

# University of Central Lancashire

## Research Data Management Policy

<b>Revision History</b>			
<b>Date</b>	<b>Author</b>	<b>Summary of changes</b>	<b>Version</b>
09/2014	Jonathan Westaway	Draft discussion document	1
06/03/2015	Jill Evans	Rewrite	2
13/03/2015	Jill Evans	Minor alterations	2.1
08/04/2015	Jill Evans	Rewrite to incorporate elements of the University IPR policy	2.2
24/04/2015	Jill Evans	Final minor edits following review by Research Data Management Steering Group	2.3
17/06/2015	Jill Evans	Inclusion of information on Data Protection, as recommended by the Board	2.4

<b>Governance</b>				
<b>Action (eg, review; approval)</b>	<b>Name</b>	<b>Title</b>	<b>Date</b>	<b>Version</b>
Reviewed and approved to go forward to RIC	Research Data Management Steering Group		21/04/2015	Draft V2.3
Final amended version approved	University Research and Innovation Committee		17/06/2015	Final V3.0

## Research Data Management Policy

As an institution, UCLan supports the principles of open access to publicly-funded research outputs. Research data generated at the University is recognised as an institutional asset that when shared openly not only increases the visibility of UCLan's research but also facilitates public engagement and creates new opportunities for knowledge exchange and collaboration.

In order to be shared and reused research data must first be managed and curated efficiently and effectively. This research data management policy clarifies the University's expectations concerning the management, storage, publication and sharing of research data. Policy reflects the University's intention to establish good research data management practice throughout the research lifecycle as part of the institution's commitment to research excellence. The policy provides a strategic framework for the management and governance of research data generated by research activities at UCLan and aims to contribute to readiness for REF 2020.

### The purpose of the research data management policy is to:

- Ensure compliance with current academic and funder requirements such as the [Research Councils UK Common Principles on Data Policy](#) and [EPSRC Policy Framework on Research Data](#);
- Promote open access to research data produced at UCLan in order to facilitate data discovery, citation, sharing and collaboration;
- Clarify responsibilities so that researchers understand exactly what is required of them;
- Establish a culture of openness and transparency;
- Ensure data integrity and accessibility for a minimum of ten years after publication or last public access;
- Set out the University's obligations including the provision of facilities for the archiving of research data and training, support and guidance on good practice in research data management;
- Draw attention to existing relevant documentation that underpins and clarifies elements of the policy with particular regard to obligations of a legal, ethical, regulatory and contractual nature.

### Policy applies to:

- All academics at UCLan who produce or work with data generated as a result of research, regardless of how that research is funded;
- All academics who supervise or co-supervise postgraduate research students;
- All postgraduate research students.

The University is responsible for the provision of a managed repository service for secure archiving, preservation and long-term storage of completed digital research data and open access research publications, including journal articles and conference papers. The University provides training, support and advice on all aspects of research data management.

- 1) All researchers should familiarise themselves with relevant UCLan policies, in particular this Research Data Management Policy and the associated Code of Good Practice in Research Data Management, the [Open Access Policy](#), the Policy on Intellectual Property, the [Data Protection Policy](#) and UCLan's [Ethical Principles for Teaching, Research, Consultancy, Knowledge Transfer and Related Activities](#).
- 2) Externally-funded researchers must ensure compliance with their funder's policy on research data management and data publication. In cases where researchers may be affected by a number of policies, funder policy should take precedence.
- 3) Grant applications should include a research data management plan (DMP) that addresses the creation, management, storage and publication of research data and the production of descriptive metadata to aid discovery and re-use.

Researchers must work with the [Research Data Manager](#) to ensure they are following good practice in research data management and with [Funding, Development and Support](#) (FDS) staff to develop DMPs of a consistently high standard.

Researchers must work with [Library and Information Services](#) (LIS) and [FDS](#) to identify storage requirements that may exceed that currently offered by the institution.

Researchers should ensure that the costs of research data management and any additional data storage required are included in grant applications to external funders where permitted.

- 4) All researchers are encouraged to develop a DMP at the outset of any research project, however it is funded, and to discuss this document with the project group, where applicable. The agreed DMP should form the basis of data management throughout the various stages of the research lifecycle.
- 5) Overall responsibility for research data management during any research project lies with the most senior UCLan researcher (the Data Steward). In cases where the project is led by an external partner there is still a requirement for data generated or shared by UCLan to be managed by a named individual.

The Data Steward of any externally-funded project should meet with the relevant member of FDS at regular intervals during the project lifetime, to be agreed at the post-award meeting.

- 6) Where a researcher supervises doctoral students he/she should be aware of supervisor responsibilities with regard to ensuring retention of key PGR datasets.
- 7) Ownership of intellectual property (IP) created by UCLan staff is clarified in the University Policy on Intellectual Property (Section 2.1-2.3). IP which has potential exploitation or publicity value or could otherwise enhance the reputation of UCLan should be identified and disclosed to the University at the earliest opportunity. The associated data may need to be withheld for a limited period of time (see point 11) to protect IP that would otherwise be compromised.

Where a project involves external collaborators, the lead organisation is responsible for putting appropriate formal agreements in place covering the contributions and rights of the various organisations and individuals involved. All such agreements should be reviewed and approved by the University before the project begins.

Except where this is a condition of funding, exclusive rights to research data must not be handed, sold or licensed to external parties.

- 8) Lead UCLan authors of published research are responsible for ensuring compliance with funder and [University policy](#) regarding open access to research papers and the underlying data. Published papers must acknowledge funders, where applicable, and include a short statement describing how and on what terms any supporting research datasets may be accessed.
- 9) All digital research data that has been selected by the Data Steward or research group for retention should be deposited in the UCLan data repository or a suitable national or international data service or subject repository within 12 months of generation. As a minimum, where a dataset underpins published research, every effort must be made to ensure its availability on open access at the **date of publication** or before.
- 10) Research data that has been selected for retention should be registered with UCLan's data repository, even where the data has been deposited in an external repository or if the data is not suitable for open access. Datasets can be registered by creating a metadata-only record which must contain a stable link, preferably a digital object identifier (DOI) to the externally-held data, where applicable.
- 11) Funders typically regard non-deposit of research data as an exception therefore researchers should make every effort throughout the project to ensure data can be shared openly. Legitimate reasons for non-deposit of data include ethical, legal and commercial constraints; where feasible, issues preventing data sharing should be identified prior to data generation. The University's [Ethical Principles for Teaching, Research, Consultancy, Knowledge Transfer and Related Activities](#) provides guidance on approaches to handling sensitive data. Where research involves the collection of personal data, researchers should work within the guidelines set out in UCLan's [Data Protection Policy](#).

The funder should always be made aware of any constraints on access and researchers must be prepared to provide evidence justifying non-deposit. Where the risk has a limited time span, researchers should ensure a publication plan is in place. Data that is withheld or temporarily embargoed should still be managed and held in a format that would permit sharing in event of, for example, a Freedom of Information request or random audit by a funder.

- 12) Data that has been selected for retention should not be deposited with any organisation that does not commit to its access and availability for reuse unless this is a condition of funding or would prevent commercial interests.
- 13) The Research and Innovation Committee will be responsible for reviewing and updating this policy as recommended by the Research Data Management Steering Group. The policy will be reviewed at least annually.