Research Data Management @HKU
Hello!
I am Eunice Chan
Research and Data Services Librarian
You can find me at:
researchdata@hku.hk
1. Read HKU Policy on Research Data and Records Management
2. Read Handbook for MPhil & PhD Programmes
3. Submit Data Management Plan (DMP) input form
4. Prepare your Data Management Plan with DMPTool
5. Submit your dataset
Why research data management?

Requirements

- Compliance with policies: HKU & funders
- Ensure data is accessible and shareable: journals requirement
- Demonstrate responsible practice

Benefits

- Keep research safe and secure
- Increase research efficiency
- Improve research integrity
- Make research outputs more visible
- Enable collaboration

Source: JISC
1. **Read** HKU Policy on Research Data and Records Management

**TO-DO #1**
Quotations are commonly printed as a means of inspiration and to invoke philosophical thoughts from the reader.
Quotations are commonly printed as a means of inspiration and to invoke philosophical thoughts from the reader.

http://www.rss.hku.hk/integrity/research-data-records-management

Research Data and Records Management

The management of research data and records refers to ways in which recorded information (in whatever form or medium) from research is organised, stored, maintained and accessed both during the lifespan of the research and in the long term. Effective research data and records management supports both high quality research and academic integrity.

HKU recognises the importance of good practice in research data and records management and seeks to promote the highest standards. The University’s Policy on the Management of Research Data and Records was approved by the Senate at its meeting on May 5, 2015, along with the establishment of a Task Force on Management of Research Data and Records to oversee the planning of the implementation of the Policy.

Policy on the Management of Research Data and Records

1. The University of Hong Kong seeks to promote the highest standards in the management of research data and records (1) as fundamental to both high quality research and academic integrity, and acknowledges its obligations under research funders’ data-related policy statements and codes of practice, where available (2), to ensure that sound systems are in place to promote best practice, including through clear policy, guidance, supervision, training and support.

2. The University recognises that accurate and retrievable research data are an essential component of any research project and necessary to verify and defend, when required, the process and outcomes of research. Research data are

http://www.rss.hku.hk/integrity/research-data-records-management
To meet the need to

• **Replicate claimed research results**
  when called upon to do so

• Ensure **ethical** data collection, storage, and if chosen, re-sharing of data

http://www.rss.hku.hk/integrity/research-data-records-management
“Research data and records should be retained for as long as they are of continuing value to the researcher and the wider research community, and as long as specified by research funder, patent law, legislative and other regulatory requirements. The minimum retention period for research data and records is three years after publication or public release of the work of the research.”
2. **Read** Handbook for MPhil & PhD Programmes

**TO-DO #2**
Quotations are commonly printed as a means of inspiration and to invoke philosophical thoughts from the reader.

- **MPH5 & PHD5** Probation and Confirmation of Candidature – for description of a data management plan (DMP)

- **MPH7 & PHD7** Period of Study – for describing when in the period of study, a dataset, where applicable, is to be submitted

- **MPH14 & PHD14** Submission of Thesis for Examination – for description of dataset submission

- **MPH15 & PHD15** Thesis Examination – for consideration of DMP Entry results and dataset if applicable, and if desired by the examiners
Beginning with the September 2017 intake, all HKU research postgraduate (RPG) students have responsibility for

1. using a data management plan (DMP), where applicable, to describe the use of data in preparation for, or in the generation of their theses, and

2. depositing, where applicable, a dataset in the HKU Scholars Hub.

"RPg" includes the degrees of MPhil, PhD, and SJD.
"RPg" includes the degrees of MPhil, PhD, and SJD.
3. **Submit Data Management Plan (DMP) input form**

TO-DO #3
Quotations are commonly printed as a means of inspiration and to invoke philosophical thoughts from the reader.
Quotations are commonly printed as a means of inspiration and to invoke philosophical thoughts from the reader.
Quotations are commonly printed as a means of inspiration and to invoke philosophical thoughts from the reader.
1. CHECK PROFILE

MY PROFILE

University No.: 3012345678
Name: Mr CHAN Tai Man
Email: u1234567@hku.hk
Degree: Master of Philosophy
Department/Faculty: School of Biomedical Sciences
Year of Admission: 2017
Hub RPG URL: http://hub.hku.hk/cris/rpg/rpg123456

SUPERVISORS

Primary Supervisor: Professor Chan Siu Man (from 2017-09-01 to 2019-08-31)
Co-Supervisor: Professor Wong Mei Yi (from 2017-09-01 to 2019-08-31)
Please choose one of the following: A, B, C, or D.

