Our approach to Core Trustworthy Data Repositories Requirements

信頼できるデータリポジトリのコア認証要件への取り組み

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Agenda

- RDUF and our subcommittee "Networking of Japanese disciplinary repositories and their stakeholders"

- Core Trustworthy Data Repositories Requirements

- Creation of a Japanese guidebook of Core Trustworthy Data Repositories

- What is clarified by our activities

Networking of Japanese disciplinary repositories and their stakeholders

Participants from Research Institutes

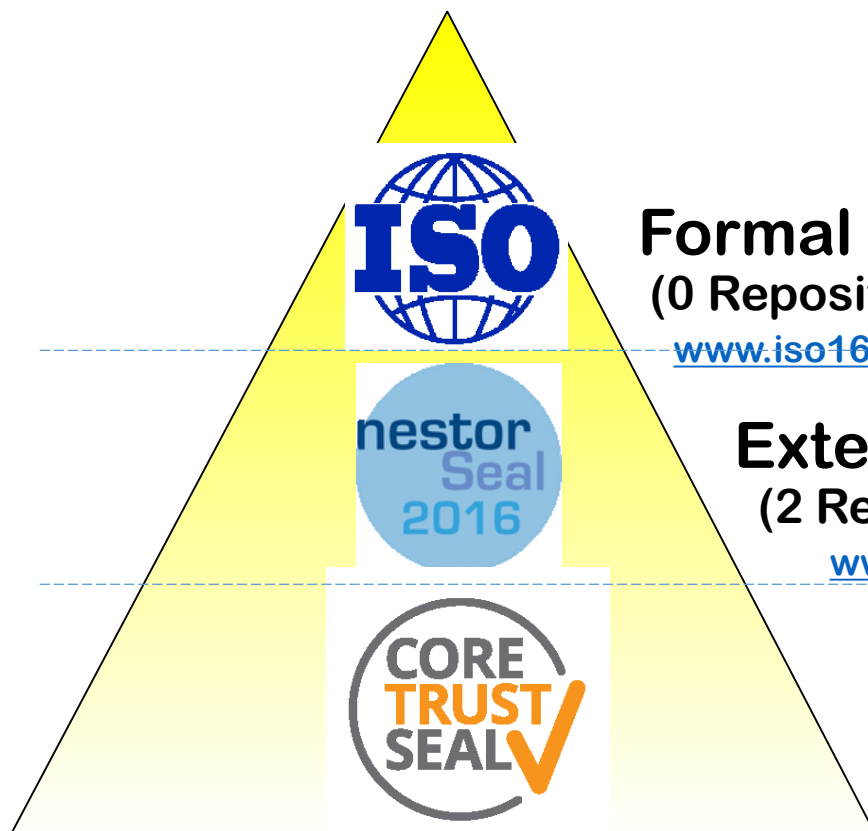# Networking of Japanese disciplinary repositories and their stakeholders

- Japan Link Center has established a Research Data Utilization Forum (RDUF) in 2016.

- A subcommittee "Networking of Japanese disciplinary repositories and their stakeholders" has established in last December, 2017.

- For the first time, we have been studying CoreTrustSeal as a material taking 5 trial self-assessment examples made by experts of participating data repositories.

- This trial has been extended in RDUF subcommittee.

- The purpose of this subcommittee is to construct a Japanese disciplinary repositories community by sharing information in order to improve the quality of Research Data Management.

- We do not know how many data repositories are going on in Japan. Now, we have 14 subcommittee members.

Networking of Japanese disciplinary repositories and their stakeholders

Our Activities

1	2017-12-04	Kick-off meeting: Trial to evaluate CTS certification requirements to participants' institute.
2	2018-02-06	Discuss about CTS certification application difficulties
3	2018-03-05	Understand how to write application form from 3 published CTS applications
4	2018-04-03	
5	2018-04-25	Introduction of policies published by research institutes that can be listed in CTS application
6	2018-05-11	Discuss the contents of the Japan Open Science Summit 2018 session program to be held in June

Trustworthy Data Repositories Certifications

Formal Certification ISO 16363:2012
(0 Repositories, 100+ requirements)
www.iso16363.org/

Extended Certification DIN 31644
(2 Repositories, 34 requirements)
www.langzeitarchivierung.de

CoreTrustSeal Certification
(130+ Repositories, 16 requirements)
www.CoreTrustSeal.org

Trustworthy Data Repositories (TDRs)

https://www.rd-alliance.org/sites/default/files/attachment/20170921%20CoreTrustSeal%20_M.Mokrane.pptx

Core Trustworthy Data Repositories Requirements

18 Core Level Requirements

- Background information (1:R0)

- Organizational Infrastructure (6:R1-R6)

- Digital Object Management (8:R7-R14)

- Technology (2:R15,R16)

- Additional Information and applicant feedback(1)

Each Requirement is accompanied by guidance text to assist an applicant in providing sufficient evidence.

