


Research Data Management (RDM) Policy			
Policy Group(s):	B: Teaching & Learning F: Technology, Partnerships, Research and Planning		
Type:	Policy	√	Guideline
	Procedure		Regulation
CPUT Statute and/or Regulation Reference No and date:			
Relevant Legislation and/or policy, Codes of practice, Professional Authorities:	<ul style="list-style-type: none"> • Plant Breeders' Rights Act 15 of 1976 • Patents Act 57 of 1978 • Copyright Act 98 of 1978 • Trade Marks Act 194 of 1993 • Designs Act 195 of 1993 • Counterfeit Goods Act 37 of 1997 • Competition Act 89 of 1998 • Electronic communication and transaction act 25 of 2002 • Biodiversity Act 10 of 2004 • Technology Innovation Agency Act 26 of 2008 • Intellectual Property Rights from Publicly Financed Research and Development Act 51 of 2008 (hereinafter the IPR Act) • Protection of personal information Act 4 of 2013 		
Relevant Institutional policies/ Documents/manuals/ Handbooks	<ul style="list-style-type: none"> • Policy on Intellectual Property • Research Policy • Contract Research Policy • Community Engagement Policy 2008 • Policy on Short Courses • Institutional Operation Plan (IOP) • Research Management Plan • Research and Innovation Plan • CPUT Libraries Open Access Policy 		



	<ul style="list-style-type: none"> • CPUT Libraries Strategic Plan 2011-2015 • CPUT Libraries E-strategy 2012 • CPUT Research Technology and Innovation Blueprint 2012 • CPUT Information Security policy 2009 • CPUT Electronic Communication policy 2009 				
Policy Reference and Version No:					
Certification of Due process:	 _____ Vice Chancellor _____ Date				
Approval Date		Commencement Date		Review Date	

Key Words for Search Engine:	Research data management, RDM, curation, data curation, digital curation, data management, data reuse, preservation, DMP, data management plan
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REVISION HISTORY:				
Revision Ref No.	Approved/ Rescinded	Date	Authority	Resolution Number or Minutes Reference
1.0				

POLICY STATEMENT	
1.0 Intent	The intent of this policy is to provide a strategic framework that will facilitate the management of research data, including processed data or data derived from raw data considered to be a distinct and separate dataset from the raw



	<p>data, generated by research projects at the University.</p> <p>It aims to encourage a positive approach to the management of research data across the institution.</p> <p>This policy will provide a framework for the University to provide research data management (RDM) support by collaborating directly with key role players for implementation.</p>
<p>2.0 Scope</p>	<p>Policy is applicable to all campuses of the University, to all temporary and permanent employees on the payroll of the University, to contract workers of the University, and to all registered students of the University. Employees and contract workers of the University are referred to collectively as “staff” or individually as “staff member” of the University in this document.</p> <p>Access and re-use of research data provisions are set out in the CPUT Libraries Open Access Policy</p>
<p>3.0 Objective(s)</p>	<p>The objectives of this policy are :</p> <p>3.2 To facilitate the management, capture, sharing, integrity, confidentiality and publication of the research data of research output undertaken at and linked to the University.</p> <p>3.3 To build a network of RDM practitioners crucial to the growth of effective RDM practice, positioning CPUT at the forefront of RDM nationally and in the continent.</p> <p>3.4 To address the necessary conditions, techniques and models for digital preservation.</p>
<p>4.0 Definitions and Acronyms</p>	<p>Data - includes observational data, experimental data and data derived from analysis, raw data, processed data and datasets in all formats, including data created in a digital form (born digital) or converted from an analogue to a digital form (digitised).</p>

Data lifecycle – research data from creation and initial storage to secure access, use, and preservation over the longer-term, to the time when it becomes obsolete and is deleted.

Data management - all aspects of creating, collecting, organising, housing, delivering, maintaining, archiving, preserving and managing access to data.

Data management plans / DMPs - are living documents that describe how data will be managed during the life of the project. DMPs are often requested by funders at the bid stage and should state what data will be created and how, as well as outlining plans for sharing and preservation. Any restrictions on access to the data should also be noted along with mechanisms to protect unauthorised access.

Data mining - A process used to turn data into useful information by collecting, searching through, and analysing a large amount of data in a database, using computer systems to discover patterns or relationships.

