Submission to NHMRC
in response to the second consultation draft of the
Australian code for the responsible conduct of research

Australian Code for the Responsible Conduct of Research

APSR wishes to comment on three matters in the draft code:

- the preservation and sharing of research data (section 3 Research data and records management);
- the deposition of research article preprints in institutional repositories; and
- the publication of research articles in open access journals (section 5 Publication and dissemination of research findings).

APSR is mindful, in providing these comments, that the draft of the code states,

All institutions that receive funding from the ARC or the NHMRC to support their research are required to adhere to this code.

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http://www.apsr.edu.au/index.html

Preservation and sharing of research data

There are significant statements in NCRIS Strategic Roadmap and in the Interim Report of the eResearch Coordinating Committee on the value of digital research data as a component of Australia's research infrastructure.

APSR considers that the national research infrastructure would be enhanced by including in the code a prescription for researchers under section 3.5 *Retain research data and records*

3.5.1   Ensure that grant applications include a proposal for the preservation and ongoing stewardship of data created as a result of the research project.

3.5.2   Ensure that grant applications include a proposal for the future sharing of research data collections.

It is increasingly the practice that funding bodies require a plan for the preservation and sharing of research data as a condition for funding. The MRC statement is attached to this submission as an example of this practice.

ARC currently requires researchers to make arrangements acceptable to the ARC for the lodgement of data and to include details of the lodgement, or reasons for non-lodgement, in the Progress Report and the Final Report for the Project.

APSR is prepared to work with the ARC and NHMRC to provide:
- Guidelines and guidance for researchers on best practice in data preservation and sharing;
- a guide for researchers to repositories and data centres where data collections could be lodged; and
- advice to researchers on data management and research outputs.

Open Access - deposition of preprints in institutional or community repositories

The Budapest Open Access Initiative was written in 2002. It continues to receive support as the Open Access movement grows and as governments and funding bodies consider the best way to promote the results of publicly funded research.

An open access publication is freely available to all who wish to read it and is also available in an online repository.

Overseas funding bodies, including MRC, NIH and NSF have adopted policies supporting Open Access. The AVCC is a signatory to the Budapest Initiative.

The Australian Research Information Infrastructure Committee has prepared a statement outlining its support for open access in publishing which acknowledges that the Australian government has supported the Open Access declaration formulated by the OECD Committee for Scientific and Technological Policy.

The Open Access Initiative recommends that a complete version of a researcher's paper be deposited with a repository that conforms to Open Archives Initiative standards, such that the paper is available to all researchers, regardless of whether the final version of the paper is published in an Open Access journal or a subscription journal.

The Open Access Initiative recommends that

> A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in a suitable standard electronic format is deposited immediately upon initial publication in at least one online repository that is supported by an academic institution, scholarly society, government agency, or other well-established organisation that seeks to enable open access, unrestricted distribution, interoperability, and long-term archiving.

National and international research will be facilitated if the code includes a recommendation under section 5 for researchers to deposit a version of their paper in a digital repository.

It is recommended that researchers ensure the promotion of research by the deposition of a version of their work in a digital repository, making their work available to researchers who may not have access to some or all of those journals which require access by subscription.

APSR is prepared to work with ARC and NHMRC in maintaining a site to provide guidance to researchers on Open access, including a list of digital repositories which confirm to Open Archive Initiative standards. These repositories can also provide technical advice and assistance to researchers.

Open Access - publication in open access journals

There is strong support for Open Access. It is recognised that it promotes research by enhancing access to research materials.

The deposition of researches work in digital repositories ensures one level of access for researchers. Access to the final version of research results is ensured by publication in Open Access journals, as access to Open Access journals is not dependant upon researchers being able to afford subscription costs.

It would be appropriate for the code to include a recommendation for researchers under section 5.

Researchers have a responsibility to ensure that the results of publicly funded research are made available to the widest possible audience with the minimum impediment to the furtherance of knowledge. Consideration should be given to publishing research results in Open Access journals whenever possible in supporting this responsibility.

APSR is prepared to work with ARC and NHMRC in maintaining a list of Open Access journals and a listing of publishers that allow self-archiving of a version of the researcher's work.

Appendix A

Current ARC and NHMRC stipulations re data

The <u>NHMRC Deed of Agreement</u> for NHMRC Research Funding Schemes states,

2.2   The institution shall ensure that any machine-readable data arising from a Project involving research relating to the social sciences is lodges with the Australian Consortium for Social and Political research Inc. (ACSPRI) or any other appropriate archive for secondary use by other investigators.

