identify user requirements	Case studies and use cases based on piloted research groups.	Phase 0
		Depositor Workflow and usability	Enhancements made to data repository	Phase 1
		Load balancing and software upgrades		Phase 1
		SWORD remote deposit		Phase 1
		End User Interface improvements		Phase 1
		Multimedia Display		Phase 2

Move from high-level to coal-face



Need to get beyond high-level statements and institutional policies. Key part of implementation should be developing procedures and guidelines at group level.

Trends and recommendations

Proliferation of policies

- Make the landscape easier for researchers to navigate
- More harmonisation needed
- Clarifications needed when requirements conflict

Growth in open data policies

- Should push open science agenda but not at expense of RDM

Research data policies often 'aspirational' and high-level

- Need for more group guidelines and practical procedures
- More researcher input when developing services & infrastructure

Thanks for listening

DCC policy resources:

www.dcc.ac.uk/resources/policy-and-legal

Follow us on twitter:

@digitalcuration and #ukdcc



D|C|C

because good research needs good data

Data-related policies: A North American Perspective

Inna Kouper, Indiana University

Kathleen Fear, University of Rochester

Mayu Ishida, University of Manitoba

Christine Kollen, University of Arizona

Sarah Williams, University of Illinois at Urbana Champaign

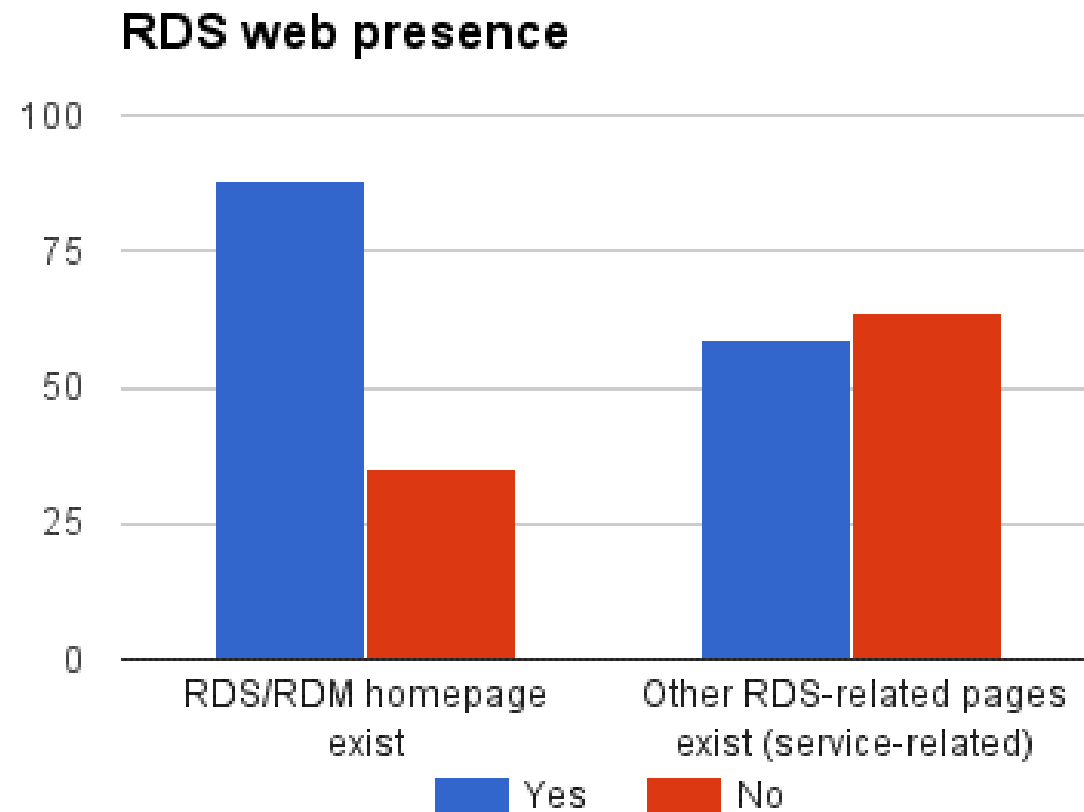
Study

Visions and Implementations of Research Data Services in North American Libraries

