Research Data Management Policy

1.0 INTRODUCTION

Whilst the University expects its employees and staff to comply with this policy, it does not confer contractual rights or form part of any contract of employment and may be amended by the University or replaced at any time.

Breach of this policy may be considered a breach of duty of care to Contributors, and as such would constitute research misconduct. Such incidences would be taken forward under the Research Misconduct Policy if applicable. Where the breach is not understood to be research misconduct, it will be addressed via the University's Disciplinary Policy and Procedure and Code of Conduct.

This policy will be reviewed by the Research and Knowledge Exchange Committee on a yearly basis or amended in response to changes in the scholarly landscape, future legislation and/or case law.

2.0 OWNERSHIP

The Directorate of Research & Knowledge Exchange owns and manages this policy on behalf of The University of Northampton.

3.0 ORGANISATIONAL SCOPE

This a corporate policy and applies to all those undertaking research at the University. This policy applies to all research conducted on behalf of the University, involving staff, students, visiting or emeritus staff, associates, honorary or clinical contract holders, contractors, and consultants. It is applicable to all academic disciplines and areas of study. This also includes those undertaking research on university premises but not in the University's name are expected to adhere to University of Northampton's research policies.

4.0   KEY PRINCIPLES

The University supports the broad global consensus that publicly funded research data should be made openly available as soon as possible and with as few restrictions as necessary. Many UK and international funders have embraced FAIR principles for data sharing (making data findable, accessible, interoperable, and reusable). FAIR acknowledges legitimate reasons for restricting access to data, such as confidentiality concerns. Principal Investigators/Researchers and research students should consider how they can best make their data FAIR in their Data Management Plans.

Discoverability and access by machines are considered as important as access by humans. FAIR encourages the use of persistent identifiers, standard metadata, vocabularies, and licences to allow researchers and computer programs to directly access and process data. An emphasis on reusability means that any relevant documentation, protocols, or designs which add context and usefulness to the data should be included with research datasets in repositories (Pure). Links to relevant publications, people, projects, and other research products such as software or source code should be provided in metadata records, with persistent identifiers when available.

In some cases, research products such as models and software code can be deposited with research data in data/subject repositories. However, it may be more appropriate to utilise software repositories such as GitLab or GitHub, which offer the ability for partners or others to develop code into new directions while keeping track of versions. Research projects should plan for their software management as well as their data and consider whether it will be made openly available and if so, what licence is appropriate. In all cases code should be documented in a way that makes its functions transparent to improve quality and enable reuse of software and data. For long-lived projects software sustainability is a further consideration which requires updating and refactoring over time.

The University endorses the FAIR data sharing principles for maximising data

reuse, and supports related initiatives such as [DORA](#) (Declaration on Research Assessment), [ORCID](#) (Open Researcher and Contributor ID), digital object identifiers (DOIs), and use of standard open licences for sharing research data and code.

5.0   POLICY STATEMENT

5.1   The University of Northampton is committed to disseminating its research and scholarship as widely as possible, supporting the principle that the results of its research should be made openly available as soon as possible with as few restrictions as necessary, and therefore supports its staff and students in making their research data available 'as open as possible and as closed as necessary' in line with the FAIR principles (making data findable, accessible, interoperable, and reusable) for data sharing and the University's [Publication Policy](#).

The University supports related initiatives such as [DORA](#) (Declaration on Research Assessment, [ORCID](#) (Open Researcher and Contributor ID), digital object identifiers (DOIs), and use of standard open licences for sharing research data and code. The University considers the value of data to be diminished through misuse, misinterpretation or unnecessary access restrictions and that misappropriation of data could lead to misconduct in research.

The [UON Research Ethics Code & Procedures](#) defines 'failures to adhere to UON policy and/or funder requirements in relation to open access and good data management' as a form of research misconduct. The [Research Misconduct Policy](#) outlines the University of Northampton's powers and procedures in the event of allegations of research misconduct by staff or students.

Research data should be retained for as long as they are of continuing value to the researcher and the wider research community, and if applicable as long as specified by the research funder, patent law, legislative and other regulatory requirements. In the absence of any specific legal or funder requirements, the minimum retention period for research data

and records in the University is ten years after first publication or the end of the research project if no publications are forthcoming.

This policy specifically covers research data management for all UON Staff and doctoral students at Levels 7 and 8. Principles of good data management should be a required element of research training at Levels 4-6.

