Title:	***UEA Research Data Management Policy***
Author:	Anna Collins (REN) and Rachael Mold (REN)
Circulation:	Senate – 4 November 2015
Agenda:	SEN15A001
Version:	Final
Status:	Open

Issue
A proposal to endorse an updated policy on Research Data Management for UEA, to complement the existing Guidelines on Good Practice in Research and to comply with funder requirements.

Recommendation
Recipients are invited to endorse the enclosed policy to be effective immediately.

Resource Implications
Personnel to support implementation of the policy are already in post within REN and further temporary staff have recently been recruited to REN, who will be able to support implementation of the policy. Updates to PURE (the University's Current Research Information System) are in progress to facilitate the discovery of and access to research datasets. ITCS has storage in place to handle datasets.

Risk Implications
Failure to endorse the policy may affect compliance with the research date management requirements of research funders, and hence the ability of the University to attract future funding.

Equality and Diversity
No equality and diversity issues are associated with this policy.

Timing of decisions
Approval by the Senate will allow the updated policy to take effect immediately.

Further Information
For further information contact: Dr Anna Collins (REN), Open Access and Research Data Officer, ext: 1807, anna.collins@uea.ac.uk.

Background
The UEA has had a policy on research data management and an associated guidance document since 2013. This is the first review of the policy and guidance.

The original policy was drawn up in order to comply with the Research Data requirements of the EPSRC, but is applicable across the UEA. The policy has been refined to reflect feedback from researchers and to clarify some areas.

A guidance document which addresses specific aspects of the policy in greater detail, to help researchers at UEA with compliance, has also been updated.

Discussion
No discussion is anticipated.

Attachments
The policy and guidance are attached.

Research Data Management Policy

Author: Members of the Research Data Management Project Team from REN, ISD and LIB, working from original document prepared by Raymond Scott (ISD)

Date: 02/07/2015

Version	Date	Note
0.1	17/1/11	First draft
0.2	24/2/12	Added policy elements from EPSRC expectations
0.3	22/05/13	Amended to reflect developments in responsibilities, facilities and approach to Research Data Management at all stages of the project lifecycle
0.4	26/07/2013	Amended to reflect comments made at 29 May Research Data Management Working Group and 8 July Research Executive
1.0	02/09/2013	Policy and Guidance into separate documents
1.1	14/10/2013	Amended to reflect comments made at 7 October Research Data Management Working Group
1.2	31/10/2013	Amended to reflect comments received from ADRs
1.3	18/11/2013	Amended to reflect comments received from Research Executive
1.4	02/07/2015	Updated as part of scheduled review

Foreword by PVC for Research, Enterprise and Engagement:

This Policy sets out the principles that guide us as a University in managing our research data and demonstrates our continued commitment to excellence in research.

Research Data Management is something that affects everyone at UEA who is engaged in research, at whatever level and whatever their discipline. 'Data' exist in a wide variety of forms across all UEA research fields and the principles laid out here are equally relevant to images of artefacts in art history, as computer models in game theory, as sequences in genetics and as spectra in structure characterisation. From new students to experienced researchers, ensuring that your research materials are well managed throughout the research project, and beyond, enables the research we undertake here at UEA to have the greatest possible reach and benefit to the academic community and the wider public. Support for the management of research data is available across the University in line with this Policy, including the Open Access and Research Data Officer based in REN and in the provision of storage infrastructure by ISD to support the secure storage and management of Research Data.

The Policy will continue to be evaluated and reviewed. I would welcome any comments that you have on future development of our research data management policy.

Professor Dave Petley
July 2015

Review

This Research Data Management Policy sets out the University's position on the management of Research Data. This is a rapidly-evolving area and the supporting document on Research Data Management Procedures and Guidance will be updated as the resources and infrastructure to support Research Data management are developed throughout the University. This document will be reviewed and updated by the University's Research Executive on or before 31 July 2017.

Contents

1.   Introduction

The University of East Anglia recognises Research Data as a valuable institutional asset to be managed in line with RCUK Common Principles on Data Policy (http://www.rcuk.ac.uk/research/Pages/DataPolicy.aspx). In addition, the University acknowledges the role that good Research Data management can play in supporting the University's research vision to ensure that our research has the highest possible global influence through a dissemination strategy that maximises impact and that ensures effective communication of our research.

