International perspectives on research data and records management policy

Development and implementation
Developing an institutional policy: the Oxford experience

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University of Oxford

Paul Taylor
Manager of Research Ethics and Integrity
The University of Melbourne

29 March 2010
• Forms part of wider programme to promote ‘research integrity’ within Oxford
• Currently no formal centralised policy or guidance on the management of research records and data management
• Rationale for needing this is:
  – Compliance (funders, regulatory agencies, codes of conduct)
  – Fundamental aspect of good practice in research
• JISC ‘EIDCSR’ grant to Oxford provided resources to investigate further

November 2009 – Secondment to Oxford of Dr Paul Taylor, University of Melbourne
• Work included:

  – Assessment of UK guidance and policy currently available
  – Series of interviews with academic and administrative staff and key service providers to explore issues and subjects needing to be addressed in a policy and guidance
• Evidence that this is a matter of academic (not just administrative or managerial) importance

• Recurring themes and questions included:
  – Difficulty of having a ‘one-size fits all’ policy across an institution
  – How long should research data be retained?
  – Where and how should data be retained?
• When and how should data be destroyed?
• Who owns research data generated?
• What happens when researchers leave the University, or funding ends?
• How to share expertise?
• Where to get advice?

• Recognition that policy needs to be ‘implementable’, i.e. backed up with discipline-specific guidance
Recommendations include:

• establishing a basic policy document outlining the principles of good practice and some broad requirements, including the responsibilities of both researchers and the University

• that there be a University ‘body’ or committee charged with oversight of any research data and records management policy
• that the University develops a ‘data management portal’, or ‘one-stop shop’ for information about data management obligations, services and training
• that the University considers resourcing a Data Management Advisory Service
• that a Data Managers’ Forum is established to enable sharing of experiences, best practice, problems and their solution across the University
• 14 years ago (1996) the University of Melbourne Research Records Project was initiated in response to requests from academic departments for assistance in the development of procedures for the storage of research data as required by the Melbourne University Code of conduct.

• This led to the development and endorsement of model guidelines for the management of Research Data in 1998.

• In time, it became clear that the ‘guidelines’ label meant they were not broadly viewed as a requirement for the management of research data and records.

• A review of the guidelines was conducted in 2004 and through strong advocacy from the Research Office, the Academic Board of the University endorsed the full guidelines as University policy in 2005.

• In 2009 we commenced a Policy review process to align with a new internal policy framework and changing legislative environment.
University policy framework

• Policy status – 2005, review 2009
  – Good start but still not enough

• Audits – 2007, 2009
  – Policy and compliance is off the radar for most
  – Compliance \rightarrow patchy
  – Storage \rightarrow ad hoc
  – Local registers absent
  – Local risk management mitigation unclear
Central resources have been the missing key to enabling compliance

- **Central storage** – linked to a project registration process

- A **Central research data registry**
Central Storage and Research data services

• **Advice:**
  – a triage service that will start to identify requirements and direct researchers and research administrators to key resources.

• **Information:**
  – a web based portal that will point you to resources, tools, standards, support (work in progress).
  – Awareness and Training – information forums will be designed to meet community needs and interests.

• **Building Capability:**
  – Establishing Data librarians to work with researchers to facilitate metadata capture and research data management.
• Definition -

This is an institution-wide record of all research data and records stored in the university. At a minimum, the Central Registry will include a description of the research data and records, the name(s) of associated researchers and projects, the location of the data (digital and analogue), access restrictions, and relocation and disposal schedules.

• Intended scale (biggish)
• Piggybacking on our public researcher profile system with opportunities for expanding this to non public domains for compliance requirements.

• The Registry has both a public view and an internal restricted view with researchers determining the transition points into the public domain.
Facilitating Data Sharing

- We are partnering with the Australian National Data Service (ANDS) to identify and describe University of Melbourne research datasets and make them visible via Research Data Australia:
  
  http://services.ands.org.au/home/orca/rda/

- Metadata will be harvested from the Melbourne Central Research Data Registry Project for deposit into the Australian Research Data Commons.

