INSTITUTIONAL STRATEGY DEVELOPMENT

CANADIAN COLLABORATIVE RESEARCH EFFORTS

OCTOBER 27TH, 2021

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1. INSTITUTIONAL CAPACITY SURVEY
PORTAGE – RESEARCH INTELLIGENCE EXPERT GROUP (RIEG)

**Purpose:** Survey to assess RDM infrastructure, services, resources, staffing and regional/national engagement at Canadian institutions

**Date:** September – October 2019

**Response:** 77 institutional responses

**Report links:**
- Executive Summary - [English](#) | [French](#)
- Insights Report #1 - [English](#) | [French](#)
- Insights Report #2 - [English](#) | [French](#)
- Insights Report #3 - [English](#) | [French](#)

**Rerun survey:** TBD
1. INSTITUTIONAL RDM CAPACITY SURVEY

SURVEY SECTIONS (27 QUESTIONS):

- Demographic
- Organization
- Infrastructure
- Resources
- Skills
- Support
- Institutional strategy and policy
- Business plans and sustainability
- Collaboration
- Awareness
- Barriers and challenges
- Accelerators
### 1. Current Staff Skill Level Available at Institution

<table>
<thead>
<tr>
<th>Skill</th>
<th>Fully available</th>
<th>Partially available, but more needed</th>
<th>Not available, but needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analysis</td>
<td>31.3</td>
<td>59.4</td>
<td>9.4</td>
</tr>
<tr>
<td>National policy</td>
<td>31</td>
<td>62</td>
<td>7</td>
</tr>
<tr>
<td>Metadata</td>
<td>28.6</td>
<td>55.6</td>
<td>15.9</td>
</tr>
<tr>
<td>Data security</td>
<td>21.7</td>
<td>56.5</td>
<td>21.7</td>
</tr>
<tr>
<td>Preservation</td>
<td>21.4</td>
<td>51.4</td>
<td>27.1</td>
</tr>
<tr>
<td>Legal</td>
<td>21.1</td>
<td>67.6</td>
<td>11.3</td>
</tr>
<tr>
<td>e-Infrastructure</td>
<td>21</td>
<td>61.3</td>
<td>17.7</td>
</tr>
<tr>
<td>Curartion</td>
<td>13.6</td>
<td>60.6</td>
<td>25.8</td>
</tr>
<tr>
<td>Advisory</td>
<td>13.2</td>
<td>66.2</td>
<td>20.6</td>
</tr>
<tr>
<td>Sensitive data</td>
<td>10.4</td>
<td>64.2</td>
<td>25.4</td>
</tr>
<tr>
<td>Software develop</td>
<td>9.1</td>
<td>43.6</td>
<td>47.3</td>
</tr>
<tr>
<td>Data management</td>
<td>6.3</td>
<td>65.1</td>
<td>28.6</td>
</tr>
</tbody>
</table>

Legend:
- Fully available
- Partially available, but more needed
- Not available, but needed
1. BARRIERS AND CHALLENGES

- Absence of policies/guidelines coordination: 38.3%
- Legal, confidentiality, technical concerns: 55.0%
- Lack of coordination: 59.7%
- Lack of support, training, awareness of researchers: 62.3%
- Funding/costs: 63.6%
- Lack of skills/time: 67.5%
- Lack of awareness/incentives: 70.1%
1. RESOURCES REQUIRED TO STREAMLINE RDM

<table>
<thead>
<tr>
<th>Resource</th>
<th>Number of Institutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human resources</td>
<td>29</td>
</tr>
<tr>
<td>Policy guidance</td>
<td>17</td>
</tr>
<tr>
<td>Financial resources</td>
<td>13</td>
</tr>
<tr>
<td>Technical resources</td>
<td>11</td>
</tr>
<tr>
<td>Other</td>
<td>4</td>
</tr>
<tr>
<td>Legal guidance</td>
<td>0</td>
</tr>
</tbody>
</table>

