

# RESEARCH DATA MANAGEMENT POLICY

October 2021

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<b>Document title</b>	
Research Data Management Policy October 2021	
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<b>Approving body</b>	
URIC, Academic Council, UEB.	
<b>Date of approval</b>	
4 October 2021 (UEB)	
<b>Review date</b>	
September 2025	
<b>Edition no.</b>	
2	
<b>ID Code</b>	
167	
<b>Date of effect</b>	
7 October 2021	
<b>EITHER</b> For public access online (internet)?	<b>YES</b>
<p>External queries relating to the document to be referred in the first instance to the Corporate Governance team: email <a href="mailto:corporate-governance@port.ac.uk">corporate-governance@port.ac.uk</a></p> <p>If you need this document in an alternative format, please email <a href="mailto:corporate.communications@port.ac.uk">corporate.communications@port.ac.uk</a></p>	

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<http://policies.docstore.port.ac.uk/policy-167.pdf>

# Summary

## What is this document about?

Research Data Management, including archiving, long-term preservation and open access.

## Who is this for?

This policy applies to all University of Portsmouth research.

## How does the University check this is followed?

Research publications produced by University of Portsmouth researchers must be registered with the Pure online system in order for them to be eligible for the next Research Excellence Framework (REF). The Library systematically checks whether the underlying research data set/s related to these publications have also been made open access. They contact the authors if a data availability statement (or equivalent) and/or the data set/s appear to be missing.

## Who can you contact if you have any queries about this document?

Research Data Officer - Gary Pike, [researchdata@port.ac.uk](mailto:researchdata@port.ac.uk)

## Executive summary

The Research Data Management (RDM) Policy sets out the University's expectations for staff when managing research data. The main points of the policy are:

- that appropriate RDM planning takes place,
- Data Availability Statements (or equivalent text) are included for all research outputs,
- a new UoP Research Data Archive has been set up to preserve data centrally,
- that data sharing be enabled whenever possible.

# Research Data Management Policy: A Summary

## Introduction

Given current trends in data management practices, the process of data management is becoming increasingly important. Whilst this is placing increased burdens on academic research, it also offers additional opportunities for demonstration of best practice and research environment both for the University and also for the individual.

For example, where applicable, making data openly and publicly available offers the potential to demonstrate additional impact from the research, on the wider academic community and also beyond. As the activity of data management becomes more important this will also become more explicitly recognised in Performance Development Reviews (PDRs), annual research reviews and annual PhD reviews.

In addition to helping demonstrate good practice in terms of research design, it is also recognised in the San Francisco Declaration on Research Assessment (DORA) that the value of and impact of all research outputs including datasets and software as well as publications should be acknowledged.

## Overview of Key Policy Points

- a. There is now a need to include a **Data Availability Statement** (or equivalent wording/information in a data/methods/acknowledgement section) in all papers, whether or not the journals require them.
- b. **Data sharing where possible/applicable is a requirement for data held by UoP.** The minimum requirement is metadata necessary for reproduction of research results, with the best practice recommendation being making research data publicly and openly available to maximise the benefit for the academic and the institution. Depending on the subject area a publication in a data journal describing a dataset may be appropriate.
- c. **Data deposition information must be made discoverable in Pure** if the data are deposited externally.

## Definitions

For the purpose of this Policy, these terms are defined as follows:

A '**Data Management Plan**' (**DMP**) typically states what research data are likely to be created as a result of certain research activities and outlines the plans for data collection, storage, processing, preservation, sharing/dissemination, and eventual (possible) destruction of such research data.

A DMP might take the form of a stand-alone document or be part of a research funding application or research design protocol (for ethical review). It should be considered a living document, subject to necessary changes, for the duration of a project. For simple projects a DMP will likely be brief. For more complex projects it may act as an overview or index document for all the necessary DM processes.

'**Open Access**' (**OA**) means that research data are made available such that they can be accessed and used by the general public and other organisations, without cost to the user.