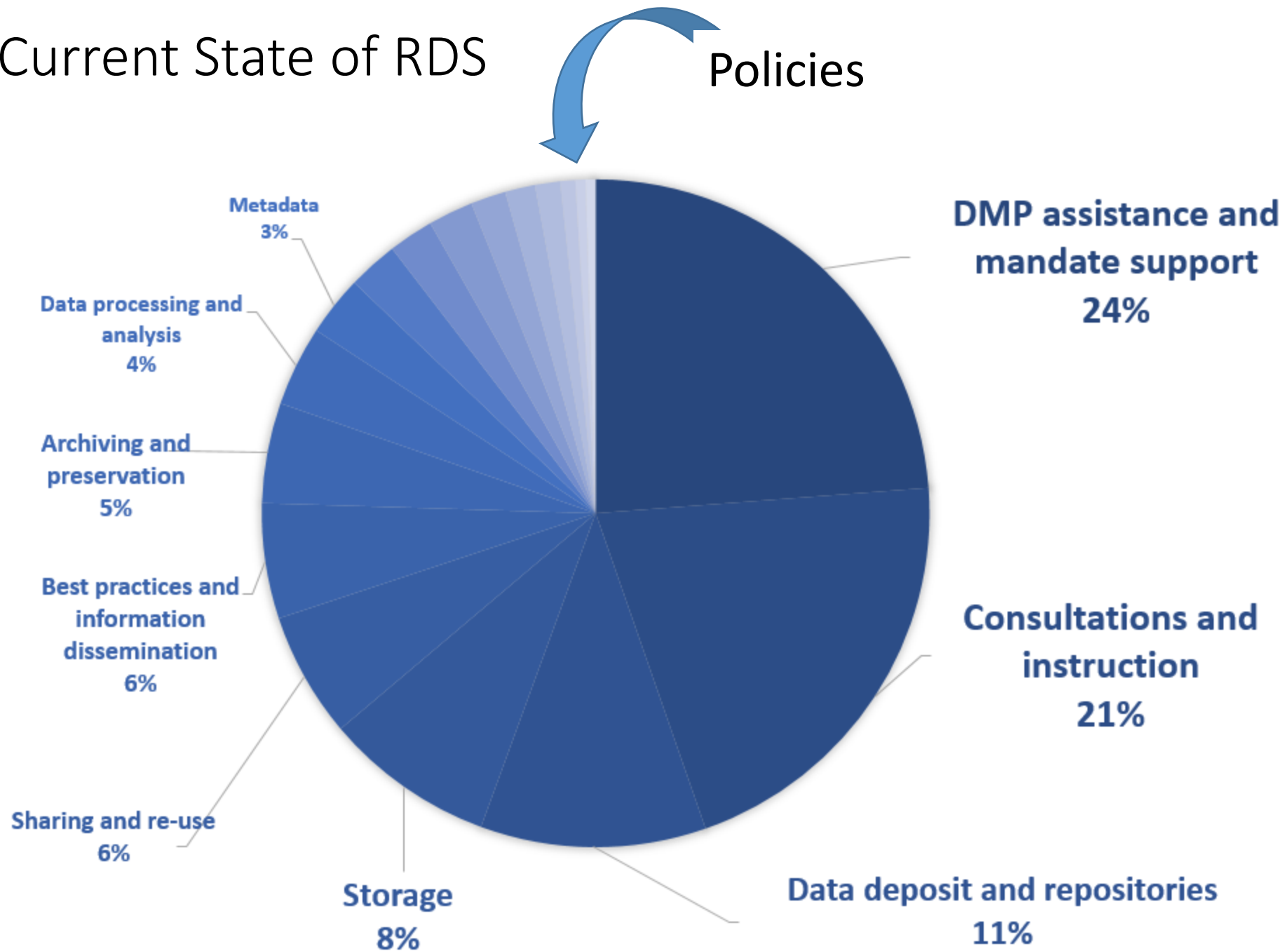
bit.ly/1G4f1DR

- Web pages of libraries – members of the Association of Research Libraries (ARL, *123 libraries*)
- Semi-structured interviews with library administrators (*45 contacted, 25 interviewed*)

- 88 libraries (72%) have a main web page dedicated to research data services
- 59 libraries (48%) have other RDS-related pages



The Current State of RDS



Does your institution have any data-related policies?
What do they cover?

- Yes, many!

- No

- Maybe?

Yes!

- Ownership (5)
- Security (5)
- Sensitive data (5)
- Retention (4)
- Management (3)
- Deposit and preservation (3)
- Institutional data (2)
- Open access (1)

+ funders policies

No

- No library policies

or

- No institutional policies

or

- No to both

Maybe?

- Early work
 - Collaborations with offices of research and technology
 - “Some guidelines...”
- External guidelines (e.g., ICPSR)

“We don’t, there is a research office on campus that works with faculty individually, there are guidelines in colleges. ... As a library we have some guidelines and how to deal with that too.

