UNIVERSITEIT VAN AMSTERDAM

Faculteit der Geesteswetenschappen

FGw Research Data Management Protocol

Laid down by the Dean on 7 July 2020

Introduction

The Faculty of Humanities of the University of Amsterdam endorses the guidelines for Research Data Management (RDM) as established by the Executive Board of the University on January 15, 2020.
All research data in the Faculty of Humanities should be stored according to the FAIR-principles: Findable, Accessible, Interoperable and Re-usable.

The UvA RDM-guidelines require that every faculty creates a research data protocol in accordance with the UvA-wide RDM-policy. This protocol serves as the FGw-wide implementation of the UvA-wide RDM-guidelines, supplementing the more general information on the UvA RDM website: rdm.uva.nl.

This document starts with definitions, followed by a description of the responsibilities regarding RDM of all the people involved with research at the Faculty of Humanities, including an overview of RDM during the various stages of doing research: planning, data collection, data analysis, archiving and (data) publication.

Definitions

A.   Data
The term "data" in the RDM sense refers to any kind of material or information that is collected for or provides the basis for analysis in research projects and that is necessary to substantiate and validate the research results. Data can either be in **raw form** (as collected) or in the form of **derived data**.

Applied to the FGw, the term *raw data* can refer to:
• texts that you recorded for your research or that you extracted from archives not (easily) accessible for research (as opposed to texts that you used from readily accessible bibliographically available sources or archives open to the public or researchers);
• videos that you recorded for or during your research;

- audio that you recorded for or during your research;
- 2D photographs and 3D scans created for or during your research;
- questionnaires that the participants in your research filled in;
- physiological recordings that you made for your research (e.g. EEG, MEG, TMS, fMRI);
- raw behavioral data that you recorded for your research (e.g. automated eye-tracking);
- notes taken down during observations.

The term *derived data* can refer to:
- annotations that you made to texts;
- video annotations that you made (e.g. with ELAN);
- audio annotations that you made (e.g. with Praat);
- transcriptions of audio recordings
- descriptions of video recordings
- selections from and adaptations of existing datasets;
- filtered and down sampled versions of your physiological recordings;
- annotated behavioral data (e.g. head movements).

B.   *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.

C.   *Data Management Plan (DMP)*
A Data Management Plan (DMP) is a digital document in which the researcher or research group describes:
- what data will be collected (type, format, amount),
- the storage of the data (how, where, backups),
- the management of the data (organisation, description, metadata),
- usage of the data (how, goal, if applicable: legal basis, data minimisation),
- sharing of the data with other parties (who -inside/outside the UvA, Europe - and when),
- security measures (access restrictions, encryption, pseudo/anonymisation),
- the archiving of the data (where, how long),
- the usage of archived data (when, what license),
- funding for the RDM/DMP.

A DMP should be written, assessed by and stored by the researcher or (the principal investigator of) the research group **before** data collection commences. RDM does not only concern the preservation of digital data, but also analogue data (physical samples). Their relation with digital data should be characterized in the DMP.

The UvA provides a generic template for the Data Management Plan via DMPOnline: dmponline.dcc.ac.uk. Templates that satisfy the requirements of research funders such as NWO or EU can also be found on DMPOnline. In January 2020 NWO approved the UvA DMP template. An UvA DMP will now be accepted when handed in at NWO.

D.   *GDPR – General Data Protection Regulation:*
Regulation in EU law on data protection and privacy of natural persons with regard to the processing and security of personal data and on the free movement of such data.

E.   Data minimisation

Limiting the collection and processing of personal data to what is directly relevant and necessary to accomplish a specified purpose and retaining the data only for as long as is necessary to fulfill that purpose.

F.   Anonymisation

The editing of personal data in such a way that the research data can no longer be traced back to an individual <u>by any means.</u>

G.   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.

H.   Availability of data

In accordance with UvA policy data needs to be stored for a minimum of:
- 10 years for a research project resulting in a publication;
- 10 years for raw data associated with any project;
- indefinitely for research projects involving a PhD project.

Responsibilities regarding RDM

Amsterdam Institute for Humanities research (AIHR)

The AIHR is responsible for :
- providing a faculty specific RDM protocol, keeping it up to date and distributing it among the researchers;
- providing sufficient resources and support to enable the implementation of the faculty RDM protocol;
- providing a Data Steward, Privacy Officer and Security Officer;
- reporting on RDM within its units in annual reports and research evaluations in accordance with the Standard Evaluation Protocol (SEP);
- ensuring that agreements are made with researchers concerning (the management of) their research data when they are leaving the UvA. After leaving the UvA, data stored in Figshare will be available for the researcher for 90 days. After that the management of the data will transfer to the Data Steward. In principle, the faculty's Data Steward may after consent by the researcher delete the data after 10 years, with the exception of PhD theses data. These data will be stored indefinitely.

Data Steward

The Data Steward's tasks are:
- offering support and advise to researchers with regard to RDM and the RDM protocol;
- making researchers and research groups aware of RDM, GDPR, data storage, the UvA data repository system Figshare and new developments and changes;

- leading discussions within the AIHR on its RDM protocol, and initiating and supporting new policies about RDM;
- serving as faculty contact person for the UvA data repository system Figshare, collecting questions and ideas from researchers and research schools about the use of the UvA data repository system and linking it back to the administrator at the University Library;
- assessing the validity of requests by researchers for extra storage space in the UvA data repository system Figshare, and supplying that extra storage space;
- evaluating and reporting on RDM, the RDM protocol and the use by the researchers of the UvA data repository system;
- maintaining professional contact with faculty board members with responsibilities concerning RDM;
- maintaining professional contact with privacy and security specialists, project management;
- maintaining professional contact with fellow data Stewards at the other faculties;
- maintaining professional contact with data service providers of the University Library (UB).

Researchers

The researcher is responsible for:

General

- ensuring that their research data are accurate, complete, authentic and reliable at all times;
- ensuring that their research data (when the research project is concluded at the latest), are as findable, accessible, interoperable and reusable (FAIR) as possible;
- complying with statutory, ethical and contractual requirements relating to their research data;
- processing research data that contains personal data in accordance with a suitable lawful basis under the GDPR and for (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);
- 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;
- 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.

Before research - planning

- drawing 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 or the research funder;
- ensuring that clear agreements are drawn up when they are collaborating with third parties, concerning the collection, processing, consultation, use and storage of research data in collaboration agreements, consortium agreements or other types of agreements.

During research – data collection, data analysis

- complying with statutory requirements when storing and sharing research data (the use of UvA systems with backup (or systems with backup recommended by UvA) is advised);
- anonymising or pseudonymising research data containing personal data as far as possible and/or, if anonymisation or pseudonymisation is not possible, encrypting the data.

After research – publication, archiving, reuse

- storing research data and associated documentation for up to 10 years in a trusted data archive which assigns datasets a persistent identifier, e.g. in the UvA data repository system Figshare or KNAW's DANS (www.dans.knaw.nl);
- making 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 Figshare;
- clarifying the conditions governing reuse by assigning a licence to their dataset;
- documenting their research data as research results in the research information system of the UvA (Pure). Datasets deposited in UvA Figshare will automatically be described in Pure;
- digitalising 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);
- destroying personal data as soon as they are no longer required, e.g. in files containing contact details of individuals involved in the research;
- PhD candidates must ensure that research data on which their thesis is based are available to the UvA prior to their defence, e.g. by publishing it and/or archiving it in UvA Figshare.