



Guidelines 2019

# UvA Research Data Management

# UvA Research Data Management Guidelines

## 1. Introduction

Research data are at the heart of academic research and its contribution to society. As a result, the UvA believes strongly in Research Data Management (RDM). RDM concerns the organisation of research data, from its entry to the research cycle through to the dissemination and archiving of valuable results. The UvA subscribes to the FAIR data principles. In other words, research data must be Findable, Accessible, Interoperable and Re-usable.

## 2. Purpose of the UvA RDM guidelines

The guidelines below replace the guidelines adopted jointly for the UvA and AUAS in 2014/2015. The faculties implement RDM further through discipline-specific data protocols. The centralised guidelines specify the minimum requirements that the faculty data protocols must meet. The Faculty of Medicine, for example, has additional RDM guidelines for clinical research. These data protocols can be created at faculty or institute level, provided that all academic units have been covered.

The purpose of these centralised guidelines on RDM is to promote the careful management of research data at the UvA, to ensure that research data:

- serve to advance science by enabling the re-use and replication of research and preventing unnecessary repetition of research
- are stored in such a way that the research data comply with statutory provisions such as the General Data Protection Regulation (GDPR), the Netherlands Code of Conduct for Research Integrity, the quality requirements of the Standard Evaluation Protocol (SEP) and the requirements of research funders
- increase the societal impact of research

The UvA recognises that there are valid reasons for not making data publicly available such as Intellectual Property Rights, personal data protection and confidentiality, and security concerns.<sup>1</sup> As a result, the UvA's maxim is as follows: as open as possible, as closed as necessary. When in doubt over whether or not to publish research data, researchers could consult their data steward, RDM Support ([rdm-support@uva.nl](mailto:rdm-support@uva.nl)) or, in the case of the AMC, the AMC RDM office ([rdm@amc.nl](mailto:rdm@amc.nl)). The implementation of these guidelines is supported by data stewards and the Library.<sup>2</sup> In the event of a question regarding research data that contains personal data, researchers can consult the Data Protection Officer ([fg@uva.nl](mailto:fg@uva.nl)).<sup>3</sup>

## 3. Policy principles

Researchers are expected to comply with RDM-relevant legislation and regulations, including:

- The General Data Protection Regulation (GDPR)
- The Medical Research (Human Subjects) Act (WMO)
- The Netherlands Code of Conduct for Research Integrity
- The Amsterdam UMC Research Code
- The Standard Evaluation Protocol (SEP) for Research Assessments in the Netherlands
- The Experiments on Animals Act
- The Collective Labour Agreement of Dutch Universities

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<sup>1</sup> The Council of the European Union (2016), Council conclusions on the transition towards an open science system, 8. <http://data.consilium.europa.eu/doc/document/ST-9526-2016-INIT/en/pdf>. Consulted on 15 April 2019.

<sup>2</sup> For information on RDM and support, consult the Library's Research Data Management website: [www.rdm.uva.nl](http://www.rdm.uva.nl). The AMC has its own Standard Operations Procedure and Template for a Research Data Management plan.

<sup>3</sup> For more information on the GDPR, see <https://medewerker.uva.nl/bestuursstaf-gde/shared-content-secured/medewerkersites/uva-medewerkers/nl/az/privacy/handvatten-en-richtlijnen/de-avg-en-onderzoek/de-avg-en-onderzoek-aan-de-uva.html>.

- The Collective Labour Agreement of the Dutch Federation of University Medical Centres
- The Databases (Legal Protection) Act and patent legislation

## 4. Definitions

- 4.1 Research: the creative work undertaken on a systematic basis in order to increase the body of knowledge, including knowledge of humankind, culture and society, and the use of this body of knowledge to devise new applications.<sup>4</sup>
- 4.2 Researcher: an employee of the University or a person affiliated with the University, including visitors and collaborators who conduct research on behalf of the UvA.
- 4.3 Research data: the recorded (digital) information which, regardless of its form, is necessary to support or validate research results.<sup>5</sup>
- 4.4 Research Data Management: the organisation of research data, from its entry to the research cycle through to the dissemination and archiving of valuable results.<sup>6</sup>
- 4.5 Data Management Plan: the data management plan describes the data used and/or collected during the project; where and how this research data is stored, managed and protected during the project; and what happens to the research data once the project is complete.
- 4.6 Anonymisation: the editing of personal data in such a way that the research data can no longer be traced back to an individual by any means.
- 4.7 Pseudonymisation: the processing of personal data in such a way that the data can no longer be attributed to a specific data subject without the use of additional information which is kept separately from the original set of personal data.

## 5. Scope

These guidelines apply to all employees of the University and AMC or individuals affiliated to the University, including visitors and collaborators, who conduct academic research for or on behalf of the UvA.

## 6. Implementation and evaluation

The implementation of these guidelines is supported by the RDM programme. The centralised UvA RDM guidelines are periodically evaluated and adopted by the Executive Board.

## 7. Responsibilities

### 7.1 Researchers

#### *General*

- 7.1 Researchers must ensure that their research data are accurate, complete, authentic and reliable at all times.
- 7.2 Researchers are responsible for ensuring that their research data (when the research project is concluded at the latest), are as findable, accessible, interoperable and reusable as possible.
- 7.3 Researchers are responsible for complying with statutory, ethical and contractual requirements relating to their research data.

