

C.8 Gap Analysis for Scholars Portal

Documents Needed from Scholars Portal

Please refer to section [C.8.a](#) for a documentation flowchart that outlines the relationship between the various documents required from Scholars Portal.

ONGOING

Indicates documents that already exist, but may need to be updated or revised to satisfy all requirements.

NEEDED

Indicates documents that do not currently exist and need to be created.

EXISTS

Indicates documents exist and ready to be used in Application

Requirements List:

#	Requirement Name	Requirement Description	Types of Documents used in Successful Applications	Documents Needed from Scholars Portal	Documents Needed from Member Institution	
R0.	Background Information & Context	R0.a. Repository Type R0.b. Brief Description of Repository R0.c. Brief Description of Designated Community R0.d. Level of Curation Performed R0.e. Insource/Outsource Partners R0.f. Summary of Significant Changes Since Last Application R0.g. Other Relevant Information	R0.e. Service Level Agreements or Contracts with Insource & Outsource Partners ¹ . URLs to partner website (i.e., iQSS). R0.g. URLs to re3data.org listing, metrics websites, main repository websites, governance body websites, etc.	WEBSITE: <ul style="list-style-type: none"> About Borealis The website should include: <ul style="list-style-type: none"> Description of what SP DV is, its overall objectives or purpose, and mission statement. Description of tasks that are the responsibility of SP versus those that are the responsibility of MIs. Description of SP DV's designated community. Information about SP DV's governance structure. Information on how to get help, where to find more information, and /or how to contact support. Link to SP DV metrics page. 	R0.a. - Institutional repository, Library, possibly Research project repository. R0.b. - Entered into the application directly, or reference a website with this info. R0.c. - Entered into the application directly, or reference a website with this info. R0.d. Level of Curation Performed - for only SP DV, this could be rated as a level C. MIs may upgrade this level to D if they perform additional curation. R0.e. - Insource/Outsource Partners <ul style="list-style-type: none"> URL for <i>About Scholars Portal Dataverse</i> website. Links to any internal partners that assist with the management of SP DV at this institution (if applicable). Could also include the SP /MI SLA template. R0.f. - not applicable. R0.g. - Enter whatever other info might be helpful.	<i>Examples of repositories with good About Us-type pages that cover the majority of the info needed for R0.</i> DataverseNO About Us page. Odum Institute Data Archive main page. ICPSR About Us page. Qualitative Data Repository (QDR) About page. Polar Data Catalogue main page.
R1.	Mission / Scope	The repository has an explicit mission to provide access to and preserve data in its domain.	<ul style="list-style-type: none"> Mission statement with mention of "data preservation" The approval process of the mission statement 	WEBSITE: <ul style="list-style-type: none"> About Borealis <div>EXISTS</div>	<ul style="list-style-type: none"> The mission statement for digital repositories, library, or overall university. Could also reference a specific policy or strategic plan where the mission statement is written. Needs to specifically mention data preservation in some way. 	<i>Not all these examples include mention of preservation but are examples of mission statements in general.</i> OCUL's Mission & Vision Thomas Fisher Rare Book Library Mandate UTL Mission Statement & Values UTL Digital Preservation Policy Odum About the Archive Queen's University Library Vision & Mission