Datasets - a group of data files—usually numeric or encoded—along with the documentation files (such as a codebook, technical or methodology report, data dictionary) which explain their production or use. Generally a dataset is un-usable for sound analysis by a second party unless it is well documented.

Digital / data curation - maintaining, preserving and adding value to digital research data throughout its lifecycle, maintaining the long-term value of existing data by making it available for further high quality research.

Intellectual property – means Intellectual Property as defined in the CPUT Policy on Intellectual Property.

Metadata – The information that describes an object. In scholarly communication terms the object could be an article, book, dataset, etc. The metadata (or bibliographic data) describe the authorship, provenance,

	<p>publication location, date of publication, object type and so forth. (UNESCO): In terms of data it describes the data, including how, where, when and by whom a particular set of Data was collected, and how the Data is formatted.</p> <p>Research data—data which is created in the course of funded or unfunded research, and often arranged or formatted in a such a way as to make it suitable for communication, interpretation, and processing, manually or by a computer.</p> <p>RDM/ research data management—the management of research data, records, files or other evidence, irrespective of their content or form (e.g. in print, digital, physical or other forms), that comprise a research project’s observations, findings or outcomes, including primary materials and analysed data.</p> <p>Researcher - any person undertaking research or involved in collecting, generating or creating Research Data, for or on behalf of the University which shall include but not be limited to employees, workers, visiting researchers and postgraduate research students.</p>
<p>5.0 Policy/ Procedure Principles</p>	<p>5.1 RDM as part of the research cycle</p> <p>The effective management of the data generated during research projects is seen as an integral part of good research and innovation practice.</p> <p>The University recognizes that the different types of output resulting from this research are key assets and should be managed in a way that brings most benefit for the individual researcher and the University. Research data in its various forms can be seen as one such output.</p> <p>5.1.1 Research data will be managed according to local and international standards throughout the research data lifecycle for :</p> <ol style="list-style-type: none"> a. Facilitation of data sharing and collaboration b. Maximising the impact of data-intensive research



	<ul style="list-style-type: none"> c. Assurance of research integrity d. Enhanced data security and reduced risk of data loss e. Maximising opportunities for new research based on reuse and recombination of data from multiple sources, including data mining f. The principle of open access to publicly-funded research outputs, recognized by the University (as set out in the CPUT Libraries Open Access Policy) g. Improving the likelihood of success in future funding/grant proposals for data-intensive research h. Compliance with the requirements of research funders and possible regulatory requirements. <p>5.1.2. All research proposals (for funded and non-funded research) should include a data management plan (DMP), including sufficient metadata to aid discovery</p> <p>5.1.3. Exclusive rights to data should not be given to other bodies without following proper procedures for approval</p> <p>5.1.4. Researchers must prepare and maintain data management plans.</p> <p>5.1.5. Performance Indicators responsible for ensuring requirements are observed.</p> <p>5.1.6. All data must be centrally registered and stored in the university infrastructure for research data management whether hosted in any other platform within the university or elsewhere</p> <p>5.1.7. Data to be made available for access and re-use under the appropriate conditions as stipulated in the Open Access policy</p> <p>5.1.8. Data retained for at least 10 years from the date of any publication, unless funder requirements are longer</p> <p>5.1.9. If data is not retained it should be disposed of according to University's Records Management guidelines</p> <p>5.2. Legal and ethical consideration for storage of data</p> <p>Data management plans should take account of and ensure compliance with relevant legislative frameworks which may limit public access to the data (for example, in the areas of data protection, intellectual property and human</p>
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	<p>rights).</p> <p>5.2.1. In joint projects, the University must ensure that the MOU clarifies who owns the research data.</p> <p>5.2.2. Researchers should exercise care in assigning data rights to publishers or other external agencies.</p> <p>5.3. Regulations.</p> <p>The Policy on Intellectual Property supersedes this policy (should cases of conflict or contradiction arise).</p> <p>The CPUT Open Access Policy sets out the terms, conditions and provisions of access and re-use of research data.</p>
<p>6.0 Responsibility</p>	<p>The university acknowledges that the development, review and implementation of this policy within the university is a joint responsibility by all members of the University, including postgraduate and undergraduate students conducting research.</p> <p>6.1 University is be responsible for:</p> <ul style="list-style-type: none"> a. Ensuring that sound systems are in place to promote RDM best practice, including, through clear policy, guidance, supervision, training and support b. Ensuring that research data is managed in accordance with the University's policies, guidelines and procedures, and all funder, legislative and ethical requirements are complied with. <p>6.2 Lead Researcher is responsible for:</p> <ul style="list-style-type: none"> a. Effective research data management through the use of data management plan (DMP) from the early stages to the final course of research projects. b. Ensuring that actions outlined in the DMP and this policy are carried out and adhered to.

