



What You Need to Know About Addressing GDPR Data Subject Rights in Esploro

Version 1.3



Not Legal Advice

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Disclaimer

This paper is based on Ex Libris' understanding of certain requirements of the GDPR. However, the application of the requirements of the GDPR is highly fact specific, and many aspects and interpretations of GDPR are not well-settled.

As a result, this paper is provided for informational purposes only and should not be relied upon as legal advice or to determine how GDPR might apply to you and your organization. We encourage you to work with a qualified legal professional to discuss GDPR, how it applies specifically to your organization, and how best to ensure compliance.

Introduction

On May 25, 2018, a new privacy law called the General Data Protection Regulation (GDPR) took effect in the European Union (EU). It replaces the Data Protection Directive (Directive"), which had been in effect since 1995. While the GDPR preserves many of the principles established in the Directive, the GDPR gives individuals greater control over their personal data and imposes many new obligations on organizations that collect, handle, or process personal data.

Ex Libris is committed to GDPR compliance across all of our products and services. We have closely analyzed the requirements of the GDPR, and our engineering, product, security and legal teams have been working to align our procedures, documentation, contracts and services to support compliance with the GDPR. We also support our customers with their GDPR compliance journey with our strong foundation of certified security and privacy controls.

This paper describes tools and capabilities built into Esploro that can assist your organization in addressing data subject rights and requests as a *controller* under the GDPR of personal data processed on Esploro.

Definitions

Personal Data means any information relating to an identified or an identifiable natural person (**Data Subject**); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that person.

Controller means the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data. Where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law. With respect to the use of Esploro, the customer is the **controller**.

Processor means a natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller. With respect to the use of Esploro, Ex Libris is the **processor**.

Data Subject is an identified or an identifiable natural person to whom personal data relates (e.g., researchers and staff).

As you read through this paper, keep in mind that your compliance with the GDPR involves your role as the **controller** and Ex Libris as the **processor**.

Summary of Data Subject Rights

The rights of data subjects provided by the GDPR include the following:

1. ***Right to be Informed (Article 13, 14 GDPR)***

The right to be informed encompasses your obligation to provide '*fair processing information*', typically through a privacy notice. It emphasizes the need for transparency over how you use personal data.

2. ***Right of Access (Article 15 GDPR)***

Under the GDPR, individuals have the right to obtain:

- Confirmation that their data is being processed
- Access to their personal data; and
- Other categories of information - some of which should be provided by the controller in a privacy notice (see Article 15).

3. ***Right to Rectification (Article 16 GDPR)***

Individuals are entitled to have their personal data rectified if it is inaccurate or incomplete without undue delay. If you have disclosed the personal data in question to third parties, you must inform such third parties of the rectification unless this proves impossible or involves disproportionate effort. You must also inform the individuals about the third parties to whom the data has been disclosed where requested.

4. ***Right to Erasure (Article 17 GDPR)***

This right is also known as the *Right to be Forgotten*. It enables an individual to request the deletion or removal of personal data where there is no compelling reason for its continued processing.

Individuals have the right to have their personal data erased and to prevent further processing of their personal data in specific circumstances delineated in the GDPR, such as:

- Where the personal data is no longer necessary in relation to the purpose for which it was originally collected/processed.
- When the processing was based on consent, and the individual has now withdrawn their consent.
- When the individual objects to processing and there are no overriding legitimate grounds for continuing the processing.
- The personal data was unlawfully processed.
- The personal data has to be erased in order to comply with a legal obligation in Union or Member State law to which the controller is subject.

There are circumstances described in the GDPR where the right to erasure may not apply and a controller can resist a request for erasure.

5. *Right to Restrict Processing (Article 18 GDPR)*

When this right is exercised you are permitted to store the personal data but not further process it. The *Right to Restrict Processing* applies in the specific circumstances set forth in the GDPR, including:

- Where an individual contests the accuracy of the personal data, then processing should be restricted for a period enabling the controller to verify the accuracy of the personal data.
- When processing is unlawful and the individual opposes erasure and requests restriction instead.
- If you no longer need the personal data but are required by the individual to establish, exercise or defend a legal claim.
- Where an individual has objected to processing for reasons specified in the GDPR, pending the verification whether the legitimate grounds of the controller override those of the individual.