A. Data is freely available on the internet, in libraries or archives. DMP and Dataset submission are not needed. Primary supervisor approval will be sought.

B. Data has been licensed, contracted for, or purchased with a license that explicitly forbids deposit in storage outside the student's or the primary supervisor's control. Primary supervisor approval will be sought.

C. No data was used in my research project for the creation of my thesis. DMP and Dataset submission is not needed. Primary supervisor approval will be sought.

D. Submit Data Management Plan (DMP). Dataset will be uploaded later.

After submitting this form, an email will go to your supervisors. If your primary supervisor rejects this choice, you will need to return to this form, and make a choice that is acceptable to your primary supervisor.

Please click "Submit" button below to proceed, or click "Logout" to exit form without submission.
**Option A**

A. Data is freely available on the internet, in libraries or archives. DMP and Dataset submission are not needed. Primary supervisor approval will be sought.

**The URL of your dataset retrieved online:**

https://figshare.com/articles/_Genetic_Predisposition_to_Increased_Blood

**Citation, including address of library or archive used (if not online):**

Proitsi, P, Lupton, MK, Velayudhan, L, Newhouse, S, Fogh, I, Tsolaki, M, Daniilidou, M, Pritchard, M, Kloszewska, I, Soininen, H, Mecocci, P, Vellas, B, Williams, J, Stewart, R, Sham, P, Lovestone, S, Powell, JF. (2014). Data from: Genetic Predisposition to Increased Blood Cholesterol and Triglyceride Lipid Levels and Risk of Alzheimer Disease: A Mendelian Randomization Analysis. [Data File]. The authors confirm that, for approved reasons, some access restrictions apply to the data underlying the findings. Data are from the Genetic and Environmental Risk for Alzheimer’s Disease 1 (GERAD1) Consortium, the AddNeuroMed, the Dementia Case Register (DCR) and the Alzheimer’s Disease Neuroimaging Initiative (ADNI) studies. Data access is available on request from the following: GERAD1, williamsj@cardiff.ac.uk. AddNeuroMed, simon.lovestone@psych.ox.ac.uk. DCR data, john.powell@kcl.ac.uk. ADNI data is publicly available (adni.loni.usc.edu).

**Approval status:** Approved by Professor Chan Siu Man

**Reference No.:** 2018011304

**Print this page:**
PLEASE CHOOSE ONE OF THE FOLLOWING: A, B, C, OR D.

A. Data is freely available on the internet, in libraries or archives. DMP and Dataset submission are not needed. Primary supervisor approval will be sought.

B. Data has been licensed, contracted for, or purchased with a license that explicitly forbids deposit in storage outside the student's or the primary supervisor's control. Primary supervisor approval will be sought.

C. No data was used in my research project for the creation of my thesis. DMP and Dataset submission is not needed. Primary supervisor approval will be sought.

D. Submit Data Management Plan (DMP). Dataset will be uploaded later.

After submitting this form, an email will go to your supervisors. If your primary supervisor rejects this choice, you will need to return to this form, and make a choice that is acceptable to your primary supervisor.

Please click "SUBMIT" button below to proceed, or click "LOGOUT" to exit form without submission.
YOU HAVE SELECTED OPTION B:

B. Data has been licensed, contracted for, or purchased with a license that explicitly forbids deposit in storage outside the student's or the primary supervisor's control. Primary supervisor approval will be sought.

The name of licensor, seller, or owner of your dataset:

Proitsi, P, Lupton. Data are purchased from the Genetic and Environmental Risk for Alzheimer's Disease 1 (GERAD1) Consortium.

Approval status: Approved by Professor Chan Siu Man

Reference No.: 2018011304
Option C

No data was used in my research project for the creation of my thesis. DMP and Dataset submission is not needed. Primary supervisor approval will be sought.
YOU HAVE SELECTED OPTION C:

C. No data was used in my research project for the creation of my thesis. DMP and Dataset submission is not needed. Primary supervisor approval will be sought.

Approval status: Approved by Professor Chan Siu Man

Reference No.: 2018011304
Option D

Submit Data Management Plan (DMP). Dataset will be uploaded later.
YOU HAVE SELECTED OPTION D:

D. Submit Data Management Plan (DMP). Dataset will be uploaded later.

You may proceed to submit your Data Management Plan (DMP) by drag and drop your file to the box below:

Drag and drop files here, or click in box to choose files.

After submitting your DMP, an email will go to your supervisors.