R2.	Licenses	The repository maintains all applicable licenses covering data access and use and monitors compliance.	<ul style="list-style-type: none"> Licensing agreements Conditions of use Non-compliance measures Standard terms of use 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis Terms of Use EXISTS Borealis User Guide - Terms of Use EXISTS 	<p>Information pertaining to any license-related rules or policies that are in <u>addition to what is provided by SP</u>.</p> <ul style="list-style-type: none"> Institutional deposit guidelines or policy. Institutional terms of use. 	<p><i>Tilburg University, which is one member of the DataverseNL repository, is the best example as they have their own, institutional-level policies/procedures.</i></p> <p>Instructions for depositing data in TiU Dataverse.pdf (Appendix B, #14)</p> <p>Template Data Report.pdf (Rights and restrictions section)</p> <p><i>These policies are in addition to the main DataverseNL General Terms of Use (from DataverseNL).pdf.</i></p>
R3.	Continuity of Access	The repository has a continuity plan to ensure ongoing access to and preservation of its holdings.	<ul style="list-style-type: none"> Governance documents Succession plans (3-5 years and 5+ years) Guaranteed preservation periods The risk associated with host organization for long-term availability 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Service Level Agreement example EXISTS About Borealis (governance) EXISTS Borealis Preservation Plan EXISTS 	<p>This requirement is mainly the responsibility of SP. However, institutions could also provide information about their own governance structure and any succession plans they have should they no longer be able to offer support for SP DV to their researchers.</p>	<p>Copy of institution's Access and Service Agreement with Scholars Portal</p> <p><i>Other types of collaboration agreements, if they exist.</i></p> <p>Odum Data-PASS Collaboration Agreement.pdf DANS Updated Collaboration Agreement on Data Archiving and Networked Services.docx</p>
R4.	Confidentiality / Ethics	The repository ensures, to the extent possible, that data is created, curated, accessed, and used in compliance with disciplinary and ethical norms.	<ul style="list-style-type: none"> Policies re: types of data allowed and not allowed Procedures to remove inappropriate data. 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis Terms of Use EXISTS Borealis User Guide - Criteria for Depositing Data EXISTS 	<p>Information pertaining to any data review that takes place at the institutional level and is in addition to what is outlined in the SP DV document.</p> <ul style="list-style-type: none"> Curation procedures or policies (for the review and/or removal of confidential data). Sensitive data procedures or policies. <p>It can also include any institutional data privacy, IT, or ethics board policies.</p>	<p><i>The following examples include instructions and policies related to confidential data:</i></p> <p>Tilburg's Research Data Management Regulation.pdf</p> <p>Odum SOP Sensitive Data Handling.docx or Odum SOP Data Deposit.docx</p> <p>DataverseNO Deposit Agreement.pdf</p> <p><i>From another perspective, the following agreement relates to how the repository collects personal info and what they do with it:</i></p> <p>DANS Privacy Statement.pdf</p> <p><i>The following examples are institutional-level policies regarding data and confidentiality:</i></p> <p>UOttawa Managing Participant Data</p> <p>UT Policy on Information Security and the Protection of Digital Assets</p> <p>UT Data Classification and FAQs</p> <p>UT Minimum Data Center Perimeter Controls</p> <p>UT Data Security Standards for Personally Identifiable and Other Confidential Data in Research</p> <p>UT Policy on Ethical Conduct in Research</p>

R5.	Organizational Infrastructure	The repository has adequate funding and sufficient numbers of qualified staff managed through a clear system of governance to effectively carry out the mission.	<ul style="list-style-type: none"> Governance /management decision-making process Hosted institution relevant to Designated Community Funding for 3-5 years Ongoing staff training and professional development Permanent vs. temporary staff (FTE) Staff expertise (minimum qualifications) 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> About Borealis EXISTS (organization, funding) 	<ul style="list-style-type: none"> Org Chart with FTE #s, job descriptions, and qualifications for SP DV institutional support staff. Professional development provided to support staff. Funding agreements /sources for support staff (for project-based funding). An explanation of how universities (and their libraries) are funded in Ontario to demonstrate ongoing and adequate funding. 	<p><i>For info regarding staff and prof. development, most of it can be entered directly into the application without direct links to other documents.</i></p> <p><i>Example org charts:</i></p> <p>DANS Organizational Chart</p> <p>Odum Org Chart.pdf</p> <p>IRIS Org Chart.png</p> <p><i>Governance information and funding details for institutions is more relevant if you're offering DV as part of a funded project, as opposed to regular operating funds. For operating funds, a high-level explanation of how the university /library is funded is all that is needed.</i></p>
R6.	Expert Guidance	The repository adopts mechanism(s) to secure ongoing expert guidance and feedback (either in-house or external, including scientific guidance, if relevant).	<ul style="list-style-type: none"> Memberships in working or expert groups, consortiums, etc. Access to subject-level expertise. 	<p>WEBSITE:</p> <ul style="list-style-type: none"> About Borealis EXISTS (IQSS / expert groups) 	<ul style="list-style-type: none"> Information about participation in expert or working groups by institutional support staff. Information about accessing /obtaining disciplinary-specific expertise, if applicable. Curation guidelines or procedures as it pertains to expert advice. 	<p>Scholars Portal Dataverse Community</p> <p>Portage Expert Groups</p> <p>Dataverse Users Community</p> <p>OCUL Communities</p> <p><i>For discipline-specific expertise, reference to Liaison Librarians, departmental data stewards, dept. of VP research (if any are relevant) could be included.</i></p>
R7.	Data Integrity and Authenticity	The repository guarantees the integrity and authenticity of the data.	<ul style="list-style-type: none"> Fixity checks /checksums Changelogs / audit trails Dataset version control Metadata standards /conventions Verifying depositor (user) identity 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis Admin Guide (curation functions such as fixity checks, checksums, version control, metadata defaults, access control, etc.) ONGOING Borealis User Guide - metadata defaults Dataverse North Metadata Guidelines EXISTS 	<ul style="list-style-type: none"> If access is not via Shibboleth, information on how depositor access is controlled/processed for institutional users. Information pertaining to any procedures or policies in addition to the SP DV minimums or defaults. 	<p><i>Policies or procedures related to institutional metadata minimums, audit trails, version control, and depositor identity.</i></p> <p>DANS Provenance Document.pdf</p> <p>DataverseNO Deposit Agreement.pdf</p> <p>DataverseNO Deposit your data.pdf</p> <p>DataverseNO Curator Guide.pdf</p> <p>Odum Data Curation Workflow.pdf</p>
R8.	Appraisal	The repository accepts data and metadata based on defined criteria to ensure relevance and understandability for data users.	<ul style="list-style-type: none"> Deposit selection criteria and policies. Deletion /deaccessioning policies. Required metadata fields. 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis User Guide - file formats, default metadata field, deaccessioning details EXISTS Dataverse North Metadata Guidelines EXISTS SP DV Admin Guide (deaccessioning procedures) ONGOING 	<ul style="list-style-type: none"> Institutional-level collection policies or criteria. Institutional-level accession and deaccession policies or criteria. Information about the curation process followed, if applicable to data selection or additional metadata requirements. 	<p>Carleton Dataverse Guide</p> <p>UBC Dataverse Guide</p> <p>UGuelph Data Deposit Guide</p> <p>UVic Deposit Guidelines</p> <p>UWaterloo Deposit Guidelines</p> <p>DANS EASY Before Depositing.pdf</p> <p>DANS EASY During Depositing.pdf</p> <p>DANS File Formats.pdf</p> <p>Odum Data Deposit Form.pdf</p> <p>DataverseNO Accession Policy.pdf</p> <p>DataverseNO Deaccession Procedure.pdf</p>