The '**UoP Data Steward**' is the most senior University of Portsmouth Researcher (staff member) associated with the research data (but not necessarily responsible for the OA requirements). The Data Steward should be identified in the DMP. This is typically the Principal Investigator (PI) or, for a larger body of research work, it may be the Research Lead (e.g. Professor of the research team), or in the case of postgraduate research student (PGRS) projects it is typically their (First) Supervisor. In terms of the consequent data management responsibilities:

- a. If you, as a UoP employee, **are the holder of the data**, then you must hold the data in OA accessible format and are responsible for the data for data management purposes
- b. If you (as the UoP academic) **are the corresponding author** for published work, then you either must hold the data (in OA accessible format) yourself, or have a formal agreement with the holder of the data to be able to access it for data management purposes.
- c. If you are **neither** the corresponding author **nor** have agreed access to data for DM purposes, then you are not responsible for the DM OA requirement.
- d. If you are the UoP Data Steward because of your role as the First Supervisor of a PGRS, the Data Steward role is to promote good research practice and, in consultation with the PGR, endeavour to ensure that the relevant policies and processes (UoP/funders/other external) are followed by the PGRS (e.g. as demonstrated at major and annual review).

The '**Regulatory Environment**' includes all applicable legislation, contractual or funder obligations, and ethics and other policy requirements. Examples of items to be considered within the regulatory environment include – but are not limited to – the following:

- **Legislative:** Data Protection Act 2018, UK GDPR and the EU GDPR, as well as the Freedom of Information Act 2000.
- **Contractual:** Funding terms and conditions, collaboration agreements (e.g. with external companies or other institutions), third party licenses (e.g. when reusing data generated elsewhere), material transfer agreements, confidentiality agreements, and studentship agreements.
- **Ethical:** Ethical review procedures, and participant consents. (See Related Guidance Resources section.)
- **Policies:** University policies (see Related Policies section) and relevant funder/collaborator policies.

It also includes the UK Research Integrity Office's (UKRIO) Code of Practice for Research, which has been adopted by the University, and the San Francisco Declaration on Research Assessment (DORA), of which the University is a signatory.

**'Research'** (in accordance with the Research Excellence Framework (REF) 2014 definition) means a process of investigation leading to new insights.

It includes work of direct relevance to the needs of commerce, industry, and to the public and volunteer sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction.

It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research.

**'Research Data'** are information created or collected in pursuit of research activities, which may be in digital or physical formats. All subject areas and disciplines have research data.

This includes all data that has been collated and transformed (e.g. placed in databases for analysis), and in general all data and metadata upon which the process of research has actively impinged and is necessary for reproduction of the research activity.

This includes all definitive records of information collected from and about living human subjects\*, all experimental and survey results data, all records of relevant ephemeral events (performances, exhibits, etc).

\*NB: To enable the sharing of research data involving personal data, such data (as applicable) should be anonymised, either at the point of collection or as part of the processing. The GDPR/DPA2018 does not apply to anonymised data or data once anonymised, but does apply to the process of anonymisation, and therefore consent to the anonymisation of their data should still be obtained from participants.

It excludes research notes (except when these are the primary location of types of data defined above), transcriptions of information that remains accessible elsewhere in a digital format, and in general any records of information that would be accessible to a third party by following information provided in footnotes or references to the published research.

## The Policy

### 1. What does this Policy apply to?

This Policy applies to all University of Portsmouth research.

### 2. Responsibility:

The UoP Data Steward is ultimately responsible for the management of UoP-held research data throughout all stages of research.

### 3. Regulatory Environment:

The Data Steward is responsible for ensuring that the research adheres to all applicable requirements and conditions imposed by the Regulatory Environment.

### 4. Planning:

The Data Steward must ensure that research data management planning takes place. This typically involves making a Data Management Plan.

### 5. Costs:

Where possible, the Data Steward must seek to recover the direct costs of managing research data from an external research funder.

When the research project is not externally funded it is acknowledged that there is an opportunity cost to data management activities. It is hoped, however, that these will be counterbalanced by the opportunities to demonstrate good research practice that will be created (e.g. in terms of additional data citations and data journal publications) and that such activity will become more explicitly recognised in PDRs and annual research reviews etc. (e.g. through the inclusion of evaluation of the quality of publications in data journals when assessing research workload allowances).

