

HUMBOLDT-UNIVERSITÄT ZU BERLIN



Guidelines for Publishing Dissertation-related Research Data

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Dealing with Research Data

1 What is research data?

Given the diversity of scientific research and the large array of data forms and formats, an all-encompassing definition of research data is not possible. In general, however, research data refers to digitally available data which is generated or collected in the course of a research process and serves as a basis for research results. Dissertation-related research data is generated within the framework of doctoral projects and can come in different forms, aggregation levels and formats, depending on the respective discipline and the methods used. The spectrum ranges from measurement data, to images, audio and video files, laboratory and field diaries, digitized documents to interview transcripts, 3D simulations, or software.

2 Why should research data be published in addition to the dissertation?

In many cases, it may be necessary to publish research data pertaining to your dissertation (such as audio files, images, datasets, research data collections, models, software, video files). The publication of your research data increases the transparency and reproducibility of your research results, makes hidden scientific work visible and opens up possibilities for reuse. Your research data will be given a citable persistent identifier (e.g., DOI - Digital Object Identifier) and can be considered as genuine scientific publications. In this way, you can meet the demands of open science in the sense of the [Open Access Declaration of the Humboldt-Universität zu Berlin](#) and the standards of [Good Scientific Practice](#). In accordance with the [Research Data Management Policy](#) of the Humboldt-Universität zu Berlin and further [discipline-specific policies](#) regarding research data, we would therefore like to expressly encourage you to make use of this offer.

3 What is research data management?

The management of research data concerns all measures taken in the handling of digital research data during the research and publication process. If possible, we recommend the preparation of a data management plan (DMP) as part of project planning, before starting the actual research. A data management plan describes the basic strategy and the concrete measures for dealing with research data in your dissertation project, as well as the aftercare. In addition to data

organization and storage during the project, this also concerns the long-term perspectives after the end of the project, in particular the archiving and publication of the research data. Above all, the technical, organizational and legal framework conditions should be defined and principles of sustainable handling observed. The most important funding institutions (e.g., DFG, BMBF, ERC) already require data management plans. The Computer and Media Service of the Humboldt-Universität zu Berlin offers [instructions on how to prepare a DMP](#) and further [information on how to deal with research data](#).

4 How to select relevant research data for publication?

Which research data from your dissertation you publish, and to which extent, depends on the purpose of the publication and the type of data. Research data can have an illustrative function by exemplifying certain findings. In this case you should adapt the research data to this purpose and make an appropriate selection. However, to reproduce results, it may be necessary to publish entire data records as well as to disclose the analysis tools or algorithms used.

Another goal of a research data publication may be provision for reuse and further research. In this case, the subject-specific and interdisciplinary relevance should be estimated taking into account the survey effort and the reproducibility of the respective data. Whether the raw data or already selected and edited data is suitable for this purpose depends on your research context. In any case, it is recommended that you make your selection criteria for the published research data transparent in the documentation.

5 Which file formats are suitable for a research data publication?

File formats and their underlying software may change over time, making older files unreliable. In order to ensure the long-term archiving (LTA) or availability of research data publications, you should use open, non-proprietary and well-established file formats. In addition, the files should not be password protected or encrypted. The following table gives you an overview of the suitability of common file formats for long-term archiving.

Suitability of common file formats for long-term archiving (LTA)			
	Suitable for LTA of more than 10 years	Suitable for archiving up to 10 years	Unsuitable for archiving
Text	PDF/A, TXT, ASC, XML	PDF, RTF, HTML, DOCX, PPTX, ODT, LATEX	DOC, PPT
Spread sheet	CSV	XLSX, ODS	XLS
Graphic	TIFF, PNG, JPG 2000, SVG	GIF, BMP, JPEG	INDD, EPS
Audio	WAV	MP3, MP4	-
Video	Motion JPG 2000, MOV	MP4	WMV

Further information can be found on the research data.info page under the topic [long-term data formats and conversion methods](#) as well as in the research network DARIAH-DE on [recommended file formats for the humanities and cultural studies](#). If possible, you should already consider the matter of file formats while collecting research data, since a subsequent conversion often proves to be costly and not lossless.