6. *Right to Data Portability (Article 20 GDPR)*

This right allows individuals to receive the personal data the individual provided to a controller in a structured, commonly used and machine-readable format and to transmit such data to another controller, without hindrance from the original controller. In

exercising this right, the individual shall have the right to have the personal data transmitted directly from one controller to another, where technically feasible.

The *Right to Data Portability* applies where the individual has given consent to the processing of their personal data for one or more specific purposes, or where processing is carried out by automated means or in other circumstances specified in the GDPR.

7. *Right to Object (Article 21 GDPR)*

Individuals have the right to object, on grounds relating to his or her particular situation, at any time to processing of personal data which is based on certain specified provisions of the GDPR, including profiling based on those provisions.

8. *Right Related to Automated Decision Making and Profiling (Article 22 GDPR)*

The GDPR provides safeguards for individuals against the risk that a potentially damaging decision is taken without human intervention.

Individuals have the right not to be subject to a decision based solely on automated processing, including profiling, which produces legal effects concerning the individual or similarly significantly affects the individual. The GDPR provides certain exceptions and conditions to this right.

9. *Right Related to Data Breach Notification (Article 34 GDPR)*

The GDPR introduces a duty on controllers to report certain types of data breaches to the relevant supervisory authority, and in some cases to the individuals affected by the breach.

A personal data breach is a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorized disclosure of, or access to, personal data transmitted, stored or otherwise processed. Where a breach is likely to result in a high risk to the rights and freedoms of natural persons, the controller is required to communicate the personal data breach to the data subjects without undue delay.

Addressing GDPR Data Subject Rights with Esploro

The following section describes the capabilities of Esploro that can assist customers in complying with the rights of data subjects. We have provided the information separately for Affiliated Researchers as the Data Subject, Non-Affiliated Researchers as the Data Subject and for Staff users as the Data Subject. NOTE: Detailed information regarding the Affiliated Researcher is stored in [Alma](#).

Unless Customer or the relevant individual objects, following termination of the Esploro subscription, Ex Libris intends to retain the institution researcher profiles for use in cross-institution databases that will be available to Ex Libris customers and/or public users.

1. Rights of Data Subjects – Affiliated Researchers

Data Subject Right	Corresponding Esploro Functionality
Right to be Informed	Ex Libris provides comprehensive documentation regarding Esploro. Upon request, Ex Libris will provide you with additional relevant information you may need for addressing the Right to be Informed in relation to the processing of personal data by Esploro.

<p>Right to Access</p>	<p>As Data Controller, you have full access to researcher data in Esploro at all times and can search for, export, and delete portions of that data that relate to an individual researcher at any time.</p> <p>In Esploro, a customer administrator manages the researchers and their information. The administrator can choose which fields to populate. Mandatory fields are: preferred first name, last name, and email address.</p> <p>When a researcher requests a copy of their personal data that are stored in Esploro, the customer administrator can provide this information using the Esploro Research Repository.</p> <p>Information that may be stored and/or processed by Esploro includes:</p> <ul style="list-style-type: none"> • Picture – A profile picture for display as part of the Researcher Profile. • Biographic Information – Such as education, honors, research topics, etc. • Organization Affiliations – Past and present academic organizations that the researcher is affiliated with. • Contact Information – Emails, phone numbers and addresses. • Identifiers – Different identifiers can be associated with a researcher, such as ORCID, ISNI, etc. • Attachments – All attachments added manually or sent automatically using the letter sending process. • Proxy – A proxy user can perform different actions on behalf of another researcher, such as depositing an asset. • Relations – A researcher can be associated with research assets, academic organizations, grants, projects, activities and/or media mentions. <p>Affiliated researchers can also access and modify their own information directly using the Researcher Profile. For the specific fields please refer to the below table ‘Data Fields of an Affiliated Researcher in Esploro.’</p>
<p>Right to Rectification</p>	<p>A staff user with appropriate privileges can edit and correct inaccurate personal data in Esploro using the Research Repository.</p> <p>Affiliated researchers can view and rectify some of their own personal information from the Esploro Researcher Profile and/or request that the customer administrator rectify their personal information. The fields that affiliated researchers can view and</p>