### 6. Active Research Data:

The UoP Data Steward must ensure that 'active' research data held by UoP are stored securely and protected from loss, unlawful or unethical access, and in accordance with all other applicable requirements of the Regulatory Environment.

### 7. Data Availability Statements and Publications:

The Data Steward must ensure that a statement describing research data availability is included in research publications and other relevant outputs. It is recognised that some journals do not have dedicated sections for statements, so as a minimum it may be necessary to include equivalent text in a data/methods section (most obviously), acknowledgments section, footnotes or their equivalents.

Data Availability Statement types (sometimes also referred to as Data Access Statements or similar variations):

- i) There are no new data.
- ii) The data or references/link to secondary datasets are contained within the paper itself.
- iii) The data (and how to access them) are available, for example by providing a DOI link or repository information for physical samples.

For **best practice** it is suggested that supplementary information be allocated a DOI and linked in the data statement. This practice gets around the issue of supplementary information being trapped behind a subscription paywall when only the post-print is accessible via the Green OA route. A data paper published in a data journal may also be appropriate for some datasets.

iv) Data are available, but access is restricted: state the reason(s) for the restriction and how access can be obtained<sup>1</sup>.

**(Key Policy Point A)**

**8. Archived Research Data:**

i) The Data Steward must ensure that research data held by UoP are archived for long-term preservation and (as far as possible) made OA if they substantiate published research findings, are of potential long-term value, and/or retention is a requirement of the Regulatory Environment. **(Key Policy Point B)**

ii) When making such research data OA, the Data Steward must ensure the research data (e.g. files) are stored in either an established subject specific repository or in the University's own research data repository.

iii) When making such research data open access, the Data Steward must ensure that data are discoverable from the University's own online research data repository, regardless of whether the research data themselves (e.g.files) are stored in the University's repository or elsewhere. (A DOI will be allocated for dataset entries validated in Pure.) **(Key Policy Point C)**

iv) When making research data OA, the Data Steward must ensure that such research data are assigned a license that enables the data to be reused and shared by others under as permissible terms as the Regulatory Environment will allow.

v) The Data Steward must ensure that such research data are made discoverable and accessible with first publication of research findings based on the research data, or within 12 months of project completion, whichever is sooner.

vi) Unless the applicable Regulatory Environment specifies otherwise, such research data must be retained for a minimum of ten years in accordance with the University's Retention Policy and schedule.

vii) For staff leaving the University who need to archive research datasets please contact [researchdata@port.ac.uk](mailto:researchdata@port.ac.uk).

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<sup>1</sup> This type of DAS may be relevant in instances where there is a lag between first paper publication and publication of a monograph (during which time it might be to the detriment of the academic for data that will form the core of the monograph to be shared widely).

In such instances the academic should note that access to the full data set will be made available following publication of the monograph/book (likely in 20XX), and all interim data requests should be made directly to NAME (name of the author who is the Data Steward).

## Related Policies and External Motivators

[Copyright Policy](#)

[Data Protection Policy](#)

[Ethics Policy](#)

[ICT Acceptable Use Policy](#)

[Information Governance Policy](#)

[Information Security Policy](#)

[Intellectual Property \(IP\) Policy](#)

[Procedure for the Investigation of Allegations of Misconduct in Research](#)

[Retention Policy](#) & Retention Schedule: [7. Project Records](#) (see 7.3.2 Research & Innovation Data and Related Project Documentation)

[Staff Access To University Facilities and Leavers' Procedures](#)

### **External:**

[Concordat on Open Research Data](#)

[FAIR Data Principles](#)

[San Francisco Declaration on Research Assessment \(DORA\)](#)

[UKRI Common Principles on Data Policy](#)

[UKRIO Code of Practice for Research](#)

## Related Guidance Resources

[General Data Protection Fact Sheet Number 7](#)

[UoP Library Research Data Management page](#)

[UoP Research Ethics](#)



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