	<p>6.3 Research Directorate:</p> <ul style="list-style-type: none"> • In order to qualify for any grant funding Research directorate will ensure that submission of DMP is compulsory, integrated within the funding processes and forms part of the CPUT funding requirement. <p>6.4 Higher Degrees Committee (HDC)</p> <ul style="list-style-type: none"> • Ensuring that all research proposals for postgraduate students include DMP with sufficient metadata to aid discovery. • Ensuring that all supervisors are aware of this policy and compliance to its implementation, including guidelines and procedures. <p>6.5 HOD's</p> <ul style="list-style-type: none"> • Ensure awareness of the policy and procedures in their respective units <p>However, all researchers, including postgraduate and undergraduate students undertaking research, have a personal responsibility to observe principles of RDM as stipulated in this policy and .manage effectively the data they create.</p> <p>This will help to ensure that research data management is considered at every stage of a research project, from the initial proposal and research costing, through to provision for long-term data curation after a project finishes.</p>
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7.0 Accountability and Authority:	
Implementation:	Director : CPUT Libraries
Compliance:	All departments and units, staff and students
Monitoring and Evaluation:	Director : CPUT Libraries
Development/Review:	Director : CPUT Libraries

Approval Authority:	Council
Interpretation and Advice:	Director : CPUT Libraries

8.0 Who should know this policy?

All staff and students, and any other parties engaged with research at the University

9.0 Policy/procedure implementation plan	Draft Policy, Procedure, Guidelines and Terms of Reference to be developed by the Research Data Management Working Group, comprised of departments and units, and other role players involved in research at the University
10.0 Resources required	As identified and determined by the RDM Working Group. Draft Policy, Procedure, Guidelines, Terms of Reference, Research Data Management Working Group, MediaTUM software, hardware, server, finance, participation by researchers, metadata, research output, expertise, partner institutions.

10.0 Answers to FAQ	
Q: What is the focus of the policy?	A: The policy focuses on the principles of data management as opposed to access. The issues of access to research data is covered in the Open Access Policy
Q. What is the position with regard to access and re-use of data?	A: Consult open access policy for clarification on access and re-use.
Q. In joint projects, who owns the data?	A: In joint projects the university must ensure that the MOU clarifies who owns data
Q What are the benefits of a Research Data Management policy?	

A: The University recognises the following benefits of implementing this policy:

- a. Support for the preservation of data
- b. Benefit for future generations
- c. Improved data integrity and security
- d. Opportunities for further research collaboration
- e. Improved research reproducibility and validation
- f. Further development of research skills
- g. The ability to cite data as a publication
- h. Improved institutional research reputation
- i. Improved relationship with research funders

Effective management and sharing of research data, as well as publications, demonstrates quality research and underpins institutional prestige.

q. Who owns the data of a student thesis?

A: In the case of a Postgraduate student, the thesis produced by a student is owned by the university and therefore the data that leads to the production of a thesis is owned by the university.

EFFECTIVENESS OF THE POLICY

11.0. Performance Indicator(s):

Research data for all research and research projects undertaken at and linked to the University having the capture, management, integrity, confidentiality, preservation, sharing and publication being managed

Researchers showing high quality data management practices

Make provision for the short and long term data storage and preservation of CPUT research output.

To have a network of RDM practitioners crucial to the exponential growth of effective RDM practice, to position CPUT at the forefront of RDM nationally and on the continent.

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RESOLUTION

Meeting: Council

Date: 21 June 2014

Item: 5.1.3 Research Data Management Policy

Council had before it, a recommendation from the Senate for the approval of the Research Data Management Policy

Council *approved* the recommendation for the approval of the Research Data Management Policy.