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iridium project DRAFT policy principles and Code of Good Practice (archived on 10 December 2012)

iridium project output

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Newcastle University
DRAFT Research Data Management Policy Principles & Code of Good Practice

Policy Principles

1. Research data management (including costs) should be considered at the earliest practical stage of the project and reviewed regularly to ensure that practice remains in-line with expected standards.
2. The project Principal Investigator (PI) at Newcastle University has overall responsibility for the appropriate storage, treatment (including making data sets suitable for publication) and security of research project data.
3. PI's can delegate discrete responsibilities and this should be outlined in the research data management plan or appropriate project documentation.
4. All University staff are responsible for making themselves familiar with and adhering to legislation, funder guidance and University policy governing their research data.
5. The PI must provide the University with access instructions to research data within 4 weeks of successful publication.
6. Published datasets should be as comprehensive as possible and have clear instructions for access. Metadata should be rich enough to facilitate discovery, reproduction and reuse.
7. Research data should remain available for 10 years following any publication (unless otherwise specified) after which retention will be reviewed. Metadata will be kept indefinitely.
8. Researchers should deposit their data in an appropriate funder mandated or discipline specific data repository. Where this is not available data should be deposited in an approved centre / manner.
9. The University undertakes to provide appropriate resources, training, support and guidance to researchers and research support staff around data management. It will also provide a mechanism to record research metadata and to manage access.
10. Where data has a commercial value or supports a commercial output such as a patent then public disclosure of the data may be delayed (this should be agreed in consultation with Research & Enterprise Services).

Code of Good Practice in Research Data Management

1. Background & Purpose

The Policy Principles and Code of Good Practice have been written to guide researchers towards the best practice in the area of research data management. The document brings together guidance from across the institution and is designed as a single point of reference for academic and support staff. A full list of related policies and guidance are included in the Research data management toolkit which gives specific advice and guidance and up to date links to funder requirements.

Collectively the policy principles, code of good practice and toolkit aim to:

- support good research data management practice
- maximise impact by encouraging discoverability and re-use
- ensure compliance with legislation and funder policies
- protect intellectual property and commercialisation opportunities

The document sets out the best practice standards which the institution expects of projects which it sponsors or which are undertaken in its name. It does not replace or override guidance from research funders; it should instead be considered as a complementary resource. If there are multiple guidelines then the most rigorous advice should be followed and / or advice sought from Research & Enterprise Services (RES).

2. Scope

All research projects undertaken by Newcastle University staff and its postgraduate students are covered by the Policy and Code of Good Practice. The policy applies to all data regardless of format, whether or not the research is funded and relates to projects active at / from the time of the policy approval.

3. Responsible Personnel / Bodies

Research Active Staff, Research active postgraduates, Research & Enterprise Services (including Legal, Joint Research Office & University Research Office), Library, ISS (inc. Governance Office), Head of Academic Units, University Research Committee, PIs, Project Team Members.

3.1. Overall

University Research Committee (URC) has overall responsibility for the institution's research data strategy and its implementation and support. URC devolves responsibility for individual research projects to the project PI, however it recognises that for the PI to effectively perform their responsibilities they must be supported by other academic staff, academic units and the central services.

3.2. Principal Investigators

Practical and operational responsibility for research data throughout the lifecycle of the project is in the hands of the project PI at Newcastle. Their key responsibilities are:

- ensuring data collection, storage, processing and dissemination is in line with legal and funder requirements
- ensuring project research data management maps to best practice in their research field
- delegation of responsibility for research data management to other members of the project team e.g. to Co-Investigators or project administrators
- ensuring that the team / individual is competent (i.e. aware of their responsibilities and able to discharge them) and noting this in project documentation.
- having in place a data management plan
- notifying the University of the location of, and instructions on how to access archived research data
- Ensuring that, should data be requested, that it is in an appropriate format e.g. anonymised and in a suitable format.

3.3. Other Project Team Members

Are responsible for:

- Discharging their responsibilities as delegated by the PI and detailed in the project documentation
- Proactively supporting the PI with data management practice and raising any concerns to the PI in a timely manner

3.4. Research & Enterprise Services

Are responsible for:

- provide the guidance & support necessary to facilitate good practice in research data management
- co-ordinate the necessary training to enable faculties and academics to discharge their responsibilities
- provide advice and guidance on funder requirements
- advising on commercialisation
- act as gatekeeper for any data access requests.

3.5. Research Directors / Unit Managers

Are responsible for:

- the promulgation of the code of good practice and policy principles
- ensuring adherence to the policy principles by staff in their unit
- where necessary establishing supplementary discipline specific guidance
- feeding information on researcher development and support requirements to RES.