6 How should research data be named?

You should organize and secure your research data, using a clear directory structure and file naming practices. It is recommended to define appropriate conventions *before* collecting data, as later restructuring of the data sets is often very time-consuming. In addition, the file name extension should be consistent with the actual file format. Generally, you should be guided by the following established file naming conventions:

Tips for file naming	
→	Avoid the use of special characters such as { } [] < > () * % # ` ` ; " , : ? ! & @ \$ ~
→	Use the underscore (_) or capitalization of the first letter to separate names
→	The date should be at the beginning or end of the filename to help you sort it

- Use a date / time stamp or a separate ID (e.g., v1.0.0) for each version
- Document all naming conventions or abbreviations used (for example, in the data management plan)

Examples:

```
[sediment][sample][instrument][YYYYMMDD].dat
[experiment][reagent][instrument][YYYYMMDD].csv
[experiment][setup][participant][YYYYMMDD].sav
[project][interview][place][personID][YYYYMMDD].mp4
```

7 How is research data documented?

For the reproduction and subsequent use of research data, it is necessary to document the context of its origin and the tools used for data collection, processing and analysis. Since the documentation of research data can be very subject-specific, you should follow [discipline-specific guidelines](#). It's a good idea to upload documentation of the research data in addition to the descriptive metadata stated during the submission process (see point 15) in the form of a *.txt file. A very general suggestion for the creation of this documentation is the following: Just ask yourself if someone could clearly assess the available data based on the documentation and interpret it sufficiently.

8 Which legal aspects should be considered when publishing research data?

When dealing with research data you need to consider a number of legal issues. This applies to the entire life cycle of research data, from survey and processing to archiving, publication and reuse. As a framework for the publication of your dissertation-related research data in particular, data protection laws or *Datenschutzgesetz*, personal rights and copyright or *Urheberrecht* are of significance.

Data protection law regulates the handling of personal and sensitive data. A publication of your dissertation-related research data requires either an anonymisation or pseudonymisation, which prevents subsequent identification, or the express consent of those affected. This should, if possible, be informed consent, confirmed in a verifiable, and therefore written form. In addition, the approval of data protection authorities may be required. The various research communities

have generally developed solutions for the privacy-compliant handling of personal data. These can help to orientate your own practices.

Personal rights protect confidential records such as letters and notebooks, as well as the right of one's own image from public disclosure. A publication of your dissertation-related research data, which could affect the personal rights of third parties, therefore also requires the express written consent of the persons concerned. Please note that any intended use, including in a publication, must be clearly identified for informed consent to be given.

Copyright protects the creative or intellectual achievement of the author or creator of a work in terms of control over the right to publish, reproduce, perform, provide, display and manipulate it. When publishing your dissertation-related research data, it must therefore be ensured that the copyright of third parties is not violated. On the other hand, your research data may itself be considered as work that can be copyrighted. This status depends on a suitable level of originality or design, the criteria of which, however, can be interpreted differently. To regulate the rights of use of published research data by third parties, it is therefore recommended to choose open licensing forms (e.g., Creative Commons). These allow you to specify how the data can be used, regardless of the protection status of your data. For the scope of application of the German Copyright Act or *Urheberrechtsgesetz* (UrhG), these license details are an expression of the possibilities that they grant to third parties for the use of their research data. The copyright itself is not transferable under the Copyright Act.

9 Which repositories are suitable for research data publication?

You do not necessarily have to publish your dissertation-related research data in the same repository in which you publish your dissertation. In addition, dissertation-related research data can also consist of several individual components, which can also be maintained on different repositories. In both cases, your dissertation-related research data and dissertation can be linked using persistent identifiers (e.g., DOI - Digital Object Identifier) to make their affiliation clear and visible.