Why Certification?

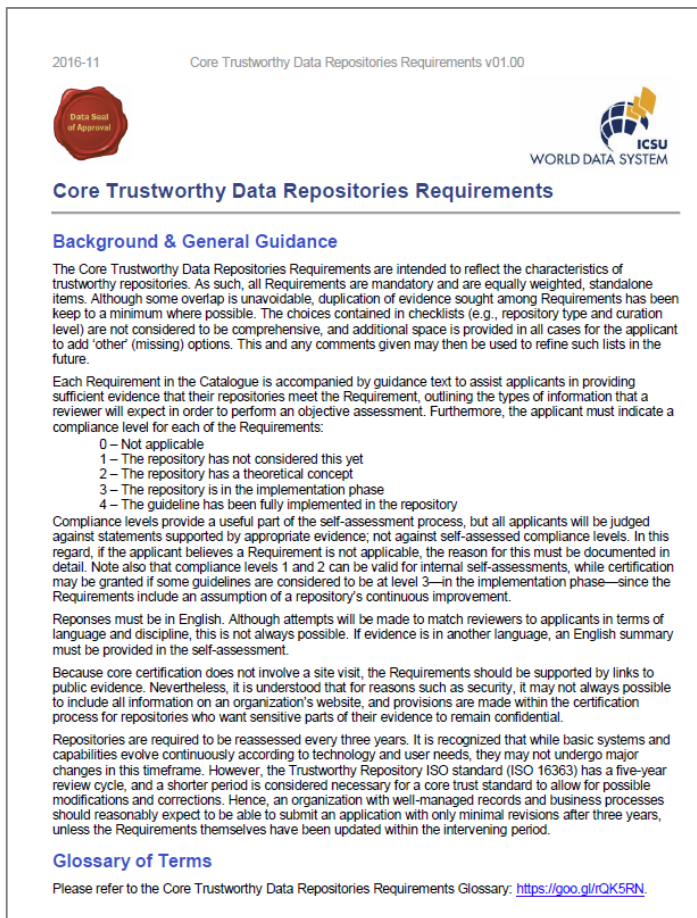- Certification as a means to build trust in the repository with clients, both depositors and users of data, with the partner organizations and with research funders.

- Only 4 data repositories in Japan have acquired international certification.

- Even if participating members' repository will not to apply certification, we have an opportunity for improving our own institutions' research data management.

Creating a Japanese guidebook of Core Trustworthy Data Repositories (ongoing)

研究データ利活用協議会
RDUF
Research Data Utilization Forum

CORE TRUST SEAL ✓

CoreTrustSeal Original document

A Guidebook of CTS in Japanese (under development)

2016-11 Core Trustworthy Data Repositories Requirements v01.00

Data Seal of Approval

WORLD DATA SYSTEM

Core Trustworthy Data Repositories Requirements

Background & General Guidance

The Core Trustworthy Data Repositories Requirements are intended to reflect the characteristics of trustworthy repositories. As such, all Requirements are mandatory and are equally weighted, standalone items. Although some overlap is unavoidable, duplication of evidence sought among Requirements has been keep to a minimum where possible. The choices contained in checklists (e.g., repository type and curation level) are not considered to be comprehensive, and additional space is provided in all cases for the applicant to add 'other' (missing) options. This and any comments given may then be used to refine such lists in the future.

Each Requirement in the Catalogue is accompanied by guidance text to assist applicants in providing sufficient evidence that their repositories meet the Requirement, outlining the types of information that a reviewer will expect in order to perform an objective assessment. Furthermore, the applicant must indicate a compliance level for each of the Requirements:

- 0 – Not applicable
- 1 – The repository has not considered this yet
- 2 – The repository has a theoretical concept
- 3 – The repository is in the implementation phase
- 4 – The guideline has been fully implemented in the repository

Compliance levels provide a useful part of the self-assessment process, but all applicants will be judged against statements supported by appropriate evidence; not against self-assessed compliance levels. In this regard, if the applicant believes a Requirement is not applicable, the reason for this must be documented in detail. Note also that compliance levels 1 and 2 can be valid for internal self-assessments, while certification may be granted if some guidelines are considered to be at level 3—in the implementation phase—since the Requirements include an assumption of a repository's continuous improvement.

