Amsterdam University of Applied Sciences

AUAS Research Data Management (RDM) guidelines

Established by the Executive Board November 13th 2018

Introduction

As a follow-up to the Open Science[1]vision statement from The Netherlands Association of Universities of Applied Sciences (VH), the Amsterdam University of Applied Sciences (AUAS) stresses the importance of handling research data carefully. This includes, for example, adhering to legal obligations, such as the General Data Protection Regulation (GDPR) and complying with – insofar as possible - the requirements of research funding parties.
These general guidelines provide the minimum requirements for *research data management* at the AUAS. These guidelines replace the guidelines that were jointly established in 2014/2015 for the UvA and AUAS. These guidelines are periodically reviewed and adjusted, if necessary.

Guidelines

Scope and definitions

1. **These guidelines for *research data management* apply to all research conducted at the Amsterdam University of Applied Sciences, regardless of who finances the research and who conducts the research – whether researchers, lecturers or students.**

    1.1. The term research refers to the "creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge."[2]

    1.2. Research data is defined in the context of these guidelines as "factual records (numerical scores, textual records, images and sounds) used as primary sources for scientific research, and that are commonly accepted in the scientific community as necessary to validate research findings. A research data set constitutes a systematic, partial representation of the subject being investigated."[3]

    1.3. Research data management refers to "the organisation of data, from its entry to the research cycle through to the dissemination and archiving of valuable results. It aims to ensure reliable verification of results, and permits new and innovative research built on existing information."[4]

    1.4. These guidelines also apply to (data from) research that was conducted by, or in cooperation with, external parties.

    1.5. These guidelines do not apply to (data from) research related to service improvements within the Amsterdam University of Applied Sciences.

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[1] Hogescholen en Open Science: naar meer impact van praktijkgericht onderzoek (16 June 2017), http://www.verenigingh ogescholen.nl/system/knowledge_base/attachments/files/000/000/826/original/Visie-statement_Open_Science_Vereniging_Hogescholen.pdf?1511795636 . Accessed on 6 June 2018.
[2] OECD (2015), Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development, OECD Publishing, Paris. http://dx.doi.org/10.1787/9789264239012-en. Accessed on 16 March 2018.
[3] OECD (2007), Principles and Guidelines for Access to Research Data from Public Funding, OECD Publishing, Paris. http://www.oecd.org/sti/sci-tech/oecdprinciplesandguidelinesforaccesstoresearchdatafrompublicfunding.htm. Accessed on 16 March 2018.
[4] Whyte, A., Tedds, J. (2011). 'Making the Case for Research Data Management'. DCC Briefing Papers. Edinburgh: Digital Curation Centre. http://www.dcc.ac.uk/resources/briefing-papers/making-case-rdm. Accessed on 16 March 2018.

2. **These guidelines are translated into a data protocol within each Centre for Applied Research at the Amsterdam University of Applied Sciences. This protocol describes how the guidelines are applied in practice within each Centre for Applied Research.**

    2.1. In the event that these guidelines conflict with the data protocol at a Centre for Applied Research, the guidelines will overrule the protocol.

    2.2. Research projects that span multiple Centre for Applied Research (priority area/speerpunt research, for example), will adhere to the strictest data protocol available.

Responsibilities

3. **All researchers are acquainted with, and act according to, a) these guidelines, b) the Centre for Applied Research's data protocol, c) relevant laws and regulations, d) the requirements of the parties funding the research, and e) obligations towards clients. If third-party data is used, the researchers will comply with the licenses or conditions related to this data.**

    3.1. The professor is responsible for, and maintains an overview of, the research data management within the professorship. The head researcher is responsible for the research data management within the project. Everyone who is involved in the research project is responsible for handling research data safely on a daily basis.

    3.2. These guidelines also apply to AUAS researchers when working on projects where an institution other than the Amsterdam University of Applied Sciences is the lead coordinator or client.

    3.3. The faculty dean is ultimately responsible for research data management within the faculty.

4. **Each Centre for Applied Research has at least one data steward, who offers advice and support in relation to handling research data within their Centre for Applied Research.**

    4.1. The tasks and responsibilities of the data steward are described in detail in the Centre for Applied Research's data protocol.

    4.2. If the data steward leaves the Centre for Applied Research, the dean appoints a new data steward within an appropriate time frame.