	<p>rectify can be found in the table ‘Data Fields of an Affiliated Researcher in Esploro’ found below.</p>
<p>Right to Erasure (Right to be Forgotten)</p>	<p>Researcher data can be deleted in two ways:</p> <ol style="list-style-type: none"> 1. The researcher can delete some of their personal information directly using the Researcher Profile. The fields are noted in the table ‘Data Fields of an Affiliated Researcher in Esploro’ below. 2. The researcher may request the staff user with the relevant privileges to delete the researcher’s record or any of the researcher’s information, as appropriate. <p>Affiliated researchers who have left the institution and no longer have an Alma user record will be retained as non-affiliated researchers. Non-affiliated researchers can be edited or deleted entirely by a staff user with the relevant privileges as appropriate.</p>
<p>Right to Restrict Processing</p>	<p>Should a researcher wish to object to the processing of their personal data, the researcher record can be deleted as described in the Right to Erasure.</p>
<p>Right to Data Portability</p>	<p>Esploro offers the ability to export personal data in standard formats using standard API export functionality. Information about the “Get Researcher Details” API is available in the Ex Libris Developer Network.</p>
<p>Right to Object</p>	<p>Esploro provides the ability to select which researchers should be included in the data stored in Esploro. Researchers that exercise their “right to object” can be excluded from the researcher data load into Esploro. Researchers may also be deleted as described in the section, Right to Erasure.</p>
<p>Right related to Automated Decision Making and Profiling</p>	<p>Any profiling or automated decision-making is determined and set by the customer. Generally, reports and task lists generated in Esploro are designed to be used by humans for decision making.</p>

Right related to Data Breach Notification	<p>Ex Libris has procedures for data breach handling including notification. In the case of a personal data breach, Ex Libris will, as soon as possible and within 72 hours after having become aware of it, notify the customer.</p> <p>The notification will:</p> <ul style="list-style-type: none"> • Describe the nature of the personal data breach • Communicate the name and contact details of the data protection officer • Describe the likely consequences of the personal data breach • Describe the measures taken or proposed to be taken by Ex Libris <p>When required by the GDPR, the institution/library as Data Controller, is responsible for notifying the Supervisory Authorities and the affected data subjects.</p> <p>Ex Libris Security Incident Response Policy is available in the Ex Libris Knowledge Center - here</p>
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2. Rights of Data Subjects – Non-Affiliated Researchers

Data Subject Right	Corresponding Esploro Functionality
Right to be Informed	<p>Ex Libris provides comprehensive documentation regarding Esploro. Upon request, Ex Libris will provide you with additional relevant information you may need for addressing the Right to be Informed in relation to the processing of personal data by Esploro.</p>

<p>Right to Access</p>	<p>As Data Controller, the customer has full access to researcher data in Esploro at all times and can search for and delete portions of that data that relate to an individual researcher at any time.</p> <p>In Esploro, a customer administrator manages the researchers and their information. The administrator can choose which fields to populate. Mandatory fields include preferred first name and last name.</p> <p>In the case of a researcher's request to identify what personal data are stored in Esploro, the administrator can search for the researcher's personal data using the Esploro Research Repository.</p> <p>Non-affiliated researchers are recorded either to retain the associated creator/contributor of a research output of an affiliated researcher or as a previously affiliated researcher associated with a research output of the institution.</p>
<p>Right to Rectification</p>	<p>A staff user with the appropriate privileges can edit and correct inaccurate personal data in Esploro using the Research Repository.</p> <p>Researchers can request the staff user with the relevant privileges to rectify their information.</p>
<p>Right to Erasure (Right to be Forgotten)</p>	<p>Esploro offers the option to delete a researcher using the Research Repository.</p> <p>Researchers can request the staff user with the relevant privileges to remove their record entirely, if appropriate.</p> <p>To manage and delete researcher information, follow the instructions regarding Managing Researchers.</p>
<p>Right to Restrict Processing</p>	<p>Should a researcher wish to object to the processing of their personal data, the researcher record can be deleted as described in the Right to Erasure.</p>

