

Research Data Management Policy

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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 UREC members, ISD and HR, and approved at 15 June 2017 Research Executive meeting and 8 November Senate.
1.7	01/05/2019	Minor revisions following scheduled review
1.8	08/02/2020	Links updated following UEA website migration
2.0	11/01/2022	Updated as part of scheduled review, including: <ul style="list-style-type: none">- updating the definition of Research Data- referencing the importance of ensuring that provision around Research Data covers all location where such data are used- clarifying the position around Research Data generated through undergraduate projects.

Background

This Policy sets out the principles that guide the University in managing research data and demonstrating its continued commitment to excellence and integrity in research.

Research Data Management 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 research materials are well managed throughout the research project, and beyond, enables UEA's research to have the greatest possible reach and benefit to the academic community and the wider public.

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 (UREC) and recommendations will be made to the University Research Executive, and thereafter to Senate before 31 December 2025.

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Introduction

The University of East Anglia recognises Research Data as a valuable institutional asset to be managed in line with UKRI Common Principles on Research Data (<https://www.ukri.org/apply-for-funding/before-you-apply/your-responsibilities-if-you-get-funding/making-research-data-open/>). 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, from the Concordat on Open Research Data³, provides an indication of the scope:

"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). These might be quantitative information or qualitative statements collected by researchers in the course of their work by experimentation, observation, modelling, interview or other methods, or information derived from existing evidence. Data may be raw or primary (e.g. direct from measurement or collection) or derived from primary data for subsequent analysis or interpretation (e.g. cleaned up or as an extract from a larger data set), or derived from existing sources where the rights may be held by others. Data may be defined as 'relational' or 'functional' components of research,

¹ The Guidelines are available here: <https://my.uea.ac.uk/divisions/research-and-innovation/research-innovation-services/research-support/research-integrity-and-ethics>

² The guidance document is available here: <https://my.uea.ac.uk/divisions/research-and-innovation/research-innovation-services/research-support/research-integrity-and-ethics>

³ The Concordat on Open Research Data can be found here: <https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-ConcordatonOpenResearchData.pdf>

thus signalling that their identification and value lies in whether and how researchers use them as evidence for claims.”

A definition of the research data should be provided in the Data Management Plan.⁴

Examples of research data include (but are not limited to): documents, spreadsheets, databases, field notebooks, diaries, audio- and video recordings, photographs and images, transcripts, survey responses, protein or genetic sequences, algorithms, computer code, workflows, standard operating procedures and protocols.

All data gathered and generated as a result of the research, and not just analysed data that underpin a research output, are in scope. The mechanisms for retention and archive will necessarily differ according to the format of the data, or due to disciplinary norms. 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.

In this document, the following verbal forms are used:

“shall” and “must” indicated a requirement;

“should” indicates a recommendation;

“may” indicates a permission;

“can” indicates a possibility or a capability.

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 shall 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.

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.

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. This should cover the requirements of working across various locations where necessary.
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 shall 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, except when special circumstances apply. 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. In the case of undergraduate research projects, this requirement may be waived, where student and supervisor(s) or course/module director agree that this is not appropriate for that research project. This decision should be documented.
9. A Researcher should 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. There is no need to duplicate data in a central UEA repository if is held in another repository or archive.
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 secure and managed (i.e. not on an exclusive basis unless that is a condition of funding), and accompanied by appropriate documentation (eg data sharing agreements). 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 the university, their funders, as well as any wider legal or ethical requirements, including (but not limited to) relevant Data Protection and Freedom of Information legislation.
13. Researchers should recognise the Intellectual Property in all research outputs and processes, and manage it appropriately, in line with the University's Intellectual Property Regulation.
14. The University's Research Data policy and procedures will be reviewed and updated regularly.