



Encontros Bibli

Anexo A – Formulário de autoavaliação RISE

1 - RDM policy and strategy	
1 - Policy development	<p>1) Institutional policy articulates roles & responsibilities for researchers, other staff and students to comply with legal & regulatory obligations and external funders' RDM policy expectations</p> <p>2) Institutional policy articulates the value of good RDM practice to the institution and its rationale for retaining data of long-term value. Policy is subject to a regular, scheduled review process</p> <p>3) Institutional policies with a bearing on RDM (e.g. FOI, ethics, research conduct, etc.) are joined up and complementary. Policies are externally promoted, aiming to push the sector forward</p>
2 - Awareness raising and stakeholder engagement	<p>1) Research data policies are promoted to all relevant staff, students and researchers</p> <p>2) Guidance on how to apply all relevant policies to the institutional context is provided and promoted to all relevant staff, students and researchers</p> <p>3) Policies are promoted by the institution through channels designed to engage with staff, student and researcher groups' specific interests</p>
3 - RDM implementation roadmap	<p>1) RDM roadmap is compliance focussed and defined by funder requirements</p> <p>2) Roadmap is informed by the institution's strategies and its researcher's priorities</p> <p>3) Roadmap/strategy seeks to derive competitive advantage from RDM support. It aims to be sector-leading and innovative</p>
2 - Business plans and sustainability	
4 - Staff Investment	<p>1) RDM service is delivered by dividing responsibilities among existing staff</p> <p>2) RDM service is delivered through significant redesign of staff roles including investment in staff development</p> <p>3) The RDM service is delivered by major redesign of staff roles, consistent with the establishment of an RDM service</p>
5 - Technology Investment	<p>1) A base level of investment in technical infrastructure, with commitment to supporting recurring costs, ensures that researchers can make their data findable and accessible in the long-term</p> <p>2) The institution coordinates investment in the central technical services it deems a strategic priority for research data life-cycle support</p> <p>3) The institution invests in technical infrastructure for all aspects of the research data life cycle, interoperating with tools and workflows at research group level</p>
6 - Cost modelling	<p>1) All RDM service costs are covered by overheads on grants</p> <p>2) Standard RDM services are funded through grant overheads. Where support exceeds the norm mechanisms allow for direct charging of grants</p> <p>3) Cost modelling enables specialist, stand-alone RDM services to be offered alongside standard support provision (e.g. statistical modelling service or data visualisation service)</p>
3 - Advisory services	
7 - Advisory services	<p>1) Generic, online guidance is offered that addresses key areas of RDM. Content may be externally sourced, with little relating to the specific institutional context. Pages include a helpdesk email address</p> <p>2) Guidance offers relevant advice on how to use services that comply with institutional policies, and the benefits to researchers of doing so</p>

	3) Guidance is significantly tailored to support the specific needs of the institution's researchers and support staff. Guidance content is externally referenced as sector best practice
4 - Training	
8 - Online training	<p>1) Externally sourced online courses are linked to from RDM pages</p> <p>2) Externally sourced online courses are supplemented with some materials which support local needs and services</p> <p>3) The institution produces a significant amount of online training material which meets the needs of its researchers and staff. Materials are reused by others in the sector</p>
9 - Face to face training	<p>1) Face to face training in basic RDM principles is available on request. Course content is regularly updated and responsive to feedback</p> <p>2) Regular, structured face to face RDM courses are available to all. Training objectives are aligned with the objectives of the institution's RDM strategy</p> <p>3) Competencies for relevant researchers and professional support staff are defined in standard role descriptions. Training is provided which facilitates this development</p>
5 - Data management planning	
10 - Data management planning	<p>1) Institution provides guidance to researchers on completing funder-mandated DMPs as part of grant bids</p> <p>2) Institution mandates DMP production at bid stage for all researchers. Guidance and templates are provided. Research Office connects to relevant stakeholders to appraise DMP content and notify them of relevant resource implications</p> <p>3) Institution promotes best practice in data management planning and facilitates good research design in relation to data generation and preservation. Automated systems flag researcher requirements to the relevant institutional support services (e.g. exceptionally large projected data volumes)</p>
6 – Active data management	
11 - Scalability and synchronisation	<p>1) The service provides researchers with managed access to networked storage, from multiple devices, of sufficient capacity and performance to satisfy most of the organisation's projects</p> <p>2) The service can provide additional storage on request to satisfy exceptional storage capacity, device networking, or performance demands</p> <p>3) The service provides automated access to additional storage to satisfy exceptional capacity or performance demands</p>
12 - Collaboration support	<p>1) The service enables access to data for external collaborators by providing them with local access rights to institutional storage systems</p> <p>2) The service provides managed access to tools that enable researchers to share data with external collaborators</p> <p>3) The service provides managed access to virtual research environments that enable researchers to work on data with external collaborators</p>
13 - Security management	<p>1) The service provides authenticated access to storage that is protected from unauthorised data access, and researchers are made aware of procedures for data protection and de-identification</p> <p>2) The service provides tools/environments that enable researchers to deidentify, encrypt or control access to data as required</p> <p>3) The service provides researchers from across the institution with access to ISO 27001/2 or equivalently accredited facilities for analysis of shared sensitive data</p>
7 – Appraisal and risk assessment	
14 - Data collection policy	<p>1) Service primarily supports data deposit to third-party repositories, and holds datasets in a local data store or repository mainly for compliance purposes</p> <p>2) Service defines criteria for retention of datasets of longterm value to the institution</p> <p>3) Service defines criteria for developing datasets as special collections and ensures these meet specialist depositor and user needs</p>

