Research Data Management Policy

Introduction

This policy applies to all research, funded or unfunded, created by UEL academics and research postgraduate students. It applies to all disciplines, including those in the arts and creative areas.

The University of East London (UEL) recognises that quality research demands effective data management in the support of academic integrity, openness, and good information governance. UEL will ensure that research data is managed to high standards throughout the research data lifecycle [i] as part of its commitment to academic excellence. This policy will ensure that UEL acts in accordance with UK Research and Innovation's *Common principles on data policy* [ii] , requirements of funding bodies, and general best practice.

It should be viewed in conjunction with the Code of Practice for Research Ethics, the Policy on Intellectual Property, the Data Storage & Retention Policy, and the Open Access Policy.

Definition

Research data is defined as information or material captured or created during the course of research, and which underpins, tests, or validates the content of the final research output. The nature of it can vary greatly according to discipline. It is often empirical or statistical, but also includes material such as drafts or prototypes that underpin creative or 'non-traditional' outputs. Research data is often digital, but includes a wide range of paper-based and other physical objects. Examples include, but are not limited to, the following:

- Statistical data held in spreadsheets or databases
- Test, survey or questionnaire responses
- Interview transcripts
- Notebooks and fieldbooks
- Laboratory test results
- Prototypes
- Audio and video recordings
- Photographs
- Specimens or samples
- Artefacts
- Algorithms and scripts
- Drafts or earlier versions of creative outputs, such as works of art or musical compositions

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Research Data Management

1. Research data created by UEL staff and research postgraduates must be managed in compliance with UK Research and Innovation's *Common principles on data policy* and other relevant community standards throughout the research data lifecycle as part of UEL's commitment to academic excellence.

2. Primary responsibility for compliance with this policy lies with Principle Investigators (PIs) or UEL lead investigators where the PI is not employed by UEL. For research postgraduates, primary responsibility lies with the student themselves.

3. Directors of Research will support and advocate for compliance with this policy. They will make arrangements for stewardship of datasets in the absence of PIs.

4. Library & Learning Services provide advice and guidance on best practice for managing research data and adhering to funder requirements and the requirements of this policy.

5. Library & Learning Services, supported by IT Services, provide the systems and technical infrastructure required to support this policy. This comprises UEL's research data repository (data.uel), as well as data backup and archiving. This infrastructure ensures the long term integrity of UEL's research data and ensures that funder requirements for secure storage and sharing of data can be fully met.

Data Management Plans

6. Any research that generates empirical or statistical datasets or any other type of digital object must have a data management plan (DMP). All externally-funded research must have a DMP if required by the funder. A DMP is strongly advised for all other research. The completion of a DMP is the responsibility of the PI.

7. Any research that requires approval from the University Research Ethics Committee must have a DMP. This is a mandatory condition of the ethics approval process.

8. Research postgraduates must create a DMP if their research will generate empirical or statistical datasets or any other type of digital object. DMPs are strongly advised for all research conducted by research postgraduates. Responsibility for this lies with the student.

9. DMPs for funded research should adhere to the requirements of the funding body. Unless other guidelines from a funding body apply, DMPs should adhere to the guidelines in Annex A of UKRI's *Common principles on data policy*. Library & Learning Services provide advice on DMP best practice.

10. Library & Learning Services and Research & Development Support (ReDS) must be provided with access to a copy of all DMPs.

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Management of 'live' research data

11. Anyone engaged in research at UEL must take all appropriate steps to ensure the security and integrity of research data as it is generated and worked upon. Instructions and requirements documented in the DMP must be adhered to at all times. Library & Learning Services and IT Services provide advice and guidance on management of live research data.

Depositing research data

12. Depositing data has important benefits for researchers, UEL, and the wider scholarly community. Deposited data is protected and safeguarded, ensuring it is available for future consultation or reuse.

13. All data must be deposited in a data repository where appropriate and the depositing arrangements specified in the DMP must be adhered to. Library & Learning Services provide further advice on whether it is appropriate for data to be deposited.

14. Data should be deposited in UEL's data repository (data.uel) unless an external repository has been specified by a research funder, or unless the PI or research postgraduate wishes to deposit in an alternative repository (e.g. a discipline-specific repository). Library & Learning Services must be informed of all datasets deposited somewhere other than data.uel so that a record linking to that dataset's location can be created.

15. Data should be deposited as soon as is practicable after the completion of the research and generally no later than the publishing of the results. Any timescales for upload imposed by external funders must be adhered to. It is recognised that time may be required to prepare data for deposit (e.g. to carry out anonymisation), but this must not unduly delay the deposit of the data, or its release where appropriate.

16. Researchers are responsible for preparing research data for depositing. Library & Learning Services provide advice about preparation.

17. Where UEL is not the lead institution, it is expected that the lead institution will take responsibility for depositing the data in an appropriate repository. UEL will not add a duplicate of the dataset to data.uel, but will create a record linking to the dataset's location.

18. A Digital Object Identifier (DOI) will be assigned to datasets stored on data.uel to enable effective citation, discovery, and access. Data will be linked to relevant outputs in UEL's open access publications repository, ROAR.

19. There is a presumption of releasing data created at UEL, with appropriate safeguards, in order to meet regulatory and contractual requirements. All data should be fully released, with appropriate safeguards, including secure dissemination, unless there are specific reasons to prevent this.

20. Personal or sensitive data must be anonymised where it is appropriate for release in other respects. It is recognised that there will always be some data too sensitive for general release, even with anonymisation. The UEL Data Protection Officer provides advice and guidance on what is inappropriate for general release.

21. In all cases, the legitimate interests, rights, and freedoms of participants must be protected in line with data protection legislation and research ethics approval.

22. Library & Learning Services supports researchers in creating appropriate and high quality metadata, which will enable other researchers to understand the research and the re-use potential of the data. Where data cannot be made available openly, the metadata should state the reasons why.

23. Data must be appraised (reviewed) at the end of the research project and every 5 years thereafter, unless another timescale is specified by the research funder, until the data are transferred or destroyed. PIs are responsible for ensuring this is carried out and for taking any decisions about whether data should be transferred or destroyed. If the PI has left UEL, this responsibility will fall to the relevant Director of Research. Advice may be sought from Research and Development Support (ReDS), Library & Learning Services, and UEL's Data Protection Officer. In any cases where there is disagreement over whether data should be destroyed, the Pro-Vice Chancellor (Impact & Innovation) will take the final decision.

24. Library & Learning Services will assist PIs in transferring data to external services where appropriate and record any transfers and destruction of datasets.

25. Exclusive rights to reuse or publish research data should not be handed over to commercial publishers without retaining the rights to make the data openly available, unless this is a condition of funding.

26. Library & Learning Services will provide reporting on this policy and its implementation to the Research & Knowledge Exchange Committee and other bodies as appropriate.

27. All UEL-led research, regardless of format, duration, funding, or collaboration must adhere to all relevant UEL policies. Failure to do so may result in the removal of ethics approval, support, or the premature closure of a project.

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[i] Digital Curation Centre (n.d.) *DCC curation lifecycle model*. Available at http://www.dcc.ac.uk/resources/curation-lifecycle-model

[ii] UK Research and Innovation (2015) *Common principles on data policy*. Available at https://www.ukri.org/funding/information-for-award-holders/data-policy/common-principles-on-data-policy/