



## **Implementation of the Data Seal of Approval**

The Data Seal of Approval board hereby confirms that the Trusted Digital repository Swedish National Data Service complies with the guidelines version 2014-2017 set by the Data Seal of Approval Board.

The afore-mentioned repository has therefore acquired the Data Seal of Approval of 2013 on July 21, 2016.

The Trusted Digital repository is allowed to place an image of the Data Seal of Approval logo corresponding to the guidelines version date on their website. This image must link to this file which is hosted on the Data Seal of Approval website.

Yours sincerely,

The Data Seal of Approval Board

## Assessment Information

Guidelines Version:	2014-2017   July 19, 2013
Guidelines Information Booklet:	<a href="#">DSA-booklet_2014-2017.pdf</a>
All Guidelines Documentation:	<a href="#">Documentation</a>
Repository:	Swedish National Data Service
Seal Acquiry Date:	Jul. 21, 2016
For the latest version of the awarded DSA for this repository please visit our website:	<a href="http://assessment.datasealofapproval.org/seals/">http://assessment.datasealofapproval.org/seals/</a>
Previously Acquired Seals:	None
This repository is owned by:	<b>Swedish National Data Service</b>
	Sweden
	T +46 31 7861204
	E <a href="mailto:snd@gu.se">snd@gu.se</a>
	W <a href="http://snd.gu.se/">http://snd.gu.se/</a>

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W [www.datasealofapproval.org](http://www.datasealofapproval.org)

E [info@datasealofapproval.org](mailto:info@datasealofapproval.org)

# Assessment

## 0. Repository Context

### Applicant Entry

#### *Self-assessment statement:*

The Swedish National Data Service (SND) is a National Unit at the University of Gothenburg (GU), instigated and funded by Vetenskapsrådet (Swedish Research Council). Vetenskapsrådet is the executive authority of the Swedish government in research issues.

As an organizational part of the GU, staff, equipment, technical infrastructure, as well as rules & policies, are to a large extent decided/managed by the University.

The scope of SND is formulated in a contract between Vetenskapsråden and GU and is monitored by a board/scientific advisory group appointed by Vetenskapsrådet.

SND has a national mission as a research infrastructure for the humanities, medicine & health and social science. SND preserves, promotes and disseminates digital research data for research and educational purposes.

SND is appointed as the Swedish CESSDA A/S Service Provider (SP) by the Swedish Research Council. SND is also part of Swe-CLARIN, the Swedish Service Provider for CLARIN ERIC.

SND accepts both quantitative and qualitative digital research data, and follows the OAIS reference model throughout the preservation process.

SND does not outsource any of the DSA guidelines.

CESSDA - Consortium of European Social Science Data Archives

CLARIN - Common Language Resources and Technology Infrastructure

### Reviewer Entry

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E [info@datasealofapproval.org](mailto:info@datasealofapproval.org)

*Accept or send back to applicant for modification:*

Accept

*Comments:*

# **1. The data producer deposits the data in a data repository with sufficient information for others to assess the quality of the data, and compliance with disciplinary and ethical norms.**

*Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

## **Applicant Entry**

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

The Swedish National Data Service (SND) accepts datasets suitable for use in research and for educational purposes within SND's designated user groups [1].

SND provides information and guidance online about the process of depositing data at SND [1]. The depositor is requested to provide information about: publications based on the data, provenance and methodology used in collecting the data, and how the data have been managed, and possibly changed, over their life cycle [2]. Submitted data without appropriate contextual information is blocked at the ingest stage and the depositor is asked to supply the necessary information.

SND requests information about confidentiality issues in accordance with the Swedish Public Access to Information and Secrecy Act (Offentlighets- och sekretesslagen 2009:400), if the data include personal data in accordance with the Personal Data Act (Personuppgiftslagen 1998:246) and if data are subject to intellectual property prerogatives under the Act on Copyright in Literary and Artistic Works (lag [1960:729] om upphovsrätt till litterära och konstnärliga verk) or the Patents Act (patentlag 1967:837). Information about ethical reviews is also requested [2], [3].