Right to Data Portability	<p>Esploro offers the ability to export personal data in standard formats using standard API export functionality.</p>
Right to Object	<p>Esploro provides the ability to select which researchers should be included in the data stored in Esploro. Researchers that exercise their “right to object” can be excluded from the researcher data load into Esploro. Researchers may also be deleted as described in the section, Right to Erasure.</p>
Right related to Automated Decision Making and Profiling	<p>Any profiling or automated decision-making is determined and set by the customer. Generally, reports and task lists generated in Esploro are designed to be used by humans for decision making.</p>
Right related to Data Breach Notification	<p>Ex Libris has procedures for data breach handling including notification. In the case of a personal data breach, Ex Libris will, as soon as possible and within 72 hours after having become aware of it, notify the customer.</p> <p>The notification will :</p> <ul style="list-style-type: none"> • Describe the nature of the personal data breach • Communicate the name and contact details of the data protection officer • Describe the likely consequences of the personal data breach • Describe the measures taken or proposed to be taken by Ex Libris <p>When required by the GDPR, the institution/library as Data Controller, is responsible for notifying the Supervisory Authorities and the affected data subjects.</p> <p>Ex Libris Security Incident Response Policy is available in the Ex Libris Knowledge Center - here</p>

3. Rights of Data Subjects – Staff

The following section describes the capabilities of Esploro that can assist customers in complying with the rights of the data subjects with respect to Staff. Staff information is processed and stored in Esploro.

Data Subject Right	Corresponding Esploro Functionality
Right to be Informed	Ex Libris provides comprehensive documentation regarding Esploro. Upon request, Ex Libris will provide you with additional relevant information you may need for addressing the Right to be Informed in relation to the processing of personal data by Esploro.
Right to Access	<p>The customer (institution) remains in control of its data. Ex Libris products enable customers to provide the required information to the data subject (patron or library personnel).</p> <p>The staff data stored is dependent on the roles and activities of the staff user:</p> <ul style="list-style-type: none">• Personal information; For more details see section Data fields on User in Esploro below• Audit on staff user activity in the system <p>User Information Card – In various places in Esploro a staff User Information icon is displayed beside a user name. Clicking on the icon will display information about the user. An administrator can define the user information fields that are displayed in this pop-up box.</p> <p>Additional information can be found in Configuring User Information for Pop Ups</p> <p>Audit on staff activity in the system</p> <p>Esploro stores audit information on staff activity in the system as part of functional and security needs. The information is kept using the user ID without any additional personal information. The audit trail can be seen based on staff permissions and system configuration</p>

	<p>Additional technical information can be found in the Ex Libris Developer Network: User Management</p>
<p>Right to Rectification</p>	<p>A library staff user with the relevant privileges can edit and correct inaccurate personal data in Esploro user administration via existing standard functionality.</p>
<p>Right to Erasure (Right to be Forgotten)</p>	<p>The Esploro user administrator or system administrator can delete a staff user. In order to delete a staff user follow the instructions in Deleting Users.</p> <p>To delete a group of users, use the Purging Users job as describe in Purging Users. Users should be deleted in accordance with your Data Retention Policy. The information scope being deleted can be determined by the administrator in the following configuration: Delete User Policy Settings</p> <p>If a staff user’s record is deleted, then the only information retained is the user’s primary ID without any additional personal information.</p> <p>It is recommended that the primary ID be generic and not contain personal names that can easily be recognizable.</p>
<p>Right to Restrict Processing</p>	<p>Should a staff user wish to restrict the processing of their personal data, the individual’s Esploro user record could be deleted.</p> <p>In addition, customers have ability in Esploro to provide shared/anonymous accounts to staff users who are entitled to restrict your processing of their data.</p> <p>Esploro Analytics reports can be scheduled and sent to any email. (Schedule Esploro Analytics feature). It is a common practice to use individual email addresses.</p> <p>Should a staff user wish to restrict the processing of their personal data, it is suggested that for Scheduling and Distributing Reports from Esploro Analytics, ‘group’ or ‘generic’ email addresses be created to which the reports can be sent.</p>