- ANDS funded Data Capture projects are embedded in research projects and will build tools and applications to automate metadata capture at the source.
(1) Pre seed Data Registry with Find an Expert data

(2) Scan for references to data in publications

(3) Create Skeleton Research Data Record

(4) Infer as many of the details about the research data record from the publication
Registry output

Architecture, Building and Planning

Research Data Custodian

Research data for Individual harms, Community harms: reconciling Indigenous values with drug harm minimisation policy
research data for “negative interface” between Australian construction professionals’ work and family roles: evidence of an asymmetrical relation
research data for 3D Crossover: exploring objects digitisation
research data for A consumer-oriented technique for planned residential developments
research data for Adapting Cellular Automata to Support the Architectural Design Process

Employ

AHMED, KHADISAR (RA)
AHRON, ARIADNE (RA)
ASHFORD, PETER (RA)
BARRENS, JOSEPH (RA)
BENNETT, ROHAN (RA)

Research data for A consumer-oriented technique for planned residential developments

The empirical study is based on innovation theory where end users are primary stakeholders in the innovation process, and even innovation themselves. A case study of a new participation method based on a two-phase internet questionnaire is used to research practical solutions in integrating end users into urban planning process.

Research Descriptions

results published in

A consumer-oriented technique for planned residential developments

Custodians

Associated Principal Investigator

heywood.christopher@unimelb.edu.au

Custodian Department

Architecture, Building and Planning
A coordinated approach for meeting internal responsibilities and external demands
• The University of Melbourne has funded a research information management system upgrade project.

• Supports the integration of quality information about research activity and research outputs, enabling multiple reporting domains, including the central research data registry.

• **Melbourne Research Windows** – supporting evidence based research decision making
Screenshots from systems available in 2010… Research Systems Upgrade Project

Search and Explore

Individual data

Organisational data

Prototype Only: Development Data
# Gordon, A/Prof Ian Robert (Ian)

## Assignments

<table>
<thead>
<tr>
<th>Organisaton Name</th>
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<th>Effective End Date</th>
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1 - 1

## Research Expertise

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<td>Applied Statistics</td>
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1 - 1

## International Linkages

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1 - 1
GORDON, A/PROF IAN ROBERT (Ian)

Qualifications

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Distinctions

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Credits

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Editorships

no data found

Prototype Only: Development Data
GORDON, A/PROF IAN ROBERT (Ian)

Researcher - Publications


Publication Year: 2008, Description: Journal Articles Refereed

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<thead>
<tr>
<th>Publication Title</th>
<th>Publisher Name</th>
<th>Journal Title</th>
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<tr>
<td>Effect of radial artery or saphenous vein conduit for the second graft on 6-year clinical outcome after coronary artery bypass grafting. Results of a randomised trial</td>
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<td>European Journal of Cardio-Thoracic Surgery</td>
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<td>Prevalence of sleep disordered breathing in paroxysmal and persistent atrial fibrillation patients with normal left ventricular function</td>
<td>Unknown Publisher</td>
<td>European Heart Journal</td>
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<td>Leukemia inhibitory factor signaling modulates both central nervous system demyelination and myelin repair</td>
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Publication Year: 2007, Description: Journal Articles Refereed

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Prototype Only: Development Data
GORDON, A/PROF IAN ROBERT (Ian)
Department Level Reports

Mathematics and Statistics

claimed publications

<table>
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Dept - Analysis

Publications Portfolio - Current Staff

Prototype Only: Development Data
Research Classifications

Calculus of Variations and Control Theory (MATHEMATICS)

Prototype Only: Development Data
Nature Genetics

Journal Data

Publication Activity

Associated Classifications

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<tr>
<td>Cancer and related disorders (CLINICAL; ORGANS, DISEASES AND ABNORMAL CONDITIONS) (330106)</td>
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<td>Nervous system and disorders (CLINICAL: ORGANS, DISEASES AND ABNORMAL CONDITIONS) (330104)</td>
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Publications

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<tr>
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<td>Multiple newly identified loci associated with prostate cancer susceptibility</td>
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<td>Common sequence variants on 20q11.21 confer melanoma susceptibility</td>
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<tr>
<td>A genome-wide association study identifies colorectal cancer susceptibility loci on chromosomes 10p14 and 8q23.3</td>
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University of Melbourne Editors
Randomised factorial trial of falls prevention among older people living in their own homes
List Aggregation Functionality

my list

Departments

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</table>

Publications

combined publications

Prototype Only: Development Data
Paul Taylor, Manager Research Ethics and Integrity, Melbourne Research: pmt@unimelb.edu.au

Simon Porter, Manager Research Information, eScolarship Research Centre, Library: sjporter@unimelb.edu.au

Anna Shadbolt, Coordinator Research Data Services and Information Advisory Service, Library: annams@unimelb.edu.au

Donna McRostie, Director, Information Management, Library mcrostie@unimelb.edu.au