The Agreement also states

9.1   Ownership of the Project Material…will vest in the Institution.

The ARC <u>Funding Agreement</u> for Linkage Projects states

20.2   For any Material produced under this Agreement and subject to any agreement to the contrary with a Partner Organisation which can be justified to the satisfaction of the ARC on the grounds of commercial sensitivity (including Intellectual Property considerations), the Administering Organisation shall ensure that Specified Personnel (Chief Investigators, Partner Investigators and Fellows):

   (a)   take reasonable care of, and safely store, any data or specimens or samples collected during, or resulting from, the conduct of their Project;

   (b)   make arrangements acceptable to the ARC for lodgement with an appropriate museum or archive in Australia of data or specimens or samples collected during, or resulting from their Project; and

   (c)   include details of the lodgement or reasons for non-lodgement in the Progress Report and the Final Report for the Project.

The ARC Agreement also states

C8.   *Social Science Data Sets:* Any digital data arising from a Project involving research relating to the social sciences should be lodged with the Australian Social Science Data Archive (ASSDA) for secondary use by other investigators. This should normally be done within two years of the conclusion of any fieldwork relating to the Project research. If a Chief Investigator is not intending to do so within the two-year period, s/he should include the reasons in the Project's Final Report.

Appendix B

Medical Research Council stipulation for the preservation and sharing of data

The Medical Research Council (MRC) includes an Implementation plan for data sharing and preservation in its 'Science Strategy' documentation. The MRC statement on data sharing and preservation policy comments

- Publicly-funded research data are a public good, produced in the public interest

- Publicly-funded research data should be openly available to the maximum extent possible

Policy Statement

MRC expects that the valuable data arising from the research it supports will be made available to the scientific community to enable new research with as few restrictions as possible. Such data must be shared in a timely and responsible manner.

New studies enabled through data sharing should meet the high scientific quality, ethical and value for money standards of all MRC research; and should add distinctive value to that of the original dataset.

MRC supports the view that those enabling sharing should receive full and appropriate recognition by funders, their academic institutions and new users for promoting secondary research.

The statement goes on to say

To enable effective sharing, data must be properly curated over its life-cycle and released with the appropriate high-quality metadata. This is the responsibility of the data owners who are usually those individuals or institutes that have received funding to create or collect the primary data.

Applicants for MRC funding must include a statement explaining their strategy for data preservation and sharing.

Appendix C

Data statements

National Collaborative Research Infrastructure Strategy (NCRIS)
http://www.dest.gov.au/sectors/research_sector/policies_issues_reviews/key_issues/ncris/

eResearch Coordinating Committee
http://www.dest.gov.au/sectors/research_sector/policies_issues_reviews/key_issues/e_research_consult/interim_report.htm

National Science Foundation
http://www.nsf.gov/pubs/2005/nsb0540/_9.pdf

Medical Research Council
http://www.mrc.ac.uk/index/strategy-strategy/strategy-science_strategy/strategy-strategy_implementation/strategy-other_initiatives/strategy-data_sharing_preservation

Appendix D

Open Access statements

Budapest Open Access Initiative
http://www.soros.org/openaccess/

Open Archives Initiative
http://www.openarchives.org/

Australian Research Information Infrastructure Committee
**http://www.dest.gov.au/sectors/research_sector/policies_issues_reviews/key
_issues/australian_research_information_infrastructure_committee/open_a
ccess.htm**

Council of Australian University Librarians
http://www.anu.edu.au/caul/scholcomm/OpenAccess2004.doc

Medical Research Council
**http://www.mrc.ac.uk/index/public-interest/public-
consultation/open_access-2.htm**

National Science Foundation
http://nsf.gov/od/oci/ci_v5.pdf

National Institutes of Health
http://publicaccess.nih.gov/

Appendix E

Australian Partnership for Sustainable Repositories (APSR)

The APSR Project aims to establish a centre of excellence for the management of scholarly assets in digital format.

The APSR partners are The Australian National University, the National Library of Australia, the University of Melbourne, the University of Queensland, the University of Sydney, the University of Technology Sydney and the Australian Partnership for Advanced Computing (APAC).

APSR has an overall focus on the critical issues of the access continuity and the sustainability of digital collections.

The APSR project has four interlinked programs:
1. Digital Continuity and Sustainability
   The development of a centre of excellence to share software tools, expertise and planning strategies.

2. International Linkages Program
   Participation in developing international standards and maintaining a technology watching brief.

3. National Services Program
   Supporting national teaching and research with technical advisory services; knowledge transfer; consultation and collaboration services.

4. Practices and testbeds
   Building expertise in sustainable digital resource management through partner relationships.
   - The Australian National University: Develop and populate a broad-spectrum repository.

   - The University of Sydney: Sustainability of resources in a complex distributed data environment.

   - The University of Queensland: Develop an integrated gateway to a range of repositories of research output