

Research Data Management Policy

Considered by the Research Data Management Steering Group on 12 March 2012 and 23 April 2012
Initial draft reviewed by RKTC, UREC and Faculty RKTCs

Agreed by RKEC 26 February 2013

1.	Introduction
1.1.	<p>The University wishes to set up a Research Data Management Policy to:</p> <ul style="list-style-type: none"> • Support the University’s mission for “the creation, dissemination and curation of knowledge”; • Support research excellence; • Help the University and researchers implement external requirements for collection, management, security and retention of research data; • Comply with legislation relating to the security, storage, processing and disclosure of research data; • Prioritise appropriate infrastructure, systems, services and training; • Protect the legitimate interests of the University, of research data subjects and of other parties; • Acknowledge differing practices in different disciplines; • Support appropriate openness and transparency, and ensure accountability for the use of public funds.
1.2.	By data, the University means not just datasets but art work, recordings, videos or any other form of data that researchers collect on the course of undertaking their research.
1.3.	The University wishes the same principles to apply to all types of data – digital data and non-digital data (eg Laboratory note books, questionnaires etc). The University has no plans to digitise hardcopy data other than on an <i>ad hoc</i> basis.
1.4.	The University acknowledges that this is a complex and evolving area and to that end wishes to make a series of overarching principles, followed by statements articulating where support currently exists and what plans are for increasing or reinforcing this.
2.	Overarching Principles
	The following applies to staff AND research students
2.1.	Research data should be managed to the highest standards throughout the research data lifecycle as part of the University’s commitment to research excellence.
2.2.	Responsibility for research data management through implementation of a sound research data management plan during any research project or programme lies primarily with Principal Investigators (PIs) or lead researchers. It is expected that the same data standards are applied to internally funded research projects as well as externally funded ones. PIs should be provided with the appropriate tools and infrastructure to enable them to manage their data successfully.
2.3.	All newly awarded research proposals [from date of adoption] should include research data management plans or protocols that explicitly address data capture, management, integrity, confidentiality, retention, sharing and publication.
2.4.	The University will work to provide training, support, advice and, where appropriate, guidelines and templates for research data management and research data management plans. There will be a standing item, once a year, at the University’s RKEC to consider progress.

2.5.	The University will work to provide mechanisms and services for storage, backup, registration, deposit and retention of research data assets in support of current and future access, during and after completion of research projects. There will be a standing item, once a year, at the University's RKEC to consider progress.
2.6.	The University will work to provide mechanisms to enable researchers to collaborate more effectively by providing IT solutions to enable better, and secure, sharing of data.
2.7.	It is expected that final research data are available for open access and re-use where appropriate and under appropriate safeguards. There will be opportunities for data to be kept confidential but it is expected that this will be the exception not the rule. Final research data is assumed to mean data prepared to enable a third party to use that data and where data has been anonymised, or otherwise treated, if necessary.
2.8.	Final research data will be offered and assessed for deposit and retention in an appropriate, subject-specific national or international data service or domain repository, or a University repository (ie RADAR). The data on RADAR will be kept for a minimum of ten years or ten years from when the last request to access was made.
2.9.	Any final research data which is retained elsewhere, for example in an international or national data service or domain repository should be registered with the University.
2.10.	Exclusive rights to reuse or publish research data should not be handed over to commercial publishers or agents without retaining the rights to make the data openly available for re-use, unless this is a condition of funding.
2.11.	When staff leave it will be expected that they will leave their data behind them, and it will normally be the case that the University will be happy for them to have access to that data.

3.	How we support our Data Management Principles		
	Overarching principles	What we do	What we want to do
3.1.	Research data should be managed to the highest standards throughout the research data lifecycle as part of the University's commitment to research excellence.	<p>We already state that good research practice will allow ready verification of research data; will make data readily available; require researchers to: keep clear, accurate records of processes followed, store interim results, store data securely for 10 years after completion or longer if required (http://www.brookes.ac.uk/res/policy/academic_integrity.pdf)</p> <p>We already have policies relating to data protection and researchers (http://www.brookes.ac.uk/infosec/dataadd.html!)</p> <p>We already have policies and guidance relating to ethical and legal considerations, including Intellectual Property (http://www.brookes.ac.uk/res/ethics; http://www.brookes.ac.uk/res/policy/ip_policy.pdf)</p>	

