Tokyo University of Foreign Studies Academic Data Management and Disclosure Policy: Explanation

The main purpose of the Tokyo University of Foreign Studies Academic Data Management and Disclosure Policy (hereinafter referred to as "this Policy") is to clearly outline the following three points.

At Tokyo University of Foreign Studies (hereinafter referred to as "the University"),
(1) the methods for academic data management, including storage, sharing, disclosure, and utilization (hereinafter referred to as "Data Management") will be determined independently by the researchers or research project members who collect or generate the data
(2) researchers must suitably manage the academic data they collect or generate in line with laws and regulations, the ethical standards of the University, and other norms, and
(3) the University will support data management, etc. by researchers.

(Purpose)
The mission of Tokyo University of Foreign Studies is to foster individuals who can contribute to coexistence in increasingly multilingual and multicultural societies in Japan and around the world and who can address global challenges, as well as to engage in social contribution activities aimed at creating an inclusive society. As a part of this effort, the University seeks to develop an environment that enables researchers who explore the lives and activities of people with diverse linguistic, cultural, and historical backgrounds around the world to properly store and manage the academic data they collect or generate in the course of their research and preserve and accumulate such data as part of the shared intellectual heritage of humankind.

The method for sharing and utilizing academic data shall be applied flexibly, in accordance with the characteristics of each research field, while taking into account the cultural and political contexts of the society under study and respecting the perspective of both the people living in those societies and the researchers.

Through dialogue with the societies that are the subject of our research and the individuals within them, and by recognizing and taking into account the risks and benefits inherent in the sharing and utilization of academic data, the University aims to develop frameworks for accumulation and dissemination of the shared intellectual heritage of humankind, thereby making a significant contribution to the advancement of academic research and to the harmonious, multicultural coexistence of global society.

Based on the above principles, the Academic Data Management and Disclosure Policy is hereby established as follows.

This Policy was formulated based on the University's basic philosophy and describes our fundamental approach.
The University does not adopt a one-size-fits-all approach to data management methods.
This explanation covers the terms used in this Policy as well as its details.
In cases where there are any special provisions in Japanese or foreign laws and

regulations, internal university ethical standards and regulations, or other relevant rules governing data management, etc., they must be followed.
Note that, regarding academic data that is generated during research activities covered by public funds and that can be managed in an electromagnetic form (hereinafter referred to as managed data), it is necessary to promote data management, etc. in line with the Basic Approach to the Management and Utilization of Publicly Funded Research Data (Integrated Innovation Strategy Promotion Council; April 27, 2021).
https://www.mext.go.jp/content/20210608-mxt_jyohoka01-000015787_06.pdf

In addition, in terms of preserving academic data in general, it is necessary to follow the principles included in the University's Guidelines for the Preservation of Research Materials.
http://www.tufs.ac.jp/documents/research/illegal/shiryohozon_guideline.pdf

(Definition of academic data)
The "academic data" covered by this policy refers to information collected or generated in the course of research activities conducted by or under the auspices of the University, regardless of whether it is in digital or non-digital form.

More specifically, in this Policy, academic data mainly refers to the types of data below.
・Primary data collected or generated as research materials (e.g., audio, image, and video data).
・Recordings created during the primary data collection or generation stage (e.g., survey schedules, questionnaires and responses to them, field notes, and experiment notes).
・Data generated during the analysis or processing of primary data (e.g., annotation data, processed data, and analysis data).
・Research results based on the above data (e.g., presentation manuscripts, lecture materials, papers, and media contents).
・Data related to other research activities (e.g., data processing programs).

(Entity responsible for managing academic data)
The University acknowledges that, in principle, the researchers who collect or generate academic data have both the right and the responsibility to manage such data.

In this Policy, the term researchers refers to University officers, faculty and staff members, students, and anyone else involved in research activities at the University.
This includes professors emeritus, research staff, collaborative research staff, and anyone else involved in research activities at the University regardless of whether they are employed by the University.
Even in cases where University researchers have academic data that was collected or generated while they belonged to different institutions, that data is covered by this Policy as long as said researchers belong to the University.