While assessments of data quality are ultimately the task of the secondary analyst, SND attempts to gather enough information about any given study and its investigators to make quality assessments possible.

URLs:

[1] SND Web site, Describe and deposit data: <https://snd.gu.se/en/describe-and-deposit-data> (accessed 2016-06-08)

[2] SND Web site, Deposit Form: <https://snd.gu.se/en/describe-and-deposit-data/form> (accessed 2016-06-08)

[3] SND Web site, Explanation of agreement in English: [http://snd.gu.se/sites/snd.gu.se/files/Explanation of agreement - deposition and access.pdf](http://snd.gu.se/sites/snd.gu.se/files/Explanation_of_agreement_-_deposition_and_access.pdf) (accessed 2016-06-08)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 2. The data producer provides the data in formats recommended by the data repository.

*Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

### Applicant Entry

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

SND provides a list of preferred and accepted formats [1]. Other formats may be discussed.

During the ingest process, all files are checked and if necessary, the depositor is asked to provide further information about the tools and methods used to create the files. Quality checks are done manually by data managers, and the checking procedure is described in detail in the SND Handbook. The SND Handbook (available in Swedish on the SND intranet) contains detailed information about the ingest process and also describes the qualitative, technical and legal criteria the data have to meet in order to be accepted to the Archive. A short overview of the Ingest process is available at the SND Web site [2].

URLs:

[1] SND Web site; Filformat: <https://snd.gu.se/sv/filformat> (Only in Swedish) (accessed 2016-06-08)

[2] SND Web site; Så här går det till: <http://snd.gu.se/sv/beskriv-och-lamna-in-data/så-här-går-det-till> (Only in Swedish) (accessed 2016-06-08)

### Reviewer Entry

*Accept or send back to applicant for modification:*

Accept

*Comments:*

### **3. The data producer provides the data together with the metadata requested by the data repository.**

*Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

#### **Applicant Entry**

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

Data depositors provide metadata through the “Deposit Form” [1] and by attaching related material like questionnaires, code lists, and publications or citations to publications where data have been used. The documentation provided by the depositors includes descriptive metadata, structural metadata and administrative metadata [2].

SND’s data managers check all the documentation and make sure that all required metadata are included. If key metadata are lacking, the data managers contact the data producer to obtain the required information. If the producer is unable to provide sufficient key metadata the study is not accepted.

The collected information forms the basis of the metadata record (catalogue page), which is searchable and made available in both Data Documentation Initiative (DDI) XML and MARC formats.

URLs:

[1] SND Web site, Deposit Form: <https://snd.gu.se/en/describe-and-deposit-data/form> (accessed 2016-06-08)

[2] SND Web site, Metadata Profile: <https://snd.gu.se/en/deposit-data/documentation> (accessed 2016-06-08)

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*Comments:*

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#### **4. The data repository has an explicit mission in the area of digital archiving and promulgates it.**

*Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

#### **Applicant Entry**

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

SND has a dedicated national research infrastructure mission and mandate from the Swedish Research Council [1]. SND is placed as a National Unit at the University of Gothenburg [2].

In the contract between the Research Council and University of Gothenburg it is stated that the university shall have a succession plan prepared. In the event of the closure of SND the University of Gothenburg takes responsibility for all assets and staff.

In 2013 Sweden became member of the CESSDA A/S, for which SND is the Swedish Service Provider [3]. In 2014 Sweden became member of CLARIN ERIC, and SND is an A-centre within Swe-CLARIN [4]. These assignments comes from the Swedish Research Council.

SND promotes digital archiving through various activities, printed matter and web pages.