	<p>User details that are extracted for Esploro Analytics can be found in the Analytics - Users.</p> <p>Fields that contain identifying information of users can be anonymized when creating Esploro Analytics reports. Anonymizing this data enables you to generate reports for statistics and trends without violating privacy concerns or local privacy-related laws. For more information concerning anonymization, see Anonymizing Esploro Analytics Report Details and Configuring Anonymization. Additional information can be found in the Analytics - User details</p>
<p>Right to Data Portability</p>	<p>Esploro offers the ability to export personal data in standard formats using standard API export functionality. Please see information here about the “Get User Details” API</p>
<p>Right to Object</p>	<p>Should a staff user wish to object to the processing of their personal data, the individual’s Esploro user record could be deleted. In addition, customers have ability in Esploro to provide shared/anonymous accounts to staff users who object to the processing of their personal data.</p>
<p>Right related to Automated Decision Making and Profiling</p>	<p>Any profiling or automated decision-making is determined and set by the customer. Generally, reports and task lists generated in Esploro are designed to be used by humans for decision making.</p>
<p>Right related to Data Breach Notification</p>	<p>Ex Libris has procedures for data breach handling including notification. In the case of a personal data breach, Ex Libris will, as soon as possible and within 72 hours after having become aware of it, notify the customer.</p> <p>The notification will:</p> <ul style="list-style-type: none"> • Describe the nature of the personal data breach • Communicate the name and contact details of the data protection officer • Describe the likely consequences of the personal data breach • Describe the measures taken or proposed to be taken by Ex Libris

When required by the GDPR, the institution/library as Data Controller, is responsible for notifying the Supervisory Authorities and the affected data subjects.

Ex Libris Security Incident Response Policy is available in the Ex Libris Knowledge Center - [here](#)

1. Data Fields of an Affiliated Researcher in Esploro

The following table lists the data fields in Esploro that can be used to hold personal data. The table includes field name, whether the information is mandatory, a brief description of the field, and who can edit it. The researcher data is an extension of the user information maintained in [Alma](#).

Note that some fields may be auto-populated by Esploro using data gathered by Ex Libris and its affiliates (such as ProQuest) from publicly available sources, such as publisher records and university or public websites.

Category	Field	Mandatory	Functional Use in the System	Can be edited by
General Information	Preferred First name	Yes	<p>The preferred first name of the researcher for display purposes. It may also be inserted into letters sent by the system to the researcher.</p> <p>Shown also on the Research Repository, Researcher Profile and the Research Portal as the researcher's first name.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff
	Preferred Middle name		<p>The preferred middle name of the researcher for display purposes. It may also be inserted into letters sent by the system to the researcher.</p> <p>Shown also on the Research Repository, Researcher Profile and the Research Portal as the researcher's middle name.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Preferred Last name	Yes	<p>The preferred last name of the researcher for display purposes. It may also be inserted into letters sent by the system to the researcher.</p> <p>Shown also on the Research Repository, Researcher Profile and the Research Portal as the researcher's last name.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff
	Preferred Name Suffix		<p>The preferred name suffix of the researcher for display purposes.</p> <p>Shown also on the Research Repository, Researcher Profile and the Research Portal as the researcher's name suffix.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff
	Name Variants		<p>Additional variants of the researcher's name, e.g. previous names, abbreviations, different spelling, etc.</p> <p>Shown on the Researcher Profile and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Title		<p>The researcher's title, e.g. Dr., Prof., etc.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May also be inserted into letters sent by the system to the researcher.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Display title		The title that displays in the Researcher's profile	Staff
	Position		<p>The researcher's position at the institution.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Researcher Record Type	Yes	<p>Defines whether a user is an affiliated researcher / a nonaffiliated researcher/ a proxy that manages profile and assets on behalf of another researcher.</p> <p>Shown on the Research Repository and governs different functionalities, e.g. displaying a profile page, allowing depositing assets on behalf of another researcher, etc.</p>	Staff