R9.	Documented Storage Procedures	The repository applies documented processes and procedures in managing the archival storage of the data.	<ul style="list-style-type: none"> Risk management plans for physical storage locations Management of physical storage locations Multiple copy strategies, including checksums Types of storage media and process for dealing with deterioration 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis Technology Infrastructure and Security Information EXISTS <ul style="list-style-type: none"> Application security Storage locations Storage media Borealis Preservation Plan EXISTS <ul style="list-style-type: none"> Checksum process ORLC multiple location storage info 	This requirement would be the responsibility of SP only.	n/a
R10.	Preservation Plan	The repository assumes responsibility for long-term preservation and manages this function in a planned and documented way.	<ul style="list-style-type: none"> Organized approach to long-term preservation Continued access to data Support for the Designated Community 	<p>DOCUMENT:</p> <ul style="list-style-type: none"> Borealis Preservation Plan EXISTS Borealis Terms of Use EXISTS as it pertains to permissions given to Borealis to provide continued access to data. 	<p>Alternative institutional-level preservation procedures and associated criteria, if applicable.</p> <p>If you provide another type of preservation option for your institutional Dataverse (e.g., Archivematica), include policies or procedures for that option.</p>	Scholars Portal Permafrost service COPPUL WestVault service COPPUL Archivematica-as-a-Service
R11.	Data Quality	The repository has the appropriate expertise to address technical data and metadata quality and ensures that sufficient information is available for end-users to make quality-related evaluations.	<ul style="list-style-type: none"> Curation policy or plan Data quality control standards Designated Community feedback on data /metadata quality 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> SP DV Admin Guide (curation functions) ONGOING Borealis Terms of Use EXISTS 	Institutional-level curation procedures, if more than default SP DV functions are used.	DANS Provenance Document.pdf DANS File Formats.pdf DataverseNO Accession Policy.pdf (Quality Control section) DataverseNO Curator Guide.pdf Prepare your data for DataverseNO.pdf Odum Data Curation Workflow.pdf Odum SOP Data Deposit.docx Odum SOP Cataloging.docx FSSDA Appendix 6. Digital File Formats.pdf FSD Operational Guidelines.pdf <p><i>The IRIS repository is different from the above repositories as it collects data from the same sources on a regular basis. Therefore, they approach data quality a little differently.</i></p> IRIS Data Quality Mission Statement.pdf IRIS IS_Quality_Principles_v6.pdf
R12.	Workflows	Archiving takes place according to defined workflows from ingest to dissemination.	<ul style="list-style-type: none"> Consistent documented approach to all processes and procedures 	<ul style="list-style-type: none"> Reference to the Borealis website where all guidelines and procedures are outlined. Information pertaining to the creation and revision of guidelines and procedures, including who reviews and provides feedback before implementation. 	Member institutions would need to provide similar info as SP, but for their institutional-level workflows.	<p><i>In general, any of the other documentation noted in this column could be used for R12. The purpose of this requirement is to demonstrate consistent documentation procedures.</i></p> <p><i>Other items that could be referenced here:</i></p> <ul style="list-style-type: none"> procedures for creating and/or approving documentation an overall policy or procedure for the entire process (from ingest to dissemination) a website with an overview of the entire process Odum OAIS.pdf