URLs:

[1] Swedish Research Council website, Research Infrastructures:

<http://vr.se/forskningsinfrastruktur/infrastrukturforforskning.4.12276aba1326e7bd62a800017663.html> (Only in Swedish) (accessed 2016-06-08)

[2] University of Gothenburg:

[http://www.gu.se/english/about\\_the\\_university/organisation/national-units/?languageId=100001&disableRedirect=true&returnUrl=http%3A%2F%2Fwww.gu.se%2Fenglish%2Fabout\\_the\\_university%2Forganisation%2Fnational-units%2F](http://www.gu.se/english/about_the_university/organisation/national-units/?languageId=100001&disableRedirect=true&returnUrl=http%3A%2F%2Fwww.gu.se%2Fenglish%2Fabout_the_university%2Forganisation%2Fnational-units%2F)

(accessed 2016-06-08)

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[3] CESSDA website: <http://cessda.net/National-Data-Services> (accessed 2016-06-08)

[4] Swe-CLARIN website: <https://sweclarin.se/eng/about> (accessed 2016-06-08)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## **5. The data repository uses due diligence to ensure compliance with legal regulations and contracts including, when applicable, regulations governing the protection of human subjects.**

### *Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

## **Applicant Entry**

### *Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

### *Self-assessment statement:*

SND is a National Unit at the University of Gothenburg which is owned by the state.

All data depositors sign a Deposit Agreement with SND [1].

All data users agree to Terms and Conditions for Data Use [2].

In case of misuse, SND can ban the user from further access to data, and notify the user's home organisation and research funders of the breach.

Knowledge and compliance with national and international law, such as the Swedish Public Access to Information and Secrecy Act (Offentlighets- och sekretesslagen 2009:400) and the Personal Data Act (Personuppgiftslagen 1998:246) is ensured by internal training and counseling. SND employs a legal advisor (20% FTE).

Data with disclosure risk is handled appropriately. The depositor is asked about sensitive information and licensing issues concerning the data set. All data are reviewed by SND staff for disclosure risks and, when necessary, modified in consultation with the investigator. SND's Internal Handbook describes anonymization procedures in detail.

Data at SND are stored and distributed according to the Regulation for IT-Security at University of Gothenburg [3].

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E [info@datasealofapproval.org](mailto:info@datasealofapproval.org)

URLs:

[1] SND Deposit Form: <https://snd.gu.se/en/deposit-data/deposit-agreement> (accessed 2016-06-08)

[2] SND website, Conditions: <http://snd.gu.se/en/search-and-order-data/conditions> (accessed 2016-06-08)

[3] University of Gothenburg website:

[http://medarbetarportalen.gu.se/digitalAssets/1531/1531415\\_regulations-for-it-security\\_-revision2015\\_rev\\_pl.pdf](http://medarbetarportalen.gu.se/digitalAssets/1531/1531415_regulations-for-it-security_-revision2015_rev_pl.pdf)  
(accessed 2016-06-08)

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 6. The data repository applies documented processes and procedures for managing data storage.

*Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

### Applicant Entry

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

SND has a draft to a preservation plan/policy from 2009 (only in Swedish, available upon request), and it is currently under revision.

As a unit at the University of Gothenburg SND has to adhere to the policies and rules of the University, especially the 'Regulations for IT security' [1] which covers all aspects of data storage.

SND use storage facilities managed by the University's main IT service, which includes backups, recovery, security (secure server rooms, fire proof backup storage, etc.).

Data handled by SND falls within types 1 and 2 in the GU Information Classification (see chapter 2.2 in Regulations of IT security) and is managed according to regulations stated in the document.

URLs:

[1] University of Gothenburg website:

[http://medarbetarportalen.gu.se/digitalAssets/1531/1531415\\_regulations-for-it-security\\_-revision2015\\_rev\\_pl.pdf](http://medarbetarportalen.gu.se/digitalAssets/1531/1531415_regulations-for-it-security_-revision2015_rev_pl.pdf)

(accessed 2016-06-09)

### Reviewer Entry

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## **7. The data repository has a plan for long-term preservation of its digital assets.**

*Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

### **Applicant Entry**

*Statement of Compliance:*

3. In progress: We are in the implementation phase.

*Self-assessment statement:*

SND uses migration strategies for providing long-term preservation of the SND data holdings. The data formats that SND uses for storing the data are chosen with long-term preservation in mind, avoiding proprietary, closed or rarely used file formats. Extensive metadata are collected and stored to ensure the usability of data. Developments and progress in technologies are followed closely by involvement in national and international organizations working with research data sharing and preservation.