15 - Security, legal and ethical risk assessment	<p>1) Service seeks confirmation that data was collected or created in accordance with legal and ethical criteria prevailing in the data producer's geographical location or discipline</p> <p>2) Service commits to proactively manage legal and ethical risks relevant to its depositors and users, and to relevant professional and technical development for researchers and support staff</p> <p>3) Service offers data producers tailored guidance on risk assessment, and on solutions that offer an appropriate level of risk control for the data they manage</p>
16 - Metadata collection to inform decision-making	<p>1) Information is gathered from research projects to enable the identification of research data that must be kept for compliance purposes</p> <p>2) Metadata is routinely recorded to relate research activity to data and other outputs, and enable better informed decisions on the preservation costs, risks and value to the institution</p> <p>3) Metadata on data and related research outputs is sufficiently well-structured and interoperable to enable added value to be extracted for service users' needs</p>
8 – Preservation	
17 - Preservation planning and action	<p>1) Service demonstrates it can ensure continued bit-level integrity of the data collections it holds, its metadata, and its links to any related information submitted with it</p> <p>2) Service enables preservation plans e.g. file migration or normalisation to be enacted at time of ingest or dissemination, and records all actions, migrations and administrative processes it performs</p> <p>3) Service commits to deploy tools and expertise to maintain the significant properties of data, metadata and related information for required retention periods and identified user groups (full preservation)</p>
18 - Continuity Support	<p>1) Service enables retained data to be stored with a copy automatically held in another location</p> <p>2) Service enables retained data to be stored with copies automatically held in two separate locations, at least one off-site</p> <p>3) Service enables data & metadata to be automatically distributed across multiple locations according to specific policy criteria</p>
9 – Access and publishing	
19 - Monitoring locally produced datasets	<p>1) Information is gathered from research projects to enable compliance with funders' requirements for research data discoverability.</p> <p>2) Metadata is routinely recorded on locally produced data, and its links to research activity or related outputs, enhancing the quality of the institution's research information.</p> <p>3) Metadata on locally produced research data, and its links to other activities or outputs, is sufficiently structured and organised to inform institutional strategy..</p>
20 - Data publishing mandate	<p>1) Service supports minimum external requirements for metadata and publicly accessible data</p> <p>2) Service supports community best practice standards for data access, citation and metadata exchange</p> <p>3) Service supports bespoke content discoverability, access and quality review needs for user groups or organisations</p>
21 - Level of data curation	<p>1) Service commits to brief oversight of submitted data and metadata e.g. for compliance purposes</p> <p>2) Service commits to maintain or enhance value through routine action across data collections</p> <p>3) Service commits to maintain or enhance value through bespoke action on individual collections</p>
10 – Discovery	
22 - Metadata cataloguing scope	<p>1) Service catalogues metadata for the organisation's publicly funded datasets according to funder expectations that they are discoverable, citable, and linked to related content</p>

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| | <ol style="list-style-type: none">2) Service catalogues metadata to enhance value of the institutions data assets in accordance with recognised best practice standards3) Service catalogues metadata to enhance potential dataset reuse according to sector leading standards, or fulfil domain-specific purposes |
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Fonte: Adaptado de SPARC Europe (2020).