

上智大学 研究データ管理・利活用ポリシー解説 Sophia University Research Data Management and Utilization Policy Explanation

Enacted July 1, 2024

(Preamble)

To realize the founding philosophy of Sophia University, “Sophia—Bringing the World Together”, Sophia University promotes educational and research activities based on our core spirit of Christian Humanism and its neighborliness and internationalism to walk with people around the world. In accumulating the results obtained through research activities and aiming at further development of academic research and giving back to society, the principles for the management, release, and utilization of research data are defined as follows:

(Preamble)

- This policy is developed based on the founding philosophy of Sophia University.

(Definition of research data)

1. Research data as used in this Policy refers to data collected or generated in research activities by researchers at Sophia University, whether digital or non-digital.

(Definition of research data)

▪ Research data as used in this Policy refers to data collected or generated in research activities by researchers at Sophia University, whether digital or non-digital. It includes not only data collected or generated, but also data created by analyzing or processing them. Specifically, the following types of data are included.

- (1) Tangible materials used in the research (samples, specimens, historical materials, etc.)
- (2) Primary data collected or generated/observed as research material
(test data, survey data, observation data, simulation data, etc.)
- (3) Records created during the collection and generation phases of the above data
(experimental notes, field notes, questionnaires, media contents, programs, etc.)
- (4) Data generated by processing or adding information to primary data, etc., or data generated by analyzing primary data, etc.
- (5) Research results (papers, lecture materials, etc.) and data that form the basis of the information described.

▪ Note that the research data referred to in this policy includes data collected or generated by non-University researchers and others through joint research, use of facilities, lectures, and other research activities at Sophia University. Also, research data collected or generated by researchers at their previous institutions are also covered by this policy if the data are retained during their employment at Sophia University.

▪ In this policy, a researcher is defined as a person who is primarily responsible for research activities at Sophia University. (administrative support for research activities is not applicable as “Primarily responsible for research activities”)

(Research data management etc.)

2. The method of management, release and utilization of research data may be determined determined by the researcher who collected or generated it, considering the characteristics of the respective research field, and within the limits of laws and Sophia University Regulations or other equivalent, and to the extent that the rights and legal interests

of others are not prejudiced.

(Research Data Management)

- The researcher who collects or generates research data may decide how to manage, release, and utilize the data. However, such decisions are subject to restrictions set by laws, Sophia University Regulations, or contracts with other institutions, if any, and must not harm third parties holding rights or legal interest in the data (e.g., if the data contain copyrighted material or personal information of third parties).
- Research data management refers to the determination of the handling and its implementation of research data from the beginning to the end of research activities, including the collection, generation, organization, analysis, processing, sharing, storage, and destruction of data.
- Release of research data refers to making research data available for use by others, and utilization of research data refers to increasing the value of the data to produce more intellectual results, etc. from the released research data.
- Note that there are various research fields in research activities, and specific operational policies for the management, release and utilization of research data can be implemented according to the actual conditions, based on the characteristics of each academic field.

(for reference) Categories related to research data management

【Data subject to management】 Data to be stored
Public data: Research data that are available for use by any person
<ul style="list-style-type: none">▪ Data that are not restricted by laws, regulations, rules, contracts, etc.▪ Data that serve as papers and evidence for papers▪ Data that should be widely released based on an open and closed strategy, etc.
Shared data: research data that may be used by persons given access rights
<ul style="list-style-type: none">▪ Data that should be shared only by persons given access rights from the perspective of personal data protection, property value, etc.
Private and unshared data: research data that are neither released nor shared.
<ul style="list-style-type: none">▪ Confidential data▪ Confidential business data▪ Data relating to national interest and national security.▪ Data collected for the commercialization and industrialization of research results.▪ Data held by private enterprises.▪ Data subject to restrictions on release or sharing of research results, such as joint research agreements.▪ Data that need to be protected from personal privacy perspective.▪ Data that need to be protected from the perspective of property value.▪ Data that are subject to restrictions of laws etc.
【Data not subject to management】 Data not to be stored
<ul style="list-style-type: none">▪ Data that failed to be collected or generated.▪ Data for which there is obvious doubt about the authenticity, etc.

(Responsibilities of researchers).

3. To enhance the value of the research data, the researcher shall appropriately manage the research data within the scope of the preceding paragraph, release the data as far as possible and provide for utilization.

(Responsibilities of researchers)

- In this policy, to enhance the value of research data, within the scope of the above-mentioned laws, regulations and university rules, researchers shall appropriately manage research data and promote

utilization of data that can be released on the open and closed strategy※1, 2 by making it public as far as possible. Researchers shall aim to promote the development of academic research and to giving back to society.

- Researchers must ensure the accuracy, completeness, traceability, etc. of the research data to be released. Inadvertent or inappropriate release of research data may also damage the credibility of the University and the researcher. When releasing research data, researchers must try to ensure the reliability of the research data concerned.