3.6. Library

Are responsible for:

- advising on the long term curation of research data outputs
- providing guidance on the categorisation and classification of research output metadata (i.e. descriptive information relating to the data)

3.7. Information Systems and Services (ISS)

Are responsible for:

- provision of guidance regarding data security and good data management
- the provision of secure storage, back-up and archiving of project data
- the technical support of the research information management systems

4. Ownership of Data

Unless explicitly agreed the University owns the intellectual property rights, including copyright, to the research data created by researchers during the term of their employment with the University. Where research is externally funded this may create additional obligations and this should be taken into account.

Research data may have significant ethical, confidentiality, intellectual property, funder and legal restrictions attached to it and therefore ownership of the data should be established as early as possible and an agreement should be in place before the project starts. RES will be able to advise and, where necessary, negotiate with funders on behalf of PIs.

5. Use of Third Party Data

Where research involves usage of third party data, terms and conditions associated with the use of third party data should be carefully scrutinised as there are likely to be copyright and / or licensing issues attached. These may have an impact on what data can be used for in the future. It is also important to ensure the data does not have any ethical restrictions associated with it e.g. it relates to non-anonymised human data as this may also affect the conditions of re-use.

6. Third Party Usage of University Data

Access to and usage of data, even open-access data will have a licence associated with its usage, this licence will ensure (at a minimum) that the University, Academic Creator and Funder are attributed to in any further reuse of the data. The University will provide standard agreements which should be signed before data is shared. Access will be arranged through the RES.

Once data has been made available to the public, it should be noted that the data will then be available for re-use. Therefore the PI should ensure that the data is released at an appropriate point i.e. when opportunities for commercialisation and publication have been explored.

7. Sharing Data with Project Partners

A clear agreement regarding research data management and sharing should be put in place before any project start date. Special care should be taken where the project involves organisations outside the European Economic Area which may be governed by less robust legal frameworks and present a greater risk of unintended dissemination. Likewise when working with the commercial organisations the increased intellectual property considerations should be taken into account when agreeing data sharing and publication details. RES will be able to assist in drawing up an appropriate agreement.

Details of data sharing; type, frequency, format and transfer arrangements should be noted with your data management plan and agreed at the project outset.

Links to [Legal](#) and [Grants & Contracts](#)

8. Commercialisation

Where research data has, or may have, commercial value faculty representatives from RES should be consulted with at the earliest possible stage. They will assist in assessing the value of the data, provide advice on the exploitation of any opportunities as well as and advise whether publication of the data should be delayed.

Link to RES [Policies](#) and [Enterprise Teams](#)

9. Active Storage & Data Security

Each project should have a data management plan which details all key information on the project, for advice on this please see the additional resources.

Given the faculty based structure of the University, academic units are responsible for ensuring staff are aware of available options and use storage facilities that provide the required standards for their data. RES, Library and ISS will provide this information to the faculties.

Where project data needs are significant (over 0.5 TB) and funder requirements allow additional resource should be costed into the project at the grant application stage.

For requirements outside of this please consult RES.

9.1. Digital Data

Wherever possible and appropriate data should be stored in digital format using approved storage systems. Data should be stored in a secure location, in a robust format, backed up regularly and access to data should be controlled to protect against theft, misuse, damage or loss. Data should be stored according to best practice in the relevant field of research.

ISS provide a secure storage service; of which all staff receive a basic allowance and more can be requested although this may incur an additional cost. ISS can also provide guidance and advice on other external providers of data storage.

For information and guidance on the storage of digital data please see the [ISS and Governance web pages](#).

9.2. Non Digital Data

Data should again be stored securely in line with best practice. Digital metadata should be provided at publication / project end.

10. Storage at Project End / Data Retention

Responsibility for data management / storage is not over at project end. The University mandates that the project data underpinning publication should remain accessible, and where appropriate discoverable, for 10 years.

10.1. Archiving

The responsibility for the archiving of the data lies with the PI. There are numerous national and data specific repositories in which data can be deposited, the PI should check that the sharing of the data is permissible and appropriate in light of confidentiality, ethical and legal concerns before uploading any data into an external repository or before making it available beyond the project team.

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ISS provides a list of repositories which adhere to the appropriate legal and regulatory standards. If no suitable / approved repository exists or it is inappropriate to store the data outside the institution then ISS is able to provide appropriate storage.

Link to [ISS Research Data Warehouse](#)

10.2. Registration of Archived Data with the University

The University requires that the location of the data underpinning any publication be made available to the RES (on request) in case of allegations of misconduct, funder requirement or if the data is indentified as being reusable.

11. Deletion

The University requires that the data is kept 10 years from the last citation. After this point the data will be reviewed and either retained or destroyed. Any destruction will be in accordance with legal and funder requirements.

Additional Resources

There are additional resources which support this document within the research data toolkit, these include:

- Relevant Policies
- Templates
- Glossary of Terms
- Training events and resources
- List of recommended repositories and storage providers
- Examples of Data Management Plans and best practice
- Funder terms and conditions