■ Regarding data management related to academic data from researchers at other

institutions or students, the specific methods will be determined by principal researchers, host researchers, supervisors, or persons equivalent to them based on the research details, conditions, etc.

Supervisors will have ultimate responsibility for academic data possessed by students.

In addition, regarding data management related to academic data from researchers at other institutions by using public funds received by the University, in general, the University manager (principal researcher, member, etc.) in charge of the public funds (e.g., projects using KAKENHI (Grants-in-Aid for Scientific Research)) will have ultimate responsibility for the data.

However, regarding data management, etc. related to academic data collected or generated by members who belong to other universities or institutions, decisions will be made based on discussions by the University's principal researcher and corresponding members.

(Management of academic data)
Researchers shall manage academic data in accordance with applicable laws and regulations, the University's ethical standards and internal rules or equivalent policies, the nature of the academic data, and the requirements of their respective research fields.

In general, methods for managing academic data, including registration with institutional repositories, etc., will be determined by individual researchers and research project members.[1]
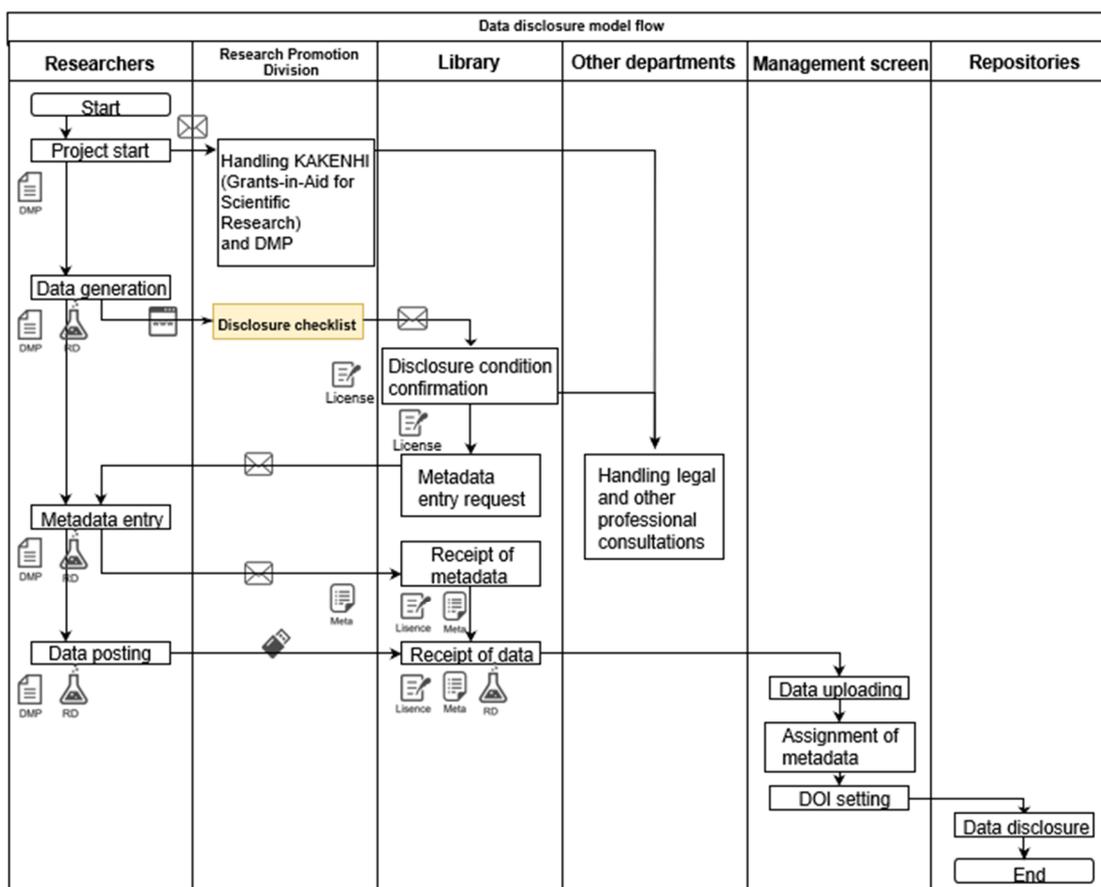
■ An example of a specific flow for managing and disclosing data is provided below. (This flow assumes the management and disclosure of managed data obtained during research using public funds.)
1. Create a data management plan (DMP) upon starting research.
2. Suitably store and use academic data during the research period.
3. Define the scope of the managed data before the end of the research period. Decide whether to retain or discard data other than managed data based on the Guidelines for the Preservation of Research Materials (http://www.tufs.ac.jp/documents/research/illegal/shiryohozon_guideline.pdf).
4. Assign metadata to managed data.
5. Categorize managed data as data to be disclosed, data to be shared, or data not to be shared or disclosed.
6. Disclose data to be disclosed.

