

# Research Data Management Policy

<b>Reference</b>	RP5
<b>Department</b>	<i>Research &amp; Innovation</i>
<b>Team</b>	<i>Research Services</i>
<b>Type</b>	<i>Policy and Guidance</i>
<b>Authority</b>	<i>Research &amp; Innovation Committee/ Academic Board</i>
<b>Version</b>	<i>Version 2.0 2022</i>
<b>Date of approval</b>	<i>12/05/2022</i>
<b>Formal Review cycle</b>	<i>Three years or sooner if required</i>
<b>Review date</b>	<i>1/08/2025</i>



## Research Data Management Policy

### 1. Principles

1. The University of London is committed to promoting the highest standards of academic research, including excellence in research data management.
2. The University is developing services and guidance for its academic and research community in order to foster best practice in data management and to facilitate free and timely open access to data so that they are intelligible, assessable and useable by others.
3. The University acknowledges legal and ethical constraints with regard to sharing data and the need to preserve the academic entitlement to publication as the primary communication of research results.
4. This Policy aims to support the University to comply with funders' requirements.
5. This Policy is part of the University Data Management Governance Policy. It is in particular an integral part of the Code of Good Practice in Research and is linked to other Research policies, available here <https://www.sas.ac.uk/research/research-policies-and-protocols>. This Policy is to be read in conjunction with the Research Data Management Guidance.

### 2. Scope

1. This Policy applies to all staff, students and fellows of the University engaged in studies or research solely or in collaborations with others. It also applies to visitors, individuals, collaborators conducting research or other studies in the name of the University. It extends to cover consultancy work and sponsored academic research. Persons meeting this specification shall be referred to as 'Researchers.' This Policy also applies to all University staff who support University's Researchers throughout the research projects and outputs lifecycle. This Policy does not apply to any independent researchers, who do not have any association with the University.
2. This Policy aims to aid the University academic and research community, as well as support services to adhere to the rules and mandates of its funding and regulatory bodies and to ensure that research data are maintained and preserved as identifiable, retrievable, and reusable assets as part of the overall research project cycle. This is achieved by establishing clear guidance

on research data process and research outputs lifecycle, including repository and preservation, as well as allocating roles and responsibilities across the institution.

3. This Policy applies to all data generated through research undertaken under the University's aegis, solely or in collaboration with others. This includes, but is not limited to, research sponsored by grants or contracts awarded to the University and where the University is a partner on awards held by other institutions. This Policy does not include commercial and information management data.
4. This Policy is to be reviewed every three years by the University Research Committee, which may decide to develop additional policies or guidance as code of practices across the UK and worldwide evolve.

### 3. Definitions

1. Research data is a valuable resource in its own right. It validates research findings and has long-term value as a potential resource for future research and teaching. The University is committed to the definition of Research data as outlined in the Concordat on Open Research Data, which covers all data across disciplines:

*Research Data are the evidence that underpins the answer to the research question and can be used to validate findings regardless of its form (e.g., print, digital, or physical).*

2. Research Data:

Data that are collected, observed, generated, created, or obtained from commercial, government or other sources, for subsequent analysis and synthesis to produce original research results.

3. Shareable Research Data:

Research Data that must be preserved for long-term storage and shared.

4. Data Management Plan (DMP):

Plans typically state what data will be created and how, and outline the plans for protecting against loss, sharing and preservation, noting what is appropriate given the nature of the data and any restrictions that may need to be applied.

5. Data Repository:

A place where data may be stored and made available. This includes but is not limited to the University Repository, a discipline specific repository, or a funder repository.

6. Funder:

An organisation that provides a financial contribution to support a research project.

7. Researcher:

The person ultimately responsible for the research project. The Researcher takes responsibility for the intellectual leadership of the research project and the overall scientific and financial management of the research.

8. Digital Object Identifier (DOI):

A reference that enables permanent identification and location of digital objects, such as datasets and journal articles. This means a reference to a dataset elsewhere (e.g., in the journal article it supports or in the University's repository catalogue) is not going to break or become outdated as a web address might do.

#### **4. Research Data Management**

1. The University is committed to good practice in research data management that supports and enhances the public value of its research by:

- a. enabling the publication, sharing and citation of research datasets.
- b. maximizing the impact of scholarly outputs.
- c. enhancing the public visibility of funded research.
- d. facilitating the reuse of data by future researchers.
- e. avoiding duplication of data collection.
- f. reducing the risk of data loss and corruption.
- g. reducing the vulnerability of data due to file and software obsolescence.
- h. enabling greater scrutiny of published research to affirm the robustness of findings.