If you would like to update your DMP later, you may revisit this page to upload and replace your previous DMP with an updated version.

Please click "SUBMIT DMP NOW" button below to proceed, or click "LOGOUT" to exit form without submission.
What are the options?

Free data

Licenced data

No data

Has data
Submit DMP
Input Form without DMP

1. Submit Form
   Login with your HKU Portal account and select option A, B, or C if you do not have data generated from your research.

2. Approval
   An email will be sent to your primary supervisor for approval.

3. Print Form
   Print the approved form and submit the printed copy to your Department/Faculty.
4. **Prepare your Data Management Plan with DMPTool**

**TO-DO #4**
What is Data Management Plan?

A document in which you describe:

- what data you will collect during your research project,
- how you are going to store and manage the data during the project,
- And what will happen to the data after the project is finished.
Data Management Plan for Post-Graduate Research Projects

RESEARCH PROJECT TITLE

DATA COLLECTION
How will the data be collected or created?

What data will you collect or create?

DOCUMENTATION AND METADATA
What documentation and metadata will accompany the data?

ETHICS AND LEGAL COMPLIANCE
How will you manage copyright and Intellectual Property Rights (IPR) issues?

How will you manage any ethical issues?

STORAGE AND BACKUP
How will you manage access and security?

How will the data be stored and backed up during the research?

SELECTION AND PRESERVATION
What is the long-term preservation plan for the dataset?

Which data are of long-term value and should be retained, shared, and/or preserved?

DATA SHARING
Are any restrictions on data sharing required?

How will you share the data?

RESPONSIBILITIES AND RESOURCES
What resources will you require to deliver your plan?

Who will be responsible for data management?

Prepared by: ____________________________  Endorsed by: ____________________________
RPy student: ____________________________  Supervisor: ____________________________

Date: ____________________________  Date: ____________________________
• Your Name
• University ID
• Email
• Degree
• Department/Faculty
• Field of Study
• Supervisor(s)
• Project Title and Description
• Date and Version
RESPONSIBILITIES AND RESOURCES
Who will be responsible for data management?

I will be responsible

What resources will you require to deliver your plan?

Cost for acquiring external hard disks for off-site copy

<table>
<thead>
<tr>
<th>Prepared by:</th>
<th>Approved by:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postgraduate student</td>
<td>Supervisor</td>
</tr>
<tr>
<td><strong>Name:</strong></td>
<td><strong>Name:</strong></td>
</tr>
<tr>
<td>C.</td>
<td>B.</td>
</tr>
<tr>
<td><strong>Date:</strong></td>
<td><strong>Date:</strong></td>
</tr>
<tr>
<td>6-11-2017</td>
<td>6-11-2017</td>
</tr>
</tbody>
</table>
Welcome to DMPTool@HKU Libraries
Create data management plans that meet institutional and funder requirements.

DMPTool by the Numbers

<table>
<thead>
<tr>
<th>Users</th>
<th>374</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plans</td>
<td>272</td>
</tr>
<tr>
<td>HKU</td>
<td></td>
</tr>
</tbody>
</table>

Contact Us
For any questions, please send email to HKUL Research Data Services at researchdata@hku.hk
Quantitative survey data files generated will be processed and submitted to the [repository] as SPSS system files with DDI XML documentation. The data will be distributed in several widely used formats, including ASCII, tab-delimited (for use with Excel), SAS, SPSS, and Stata. Documentation will be provided as PDF. Data will be stored as ASCII along with setup files for the statistical software packages. Documentation will be preserved.

Guidance

Please indicate the types of data generated by the project:
1. Personal data from clinical research (i.e. IRB approved)
2. Personal data from non-clinical research (i.e. HREC approved)
3. Field research data
4. Laboratory research data
5. Creative or Design data
6. Image or Video data
7. Simulated data
8. Other types (please specify)

Questions to consider:
- What type, format and volume of data?
- Is there any software needed to read or analyze any of the data files? If yes, please...
Project 1

Download settings
Optional plan components
- project details coversheet
- question text and section headings
- unanswered questions

Format
- docx

Download Plan
DATA MANAGEMENT PLAN

The project will collect and analyze the following data:

- Conductivity and temperature from glider surveys.
- Horizontal currents from shipboard ADCP and the HDSS Doppler Sonars on the R.V. Revelle.
- LADCP/CTD profiles from the R.V. Revelle.
- Moored ADCPs.
- CTD-u,v profiles from the McLane profilers.
- CTD profiles from the SIO Fast-CTD.
- Fine and microscale temperature from CHIPODs and moored thermistor chains.