Reponses must be in English. Although attempts will be made to match reviewers to applicants in terms of language and discipline, this is not always possible. If evidence is in another language, an English summary must be provided in the self-assessment.

Because core certification does not involve a site visit, the Requirements should be supported by links to public evidence. Nevertheless, it is understood that for reasons such as security, it may not always possible to include all information on an organization's website, and provisions are made within the certification process for repositories who want sensitive parts of their evidence to remain confidential.

Repositories are required to be reassessed every three years. It is recognized that while basic systems and capabilities evolve continuously according to technology and user needs, they may not undergo major changes in this timeframe. However, the Trustworthy Repository ISO standard (ISO 16363) has a five-year review cycle, and a shorter period is considered necessary for a core trust standard to allow for possible modifications and corrections. Hence, an organization with well-managed records and business processes should reasonably expect to be able to submit an application with only minimal revisions after three years, unless the Requirements themselves have been updated within the intervening period.

Glossary of Terms

Please refer to the Core Trustworthy Data Repositories Requirements Glossary: https://goo.gl/rQK5RN.

信頼できるデータリポジトリを認証するための中核的な統一要件（日本語説明）アルファ版

2018 年 1 月　絹谷・南山

Core Trustworthy Data Repositories Requirements
信頼できるデータリポジトリを認証するための中核的な
統一要件（日本語説明）アルファ版

この文書について

この文書は、CORETRUSTSEAL https://www.coretrustseal.org/ で 2016 年 11 月に公開されたデータリポジトリの要件に関する文書に関する日本語の説明アルファ版です。2017 年 10 月に公開された拡張ガイダンスも含みます。

CORETRUSTSEAL で公開されている資料

公開されている資料は、紹介、説明と用語説明です。

紹介

http://www.coretrustseal.org/wp-content/uploads/2017/01/Intro_To_Core_Trustworthy_Data_Repositories_Requirements_2016-11.pdf

説明 v01.00

http://www.coretrustseal.org/wp-content/uploads/2017/01/Core_Trustworthy_Data_Repositories_Requirements_01_00.pdf

説明 2017-2019　審査に関する説明を含んだ拡張ガイダンス

https://www.coretrustseal.org/wp-content/uploads/2017/01/20171026-CTS-Extended-Guidance-v1.0.pdf

この説明ビデオが公開されています。https://www.coretrustseal.org/why-certification/requirements/

A webinar on the CoreTrustSeal Extended Guidance is also available for information

用語説明

Problems noticed in creating a guidebook

Compliance level for each of the Requirements:

0 – Not applicable

1 – The repository has not considered this yet

2 – The repository has a theoretical concept

3 – The repository is in the implementation phase

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- How to understand "Compliance level"?
  - Degree being achieved?
  - Evaluation level?
  - Percentage to fulfill the request?
  - When there is no explicit contract about data deposit or data publication but it is operated without problems, what level will it be?
  - If there is a mission statement in the Web Site, but there is no description about data management, will it be necessary to change the mission statement in order to raise the compliance level from 2 to 3?
  - Risk of digitizing levels.
  - Evidence is not just evidence document. What else is there to strengthen the evidence?

Common features of Japanese disciplinary Repositories

Japan Research data Repositories' Community

- A Research data repository community has been formed for each research field or for each university, institute.
- We do have no place to discuss the issues commonly held by the data repository except our subcommittee.
- We need to apply to the data repository to the requirements of Open Science implementation plans in Japan.
- We need to communicate various stakeholders beyond disciplines in order to utilize research data to produce new added values.

What is clarified by our activities

- For the repositories under the research institute established by the laws of the government, it is important to collect **related laws** and **research institution policies** for preparing applications.

- it is helpful to answer the CTS requirement items by summarizing the current status of the repository from the viewpoint of **human resources**, **organization** and **budget** constituting the repository.

- While the previous WDS certification, the WDS community participation is a prerequisite, there is no common recognition as a repository community in CTS certification, so there are differences in the difficulty of applying even if we apply for the same requirement.

Future plans (Personal opinion)

- More understanding not only **CoreTrustSeal** certificate but also **FAIR** (Findable, Accessible, Interoperable and Reusable) Principles and **GEOSS Data Management Principles**.

- Sharing how to write CoreTrustSeal application form among subcommittee member.

- Increase the number of data repositories that have acquired certification in Japan, and to activate the utilization of research data.

Conclusion

- We are preparing to apply CTS certification in the near future!!

Join our subcommittee if you are interested in subject repositories' community

Data Seal of Approval