Above all, it is important in choosing a repository that it safeguards the long-term archiving of research data. Appropriate repositories can be identified by certifications such as the [nestor-Seal](#) or the [CoreTrustSeal](#). In addition to the [edoc-Server](#) and other [repositories and data archives of the Humboldt-Universität zu Berlin](#), the directories [re3data.org](#), [ROAR](#) and [OPENDOAR](#) provide orientation regarding national and international research data repositories for different departments.

10 How can research data publications be cited?

In the citation of research data, no uniform standards have been established so far. The references can be based on the [recommendations for citation of research data from FORCE11](#). You should also examine if there may be any citation conventions for research data in your field of research.

Example of a data citation*

Author(s) (publication year): Title of research data. Data repository or archive. Version. Persistent identifier [preferably as link]

Erika Mustermann, Max Mustermann (2015): Correctly cite research data. Humboldt-Universität zu Berlin. Version 1.0. <http://doi.org/10.17172/this-is-an-example-so-do-not-click>

* *within a bibliography*

Publishing Research Data on the edoc-Server

11 What is the edoc-Server of the Humboldt-Universität zu Berlin?

The edoc-Server is one of the oldest and most renowned open access repositories in the German higher education landscape. It has been active since 1997 and currently contains more than 18,500 documents. Since 2011, it has provided the [DINI Certificate](#) relevant for quality assurance for repositories in Germany. The edoc-Server is operated jointly by the Computer and Media Service (CMS) and the University Library (UB) of the Humboldt-Universität.

12 Who can publish content on the edoc-Server?

The resources of the edoc-Server are available to all members of the Humboldt-Universität as well as to research and publication projects in which members of the Humboldt-Universität are involved.

13 What kind of content can be published on the edoc-Server?

The following forms of publication can be published on the edoc-Server:

- Academic theses
 - Dissertations, habilitations, especially recommended bachelor and master theses
- Primary publications
 - Articles and monographs, series and anthologies, conference papers, electronic journals
- Secondary publications (Green Open Access)
- Research data
 - Research data collections, datasets, images, audio files, video files, models, software, other research data.

14 Where can research data be submitted for publication on the edoc-Server?

For the publication of research data, you must [log in to the edoc-Server](#). After logging in, select the "submissions" button in the "publish" section and click on the "start new submission" link. Then select the corresponding type of research data in the menu "collections". Then you can capture the descriptive metadata in

a form. After completing metadata capture, you can submit your publication content to the edoc-Server. After review of the content by the author support service for formal correctness and the signing of the publication contract, your publication content will be published.

15 What information is required for publishing your research data?

Below you will find all information that is requested when entering a research data publication on the edoc-Server. Above all, this descriptive metadata serves to make your publication more discoverable and visible.

Descriptive metadata for a research data publication

01 Type of data*	Here you select which kind of data is concerned from a menu. If the data type is not included, you have the option of selecting the category "unspecified data type".
02 Title*	Provide a comprehensible and, if possible, general content designation for the publication. Example: "Interview data on attitudes in dealing with research data among doctoral candidates at the Humboldt- Universität in Berlin in 2014."
03 Author(s)*	Indicate who created or collected the data. You can specify multiple names.
04 Contributor(s)	Here you can list other people involved in the creation of the data, for example, if transcriptions of interviews by third parties were made. You can specify multiple names.
05 Publication date	If your research data has already been published in another context, you can enter the date of first publication here.
06 Survey period	If a creation date for your research data can be determined, such as the year of the data collection, we ask you to record it.
07 Faculty or institution	Please select from the list the institution of the Humboldt-Universität where the data was collected or at which you were employed at the time of the survey. If persons from different institutions are involved, the institution of the corresponding authors or of the publication of the publication should be chosen.
08 Language	Please select an entry from the list if a language is to be assigned to the data.

