Creating a Culture of Compliance at Utah State University

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Creating a Culture of Compliance at Utah State University

Jeff Broadbent, Associate Vice President for Research and Associate Dean for Graduate Studies
Betty Rozum, Data Services Coordinator
The Issues & Background

- OSTP Memorandum, February 22, 2013:
  - Digitally formatted scientific data resulting from unclassified research supported wholly or in part by Federal funding should be stored and publicly accessible to search, retrieve, and analyze.
Why Is This So Important?

- Concerns from the University’s perspective:
  - No “expiration date” for public access to data
  - Must provide access to content without charge
  - Mandate is largely unfunded
  - Subject to audit
  - Real consequences for non-compliance
Utah State University Response

- Assembled 16 member Data Task Force with representation from:
  - Library
  - Office of Research and Graduate Studies
  - Information Technology
Open Access Working Group

- Smaller group that met regularly
  - Library
    - Data Services Coordinator
    - Metadata Specialist
  - Office of Research and Graduate Studies
    - Associate VPR
    - Research Development Director
    - Sponsored Programs Director
    - Programmer
USU Solution Leverages Core Institutional Resources

- Kuali: an electronic award management system; USU’s official record for Sponsored Programs
- DigitalCommons@USU: USU’s official institutional repository
- USU’s Integrated Library System: Sierra
Kauli captures basic elements for future Primary Master Record

DSP notifies PI of requirements, requests DMP; DMP and/or Primary Metadata Document sent to Library; Library creates records in Digital Commons. Duplicate attached to Kuali record

DSP sends PI notice once each year to update PMD, sends updated PMD to Library; Library verifies data, creates records

DSP continues to notify PI, even after closeout, for 2 years or until all data deposited
Records the Library Creates

- **Digital Commons:**
  - Master Record – represents the PI’s Grant
  - Includes the DMP, if allowed
  - Includes the “Primary Metadata Document”
- **Dataset records**
  - Metadata only
  - Metadata plus data files
  - Metadata records for publications

- **ILS:**
  - Dataset Records
Master Record

Represents PI's Grant

Includes:

- DMP (available through the “Download Link”)
- Primary Metadata Document (available through “Additional Files”)
Primary Metadata Document

- Created by Sponsored Programs from Kuali data then populated by PI
- Updates requested every year

Used for
- Setting up initial Master Record in Digital Commons
- Verifying and creating records for data deposits
- Adding agency sponsor information to publication records in Digital Commons
<table>
<thead>
<tr>
<th>Constant Data (from Kuali)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Author/Researcher listed</td>
<td>Jeff Broadbent</td>
</tr>
<tr>
<td>Title/Name assigned to grant</td>
<td>Characterizing Stress Responses of Industrial Strains of Bifidobacteria and Their Use for Extending the Survival of Bifidobacteria in Foods</td>
</tr>
<tr>
<td>Place where data originated</td>
<td>Logan, UT</td>
</tr>
<tr>
<td>Primary institution name</td>
<td>Utah State University</td>
</tr>
<tr>
<td>Project start and stop dates</td>
<td>Sep 1 2006-Aug 31, 2010</td>
</tr>
<tr>
<td>Granting Agency, grant award number</td>
<td>USDA 2006-35503-17194</td>
</tr>
<tr>
<td>Subject of research data</td>
<td>food products, bacteria, quality maintenance in sorting and marketing food products, bifidobacterium, probiotic, stress response</td>
</tr>
</tbody>
</table>


### Publications

<table>
<thead>
<tr>
<th>Publication Citations (repeatable)</th>
<th></th>
</tr>
</thead>
</table>

### Data Deposits (or Other Associated Data)

<table>
<thead>
<tr>
<th>Title/Name assigned to data set</th>
<th>Expression data from Bifidobacterium longum strains exposed to hydrogen peroxide stress</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description (100 word limit)</td>
<td>Stress survival tactics in bacteria utilize the up- and down-regulation of stress response genes. In bacteria that lack classical stress response genes for oxidative stress, other....</td>
</tr>
<tr>
<td>Year of publication/deposit</td>
<td>2013</td>
</tr>
<tr>
<td>File type (ex. Txt,XML,PDF)</td>
<td>TXT, XML</td>
</tr>
<tr>
<td>Is a special program or software needed to access this data? If yes what is it?</td>
<td></td>
</tr>
<tr>
<td>Link to associated Journal Article (repeatable)</td>
<td><a href="http://doi.org/10.1016/j.jbiotec.2015.06.405">http://doi.org/10.1016/j.jbiotec.2015.06.405</a></td>
</tr>
</tbody>
</table>
Dataset Record