	Preferred language		<p>The researcher's preferred language.</p> <p>Used as the default value source for the Default Publication Language if the latter is empty.</p> <p>Shown on the Research Repository.</p>	Staff
	Default Publication Language		<p>Stores the default publication language of the researcher.</p> <p>Default is the Preferred Language.</p> <p>Shown on the Research Repository.</p> <p>May be used in the processes of external capture, author matching and when making a deposit.</p>	Staff
	Languages		<p>List of languages used by the researcher for posting/publishing research outputs.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Profile Picture		<p>Profile picture used to be shown on the researcher's profile on the Researcher Profile and Research Portal.</p>	Affiliated Researcher

<p>Organization Affiliations</p>	<p>Current Organization Affiliations</p>		<p>The current organization units' affiliations of the researcher in the institution.</p> <p>May include the researcher position, title and starting date.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	<p>Affiliated Researcher & Staff</p>
	<p>Previous Organization Affiliations</p>		<p>The past organization units' affiliations of the researcher in the institution.</p> <p>May include the researcher position, title and start date and end date.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	<p>Affiliated Researcher & Staff</p>

Category	Field	Mandatory	Functional Use in the System	Can be edited by
Biographic Information	Research Topics and Keywords		<p>Various research topics (controlled list) and keywords (uncontrolled list) that describe the research field(s) of the researcher.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff
	Public and Academic Engagements		<p>The many ways that the researcher's activities benefit the researcher institution and the public.</p>	Affiliated Researcher & Staff
	Area of Interest		<p>A short description on the researcher's research area of interest.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff
	Researcher Website URLs		<p>Links to websites associated with the researcher, e.g. blog, podcast, etc.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p>	Affiliated Researcher & Staff

	Education		<p>The researcher's related education.</p> <p>May include organization name, degree, graduation year and field of study.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Associations		<p>Associations the researcher has with other external organizations.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Honors		<p>Honors the researcher has received.</p> <p>May include title, organization and time period.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
Contact Information (multiple records)	Email types	Yes	This field defines whether the email is a work email or a home email. Shown on the Research Repository for administrative purposes.	Staff
	Email address	Yes	The system and the administrator will send notices to this email address (if it is 'preferred', see next field). Affiliated researchers can edit only addresses that they added. Shown on the Researcher Profile and Research Repository. May be used in the external capture and author matching processes.	Affiliated Researcher & Staff
	Preferred email	Yes	Signals the email address to which email notices will be sent by the system and the administrator. Shown on the Researcher Profile but can be updated only on the Research Repository.	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Phone types		<p>This field defines whether the phone is a work phone or a home phone.</p> <p>Affiliated researchers can edit only phones that they added.</p> <p>Shown on the Researcher Profile and Research Repository.</p>	Affiliated Researcher & Staff
	Phone number		<p>Phone number to be used by the library to contact the researcher if needed.</p> <p>Affiliated researchers can edit only phones that they added.</p> <p>Shown on the Researcher Profile and the Research Repository.</p>	Affiliated Researcher & Staff
	Preferred phone number		<p>This field defines whether this is the preferred phone number for contacting the researcher.</p> <p>Shown on the Researcher Profile but can be updated only on the Research Repository.</p>	Staff
	Preferred SMS		<p>This field defines whether the library should use this phone number for contacting the researcher via SMS.</p> <p>Shown on the Research Repository for administrative purposes.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Address types		<p>This field defines whether the address is a work address or a home address.</p> <p>Shown on the Research Repository for administrative purposes. Work type address is shown on the Researcher Profile and Research Portal.</p>	Staff
	Address details (multiple fields)		<p>This field defines the physical address by which the researcher may be reached.</p> <p>Affiliated researchers can edit only addresses that they added.</p> <p>Shown on the Research Repository and if is of 'Work' address type shown on the Researcher Profile and the Research Portal.</p>	Affiliated Researcher & Staff
	Preferred address		<p>This field signals the preferred address to contact the researcher.</p> <p>Shown on the Researcher Profile but can be updated only on the Research Repository.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
Identifiers (multiple records)	Researcher identifiers		<p>Allows to uniquely identify a researcher as part of a given process, e.g. external capture, author matching, search.</p> <p>Examples: ORCID, ISNI, etc.</p> <p>Shown on the Researcher Profile, Research Portal and Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Affiliated Researcher & Staff
	Note		<p>An internal administrator field to add comments and notes.</p> <p>Shown on the Research Repository for administrative purposes.</p>	Staff
Attachments (multiple records)	Attachment (multiple fields)		<p>File attachments, e.g. different letters sent to the researcher.</p> <p>Includes: File name, type, size, URL to the file (when used) and notes</p> <p>Shown on the Research Repository.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
Proxy	Proxy for		<p>A researcher may be a proxy for managing the profile and assets on behalf of another researcher.</p> <p>Shown on the Research Repository and Researcher Profile and governs the ability to manage profile and assets on behalf of another researcher.</p>	Staff
Relations	Assets		<p>The researcher relation to a given asset in the Research Repository (e.g. creator, contributor).</p> <p>Affiliated researcher can add another researcher as a creator or a contributor to an asset when making a deposit.</p> <p>Shown on the Research Repository, Researcher Profile and Research Portal.</p>	Affiliated Researcher & Staff
	Grants		<p>The researcher relation to a given grant in the Research Repository (e.g. primary investigator, co-investigator).</p> <p>Shown on the Research Repository, Researcher Profile and Research Portal.</p>	Staff
	Projects		<p>The researcher's relations to a given project in the Research Repository (e.g. project participant, project manager)</p> <p>Shown on the Research Repository, and Researcher Profile</p>	Staff