09 License*	A license governs the rights with which third parties may use your research data. In a menu, you can choose from a variety of licensing forms, including Creative Commons. Please ensure that you have the right to transfer the relevant rights of use for your research data publication. After the publication of the research data, a change of the license is no longer possible. If you want to license parts of the publication differently, these parts must be submitted separately. If you miss a licensing form or have questions about the licensing, please contact the author support at edoc@cms.hu-berlin.de .
10 Description in German*	Please enter an abstract or a short description in German language for the research data publication. Please pay attention to readability and avoid the use of automatic translation programs.
11 Description in English*	Please enter an abstract or a brief description in English for the research data publication. Please pay attention to readability and avoid the use of automatic translation programs.
12 Keywords in German*	Please provide at least four keywords in German language that describe the content of the research data publication. These should be in agreement with the English-language keywords.
13 Keywords in English*	Please provide at least four keywords in English describing the content of the research data publication. These should be in agreement with the German-language keywords.
14 Subject*	Please select one or more subject areas for the subject index of the research data publication. The edoc-Server uses the Dewey-Decimal-Classification (DDC) for this purpose. You can filter from a list when selecting.
15 Publicly visible notes	In this free-text field you can enter further information on the research data publication. Examples: "This research data set was created as part of a DFG project" or coordinates to locations (geo-location). These details are displayed publicly and are intended to serve as additional information for potential users.
16 Existing identifiers	If the research data publication has already been published elsewhere, you can enter a so-called persistent identifier (for example, DOI, handle, URN), if available.
17 References	In order to identify the affiliation between the research data and your dissertation, please enter here, if it already

	exists, the persistent identifier of the dissertation as well as the relationship "Is Part Of". If the persistent identifier of your dissertation has not yet been assigned and you would like to supplement it later, please contact the author support department at edoc@cms.hu-berlin.de .
18 HU Project-ID	If the research data publication was created as part of a research project for which there is an HU project ID, please enter the ID in this field.
19 OpenAIRE Project-ID	If the research data publication was created as part of a research project for which there is an OpenAIRE ID, please enter it here.
20 OpenAIRE Rights	If you can specify OpenAIRE Access rules for your research data publication, you can enter these here.
21 Email address	As a contact for the publication as well as any queries we need a valid e-mail address. If you are expect to be a member of the Humboldt-Universität only for a limited period of time, please select an alternative e-mail address that you regularly access into the foreseeable future. All contact information will be treated confidentially, not made accessible to third parties and will only be used for communication in relation to the respective publication between the operators of the edoc-Server and you.
22 Address	For legal reasons, we need a permanent postal address. All contact information will be treated confidentially, not made available to third parties and will only be used for communication in relation to the respective publication between the operators of the edoc-Server and you.
23 Personal message	If you have any suggestions for further processing and publication of your submission, we ask you to note this here. This message is not publicly available.

*** Required fields**

After collecting the metadata, you can upload the publication file(s) and print out the [publication contract](#). Please send this signed and in duplicate to author support in a timely manner (see point 21). For legal reasons, your publication can only be released after receipt of the signed publication contract.

16 How can the dissertation and research data be linked?

Both the dissertation and the associated digital research data receive persistent identifiers (e.g., DOI - Digital Object Identifier). With these, different publication

objects can be linked or referenced. When submitting a publication to the edoc-Server, the relations "Has Part" and "Is Part Of" can be defined. A research data publication can also be related to several forms of publication (for example, dissertation and journal articles), and these can also be maintained on different repositories. The publication of the individual components can also be offset in time. We recommend first to submit the research data so that it can be quoted directly in the text publication with DOI. For subsequent additions or changes to the relations, please contact the author support at edoc@cms.hu-berlin.de.

17 How to deal with very large data sets?

If you have a large number of files, you should, if possible, pack those that logically go together into zip files. A publication can contain multiple files or multiple zip files. Within a zip file, however, it is not possible to assign separate persistent identifiers for individual files. If you want to publish very large files (>500 MB), this can lead to a lengthy upload process. Therefore we ask you in this case to contact author support in advance under edoc@cms.hu-berlin.de.