5.2 INTEGRITY

Research data that is generated and used by university researchers will be managed to a high standard throughout the research data lifecycle as part of the University's commitment to research excellence. The definition of research data for the purpose of this policy is digital or analogue information that is collected, observed, created, or reused to produce, validate and enrich research findings and conclusions.

Research data management (RDM) refers to the organisation, storage and preservation of data created throughout a research project.

5.2 RESPONSIBILITY

5.3.1 University

The University acknowledges its obligations under research funders' [data-related policy statements](#) and codes of practice to ensure that appropriate systems/tools are in place to promote best practice in research data management, including providing clear guidance, training and support.

The University provides the following systems:

- SharePoint (active research data)
- Pure (repository for completed datasets)
- Arkivum (long term digital preservation)
- DMPonline (data management plans)

Initial training in research data management is provided as part of the compulsory induction sessions for academics – being a researcher at UON, and as part of the compulsory induction sessions for Postgraduate and Doctoral Students. This training is supplemented by

a number of workshops and seminars of various aspects of data management held throughout the year and bookable through [libcal](#).

Guidance and external resources are made available through our dedicated [web pages](#) and the use of viva-engage community for Research and Knowledge Exchange.

Datasets that are preserved by the University will be kept for 10 years or from the date of last usage. This process is managed by the Research Support Team. Staff/Students may request that data is kept for a longer period of time on a case-by-case basis to the Research Support Team.

5.3.2   Researchers

Responsibility for managing data is the Principal Investigators (PIs) or individual researchers (this includes all staff and doctoral students) working on their own.

PIs should establish and maintain clear research data management responsibilities within their research group to ensure good data management is practised throughout the project and by all project/team members. In the case of collaborative projects, the Principal Investigators must jointly agree how data is to be managed and maintained, sometimes across different institutions.

When a researcher from University of Northampton (UON) is collaborating with any external partner, they should agree between them the rights and responsibilities of each party with respect to data collected, including key decisions about data storage, backup and security, registration, access, transfer, retention, destruction or archiving and licensing. (See Rights section below for when data sharing agreements may be required).

PIs must ensure that legal, ethical and commercial constraints on release of research data are considered at the initiation of the research process and throughout both the research and data life cycles.

All staff and students involved in research should be familiar with the University's research data management solutions as well as disciplinary/subject specific tools and infrastructure

that may be available. The researcher (person undertaking the research and/or managing a research project) must comply with the University's Information Security Policy, [Intellectual Property Policy](#) and Data Protection Policy, as well as Finance regulations, policies and procedures.

5.3.3   Funded Research

The UKRI Common Principles on Data Policy articulate a framework for research data policies that is subscribed to by all the Research Councils. The keystone of this framework is the first principle:

Publicly funded research data are a public good, produced in the public interest, which should be made openly available with as few restrictions as possible in a timely and responsible manner that does not harm intellectual property. They prescribe that:

- Data with acknowledged long-term value should be preserved and remain accessible and usable for future research.
- Published results should include information on how to access the supporting data, in the form of a data access statement or data availability statement and a full data citation.
- Not all data can or should be shared. There may be legal, ethical and commercial constraints on release of research data.
- Researchers are entitled to a limited period (12 months – Arts & Humanities, 6 months STEM) of privileged use of the data they have collected, to enable them to publish the results of their research.
- Re-use of existing data should acknowledge the source of the data to ensure proper attribution of credit and should abide by any terms of use that apply to the data.
- The management and sharing of data are integral to research activity and it is appropriate to use public funds for these purposes.

The PI is, prior to applying for ethical approval, required to produce and then follow a research data management plan (DMP). The [DMP Online](#) tool has been provided for staff and students at UON to use and is recommended for this purpose.

6.0   RESEARCH DATA MANAGEMENT PROCEDURE

At the start of every funded project, the PI will produce a DMP in line with the funder's specific requirements, or if no requirements are specified by the funder, then in accordance with good practice described by [DMP Online](#).

DMPs should cover data types and volume, capture, storage, integrity, confidentiality, retention and destruction, sharing and deposit. A suggested minimum period of retention is ten years from the end of the project, however requirements by funders and data providers, as well as disciplinary guidance should be observed.

DMPs must specify how and when research data will be made available for access and reuse. Underpinning research data should be made available as soon as findings are published, under appropriate safeguards when necessary. Academics may choose to have six months (STEM)/12 month (HAS) embargo period applied to the data. A risk assessment is required whenever data pertaining to individuals is used. This must be approved by the relevant Research Ethical Committee prior to research commencing. Research outputs that convey findings from research data must include a data access statement that clearly provides directions for readers to obtain the data or a statement as to why the data is not available (e.g., commercial sensitivity).