Resource identified as required to streamline RDM.
Purpose: Survey to assess the current status of efforts to develop RDM strategies in Canadian research institutions

Date: June 2019

Response: 88 responses from 63 institutions

Report link:
- Summary of Results - [English](#) | [French](#)

Rerun survey: Anticipated spring 2022
2. INSTITUTIONAL RDM STRATEGY SURVEY – JUN 2019

SURVEY COVERED (6 QUESTIONS):

• Demographic
• Development status
• Stakeholder involvement
• Resources consulted
• Interest in guidance
• Exemplar interest
2. DEVELOPMENT STATUS (AS OF JUNE 2019)

- Have not started yet: 20 institutions
- Reviewing available support material: 58 institutions
- Formed a working group/committee: 45 institutions
- Finalized the institutional strategy document: 1 institution
- Draft strategy document currently under review by administration: 4 institutions
- Creating a draft strategy document: 23 institutions
- Creating a roadmap/action plan: 15 institutions
- Defining a desired end state: 27 institutions
- Assessing institutional capacity: 45 institutions
- Posted the institutional strategy document on the website: 1 institution
- Draft strategy document currently under review by administration: 4 institutions
- Finalized the institutional strategy document: 1 institution
- Draft strategy document currently under review by administration: 4 institutions
- Defining a desired end state: 27 institutions
- Assessing institutional capacity: 45 institutions
- Formed a working group/committee: 45 institutions
- Reviewing available support material: 58 institutions
- Have not started yet: 20 institutions
2. DEPARTMENTS REPRESENTED ON STRATEGY WORKING GROUPS

<table>
<thead>
<tr>
<th>Department</th>
<th>Number of respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>No group</td>
<td>32</td>
</tr>
<tr>
<td>Library</td>
<td>48</td>
</tr>
<tr>
<td>Research office</td>
<td>46</td>
</tr>
<tr>
<td>Office of CIO</td>
<td>27</td>
</tr>
<tr>
<td>Ethics Board</td>
<td>27</td>
</tr>
<tr>
<td>Researchers</td>
<td>28</td>
</tr>
<tr>
<td>IT/Systems</td>
<td>33</td>
</tr>
<tr>
<td>Other</td>
<td>17</td>
</tr>
</tbody>
</table>
2. RESOURCES USED FOR DEVELOPING STRATEGY

![Bar chart showing the number of respondents using different resources for developing strategy]

- **Portage template**: 64 respondents
- **Existing policies**: 44 respondents
- **Other guidance documents**: 33 respondents
- **Consultants**: 2 respondents
- **Workshops**: 16 respondents
- **Other**: 11 respondents
3. INSTITUTIONAL RDM STRATEGY AND POLICY REVIEW – UPCOMING PORTAGE – RESEARCH INTELLIGENCE EXPERT GROUP (RIEG)

**Purpose:** To assess the content and approach of RDM strategies and policies in Canadian institutions

**Status:** TBD

**Outputs:**
- List of Canadian institutional RDM strategies and policies
- Two content analysis frameworks
- Two reports
4. RESEARCHER SURVEY ON RDM PRACTICES AND PERCEPTIONS
CANADIAN RDM SURVEY CONSORTIUM

**Purpose:** Survey to identify Canadian researcher RDM practices and perceptions

**Date:** (ongoing) National dataset surveys 2015-2019

**Responses:** 2658 responses from 13 institutions (national dataset)

**Outputs:**
- National dataset – [Dataverse](http://dataverse) (*to be released soon!*)
- Will include templates, presentations, reports, and links to institutional datasets/reports
4. INSTITUTIONAL CAPACITY SURVEY – OCT 2019

SURVEY SECTIONS (25-26 QUESTIONS):

• Demographic
• Working with data
• Data sharing
• Services
4. ABILITY TO CREATE A DATA MANAGEMENT PLAN

I would be able to draft a data management plan that would address these types of questions without assistance