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<sup>4</sup> OECD (2015), *Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development*, The Measurement of Scientific, Technological and Innovation Activities, OECD Publishing, Paris, 28. [https://www.oecd-ilibrary.org/science-and-technology/frascati-manual-2015\\_9789264239012-en](https://www.oecd-ilibrary.org/science-and-technology/frascati-manual-2015_9789264239012-en). Consulted on 25 October 2019.

<sup>5</sup> University of Oxford policy on the management of research outputs, <http://researchdata.ox.ac.uk/university-of-oxford-policy-on-the-management-of-data-supporting-research-outputs/>. Consulted on 10 May 2019.

<sup>6</sup> Whyte, A., Tedds, J. (2011) 'Making the Case for Research Data Management'. DCC Briefing Papers. Edinburgh: Digital Curation Centre, 1. <http://www.dcc.ac.uk/resources/briefing-papers/making-case-rdm>. Consulted on 15 April 2019.

- 7.4 Where research data contains personal data, researchers are responsible for processing this personal data in accordance with a suitable lawful basis under the GDPR and for recording (or: arranging for the recording of) the data processing activity in the UvA's record of processing activities and, if necessary, for carrying out a risk assessment: an IS&P (Information Security & Privacy) or a DPIA (Data Protection Impact Assessment).
- 7.5 Researchers are responsible for managing research data collected for the purposes of UvA research by students supervised by them and for instructing these students on how to handle research data.
- 7.6 Researchers are responsible for managing research data collected for the purposes of UvA research by PhD candidates supervised by them and for instructing these PhD candidates on how to handle research data.

### **Phase 1: Before research**

- 7.7 Researchers must draw up a data management plan for each new research project, including, if relevant, an estimate of the costs and time involved in RDM, using the template of the UvA, the AMC or the research funder.
- 7.8 Where they are collaborating with third parties, researchers must ensure that clear agreements concerning the collection, processing, consultation, use and storage of research data are documented in collaboration agreements, consortium agreements or other types of agreements.

### **Phase 2: During research**

- 7.9 When storing and sharing research data, researchers must comply with statutory requirements, and the use of UvA and AMC systems with backup (or systems with backup recommended by UvA and AMC) is advised.
- 7.10 Research data containing personal data must be anonymised or pseudonymised as far as possible and/or, if anonymisation or pseudonymisation is not possible, encrypted.

### **Phase 3: After research**

#### *Publication and archiving*

- 7.11 Once the research project is complete, researchers must store research data and associated documentation for a suitable period of time in a trusted data archive which assigns datasets a persistent identifier, e.g. in the institutional repository UvA/AUAS figshare.
- 7.12 Researchers must make their research data available for consultation and reuse as quickly as possible in such a way that the research data can be accessed with a minimum of time and effort, unless statutory, ethical or contractual requirements prevent this. If the research data cannot be made public, at minimum a description of the research data must be published to which reference can be made with the help of a persistent identifier, e.g. via UvA/AUAS figshare.
- 7.13 Researchers must document their research data as research results in the research information system of the UvA or AMC (Pure).<sup>7</sup>
- 7.14 Researchers must digitalise paper research data and documentation where possible. If digitalisation is not possible or desirable, adequate provisions must be made for the storage, protection and findability of these paper files, e.g. by transferring research data to the UvA's Department of Records and Information Services (DIV) or the research archive of the AMC.
- 7.15 Researchers must destroy personal data as soon as they are no longer required, e.g. in files containing contact details of individuals involved in the research.
- 7.16 PhD candidates must ensure that research data on which their thesis are based is available to the UvA prior to their defence, e.g. by publishing it and/or archiving it in UvA/AUAS figshare.

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<sup>7</sup> Datasets deposited in UvA/HvA figshare will automatically be described in Pure.

### *Conditions of reuse*

7.17 Researchers must clarify the conditions governing reuse by assigning a licence to their dataset.

### *Data stewards*

7.18 Data stewards help researchers within their institute or faculty with RDM-related issues.

### *Institute directors<sup>8</sup>*

7.19 Institute directors ensure that agreements are made with researchers concerning the management of research data in the event of the researcher leaving the UvA.

7.20 Institute directors report on RDM within their units in annual reports and research evaluations in accordance with the Standard Evaluation Protocol (SEP).

7.21 Institute directors revise data protocols for institutes where necessary.

### *Faculty boards*

7.22 Faculty boards draw up one or more data protocols covering all academic units within the faculty, which, among other things, contain a description of the role of the data steward(s), and publish these data protocol(s) on the UvA website.

7.23 Faculty boards appoint one or more data stewards.

7.24 Faculty boards revise data protocols for faculties where necessary.

7.25 Faculty boards organise sufficient resources and support to enable the implementation of the faculty data protocol.

### *University*

7.26 The University makes centralised RDM guidelines available and evaluates them periodically.

7.27 The University develops and manages a suitable research infrastructure for the management, storage, sharing, archiving and publication of research data.

7.28 The University provides training on RDM.

7.29 The University provides centralised RDM support.

7.30 The University reports on RDM in the annual report.

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<sup>8</sup> In the AMC: heads of department.