3.2.	<p>Responsibility for research data management through implementation of a sound research data management plan during any research project or programme lies primarily with Principal Investigators (PIs) or lead researchers. It is expected that the same data standards are applied to internally funded research projects as well as externally funded ones. PIs should be provided with the appropriate tools and infrastructure to enable them to manage their data successfully.</p>	<p>We already stress that PIs of projects are responsible for meeting the requirements of external funders (http://www.brookes.ac.uk/res/support/staff/handbook/appendices/pi-checklist)</p> <p>RBDO via CRIS can review award letters and send out info to PIs where funders have particular data management requirements. RBDO via CRIS can chase as grant ends to ask re data deposit and at given points after the grant CRIS to hold data on internally-funded projects, which Faculty can chase</p>	<p>CRIS intended to be running with pFACT data by 2013. Data on internal projects to be loaded as well</p>
3.3.	<p>All newly awarded research proposals [from date of adoption] should include research data management plans or protocols that explicitly address data capture, management, integrity, confidentiality, retention, sharing and publication.</p>	<p>Oxford Brookes will use the DMP Online package as its default data management planning tool.</p> <p>PI responsibility to manage the data appropriately until the data is complete. When data is complete, and stored on RADAR (see below), then University takes on the responsibility of managing the data.</p> <p>All externally funded projects will have their own website</p>	<p>DMP Online to be available in 2013 Covers things like version-control; Accessibility; Storage (where, when, how often, size of files); Transferring of data securely and encrypted where appropriate.</p> <p>OBIS to work with Corp Affairs to facilitate easy webpage setup</p>
3.4.	<p>The University will work to provide training, support, advice and, where appropriate, guidelines and templates for research data management and research data management plans. There will be a standing item, once a year, at the University's RKEC to consider progress.</p>	<p>The University will run training sessions for each of the four Faculties on data management and review its central induction programme. PhD provision will also be reviewed</p>	<p>Induction programme amended to include data management section by Sept 2012. PhD training programme to be amended and running soon after. Standing item at RKEC to monitor progress</p>
3.5.	<p>The University will work to provide mechanisms and services for storage, backup, registration, deposit and retention of research data assets in support of current and future access, during and after completion of research projects. There will be a standing item, once a year, at the University's RKEC to consider progress.</p>	<p>Hardcopy data can be stored off-site (contact University Records Officer).</p>	<p>Hardcopy data store already available. Contact the relevant Faculty Business Partner for details on access</p> <p><i>OBIS Business partners can suggest possible options and advise</i></p>

			<p>on the pros and cons of Cloud/web-accessible storage and costing models.</p> <p>Re shared servers OBIS working towards implementing an Enterprise Architecture Platform.</p> <p>In addition OBIS can offer advice on Data Protection Act issues and records management.</p> <p>Use of UK data archive recommendations on version control. Standing item at RKEC to monitor progress</p>
3.6.	The University will work to provide mechanisms to enable researchers to collaborate more effectively by providing IT solutions to enable better, and secure, sharing of data.		Solutions like Neurohub being investigated with Oxford University
3.7.	It is expected that final research data are available for open access and re-use where appropriate and under appropriate safeguards. There will be opportunities for data to be kept confidential but it is expected that this will be the exception not the rule. Final research data is assumed to mean data prepared to enable a third party to use that data and where data has been anonymised, or otherwise treated, if necessary.	The University expects that, as part of their data management planning, academic staff will plan for when to make their data open access. Faculties should establish protocols within their subject areas for when data would be expected to be available (eg XX period after completion of the project). Exceptions to this would be agreed by the University RKEC.	<p>Embargo periods to be agreed within Faculties Right-of-first-use – who, how long?</p> <p>Use of UK data archive recommendations on files formats for sharing.</p>
3.8.	Final research data will be offered and assessed for deposit and retention in an appropriate, subject-specific national or international data service or domain repository, or a University repository (ie RADAR). The data on RADAR will be kept for a minimum of ten years or ten years from when the last request to access was made.	Learning Resources will define the generic metadata requirements for the data. Metadata describing the research data will comply with metadata standards and a robust identifier. Research data will be deposited in the most appropriate data store for the data. In some case this could be the Institutional repository (RADAR). Wherever the data is deposited, a record will kept on RADAR or the CRIS which will	Learning Resources to provide, support and guidance on research data and information management. In particular, subject librarians would offer their specialist subject knowledge in considering where to deposit research data and advice to PIs on discipline-specific

		include a robust DOI for any digital objects,	<p>metadata requirements. This would ensure that research data is described adequately to allow discoverability.</p> <p>Research data will be deposited within RADAR with a view to making it freely accessible where no other relevant repository exists. In these cases, data will be assigned a Digital Object Identifier (DOI). (cost in assigning DOIs, £1500 see Datacite webpages)</p> <p>It is the responsibility of OBIS to provide systems for storing and preserving data.</p>
3.9.	Any final research data which is retained elsewhere, for example in an international or national data service or domain repository should be registered with the University.		CRIS or RADAR to hold record of where data held if not on RADAR
3.10.	Exclusive rights to reuse or publish research data should not be handed over to commercial publishers or agents without retaining the rights to make the data openly available for re-use, unless this is a condition of funding.		Clauses agreed to go into collaboration agreements and subcontracts on storing of final datasets on RADAR or equivalent.
3.11.	When staff leave it will be expected that they will leave their data behind them, and it will normally be the case that the University will be happy for them to have access to that data.		

With grateful thanks to both the University of Edinburgh, for sharing their data management policy and to the DCC for advice and support.