I would be able to draft a data management plan but would prefer to have assistance and/or documentation to ensure the success of my application

I would need assistance and/or guided documentation to appropriately address some or all of the sections

<table>
<thead>
<tr>
<th></th>
<th>Percentage (%) of respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>No help</td>
<td>14</td>
</tr>
<tr>
<td>Prefer help</td>
<td>35.7</td>
</tr>
<tr>
<td>Need help</td>
<td>50.3</td>
</tr>
</tbody>
</table>
4. HOW LONG DATA IS BEING KEPT

- I only keep data for the length of the project: 5.2% (Source/Survey/Raw Data), 9.5% (Intermediate/Working Data), 3.8% (Processed data ready for publication)
- Less than 3 years: 5.9% (Source/Survey/Raw Data), 9.2% (Intermediate/Working Data), 4.5% (Processed data ready for publication)
- Between 3-5 years: 14.2% (Source/Survey/Raw Data), 15% (Intermediate/Working Data), 11.5% (Processed data ready for publication)
- Between 5-10 years: 20.7% (Source/Survey/Raw Data), 20.5% (Intermediate/Working Data), 19.5% (Processed data ready for publication)
- More than 10 years: 14% (Source/Survey/Raw Data), 16.1% (Intermediate/Working Data), 11.4% (Processed data ready for publication)
- Until the data becomes inaccessible or lost: 39.9% (Source/Survey/Raw Data), 34.4% (Intermediate/Working Data), 44.5% (Processed data ready for publication)
4. INTEREST IN RDM SERVICES

- Faculty or Graduate Workshop: 83.6% Interested, 10% Not Interested, 6.4% Not Applicable
- Assistance with DMP preparation: 80.2% Interested, 12.1% Not Interested, 7.7% Not Applicable
- Communication about funding/journal requirements: 79.6% Interested, 13.5% Not Interested, 6.9% Not Applicable
- Institutional repository: 76.2% Interested, 17.1% Not Interested, 6.7% Not Applicable
- Personalized consultations: 74.3% Interested, 18% Not Interested, 7.7% Not Applicable
- Data storage during active projects: 73.5% Interested, 19.9% Not Interested, 6.5% Not Applicable
- Assistance with preservation/sharing: 72.8% Interested, 19.6% Not Interested, 7.5% Not Applicable
- Finding/accessing data sources: 70.5% Interested, 21.7% Not Interested, 7.9% Not Applicable
- Assistance with metadata creation: 65.5% Interested, 24.5% Not Interested, 10% Not Applicable
- External Repository: 65.3% Interested, 26.3% Not Interested, 8.4% Not Applicable
- Permanent identifiers/DOIs: 62.3% Interested, 27.2% Not Interested, 10.5% Not Applicable
- Digitization of physical records: 55.3% Interested, 31.5% Not Interested, 13.2% Not Applicable

Percentage (% of respondents)

- Interested
- Not Interested
- Not Applicable
5. DRI NEEDS ASSESSMENT SURVEY – COMPARISON OF FINDINGS
NDRIO (in partnership with RIEG)

**Purpose:** To compare results of the DRI Needs Assessment Survey to the findings previously mentioned

**Status:** Underway

**Outputs:**
- Report
5. RDM MATURITY ASSESSMENT MODEL IN CANADA (MAMIC)
PORTAGE - NATIONAL TRAINING EXPERT GROUP

**Purpose:** MAMIC is a tool to help evaluate the maturity of RDM services and supports at Canadian institutions

**Status:** Underway

**Outputs:**
- RDM Maturity Assessment Model in Canada (MAMIC)
HOW CAN THIS INFORMATION BE USED

• Benchmarking
• Identify gaps in RDM support
• Insight into peer approaches
• Generate ideas for institutional strategy
• Understand the needs of researchers
• Understand the needs of staff and capacity
• Use in planning conversations with stakeholders
• Resource allocation decisions
• Opportunities for collaborative engagement
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