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 8. Archiving takes place according to explicit work flows across the data life cycle.

*Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

### Applicant Entry

*Statement of Compliance:*

3. In progress: We are in the implementation phase.

*Self-assessment statement:*

The workflow at SND follows the OAIS Reference Model and the DDI research data life cycle model. The internal document "Arbetsprocesser vid SND" (Work processes at SND, a copy can be provided on request) contains an overview of the work processes including acquisition, data processing, long time preservation and dissemination. The intranet based handbook "SND Handboken" contains detailed descriptions of the work flows.

The staff has adequate education in social sciences or humanities or health sciences.

SND accepts both quantitative and qualitative digital research data from SND's designated user groups and the work flows conforms to these types of data.

Upon signing the agreement (contract) the data producer is supplied with information about how SND manages the deposited research data (text file only (in Swedish and English), a copy can be provided on request).

### Reviewer Entry

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## **9. The data repository assumes responsibility from the data producers for access and availability of the digital objects.**

*Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

### **Applicant Entry**

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

All data accessible at SND is owned by its producer (i.e. the depositor's home institution). The original data remains at the originating institution and SND only holds a copy. Accessibility and availability via SND is stipulated by the data owner in the deposit agreement [1]. If the original depositor becomes unavailable, the head of the originating institution is contacted.

[1] Deposit agreement: <https://snd.gu.se/en/deposit-data/deposit-agreement> (accessed 2016-06-08)

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*



## **10. The data repository enables the users to discover and use the data and refer to them in a persistent way.**

*Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

### **Applicant Entry**

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

Data are provided in formats that the designated community (researchers and students within the humanities, health & medicine and social science) typically uses, such as SPSS, Stata, SAS, and Excel [1].

All metadata are published in the SND Catalogue [2]. The SND Catalogue offer both simple and advanced search down to question and variable level. Study descriptions are available in Swedish and in English. OAI harvesting and deep search are available.

SND ensures that all of its data are usable and are identified uniquely. SND provides data with Digital Object Identifiers (DOIs) as well as downloadable data citations for use in publications based on analyses of the data [3].

Some datasets are directly available online after registering an account. [4]

URLs:

[1] SND Web site, Order data: <http://snd.gu.se/en/catalogue/order-data> (accessed 2016-06-08)

[2] SND Web site, SND Catalogue: <http://snd.gu.se/en/catalogue> (accessed 2016-06-08)

[3] SND website, Data Citation Example: See tab "Datasets" at <http://snd.gu.se/en/catalogue/study/SND0870> (accessed 2016-06-08)

[4] SND online analysis: <http://analysis.snd.gu.se/webview/?language=en> (accessed 2016-06-08)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 11. The data repository ensures the integrity of the digital objects and the metadata.

### *Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

### **Applicant Entry**

#### *Statement of Compliance:*

3. In progress: We are in the implementation phase.

#### *Self-assessment statement:*

At present SND is not using checksums. Both BagIt and Fedora Commons are evaluated and tested as solutions for an upgrade of the archive workflow. Both applications include usage of checksums.

Each study is processed by a data manager. All changes made by SND to a SIP to create an AIP to allow digital preservation are documented by SND data managers. Complete information about each data and metadata file as well as change logs and additional administrative metadata are stored in SND's internal management system (SIMS), and certain information is also published with the metadata.

All versions of data archived are saved. Version changes are manually logged in SND's management system and new versions are assigned a new DOI.

- Major version change: Changes in the dataset matrices (the datasets have a different number of units, variables and/or value categories).
  
- Minor version change: Changes in the documentation of the dataset.

By default, SND provides access to the most recent version of the study. For earlier versions, users must contact SND. Version number of the study is part of its citation [1].