Quick-Response data management

The T-TIDE PIs have experience with this mix of data types from previous collaborative efforts, such as the ONR IVE and IWEx Experiment 1 in the North Sea. To guide both modeling and the Process Experiment planning, quick-look Scout data will be centralized on a server at APL/UC San Diego. Scout Quick-look data responsibilities include:

- J.Klymak: LADCP-CTD analysis.
- S. Johnston: SIO glider analysis.
- L. Rainville: Co-operative CSIRO glider/Tidal analysis.
- H. Simmons, J. Klymak: Ongoing model output predictions.
- R. Pinkel, J. Klymak: F-C TD site studies.

The centralized data access will be maintained for the Process Experiment, with the McLane and thermistor chain data provided by the relevant PIs.

1. Data Collection

What data will you collect or create?

How will the data be collected or created?
2. Documentation and Metadata

What documentation and metadata will accompany the data?

https://www.neh.gov/files/dmp_from_successful_grants.zip
Data Confidentiality

Research records will be kept confidential, and access will be limited to the PI and primary research team members. For each testing session, the recorded data will have any identifying information removed and will be relabeled with study code numbers. A database which relates study code numbers to consent forms and identifying information will be stored separately on password-protected computers in a secured, locked office. These computers are housed in research facilities in the Psychology Building at Indiana University-Bloomington, and in the Psychology Department at UCSD. A list of the names of individuals who have participated in each study will be maintained in order to ensure that no individual is tested more than once on related studies. To maintain the privacy of the participants, any report of individual data will only consist of performance measures without any demographic or identifying information.

3. Ethics and Legal Compliance

How will you manage any ethical issues?

How will you manage copyright and Intellectual Property Rights (IPR) issues?

Intellectual Property Rights (IPR)

- Intellectual property rights (IPR) include copyright, patents, trademarks and design rights.

- The HKU Intellectual Property Rights Policy sets out ownership of intellectual property rights of staff and students and explains the University position on both copyright and patents.

http://www.rss.hku.hk/contracts/ipr
"If research data included in a thesis are obtained by a collaborative effort (including collaboration between the Student and a supervisor or other researcher at the University), such data may be the joint property of the Student and the collaborating party.

It is strongly advised that Students and supervisors/researchers make clear agreements in advance concerning the ownership and use of Intellectual Property Rights created in connection with a Student thesis."

http://www.rss.hku.hk/contracts/ipr
4. Storage and Backup

How will the data be stored and backed up during the research?

How will you manage access and security?

https://www.dataone.org/sites/all/documents/DMP_Copepod_Formatted.pdf
5. Plans for Archiving and Preservation

All original raw data files and data source processing programs will be versioned over time and maintained in a date-stamped file structure with text files documenting the provenance. The database will be preserved in perpetuity, housed initially at the New Mexico Interstate Stream Commission Central Office in addition to an off-site copy maintained at an NMISC field office and mirrored at the Consortium of Universities for the Advancement of Hydrologic Science (CUAHSI). We will also identify appropriate archiving institutions that might serve as a mirror repository. A data policy and stewardship plan will be established. In addition to archiving, each database table will be exported to a delimited text format to ensure accessibility of the data by other software programs. The data manager at the NMISC will be responsible for the management of long-term storage and archived data.
4. Data Dissemination and Policies for Data Sharing and Public Access

We are required to share our data with the CAISN network after all data have been collected and metadata have been generated. This should be no more than 6 months after the experiments are completed. In order to gain access to CAISN data, interested parties must contact the CAISN data manager (data@caisn.ca) or the authors and explain their intended use. Data requests will be approved by the authors after review of the proposed use.

The authors will retain rights to the data until the resulting publication is produced, within two years of data production. After publication (or after two years, whichever is first), the authors will open data to public use. After publication, we will submit our data to the KNB enabling discovery and use by the wider scientific community. Interested parties will be able to download the data directly from KNB without contacting the authors, but will still be encouraged to give credit to the authors for the data used by citing a KNB accession number either in the publication’s text or in the references list.
Before you share or publish your data

• Review the Depositor's Agreement, and Takedown Policy
• Perhaps you need to anonymize or redact your data before sharing?
• If you have created data which may have commercial value, please consult Versitech, or the Technology Transfer Office.

http://www.tto.hku.hk
5. **Roles and responsibilities**

The PI will be responsible for all data management during and after data collection.