18 Can different versions of a research dataset be published?

Research data may change or be updated over time. The edoc-Server offers the possibility to publish changes of records as additional new versions. The different versions are linked together and indicated as such. An exchange of research data is not possible.

19 Can research data be published with a blocking period (embargo)?

Yes. The maximum duration for an embargo is five years. During the embargo the research data will be verified with their metadata. But they are not visible and downloadable. During the blocking period, limited access may also be granted. In this case, third parties can make a request for access, which is then forwarded to your e-mail address stored in the system. The granting of access during the embargo is the responsibility of the submitter or of the corresponding author. After expiry of the embargo the research data publication will be activated. A pure archiving of research data is not possible on the edoc-Server.

20 Which types of licensing for the reuse of the research data are possible?

The licensing of research data governs the conditions of their use by third parties. In accordance with the [Research Data Policy of the Humboldt-Universität zu Berlin](#), the use of open standard licenses is recommended. Please ensure that you have the right to grant the appropriate usage rights to your published research data. The edoc-Server offers a selection of the following established licensing forms:

Creative Commons (CC) Licenses

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Further information can be found on choosealicense.com, opensource.org/licenses, or creativecommons.org.

21 Is there a formal publication contract?

Every publication on the edoc-Server requires agreeing to a publication contract. This contract is concluded with the AG Electronic Publishing as operator of the edoc-Server. It covers the legal framework of the publication and regulates the

relationship between you as author or data publisher for the specific publication. The conclusion of a contract is required both for a text publication (form: [first publication of a text publication](#)) and for a research data publication (form: [publication of a research data publication](#)). The publications can only be released after receipt of the signed contract. In order to be able to complete the publication, we ask you to fill out two printed copies for each publication object in a timely manner and send them signed to the following address:

Humboldt-Universität zu Berlin
Universitätsbibliothek
Jacob-und-Wilhelm-Grimm-Zentrum
Team D
Unter den Linden 6
10099 Berlin, Germany

22 Will the submitted research data be checked before publication?

As with other forms of publication on the edoc-Server, submitted research data will be checked for formal correctness and plausibility prior to approval. Therefore your content will not be published immediately. However, a substantive review or quality control of your submission does not take place.

23 How long will published research data be kept on the edoc-Server?

The edoc-Server keeps all content published on it without any time limit. The edoc-Server ensures authenticity (data can be clearly assigned to its origin) and integrity (data is intact and complete) and clear citability of all published content. In addition to the DINI certificate requirement of a minimum period of five years for the availability of the documents and their metadata, a permanent long-term archiving and worldwide availability is intended. Archiving of at least 10 years is guaranteed. In addition, dissertation-related research data publications are documented by the German National Library within the framework of a legal collecting mandate and their long-term archiving ensured (see [Research Data Policy of the German National Library](#) – only available in German).

24 How can research data be found on the edoc-Server?

The edoc server has a built-in search engine and various entrance points for browsing. At the same time, all content can be found using the [research tools of the University Library](#) of Humboldt-Universität. Via an interface, the contents are

also accessed by external verification services and can thus be searched via relevant search engines worldwide. All published content has persistent identifiers (for example, DOI) and can therefore be clearly cited, permanently linked, and quickly found. The edoc server also offers usage statistics for each publication to make the reception of scientific content more visible. Since the German National Library (DNB) can provide evidence of dissertation-related research data publications within the scope of a legal collecting mandate, these can also be searched via the DNB catalog.

Further Information

You can find additional material on the edoc-Server's website <https://edoc-info.hu-berlin.de/de> or on the research data management website of the Computer and Media Service at <https://www.cms.hu-berlin.de/de/dl/dataman>.

Contact

If you have any questions, the edoc-Server working group at edoc@hu-berlin.de or the research data management department of the Computer and Media Service at forschungsdaten@hu-berlin.de will be happy to help.

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