URLs:

[1] SND website, Data Citation Example: See tab “Datasets/Revisions“ at <https://snd.gu.se/en/catalogue/study/SND0961/001/2.0> (accessed 2016-06-08)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 12. The data repository ensures the authenticity of the digital objects and the metadata.

*Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

### **Applicant Entry**

*Statement of Compliance:*

3. In progress: We are in the implementation phase.

*Self-assessment statement:*

SND have personal contact with every depositor upon delivery and signing of contracts. All original data, metadata and other material are saved in original format as well as standard preservation formats for backtracking purposes. If, for some reason, changes have to be made to the data these changes are proposed to the data producers for their acceptance.

Relations to other datasets, studies or publications are noted and part of the metadata assigned to the DOI.

Version history is available on catalogue page which also serve as the landing page for the DOI [1].

URLs:

[1] SND website, Data Citation Example: See tab "Datasets/Revisions" at <https://snd.gu.se/en/catalogue/study/SND0961/001/2.1>

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

### **13. The technical infrastructure explicitly supports the tasks and functions described in internationally accepted archival standards like OAIS.**

*Minimum Required Statement of Compliance:*

3. In progress: We are in the implementation phase.

#### **Applicant Entry**

*Statement of Compliance:*

3. In progress: We are in the implementation phase.

*Self-assessment statement:*

SND follows the OAIS reference model across the preservation process. SND have implemented a pre-ingest function where the (pre-)SIP is validated for completeness (data and metadata), sensitivity issues and that it falls within the designated disciplines. If all criteria are met, the ingest function will start.

SND identifies the Submission Information Packages (SIPs), and data managers work according to the SND Handbook about the content of the Archival Information Packages (AIPs). The Dissemination Information Packages (DIPs) are both manually and automatically constructed from the AIP. SND uses the DDI metadata standard for documenting data.

#### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 14. The data consumer complies with access regulations set by the data repository.

### *Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

## **Applicant Entry**

### *Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

### *Self-assessment statement:*

SND data consumers agree to data use conditions when ordering data or using the SND Online Analysis [1], [2].

Some data are provided only for research or under special restrictions, while other data are provided for any academic use and some are openly accessible for anyone [3].

In case of misuse, SND can ban the user from further access to data, and notify the user's home organisation and the research funder of the breach.

URLs:

[1] Terms of Use: <http://snd.gu.se/en/search-and-order-data/conditions> (accessed 2016-06-08)

[2] Terms of Use Data Online Analysis: <http://analysis.snd.gu.se/webview/?language=en> (accessed 2016-06-08)

[3] Access levels: <http://snd.gu.se/en/search-and-order-data/accessibility-levels> (accessed 2016-06-08)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

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*Comments:*



**15. The data consumer conforms to and agrees with any codes of conduct that are generally accepted in the relevant sector for the exchange and proper use of knowledge and information.**

*Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

**Applicant Entry**

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

All data consumers are requested not to share data with any third party, to take proper measures to prevent misuse and adhere to current research ethics [1].

SND refers to “Good research practice” by the Swedish Research Council [2].

URLs:

[1] Terms of Use: <http://snd.gu.se/en/search-and-order-data/conditions> (accessed 2016-06-08)

[2] Swedish Research Council, “Good research practice”:  
<https://publikationer.vr.se/en/product/good-research-practice/>

(accessed 2016-06-08)

**Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

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E [info@datasealofapproval.org](mailto:info@datasealofapproval.org)

## **16. The data consumer respects the applicable licences of the data repository regarding the use of the data.**

*Minimum Required Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

### **Applicant Entry**

*Statement of Compliance:*

4. Implemented: This guideline has been fully implemented for the needs of our repository.

*Self-assessment statement:*

Data consumers are informed about what licenses and regulations are applicable for use of data. These licenses and regulations are determined by the data producer.

The conditions of use include the license agreement. The user has to agree to these terms before ordering or downloading the data.

URLs:

[1] Terms of Use: <http://snd.gu.se/en/search-and-order-data/conditions> (accessed 2016-06-08)

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*