Facilities and financing

5. **The Amsterdam University of Applied Sciences and those working within the Centre for Applied Research are responsible for providing reliable infrastructure necessary for storing, managing, archiving and publishing research data.**

6. **Researchers ensure that the costs related to research data management[5] in their project(s) are transparent by including these costs in their project budget(s).**

[5] RDM Support. (2018, 2 oktober). RDM costs. Consulted from https://rdm.uva.nl/en/planning/rdm-costs/rdm-costs.html.

Data management plan (DMP)

7. **A data management plan (DMP) is created by the researcher for each new research project (or collectively created by the researchers involved). This is mandatory, regardless of whether the financing party has requested a DMP.**

   7.1. The data management plan describes which data is used and/or collected during the project; where and how the data is stored, managed and safeguarded during the project; and what happens to the data at the end of the project.

   7.2. The data management plan is set up using a template provided by the party financing the research. If the financing party does not have a template or if there is no financing party involved, then the AUAS template should be used.[6]

   7.3. The data management plan is updated during the course of the project and at least once a year.

   7.4. The data steward receives a copy of the updated data management plan.

   7.5. Everyone involved in a research project is familiar with, and adheres to, the data management plan.

Research data: storage, destruction, publication, and registration

8. **Research data must, at least at the end of the research project and insofar as possible, meet the FAIR principles[7]: it is *findable, accessible, interoperable* and *reusable*.**

9. **After finishing the research project the data and related documentation are stored for the required amount of time in order to ensure that they can be consulted efficiently and at short notice.**

   9.1. The documentation refers to all information that is necessary in order to assess, understand and reuse the research data. This also includes consent forms from people who participated in the research. These forms are stored as long as the research data is stored, so that it can always be proven that permission was granted, and what it was granted for exactly.

   9.2. Personal data, for example in files with contact details for people who participated in the research, are destroyed when they are no longer needed.

   9.3. If, due to content-related or financial considerations, it is no longer necessary or possible to (continue to) store the research data it will be destroyed. This is up to the professor to decide, based on advice from the data steward.

10. **Hard copy research data and documentation (on paper) will be, if possible, digitised. If digitisation is not possible or desirable, an adequate alternative for storing, securing and accessing the paper archive must be provided.**

11. **Unless legal, ethical or contractual obligations prevent the public dissemination of the research data, it will be shared publicly as quickly as possible to ensure it can be accessed and reused.**

[6] Via DMP online, https://dmponline.dcc.ac.uk/.

[7] Wilkinson, Mark D., et al. (2016). The FAIR Guiding Principles for scientific data management and stewardship. Scientific Data, 3. http://dx.doi.org/10.1038/sdata.2016.18. Accessed 16 March 2018.

11.1. Agreements on the publication and reuse of the research data will be included in consortium and cooperation agreements and in forms/templates where participants grant permission for the use of their data.

11.2. Pending a good reason, such at the discretion of the professor, the publication of the data may be postponed until a maximum period of twelve months after the completion of the research project.

11.3. If legal, ethical or contractual obligations prevent the publication of the data in a timely manner, a description of the data (at the very least) should be published, including a persistent identifier (for example, a digital object identifier/DOI) for referencing purposes (via UvA/HvA figshare).

12. **Research data is registered as research results in the AUAS's research information system (Pure).**

Students and PhD students

13. **Students that gather or process data during research, where research is the primary purpose, must always do so under the supervision of a superior – a lecturer or researcher – who is affiliated with the Amsterdam University of Applied Sciences.**

13.1. The supervisor ensures that the students are informed of these guidelines for research data management, the relevant data protocol at the Centre for Applied Research, and that they receive adequate instructions on how to safely handle research data.

13.2. If the nature of the research data demands it, the supervisor ensures that the involved students sign a confidentiality agreement before participating in the research.

13.3. The supervisor ensures that the students, at least by the end of the research project, return the data that they collected and/or processed to the Amsterdam University of Applied Sciences and that the students delete the data from their personal devices.

14. **In regard to the research data collected for their doctoral thesis, PhD students affiliated with the Amsterdam University of Applied Sciences will adhere to the guidelines from the institution(s) where they are conducting their doctorate.**

14.1. If the PhD student's supervisory institution does not have guidelines or only has minimal guidelines and/or facilities, then the PhD student conducting research at the Amsterdam University of Applied Sciences will adhere to the data protocol of the Centre for Applied Research connected to their particular faculty.

14.2. The doctoral thesis, any related articles and the data used for the thesis or publications, are subject to AUAS regulations and will (also) be stored at the Amsterdam University of Applied Sciences.