2. Research data should be managed to agreed standards throughout the research data lifecycle which include:

- a. Ensuring research data collection, retention, storage, and accessibility conforms to the highest ethical standards.
- b. Complying with all relevant internal and external policies, procedures, and codes and with funders' requirements; in case of conflict with the University Policy, the policies of the funders take precedence unless specified.
- c. Complying with all relevant licence agreements; in case of conflict with the University Policy, the terms and conditions of any licence agreements take precedence.
- d. Being organised in a cohesive way, following the University's records management standards to ensure the data can be appropriately recognised within University's infrastructure.
- i. Evidence of legal and ethical considerations and approval (for e.g.: copyrights, release forms) is kept with the research data.
- j. Publication of research data should be made available as rapidly and effectively as possible via deposit in an appropriate repository at or around the time of publication of the research findings.
- k. Deposit and preservation in the University's repository and appropriate national or international data service or domain repository, as specified by the funder, to facilitate dissemination and re-use.
- l. Clear contact points for data protected under the Data Protection Act.

3. All Research Data should have a Data Management Plan (DMP), which would establish a clear workflow of technical, academic, and other organisational requirements attached to the data, and can be used as a point of reference throughout the data lifecycle.
4. All shareable research data are to be made publicly available for 10 years after publication or for the minimum period required by the funder if longer than 10 years. Researchers should ensure that the research data has a unique digital identifier (DOI) which is recognised nationally and internationally and would outlive any URLs or service provider changes. Maintenance and preservation of the research data are reviewed regularly by the University to ensure compliance within its infrastructure.

## **5. Roles and Responsibilities**

This Policy relies on a collaborative share of responsibilities to appropriately manage research data throughout its lifecycle.

1. The University of London is committed to:
  - a. build a cohesive and expert support service that puts Researchers at its centre, by engaging with all stakeholders to encourage continuous improvement of this Policy.
  - b. meet legislative, funder, information governance and University requirements.
  - c. facilitate data security (confidentiality, integrity, availability).
  - d. facilitate appropriate access, collaboration and sharing of data and results.
  - e. develop appropriate preservation of its research data through the development of a preservation policy.
  - f. provide appropriate training, guidance, and tools to support Researchers and support staff with their tasks.
  - g. provide appropriate training, support, and guidance on legal and ethical considerations of data management.
  - h. maintain an institutional asset list.
  - i. communicate its standards, policies, and procedures to all its members through education and training, publication of this and related policies and procedures.
  - j. monitor and review the implementation of this Policy.
2. The Researcher is committed to:
  - a. hold the responsibility for the effective management of their research data generated within or obtained for their research.
  - b. be responsible for identifying and preserving all their research data (whether shareable or not) that would be required to validate published research findings in the future.
  - c. endorse and integrate the University's policies and guidance within the management of their research project.
  - d. take part in the provided training.

- e. seek University support when creating a Data Management plan and throughout the lifecycle of the projects to ensure research data are managed and shared appropriately and help maintain the institutional asset list.
  - f. deposit the shareable research data in the University's repository in the first instance but retain the right to deposit elsewhere (for e.g., per funders' requirements). This should happen no later than the time of publication of the findings.
3. If the Researcher leaves the University (such as death, incapacitation or leaving academia) or circumstances mean the researcher is no longer able to fulfil their responsibilities then:
  - If there is a Co-Investigator at the University, they inherit the responsibilities of the main principal investigator of the project.
  - If the Researcher and the award move to another institution, the responsibilities follow the Researcher.
  - Otherwise, whom so ever is appointed by the department to complete any of the Researcher's requirements for the research project will inherit the responsibilities outlined in this section.

## **6. Links to relevant Policies and Guidance**

1. This Policy is an integral part of the Research Integrity Framework of the University.
2. The following policies and guidelines are particularly relevant to this Policy:  
<https://www.sas.ac.uk/research/research-policies-and-protocols/>  
<https://london.ac.uk/about-us/how-university-run/policies>
  - Code of Good Practice in Research
  - Research Ethics Policy and Procedures
  - Guidance on Data Protection and Academic Research Policy
  - Open Access Policy
  - Terms and Conditions of Employment
  - Disciplinary Procedure
  - Code of Conduct for the use of University of London IT equipment and systems
  - JANET Policy
  - Data Protection Policy
  - Freedom of Information

### Version control

- Originally published in November 2012
- Revised February 2022