- When it is determined the research data are safe for release, it is advisable to follow the FAIR Principles※3 as far as possible.

- Researchers must decide in advance how the research data are to be managed when they are transferred or retire from university.

※1『研究データにおけるオープン・アンド・クローズ戦略とは、研究データの特性から、公開するものと非公開にするものとに分けて進める戦略のこと』

（出典）大学ICT推進協議会「大学における研究データポリシー策定のためのガイドライン」（2021年7月1日）

※2『公的資金による研究データについては、オープン・アンド・クローズ戦略に基づき管理・利活用を行う必要がある。具体的には、公的資金による論文のエビデンスとしての研究データは原則公開とし、その他研究開発の成果としての研究データについても可能な範囲で公開することが望ましい。ただし、その際、研究分野等の特性や、大学、大学共同利用機関法人、国立研究開発法人等のデータを管理する組織の特性に配慮して、「公開」、「共有」又は「非共有・非公開」の判断が行われる必要がある。また、研究データは、国の安全保障を確保し、我が国の産業競争力や科学技術・学術上の優位性を確保するために重要な情報を含む可能性がある。このため、個人情報、企業の秘密情報、研究の新規性、我が国の安全保障等の観点から留意すべき研究データは非公開とすることが求められる。さらに、産業競争力や科学技術・学術的な優位性を確保するためには、研究データを即時に公開することが適切で無い場合もありうることから、公開による利活用の促進とのバランスを考慮しつつ、適切なエンバゴ（時限付き非公開）期間を設定することも想定される。したがって、以上のことを考慮した上で、研究データは、適切なオープン・アンド・クローズ戦略に基づいて、公開及び共有が実施される必要がある。言い換えれば、単純に、公開や共有を是とするのではなく、オープン・アンド・クローズ戦略に基づいて、合理的な理由により公開及び共有の範囲を研究者が設定すべきである。』

（出典）「公的資金による研究データの管理・利活用に関する基本的な考え方」令和3年4月27日付 統合イノベーション戦略推進会議

※3 FAIR原則は以下の通り。

To be Findable : (見つけられるために)

- F1. (メタ) データが、グローバルに一意で永続的な識別子 (ID) を有すること。
- F2. データがメタデータによって十分に記述されていること。
- F3. (メタ) データが検索可能なリソースとして、登録もしくはインデックス化されていること。
- F4. メタデータが、データの識別子 (ID) を明記していること。

To be Accessible : (アクセスできるために)

- A1. 標準化された通信プロトコルを使って、(メタ) データを識別し (ID) により入手できること。
- A1. 1 そのプロトコルは公開されており、無料で、実装に制限が無いこと。
- A1. 2 そのプロトコルは必要な場合は、認証や権限付与の方法を提供できること。
- A2. データが利用不可能となっても、メタデータにはアクセスできること。

To be Interoperable : (相互運用できるために)

- I1. (メタ) データの知識表現のため、形式が定まっていて、到達可能であり、共有されていて、広く適用可能な記述言語を使うこと。
- I2. (メタ) データがFAIR原則に従う語彙を使っていること。
- I3. (メタ) データは、他の(メタ) データへの特定可能な参照情報を含んでいること。

To be Re-usable : (再利用できるように)

R1. メタ (データ) が、正確な関連属性を豊富に持つこと。

R1. 1 (メタ) データが、明確でアクセス可能なデータ利用ライセンスと共に公開されていること。

R1. 2 (メタ) データが、その来歴と繋がっていること。

R1. 3 (メタ) データが、分野ごとのコミュニティの標準を満たすこと。

(出典) FORCE11: THE FAIR DATA PRINCIPLES (2016).

<https://www.force11.org/group/fairgroup/fairprinciples>, NBDC研究チーム(訳), "FAIR原則 (「THE FAIR DATA PRINCIPLES」和訳)" (2019).

<https://doi.org/10.18908/a.2019112601>

(Responsibilities of the University)

4. Sophia University will create an environment to support researchers in their management, release and utilization of research data.

(Responsibilities of the University)

▪ To protect the future research activities of universities and for development of academic research, it is important for universities to create an environment to support researchers by establishing an infrastructure that enables them to appropriately manage and release research data and provide for utilization. To this end, universities will provide the following support to researchers.

(1) Provision of research data management infrastructure that contributes to appropriate research data management

(2) Provision of research publication infrastructures such as institutional repositories

(3) Raising awareness and providing support to promote the management and release of research data

(4) Provision of information that should be noted for the management and release of research data

(5) Legal support, such as protection of intellectual property related to research data

(Other points)

5. This Policy will be reviewed as needed in response to changes in the social and academic environment.

(Other points)

It is clearly stated that this policy will be reviewed as needed in response to changes in social and academic environment.

Supplementary Provisions

These Policies Explanation are effective as of July 1st, 2024.

Note: The English translation is provided for information. The original Japanese version remains the sole official version. If there is any discrepancy between the two versions, the Japanese original should take precedence.