https://www.dataone.org/sites/all/documents/DMP_Copepod_Formatted.pdf

5. **Plans for Archiving and Preservation**

All original raw data files and data source processing programs will be versioned over time and maintained in a date-stamped file structure with text files documenting the provenance. The database will be preserved in perpetuity, housed initially at the New Mexico Interstate Stream Commission Central Office in addition to an off-site copy maintained at an NMISC field office and mirrored at the Consortium of Universities for the Advancement of Hydrologic Science (CUAHSI). We will also identify appropriate archiving institutions that might serve as a mirror repository. A data policy and stewardship plan will be established. In addition to archiving, each database table will be exported to a delimited text format to ensure accessibility of the data by other software programs. The data manager at the NMISC will be responsible for the management of long-term storage and archived data.

7. **Responsibilities and Resources**

**Who will be responsible for data management?**

What resources will you require to deliver your plan?

YOU HAVE SELECTED OPTION D:

D. Submit Data Management Plan (DMP). Dataset will be uploaded later.

You may proceed to submit your Data Management Plan (DMP) by drag and drop your file to the box below:

Drag and drop files here, or click in box to choose files.

After submitting your DMP, an email will go to your supervisors.

If you would like to update your DMP later, you may revisit this page to upload and replace your previous DMP with an updated version.

Please click "SUBMIT DMP NOW" button below to proceed, or click "LOGOUT" to exit form without submission.
YOU HAVE SELECTED OPTION D:

D. Submit Data Management Plan (DMP). Dataset will be uploaded later.

DATA MANAGEMENT PLAN SUBMISSION STATUS

<table>
<thead>
<tr>
<th>Version 1</th>
<th>DMP Submitted on 20180113 15:04:34</th>
<th>Download DMP File</th>
</tr>
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<tbody>
<tr>
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<tr>
<td>Approval status:</td>
<td><strong>Approved by Professor Chan Ying Shing</strong></td>
<td></td>
</tr>
<tr>
<td>Reference No.:</td>
<td>2018011304</td>
<td></td>
</tr>
</tbody>
</table>

If you would like to further update your DMP, you may revisit this page to upload and replace your previous DMP by clicking "Update DMP" button below.

You have not yet submitted your DATASET, click "SUBMIT DATASET" to submit!
Submit DMP Input Form
with Data Management Plan

1. Write a DMP
Write a Data Management Plan (DMP) if you have data generated from your research project.

2. Endorsement
Have your DMP endorsed by your primary supervisor.

3. Submit Form
Login with your HKU Portal account and select option D to submit a DMP.

4. Submit DMP
Drag and drop the signed DMP to the form then click submit.

5. Print Form
Print the approved form with reference number and submit the printed copy to your Department/Faculty.
5. Submit your Dataset

TO-DO #5
What to deposit?

Essential,

• **Data Management Plan** (DMP)
• Dataset(s) **quantitative** and/or **qualitative**, **raw** and/or **processed**,  
• **Metadata** about all the data files including file formats (please use open formats wherever possible), **Code book** (i.e. description of variables), etc.
• **Readme file**, giving particulars of data

https://lib.hku.hk/researchdata/data.htm
What to deposit?

If data includes **personal data**, the data should be put under **restricted access**,

- **Personal data from non-clinical research** (i.e. Human Research Ethics Committee (HREC) approved) [http://www.rss.hku.hk/integrity/ethics-compliance/hrec] provide **approval code, consent forms, ethical application form**, please state the risk of re-identification from the different datafiles and how the risk has been minimised for any dataset intended for sharing.

https://lib.hku.hk/researchdata/data.htm
What to deposit?

If data includes **interviews**,  
• Interview transcripts  
• Blank questionnaire & interviewer guidelines

If **field research data**,  
• provide copy of file research notebook in **digital format**, preferably machine readable

If **lab research data**,  
• of working papers and/or lab research notebooks in **digital format**, preferably machine readable

https://lib.hku.hk/researchdata/data.htm
What to deposit?

For **simulated data**,

• how was it generated? Please either explain or provide a link.

For **other types** of data, such as **Image or video data, Creative or Design data**,

• please explain what type of data and how was it collected/generated.

If **software** is needed to read or analyze any of the datafiles,

• please provide full details of software name, version needed, and any instructions necessary to obtain the software. **If you have written your own script for analyzing the data, please include this script also in final deposit.**

https://lib.hku.hk/researchdata/data.htm
Thanks!

Any questions?

researchdata@hku.hk