R13.	Data Discovery and Identification	The repository enables users to discover the data and refer to them in a persistent way through proper citation.	<ul style="list-style-type: none"> Search abilities /functionality Standard metadata catalogues Persistent identifiers Machine harvesting of metadata Recommended data citations 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis Terms of Use EXISTS Borealis User Guide EXISTS <p>(search functions, citations, deposits)</p> <ul style="list-style-type: none"> Finding and Exploring Data Downloading and Citing Data Criteria for Depositing Depositing Data 	This requirement would be restricted to SP only.	n/a
R14.	Data Reuse	The repository enables the reuse of the data over time, ensuring the appropriate metadata are available to support the understanding and use of the data.	<ul style="list-style-type: none"> Data access records /metadata Continued understanding of the data Data formats provided Process for evolving data formats Metadata schemas used 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis User Guide EXISTS <p>(deposits - metadata schemas, file formats /ingests/migration)</p> <ul style="list-style-type: none"> Encouraging Data Reuse Publishing Data File ingest Borealis Terms of Use EXISTS Borealis Preservation Plan EXISTS	<ul style="list-style-type: none"> Information pertaining to any deposit or curation activities performed in addition to the defaults provided by SP DV. Information on how (and if) feedback is taken from the designated community in order to update or revise minimum requirements or standards. 	<p><i>The following are some examples of the documentation used for R14 in other applications. Any document that outlines how the repository enables the reuse of data would be beneficial here.</i></p> <p>DANS EASY Reusing Data.pdf</p> <p>Template Data Report.pdf</p> <p>DANS File Formats.pdf</p> <p>DataverseNO Preservation Policy.pdf</p> <p>DataverseNO Preservation Plan.pdf</p> <p>DataverseNO Access and Use Policy.pdf</p> <p>Odum Metadata Guidelines.pdf</p> <p>Odum Preservation Policy.pdf</p>
R15.	Technical Infrastructure	The repository functions on well-supported operating systems and other core infrastructural software and is using hardware and software technologies appropriate to the services it provided to its Designated Community.	<ul style="list-style-type: none"> Specific to the technical /physical infrastructure Short-term disaster recovery or business continuity plans Understanding of standards, tools, and technologies available for RDM /curation Infrastructure development plans Software inventory Availability, bandwidth, and connectivity 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> Borealis Technology Infrastructure and Security Information EXISTS <ul style="list-style-type: none"> Software and hardware infrastructure. Information on how infrastructure changes are determined and made. Short-term disaster recovery plans. iQSS Dataverse information or specifications.	This requirement would be restricted to SP only.	n/a

R16.	Security	The technical infrastructure of the repository provides for the protection of the facility and its data, products, services, and users.	<ul style="list-style-type: none"> • Mechanisms that prevent, detect, and respond to security incidents • IT security system • Authentication and authorization procedures • Infrastructure control • Organizational security policies 	<p>DOCUMENTS:</p> <ul style="list-style-type: none"> • Borealis Technology Infrastructure and Security Information EXISTS <ul style="list-style-type: none"> ◦ Security software used. ◦ Physical security at hardware locations. ◦ Access restrictions to IT staff. ◦ Shibboleth and other authentication info. • U of T IT security policies. 	This requirement would be restricted to SP only.	n/a
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Footnotes:

¹ SLAs, MOUs, and contracts can be submitted to CTS confidentially.