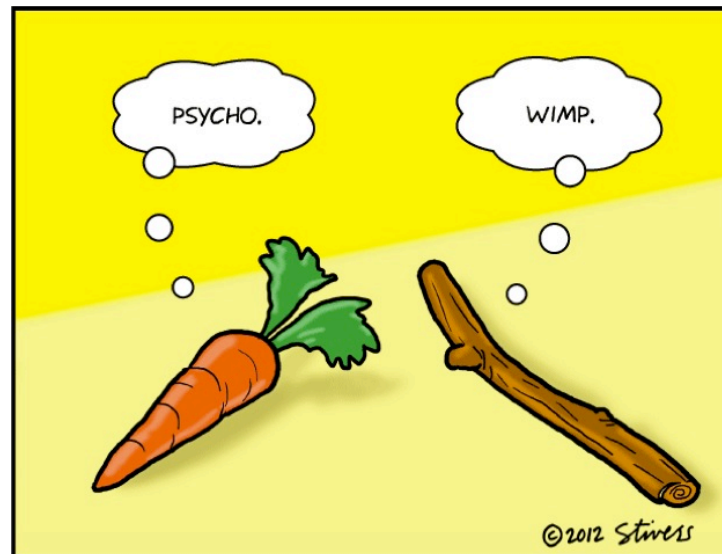
“... in the federal funding ... we let the federal funding agencies pretty much determine what our data management plans have to look like and what our policies are. ... I don't think [we are] in a place right now [to] mandate anything. Except compliance with funded research requirements.

“From the libraries not so much, but ... *THEY* have a data ownership policy ... we heard about it secondhand. ... they bundled in a lot of stuff that makes it really complicated for the work we're trying to develop here. ... But this doesn't address anything about the actual effective management of data.

- Data policies –many interpretations, many approaches, lack of direction
- Institutional data policies -> liability and duties
- Library policies -> reaction to funders and other pressures

How /whether to be proactive?

Do current data policies encourage quality and creativity in research / learning?



<http://bit.ly/1PutU7M>

Do You Have an Institutional Data Policy? A Review of the Current Landscape of Library Data Services and Institutional Data Policies

“[becoming well versed on research data policies] puts academic libraries in a unique position to provide insight and guidance in the development and revisions of institutional data policies.”

Briney, K., Goben, A., & Zilinski, L. (2015). Do You Have an Institutional Data Policy? A Review of the Current Landscape of Library Data Services and Institutional Data Policies. *Journal of Librarianship and Scholarly Communication*, 3(2), eP1232. <http://dx.doi.org/10.7710/2162-3309.1232>

Libraries and RDM Policies: Experiences from a LIBER2015 workshop



Workshop on institutional data policies, issues addressed:

- How to link strategy, policies and partnerships for data support?
- What do institutional and disciplinary policies on RDM entail?
- What forms of support can be derived from these policies?
- What do research funders expect and how can researchers be supported?
- Which department is responsible for which forms of support?

Method: Presentations and hands-on session on data policies – review of examples, based on a short questionnaire

A similar exercise was done for the review of data management plans.

Hands-on: Translating policy into support

Participants work in groups and use an institutional or policy from different research areas to set up a support model. Tasks for each group:

- Agree on a rapporteur.
- Read the policy individually.
- Answer the following questions:
 - Which policy measures ask for further support?
 - What is generic, what is community or discipline-specific?
 - Which forms of support (group training, face-to-face instruction, website, lunch meetings, etc.) are suitable for a particular policy measure?
 - Which university unit/department should take care of these elements of support (library, ICT, research administration, etc.)?

Discuss your ideas and findings and provide a summary.

In addition, please come up with one recommendation on how LIBER could help to strengthen the role of libraries in this activity area.

Policies used

- 1.Global Food at Georg-August-University of Göttingen
- 2.Humboldt University Berlin
- 3.Monash University
- 4.University of Northampton
- 5.University of Southampton
- 6.University of Edinburgh
- 7.Oxford University

All available at: <http://bit.ly/1SASgiq>

Outcomes: Policy areas that need improvement

- **Benefits for the researcher** are sometimes poorly described.
- No reference to the **publication of data** is given.
- **Deletion of data** is not covered. What is the retention period before data might be destroyed?
- **Legal advice** is often missing. Ownership, IPR and data privacy need to be more specific. The library could perform an informing role.
- **Access regulations** should be mentioned (has to be specified by the group of involved researchers).
- **Responsibilities: What will the institution cover?**
- **Long-term preservation:** if the term is used, explain what it means.
- Provide **references to related documents** that specify further, e.g. storage policy, intellectual property policy - but don't overdo it.
- Terms & responsibilities: What does “**adequate descriptive metadata**” mean? The library can give a lot of general advice, when it gets specific only the researcher can create adequate descriptive metadata.