Figure 1: Example of Data Disclosure Flow

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[1] However, managed data must be managed in a way that enables it to be tracked or searched, such as by assigning metadata to it.

Data disclosure model flow

Researchers	Research Promotion Division	Library	Other departments	Management screen	Repositories

Start
Project start
DMP

Handling KAKENHI (Grants-in-Aid for Scientific Research) and DMP

Data generation
DMP RD

Disclosure checklist

Disclosure condition confirmation
License

Metadata entry request

Handling legal and other professional consultations

Metadata entry
DMP RD

Receipt of metadata
Lisence Meta
Meta

Data posting
DMP RD

Receipt of data
Lisence Meta RD

Data uploading
Assignment of metadata
DOI setting

Data disclosure
End

■ It is important to pay attention to the points below based on the Guidelines for the Preservation of Research Materials (item 1 explanation above). (The following is an excerpt from the above guidelines.)
・The lead researcher of a joint research project such as a Grant-in-Aid for Scientific Research shall, in the event of the departure or resignation of a researcher in their group, consult with related parties regarding any research materials or records requiring preservation. In addition, the lead researcher shall take measures such as backing up and storing the research materials, confirming the location of the research materials, and making sure they are traceable.
・The President or a person designated by the President shall take the measures described in the preceding paragraph when a lead researcher or contributing researcher of a joint research project such as a Grant-in-Aid for Scientific Research leaves the University or retires.
・Research materials of which survey material and numerical data used as the basis for writing a research paper shall be retained for 10 years after the publication of the paper, in principle, in accordance with the general retention period for research materials in scientific fields.
Digital data shall be stored in a reusable format by organizing and managing metadata and creating backups as required.

■ The University regulations and other equivalent rules that must be followed in

relation to data management, etc. are listed below.
Note that the University's ethical standards must also be followed.

Note: Some English titles in this list are provisional translations for regulations available only in Japanese. These titles are for identification purposes and may vary from future official naming.
[Code of Conduct for Research Activities at Tokyo University of Foreign Studies](#)
[Tokyo University of Foreign Studies Code of Conduct for Faculty and Staff](#)
[Concerning the Management and Administration of Public Research Funds](#)
[Guidelines for the Prevention of Misconduct in Research Activities of Tokyo University of Foreign Studies](#)
[Guidelines for the Preservation of Research Materials](#)
[Tokyo University of Foreign Studies Personal Information Protection Regulations](#)
[Detailed Regulations on the Management of Personal Information of Tokyo University of Foreign Studies](#)
[Regulations on Security Export Control of Tokyo University of Foreign Studies](#)
[Guidelines for Research Involving Human Subjects at Tokyo University of Foreign Studies](#)
[Regulations on Handling Contract Research, etc. at Tokyo University of Foreign Studies](#)
[Regulations on Handling Joint Research at Tokyo University of Foreign Studies](#)
[Information Security Policy](#)
[Open Access Declaration / Open Access Policy](#)
[Tokyo University of Foreign Studies Prometheus-Academic Collections Management Policy](#)

(Sharing and publication of academic data)
Researchers shall share and make public academic data in accordance with applicable laws and regulations, the University's ethical standards, internal rules, and equivalent policies, the nature of the academic data and the requirements of their respective research fields, and the ethical requirements that take into account the characteristics of the regions and societies from which the data was collected.

In general, the level of academic data disclosure and sharing will be determined by individual researchers and research project members.

■ The sharing and disclosure levels for data and its metadata are illustrated below by dividing them into patterns.

