Preparing to Accept Research Data: Creating Guidelines for Librarians

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Appendix A

Research Data Service Guidelines[1]

Research data to be accepted into RUcore will demonstrate the scholarly and scientific research being conducted by Rutgers University researchers. This data will contribute to the advancement of knowledge and research in diverse subject areas, including the sciences, health sciences, social sciences, and humanities, as described in the Libraries' Strategic Plan. By accepting and publicly sharing research data, we will highlight the unique ability of the Libraries to facilitate discovery, access, and reuse of Rutgers University's research.

Research data may be the result of unfunded as well as grant-funded research, to allow for a broad spectrum of research areas to be included; however, projects that require data deposit to comply with funder mandates may be given preference. Working with Rutgers University researchers, the Libraries will provide access to Rutgers University research data. The Principal Investigator or Primary Responsible Researcher, hereafter to be referred to as the Responsible Researcher and which shall be meant to include both titles, will be responsible for assuring that the data can be shared publicly in accordance with University policies, Federal and other funders' directives, and is in compliance with any legal restrictions.

Research data will be accepted insofar as the Libraries have "…the resources, including, but not limited to, expertise, technology, and funding, to support the project, both initially and ongoing." (Digital Projects Evaluation Process, Rutgers University Libraries, March 2013).

We anticipate a phased approach to acceptance of data, in order to be able to scale services as projects become more complex. During the initial implementation of data acceptance, the deposit process will be mediated by members of the Rutgers University Libraries Research Data Team. Researchers will work directly with a trained Project Manager, who will guide the researcher through the deposit process and see it through to completion. For the initial implementation of data acceptance, we recommend the following guidelines:

Initial Implementation: Mediated Data Acceptance

- All projects will be considered, regardless of funding status. Projects which require data deposit to comply with funder mandates may be given preference.

- One of the Responsible Researchers (or co-PIs) must be Rutgers University faculty or staff. This Responsible Researcher must initiate the data deposit process.

- Datasets which are associated with Rutgers University graduate students' deposited electronic theses and dissertations will be accepted.

- Short-term embargoes will be allowed, such as until the publication of a book or article.

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[1] This document may be subject to further revision as implementation of data acceptance progresses.

- The Responsible Researcher will be responsible for determining that the data is appropriate for public sharing. Through a deposit agreement, they will attest that by sharing the data they will not be in violation of any confidentiality agreements, copyright laws, or other laws, and will hold Rutgers University Libraries harmless from any damages resulting from the sharing or misuse of the data.

- Total data volume will be 100 GB or less per project without storage fees. Projects requiring more than 100 GB will be reviewed by the Associate University Librarian for Digital Library Systems and considered on a case-by-case basis.

- Data that requires media transformation or digitization will be referred to the Repository Collection Librarian for necessary transformation/digitization.

- The data will not be derived from human or animal subjects. Sensitive or confidential data, if de-identified, will be accepted later in the full implementation of data services.

- The data will not be the result of research conducted on behalf of or in conjunction with any outside commercial interests. Projects which involve commercial interests will be accepted later during the full implementation of data services.

- Research data which would require technical or system modifications within RUcore will be considered on a case-by-case basis.

Full Implementation: Self-Deposited and Mediated Data Acceptance

After the initial acceptance of data as described above, self-deposit of data by the Responsible Researcher is recommended, provided that the necessary storage capacity, staffing, and technical components are in place. During the full implementation of data services, researchers would have the option to use online self-deposit forms or to choose mediated deposit as was offered in the initial implementation. Self-deposited data will require the researcher to affirm that high-level criteria are met, which will be reviewed by the Data Team. If these criteria are met, Data Deposit and Application Forms will then be completed online, and additional internal reviews will be performed. Once the internal review has been completed, the data will be made accessible in accordance with any restrictions which have been placed on the data (see *Evaluation of Data Projects for Deposit* and *Data Deposit Workflow* for details).

- Datasets that meet the initial implementation requirements will continue to be accepted in the full implementation of data services.

- Data involving human and animal subjects will be permitted with proper de-identification; IRB and other approvals must be in place. The Responsible Researcher will be responsible for determining that confidentiality and any other legal requirements are met.

- Projects requiring up to 500 GB of storage will be accepted, and fees may be assessed accordingly.

- Projects which involve commercial interests will be considered.

We anticipate that the acceptance of research data into RUcore will be an evolving process, during which Rutgers University Libraries will adapt and grow as new challenges are presented. We cannot foresee what new developments might arise, however we believe that Rutgers University Libraries will be agile enough to accommodate changing research data needs. These special, complex and/or very large research data projects will be considered on a case-by-case basis.

Special Research Data Projects, to be assessed on a per-case basis

- Data projects that require extensive staff time to develop may be accepted; fees may be assessed.

- Data that require the purchase of additional storage capacity will be considered, and storage costs will be assessed.

- Projects that require system modifications will be considered.

- Data that require media transformation or digitization will be considered.