The purpose of this policy is to ensure that Researchers and support staff:

- are supported in good Research Data management practice.
- find it easier to conduct research relying on Research Data.
- benefit from improved citations of their work.
- can maximise impact of their research by encouraging discoverability and re-use.
- have a reduced likelihood of data loss through inaccessibility and corruption.
- can comply with legislation and the policies and requirements of research funders and of Third Party Data providers.
- are supported in protecting intellectual property and commercialisation opportunities.

2.   Scope

The University's Guidelines for Good Practice in Research[1] outline what is expected of its Researchers. This policy and the associated guidance expand on this with respect to Research Data. As such, this policy applies to all UEA Researchers.

3.   Principles

The University's policy is based on the following principles:

  i.   Publicly funded Research Data are a public good and should be made openly available wherever possible.
  ii.   Research Data include both digital and non-digital forms and the definition of Research Data shall be guided by that widely accepted within the relevant discipline of the research.
  iii.   Overall responsibility for Research Data Management at UEA rests with Research Executive. Every project must have a named Researcher responsible for data management. Researchers who are students should seek advice about management and preservation of their research data from their supervisor(s), course/module director. All Researchers have a responsibility to familiarise themselves with this policy and the associated guidance.
  iv.   UEA shall provide advice and support to Researchers in planning and managing their Research Data through the provision of training, guidance, good practice documentation and expert advice.
  v.   Best practice for the management of Research Data starts at the earliest stage of planning a research project and should cover all stages of the Research Data lifecycle,

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[1]

http://www.uea.ac.uk/documents/251484/3124686/Guideline%2Bon%2BGood%2Bpractice%2BDocument%2B2012.pdf/bfa317d7-86ec-4710-b548-13356fd78d40

normally through the creation of a Data Management Plan which should be updated as necessary over the course of the research project.

vi. Researchers shall include a short statement within a research output describing how and on what terms supporting Research Data can be accessed.

vii. Research Data that are made available should be as comprehensive as possible and have clear instructions for use, including Metadata that facilitates discovery and reuse.

viii. Research Data should be kept and remain available for access for at least 10 years following any publication. Metadata should be kept indefinitely. Any additional documents required to enable sharing or reuse, or to meet legal or ethical obligations should also be retained for as long as is necessary to ensure continuing access of Research Data.

ix. A Researcher may use an appropriate external repository or data centre which will archive and preserve Research Data, eg national, disciplinary or funder archive. Alternatively, if no such repository or data centre is available, Researchers should use a central repository provided by UEA. Where the data are held externally, UEA will have a Metadata record for the data, including a link to the holding repository.

x. Where the transfer of Research Data between organisations is required, it should be straightforward (e.g. research collaborations, Researchers moving between HEIs) but also managed (i.e. not on an exclusive basis unless that is a condition of funding). Where the Research Data have an assessed commercial value then additional steps will need to be followed before Research Data can be transferred.

xi. Any destruction of Research Data shall be in accordance with the terms of this Policy, the retention period set out in the Data Management Plan and any legal and funder requirements, whichever is the most stringent.

xii. All Researchers should comply with any policies, mandates and expectations around Research Data that are imposed by their funders.

xiii. The University's Research Data policies and procedures will be reviewed and updated regularly.

4. Definitions

Research Data There is no single definition of what constitutes Research Data. For the purposes of the University's Research Data Management Policy and the associated Procedures and Guidelines, the following definition contained within the Monash University Research Data Management policy[2] provides an indication of what is in scope: "the data, records, files or other evidence, irrespective of their content or form (e.g. in print, digital, physical or other forms), that comprise a research project's observations, findings or outcomes, including primary materials and analysed data[3]". Specific definitions shall be guided by what is widely accepted within the relevant discipline of the research or by the definition used by the funder of the research; a definition should be provided in the Data Management Plan.

All data gathered and generated as a result of the research, and not just analysed data that underpin a research output, are in scope. Digital and non-digital data are included and the mechanisms for retention and archive will necessarily differ according to the format of the data. Where data are obtained from a third party, any adjustments to

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[2] Monash University Research Data Policy, version 1.0 , Effective from 24 November 2010, available at http://policy.monash.edu.au/policy-bank/academic/research/research-data-management-policy.html (accessed 23 August 2013)

[3] Examples of analysed data are derived variables in a data set which retains the level of disaggregation of the primary data, and data which underlie a graphical representation in a published paper.

that base data set on which research relies should be included within the data generated as a result of the research.

Researchers   The term Researchers is used to refer collectively to the following groups of people:
- Academic, research and relevant support staff employed by the University, and other individuals carrying out research at, or on behalf of, the University,
- Students undertaking research and their supervisors,
- Any persons with honorary positions conducting research within, or on behalf of, the University.