Figure 2: Patterns of Data Disclosure Levels

	Disclosure and sharing patterns					
Metadata	Disclosed			Shared		Not shared Not disclosed
Managed data	Disclosed	Shared	Not shared Not disclosed	Shared	Not shared Not disclosed	Not shared Not disclosed

Metadata Manual for the Moonshot Research and Development Program (Ver. 2)
September 13, 2021

■ Relevant laws, regulations, and other applicable rules must be followed when determining whether and when to disclose or share data, as well as when setting the terms of use.
In general, individual researchers and research project members will be responsible for the reliability of managed and disclosed academic data.
However, supervisors will have ultimate responsibility for academic data disclosed by students. Similarly, regarding academic data from researchers at other institutions by using public funds received by the University, in general, the University manager (principal researcher, member, etc.) in charge of the public funds (e.g., projects using KAKENHI (Grants-in-Aid for Scientific Research)) will have ultimate responsibility for the data.

Regarding the sharing and disclosure of academic data, users will be assigned suitable terms of use according to the characteristics of each research field, data, etc., and they must follow those terms.

■ When sharing or disclosing data, it is necessary to pay attention to laws, regulations and other rules as well as the items listed below.
・Customs specific to each field and research community.
・Avoiding any dangers that could threaten the safety or daily lives of communities subject to research or the people who belong to them.
・Personal information.
・Portrait rights.
・Issues related to national security and international considerations (including compliance with the data handling laws of each country, EU regulations, and the FAIR principles of data management).
* FAIR principles: stands for Findable, Accessible, Interoperable, and Reusable
・Joint research contracts and individual contracts.
・Permission in the case of data for which third parties have rights.
・Potential threats to research novelty or academic superiority due to data disclosure or sharing.

■ The following data should be especially encouraged for disclosure.
・Data used as evidence for papers.
・Data that has already been disclosed in some form (data from printed publications, online databases, etc.).
* However, data must only be disclosed after reviewing the current context to make sure there are no problems with doing so.

■ Before sharing or disclosing data, it is best to stipulate how data should be handled in cases where the responsible researcher has been transferred or resigned.

(Role of the University)

The University shall establish and maintain an environment that supports the storage, management, sharing, disclosure, and utilization of academic data.

1. The University will provide a data platform for managing academic data.
Example) Providing GakuNin RDM
2. The University will support plans and actions related to managing academic data, including research data management plans.
For Example) Offering consultations related to creating DMPs
3. The University will provide an institutional repository for disclosing academic data.
4. The University will support the creation of metadata for disclosing academic data.
5. The University will support joint research, industry-academia collaboration, outreach programs, classes, and other utilization of academic data.
6. The University will provide contractual, legal, and other support related to academic data.
Example) Consulting with lawyers through the Research Promotion Division
7. The University will establish regulations and implementation guidelines related to the management, disclosure, and utilization of academic data.

Note that the roles of researchers, departments, etc. related to data management, etc. are shown in table 1.

Table 1: Roles and Responsibilities in Data Management

			University Executive Office	Research Promotion Division	Library and Information Resources Division	Information Technology Office	Researchers	Summary
1	Policies, etc.	Formulation of academic data policies	○					
2	Information infrastructure establishment	Authentication, information security, and storage				○		
3		Institutional repositories			○			
4	Support systems	Sharing of information on academic data management, explanation updating		○	○	○		As necessary
5		Training related to academic data management		○				Utilization of GakuNin LMS, etc. https://lms.nii.ac.jp/
6		Legal consultations on academic data		○				
7		Disseminating information on changes, etc.		○				Funding agency information collection, etc.

No.	Category	Item						Notes
8	Management and disclosure of academic data	Creation of data management plans (DMPs)					○	
9		Academic data management during the research process					○	
10		Defining the scope of managed data, creating metadata, and categorizing data according to whether it should be disclosed					○	Disclose, Share, do not share or disclose
11		Applying to register academic data (data to be disclosed)					○	Requests to the Library from researchers
12		Disclosure of academic data in digital form			○			
13	Performance evaluations	Disclosure performance evaluations	○					

(Review)
This policy shall be reviewed as necessary in response to changes in social and academic environments.