Costs such as extra storage, long-term retention, or data management effort must be addressed and included in costings to funders whose policies accept RDM costs. Note - All UK Research and Innovation funders explicitly state that all costs associated with research data management are eligible under UKRI funding.

The PI will be responsible for ensuring that the actions outlined in the DMP are carried out.

At the end of a research project the underlying data that is required to reproduce the research will be deposited in the university's secure central storage solution (datasets that are under 1gb are pushed through to Arkivum directly from Pure, therefore, the datasets are required to be uploaded to Pure in the first instance. If

the dataset is to be made openly available, the Research Support team will provide a DOI for the dataset that can then be used in all submitted manuscripts for publication. Datasets that are over 1Gb need to be uploaded directly to Arkivum, individual support will be provided when needed to undertake this process by the Research Support Team. The data must include appropriate descriptive metadata, and, if necessary, accompanying explanatory documentation, in addition to the following fields in order to comply with [OpenAIRE](#).

- Title
- Description
- Publisher
- DOI
- People: add a person with the role Creator
- Date made available: add year, month and day.
- License

Datasets within the university's central storage solution will be subject to review after ten years following date of deposit. The review will be undertaken by the researcher and the Head of REF & Research Support. In the absence of the original researcher, an appropriate academic colleague will conduct the review with the Head of REF & Research Support.

If required because of the review, data may be securely destroyed or kept for a further ten-year period.

6.1   Rights to use and access research data

In determining access rights for research data, the legitimate interests of the subjects of research data must be protected. The rights of the public to access publicly funded research should also be considered. When open access to datasets is not legal or ethical, information governance restrictions on access and use must be applied as necessary.

All data collected should be in alignment with the Data Privacy Notice.

6.2 Data Sharing

Written agreements are required when personal data (any information relating to an identified or identifiable natural person) is passed from a data controller to a data processor or another data controller, or to a country not bound by the General Data Protection Regulation or equivalent privacy legislation. Written agreements are also useful when the data being shared although not personal data, are confidential or valuable to the parties involved.

A [Data Sharing Agreement](#) sets out the framework for the sharing of personal data. It documents the data being shared and the purpose for the sharing, providing the data controller and data processor with clear principles and procedures that both parties must adhere to.

A Data Sharing Agreement is mandatory for sharing University data to a third party, and you may need to contact Research Support to ensure that data transfers are compliant with data protection requirements and University guidelines.

If you are transferring data to an external body or third party, then a DSA will be required. If you are sharing data internally within the University, a formal DSA may not be required but please contact Research Support if in doubt.

6.3 Solutions for Data Management at UON

- Researchers have access to active research project space (specific directories) on SharePoint (each project should have a minimum of three spaces/directories – one for personally identifiable data, the second for the data and the third for a key to the data (contact faculty/institute research lead to arrange).
- Datasets should be deposited in PURE (or a link in PURE to the dataset in an existing data repository (e.g., Figshare, Zenodo or another university's repository) on completion of research project, prior to the submission of any

research outputs for publication.

- Long term digital preservation is achieved through Arkivum, which is manged by the Research Support Team, who will action after dataset has been deposited in PURE.

7.0   ABBRIEVIATIONS

- RDM – Research Data Management

- DMP - Data Management Plan

- OA – Open Access

- Pure – Current Research Information System

- Arkivum – Current Digital Preservation System

- OpenAIRE - Non-Profit Partnership of 50 organisations, established in 2018 as a legal entity, to ensure a permanent open scholarly communication infrastructure to support European research.

8.0   ASSOCIATED DOCUMENTS

- Research Ethics Code & Procedures
- Research Misconduct Policy
- Academic Integrity and Misconduct Policy
- Records Management Policy
- Research Privacy Policy Notice
- Data Sharing Agreement
- University Strategic Plan
- University Publications Policy
- FAIR Principles
- DORA (Declaration on Research Assessment) – UON is a signatory.

9.0   VERSION CONTROL

Version Control	V4	Approval record	
Author:	Dawn Hibbert/Cathy Smith; Head of REF and Research Support and Dean of Research and Knowledge Exchange	Approval:	RAKE 07.07.21
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Record of Amendments

Date	Version number	Details of Change	Approval