Outcomes: Wishlist

- **More training events** like this.
- Facilitate the **sharing of practices, exchange programs, shadowing, graduate programs.**
- Provide a **model policy template.**
- Provide **indicators on how effective a policy is.**
- More emphasis on **templates for specific policies.**
- The **library could play role in the bigger picture**, e.g. training, templates, it could proactively offer the big picture.
- An **example service catalogue for RDM**, example implementations. Provide a short **use case template.**

A checklist for data policies: Structural Elements

Purpose: A purpose statement explains the rationale/goal for the policy.

Scope

- Who is creating the policy? e.g., Library, Institution (department, school, etc.), funder, research community, etc.
- Who is subject to this policy?
- What data does this cover? Which data are subject to this policy?

Responsibility/Roles

- Who is responsible for what: What are their roles and what is expected from them?
 - Researcher
 - Expectations
 - Access, stewardship, retention, transfer
 - Consequences for violation of policy
 - Institution:
 - Support: What support is offered (for the implementation), by whom?
 - Enforcement: Who is responsible? What does enforcement look like?
 - Consequences for violation of policy
 - Other

Definitions & Resources

- Key terms are defined: Which terms are necessary?

A checklist for data policies: Areas of attention

Related requirements/policies: The policy is consistent with other requirements, policies and law (and references them when necessary).

Language: The policy uses enforceable language (i.e. shall, will, must, etc.).

Expectations: Reference to data sharing and publication is given. Access regulations are mentioned (has to be further specified by the group of involved researchers).

Responsibilities: Deletion of data is covered. What is the retention period before data might be destroyed?

Responsibilities: Mention that regulations must be respected and followed (e.g., Ownership, IPR and data privacy must be addressed in the institutional context.)

Responsibilities: What will the institution cover?

Definitions: Terms which need explanation: long-term preservation, adequate descriptive metadata, etc.

Resources: Provide references to related documents that specify further, e.g. storage policy, intellectual property policy - but don't overdo it.

- discussion -

RDA/Sloan DataShare Fellow - Cheryl Thompson

- Project Goals:
 - Identify archetypes of data services and libraries with such services to sample
 - Understand organizational approaches of academic libraries in the sample
- Ethnographic study (2015-2016)
 - Literature review
 - Artifact collection (org charts, website)
 - Interviews

Mentors: Michael Witt & Chuck Humphrey

POSTER

Preliminary Archetypes

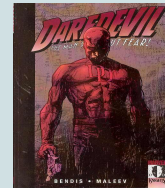
Nascent Initiative

- Unclear, still emerging
- Limited staff and resources dedicated to these efforts



Solo Librarian

- Single position dedicated
- No additional designated staff



Dedicated Working Group

- Staff from library and campus units
- No formal designation within library org.



Justice League

Multifunctional team

- Existing team absorbs RDMS function
- Staff with RDMS duties
- Formal designation within library organization



Fantastic Four



Specialized Team

- Team with RDMS function
- Dedicated RDMS staff
- Formal designation within library org.



X-Men

Is Your Archetype Missing?



Preliminary Archetypes

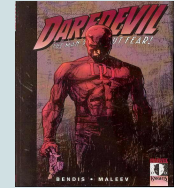
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Dedicated Working

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Justice

Want to participate?
cathmps2@illinois.edu

RDMS



Fantastic Four

tion within



y org

tion

Specialized Team

- Team with RDMS function
- Dedicated RDMS staff
- Formal designation within library org.



X-Men

Is Your Archetype Missing?



Closing / Summary

- ‘How to Maximize Research Data Skills in Libraries’ [briefing paper](#)
- ‘How to Establish Research Data Solutions in Libraries’ [briefing paper](#)
- RDA engagement with library community, e.g., open call, IFLA, LIBER, IASSIST, ASIST RDAP, others?
- Joint RDA-IFLA program at [81st IFLA World Library and Information Congress](#)
- ‘23 Things: Libraries for Research Data’ [resource](#) and [prezi](#)
- RDA Sloan DataShare internship ‘Exploring Organizational Approaches to Research Data in Academic Libraries’ (see the poster!)
- Upcoming special issue on research data management and libraries in [IFLA Journal](#) (International Federation of Library Associations)
- **Subscribe and find more at website:** <https://rd-alliance.org/groups/libraries-research-data.html>