	Activities		The researcher's relations to a given activity in the Research Repository. Shown on the Research Repository, and Researcher Profile	Staff
	Media Mentions		The researcher's relations to Media Mentions	Staff

2. Data Fields of a Non-Affiliated Researcher in Esploro

The following table lists the data fields in Esploro that can be used to hold personal data for non-Affiliated Researchers. The table includes field name, whether the information is mandatory, a brief description of the field, and who can edit it.

Note that some fields may be auto-populated by Esploro using data gathered by Ex Libris and its affiliates (such as ProQuest) from publicly available sources, such as publisher records and university or public websites.

Category	Field	Mandatory	Functional Use in the System	Can be edited by
General Information	Preferred First name	Yes	<p>The preferred first name of the researcher for display purposes.</p> <p>Shown also on the Research Repository and the Research Portal as the researcher's first name.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Preferred Middle name		<p>The preferred middle name of the researcher for display purposes.</p> <p>Shown also on the Research Repository and the Research Portal as the researcher's middle name.</p> <p>May be used in the external capture and author matching processes.</p>	Staff

	Preferred Last name	Yes	<p>The preferred last name of the researcher for display purposes.</p> <p>Shown also on the Research Repository and the Research Portal as the researcher's last name.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Preferred Name Suffix		<p>The preferred name suffix of the researcher for display purposes.</p> <p>Shown also on the Research Repository and the Research Portal as the researcher's name suffix.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Name Variants		<p>Additional variants of the researcher's name, e.g. previous names, abbreviations, different spelling, etc.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Title		<p>The researcher's title (e.g., Dr. or Prof.)</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Display Title		The title that displays in the Researcher's profile	Staff
	Position		<p>The researcher's position at the institution.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Researcher Record Type	Yes	<p>Defines whether a user is an affiliated researcher / a nonaffiliated researcher/ a proxy that manages profile and assets on behalf of another researcher.</p> <p>Always nonaffiliated. Shown on the Research Repository.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Preferred language		<p>The researcher's preferred language.</p> <p>Used as the default value source for the Default Publication Language if the latter is empty.</p> <p>Shown on the Research Repository.</p>	Staff
	Default Publication Language		<p>Stores the default publication language of the researcher.</p> <p>Shown on the Research Repository.</p> <p>May be used in the processes of external capture and author matching</p>	Staff
	Languages		<p>List of languages used by the researcher for posting/publishing research outputs.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff

	Previously Affiliated		Flag that is assigned to Researchers who were once affiliated with the Institution but now are not.	Staff
	Current Organization Affiliations		<p>The current organization units' affiliations of the researcher in the institution if applicable.</p> <p>May include the researcher position, title and starting date.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
Organization Affiliations	Previous Organization Affiliations		<p>The past organization units' affiliations of the researcher in the institution.</p> <p>May include the researcher position, title and start date and end date.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff

	Current External Organization Affiliations		<p>The current external organization units' affiliations of the researcher in the institution.</p> <p>May include the researcher position, title and starting date.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
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Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Previous External Organization Affiliations		<p>The past external organization units' affiliations of the researcher in the institution.</p> <p>May include the researcher position, title and start date and end date.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
Biographic Information	Research Topics and Keywords		<p>Various research topics (controlled list) and keywords (uncontrolled list) that describe the research field(s) of the researcher.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Area of Interest		<p>A short description on the researcher's research area of interest.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Researcher Website URLs		<p>Links to websites associated with the researcher (e.g., blog or podcast)</p> <p>Shown on the Research Repository.</p>	Staff

	Education		<p>The researcher's related education.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Associations		<p>Associations the researcher has with other external organizations.</p> <p>May include organization name, degree, graduation year and field of study.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Honors		<p>Honors the researcher has received.</p> <p>May include title, organization and time period.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
Contact Information (multiple records)	Email types		This field defines whether the email is a work email or a home email. Shown on the Research Repository.	Staff
	Email address		Shown on the Research Repository. May be used in the external capture and author matching processes.	Staff
	Preferred email		Indicates this is the researcher's main email. Shown on the Research Repository.	Staff
	Phone types		This field defines whether the phone is a work phone or a home phone. Shown on the Research Repository.	Staff
	Phone number		Shown on the Research Repository.	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Preferred phone number		Indicates this is the researcher's main phone number. Shown on the Research Repository.	Staff
	Address types		This field defines whether the address is a work address or a home address. Shown on the Research Repository.	Staff
	Address details (multiple fields)		This field defines the physical address by which the researcher is at. Shown on the Research Repository.	Staff
	Preferred address		This field signals the main address of the researcher. Shown on the Research Repository.	Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
Identifiers (multiple records)	Researcher identifiers		<p>Allows to uniquely identify a researcher as part of a given process, e.g. external capture, author matching, search.</p> <p>Examples: ORCID, ISNI, etc.</p> <p>Shown on the Research Repository.</p> <p>May be used in the external capture and author matching processes.</p>	Staff
	Note		<p>An internal administrator field to add comments and notes.</p> <p>Shown on the Research Repository.</p>	Staff
Attachments (multiple records)	Attachment (multiple fields)		File attachments relevant for the researcher. Shown on the Research Repository.	Staff
Relations	Assets		<p>The researcher relation to a given asset in the Research Repository (e.g. creator, contributor).</p> <p>Affiliated researcher can add another researcher as a creator or a contributor to an asset when making a deposit.</p> <p>Shown on the Research Repository, Researcher Profile and Research Portal.</p>	Affiliated Researcher & Staff

Category	Field	Mandatory	Functional Use in the System	Can be edited by
	Grants		The researcher relation to a given grant in the Research Repository (e.g. primary investigator, co-investigator). Shown on the Research Repository, Researcher Profile and Research Portal.	Staff
	Projects		The researcher's relations to a given project in the Research Repository (e.g. project participant, project manager) Shown on the Research Repository, and Researcher Profile	Staff
	Activities		the researcher's relations to a given activity in the Research Repository. Shown on the Research Repository, and Researcher Profile	Staff
	Media Mentions		The researcher's relations to Media Mentions.	Staff

Additional information can be found in Esploro Online Help:

- [Managing Researchers](#)