

SEN17D015

Title: *UEA Research Data Management Policy*
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Date: 23 October 2017
Circulation: Senate – 8 November 2017
Agenda: SEN17A001
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 attached policy, to be effective immediately. The policy was sent to University Research Ethics Committee members for comment in May 2017 and was revised accordingly and approved at Research Executive on 15th June 2017.

Resource Implications

Personnel to support implementation of the policy are already in post within RIN. RIN will notify staff and students of the revised policy using the Staff and Student e-Bulletins, and will also work with the School Research Directors to ensure that academics and researchers are aware of the updates to the policy. The revised policy will be made available on the RIN portal pages:

<https://portal.uea.ac.uk/rin/open-access-and-research-data>.

Updates to PURE (the University's Current Research Information System) are on-going 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 data 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 (RIN), 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 second 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 since been refined to reflect feedback from researchers and to clarify some areas.

The policy also helps the University in meeting the principles of the *Concordat on Open Research Data*, which was drawn up by a multi-stakeholder group including research funding bodies, universities and publishers and published in July 2016. It aims to ensure that research data gathered and generated by members of the UK research community is made openly available for use by others wherever possible and that this is done in a manner consistent with relevant legal, ethical, disciplinary and regulatory frameworks and norms, and with due regard to the costs involved.

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 is attached.

Research Data Management Policy

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

Date: 05/06/2017

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
1.5	19/05/2017	Updated as part of scheduled review
1.6	05/06/2017	Minor revisions following scheduled review which included feedback from U-REC members, ISD and HR, and approved at 15 June 2017 Research Executive meeting.

Foreword by PVC for Research and Innovation

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 Research and Innovation Services (RIN) and in the provision of storage infrastructure by ISD to support the 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 Fiona Lettice

June 2017

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 Policy will be reviewed and updated by the University Research Ethics Committee (U-REC) and recommendations will be made to the University Research Executive, and thereafter to Senate before 31 July 2019.

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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.

Scope

The University's Guidelines for Good Practice in Research¹ outline what is expected of its Researchers. This policy and the associated guidance² expand on this with respect to Research Data. As such, this policy applies to all UEA Researchers. It is the responsibility of heads of Faculties, Schools and Units to ensure their staff and students are aware of and comply with these policies.

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 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.⁴

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

¹ The Guidelines are available here: <https://portal.uea.ac.uk/rin/research-integrity>

² The guidance document is available here: <https://portal.uea.ac.uk/rin/open-access-and-research-data/research-data>

³ This definition was taken from the Monash University Research Data Policy, version 1.0 [no longer publicly accessible]

⁴ 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.

format of the data. Where data are obtained from a third party, any adjustments to 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 (including undergraduate research projects) and their supervisors
 - Any persons with honorary positions conducting research within, or on behalf of, the University.

Principles

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

1. Publicly funded Research Data are a public good and should be made openly available wherever possible.
2. 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.
3. 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.
4. 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.
5. 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, normally through the creation of a Data Management Plan which should be updated as necessary over the course of the research project.
6. Researchers shall include a short statement within a research output describing how and on what terms supporting Research Data can be accessed.
7. 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.
8. 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.
9. A Researcher may use an appropriate external repository or data centre which will archive and preserve Research Data, e.g. 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.
10. 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.

11. 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.
12. All Researchers must comply with any policies, mandates and expectations around Research Data that are imposed by their funders.
13. The University's Research Data policies and procedures will be reviewed and updated regularly.