- Location of datasets verified
- Metadata records created
- Link to dataset provided

**Transcriptional Responses of Bifidobacterium longum Strains to Hydrogen Peroxide Stress**

Taylor S. Oberg, Utah State University
Jeff R. Broadbent, Utah State University
Robert E. Ward, Utah State University
James L. Steele, University of Wisconsin-Madison

**Document Type**
Dataset

**Publisher**
GenBank

**Publication Date**
Spring 5-13-2013

**Grant Number**
USDA 2006-35503-17194

**Funders**
USDA Cooperative State Research, Education, and Extension Service Improving Food Quality and Value Program National Research Initiative

**Related Content**


**DOI**
doi:10.1016/j.jbiotec.2015.06.405

**Abstract**
Bifidobacterium longum D2657, whole genome shotgun sequencing project.

**Language**
eng

**Comments**
This entry is the master record for a whole genome shotgun sequencing project and contains no sequence data. See related content for link to sequence data.

**Recommended Citation**
http://digitalcommons.usu.edu/all_datasets/15
Online Catalog Record

Author: Oberg, Taylor S., researcher.
Title: Transcriptional Responses of Bifidobacterium longum Strains to Hydrogen Peroxide Stress / T. S. Oberg, J. R. Broadbent, R. E. Ward, J. L. Steele.
Publication Info: Logan, Utah: Utah State University, 2013.
                 Bethesda, Maryland: National Center for Biotechnology, PubMed Central/GenBank Database, 2013.

**Connect to:**
- Dataset deposited here
- Additional sequence data available here
- Link to associated article
- Article DOI

**Description:** 1 dataset.
**Content:** computer dataset
**Carrier:** online resource
This entry is the master record for a whole genome shotgun sequencing project and contains no sequence data. See additional links below for access to full sequence data.
The Bifidobacterium longum D2957 whole genome shotgun (WGS) project has the project accession AQGL00000000. This version of the project (01) has the accession number AQGL01000000, and consists of sequences AQGL01000001-AQGL01000013.

**Summary:**
Bifidobacterium longum D2957, whole genome shotgun sequencing project.

**Local Note:**
USU Data Deposits.
Department: Nutrition, Diabetics and Food Sciences.
**Funding:**
USDA Cooperative State Research, Education, and Extension Service Improving Food Quality and Value Program National Research Initiative Grant 2006-35503-17194.

**Added Author:**
Broadbent, Jeff R., researcher.
Ward, Robert E., researcher.
Steele, James L., researcher.
Publications

- Create record if none exists
- Add funder information to existing records;
- Add URL from agency repository
Library Work Flow & Staffing Resources

- Creation of “Master Record” – including adding DMP and PMD and PMD revisions
  - Student Assistant

- Verification of data links and creation of dataset records
  - Student Assistant **

- Creation and/or editing of publication records, including verification of deposit in agency repository
  - Student Assistant **

- Creation of ILS records for data
  - Student assistant
    - (** problems addressed by supervisor)
Benefits for University

- Verifiable compliance
- Capture the location of data while it’s (relatively) fresh in the mind of researchers
  - Opportunity to “rescue” data insecurely stored
- Create permanent records of data
- Increase discoverability of data
- Reporting functions help University to understand and analyze research data creation and lifecycles
- Sharing successful DMPs = writing better future DMPs
Benefits for Library

- Increases value on campus, strengthens partnership with Research Office
- Increases interactions with faculty and demonstrates value by securing data and helping faculty comply with DMP
- Gains opportunity to help faculty learn about better options for data deposit
- Develops cross campus synergistic relationships
Assessment

Library will assess:

- Staff time (current and projected future), costs to library
- Stakeholder satisfaction with workflow & services
- Change in quality of Data Management Plans (DMPs)
Summary

Project Goal

- Create a audit system that efficiently tracks data and publication deposits resulting from federally funded research with as little impact as possible on staffing of any group involved (PI, Research Office, Library)

Library – most of the work will be handled by student employees

Going live Fall 2016

Developing benchmarks to define success or identify areas for improvement