

| <b>Research Data Management Policy</b> |  |
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| <b>Operational Owner:</b>              | Open Research Manager and Research Data and Preservation Manager   |
| <b>Executive Owner:</b>                | Pro-Vice-Chancellor, Research and Innovation   |
| <b>Effective date:</b>                 | July 2021  |
| <b>Review date:</b>                    | July 2024, unless guided otherwise by legislation or good practice   |
| <b>Related documents:</b>              | <p><b>University Policies</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Code on Good Research Practice</a></li> <li>• <a href="#">Copyright Policy</a></li> <li>• <a href="#">Data Protection Policy</a></li> <li>• <a href="#">Ethics Policy</a></li> <li>• <a href="#">Export Controls Policy</a></li> <li>• <a href="#">Information Security Policy</a></li> <li>• <a href="#">Intellectual Property Code (including Patents)</a></li> <li>• <a href="#">IT Acceptable Use Policy</a></li> <li>• <a href="#">Open Access to Research Outputs</a></li> <li>• <a href="#">Open Research Position Statement</a></li> <li>• <a href="#">Security-sensitive Research Policy</a></li> </ul> <p><b>University guidance and tools</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Information Governance</a></li> <li>• <a href="#">IT Services</a></li> <li>• <a href="#">Library Open Research pages</a></li> <li>• <a href="#">RIGO (Ethics)</a> (internal staff only)</li> <li>• The <a href="#">Technology Transfer Office</a> pages</li> </ul> <p><b>Further guidance and tools</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Digital Curation Centre</a></li> <li>• <a href="#">DMPOnline</a></li> <li>• <a href="#">JISC's RDM Toolkit</a></li> <li>• <a href="#">Software Sustainability Institute</a></li> <li>• <a href="#">UK Reproducibility Network</a></li> </ul> |

### Approval History

| <b>Version</b> | <b>Reviewed by</b>   | <b>Brief reason for review</b>   | <b>Approved by</b>   | <b>Date</b>      |
|----------------|--|--|--|------------------|
| 1              | Research Data and Preservation Manager and Open Research Manager | The Open Research Policy has been replaced by the Open Research Position Statement. This policy outlines requirements and responsibilities regarding <i>research data</i> . These requirements are aligned with funders' research data policies. | Pro-Vice-Chancellor, Research and Innovation and Director of the Library and Learning Support Services | <b>May 2021</b>  |
| 1              | URIC   | The Open Research Policy has been replaced by the Open Research Position Statement. This policy outlines requirements and responsibilities regarding <i>research data</i> . These requirements are aligned with funders' research data policies. |  | <b>May 2021</b>  |
| 1              |  | Approved   | Senate   | <b>June 2021</b> |

## 1 Introduction

### 1.1 Purpose

- 1.1.1 The University of Surrey is committed to openness in research, as articulated in our [Open Research Position Statement](#), which serves as an overarching framework for the current policy. We recognise the role of open research data in advancing scholarship, demonstrating academic integrity, and increasing transparency in research. Good practices in the management, dissemination, and preservation of research data are vital to a culture of open research. The University is committed to fulfilling compliance requirements around research data from third parties such as funders, publishers, government agencies, and external sponsors (see 3.5 legislative context).

### 1.2 Scope

- 1.2.1 This policy applies to all research data regardless of whether the research is funded or unfunded. It applies to all researchers but is unlikely to apply to undergraduate research except in exceptional circumstances (e.g. contributions towards publishable research).

### 1.3 Definitions

**Data Management Plan.** A document addressing how research data will be captured, managed, stored, shared, and published, and how the integrity, security, and confidentiality of data will be maintained. It should be updated as necessary throughout active research projects.

**Metadata.** Any documentation and descriptive information relevant to research data and research conclusions can be considered metadata. Some scholarly communities may have formal metadata standards for research data, which researchers should follow when appropriate. Metadata records in this policy refer to descriptive information about research data that is held by the Library to facilitate discoverability, sharing, and retention.

**Open Access repository.** An Open Access repository is an online database of research outputs, configured to support the storage, online discovery and machine-readability of its content. Institutional repositories, such as the University of Surrey Open Access repository, hold the research outputs of their institution. They can include publications, theses, research data and other research outputs; Open Access as well as restricted items; and full texts as well as bibliographic records. Subject or disciplinary repositories, such as PubMedCentral, can host outputs from several institutions.

**Research data.** The University of Surrey considers research data to be any material collected, observed, processed, or created for the purpose of analysis and on which research findings and outputs are based. This includes data and documentation which is commonly accepted in the scholarly community as necessary for validation or replication of research findings. Research data may be in digital or non-digital formats.

**Researchers.** The University of Surrey defines researchers as members of the University, including staff, doctoral and postgraduate students, visiting researchers, and those who conduct research on University premises, use University facilities for research, or work on University research projects.

## 2 Policy Principles

- 2.1 Research data will be managed throughout the research data lifecycle in accordance with other University policies and legal, funder, regulatory, and ethical requirements. Researchers are expected to manage and respect any confidentiality, privacy, national security, indigenous rights, and intellectual property aspects of their research data.
- Principal investigators are responsible for ensuring all members of the research team abide by the University's research data management requirements, including making sure all members of the research team are aware of and abide by any applicable data management plans created.
- 2.2 Any research activity where research data may be created or re-used should include at the outset a data management plan. These plans are to be updated and maintained during the life of the research project.
- Researchers, in particular principal investigators, are responsible for creating and updating a research data management plan for research projects in accordance with funder and university expectations.
- 2.3 For data underpinning published research findings, reasonable efforts should be made to make them available for access and re-use with as few restrictions as possible, where legally, ethically and commercially appropriate. This should be done in a timely manner, no later than 12 months after publication or as soon as required by publishers and funders.
- 2.4 Where it can be made accessible, research data should be deposited in a data service, disciplinary data repository, or the University's Open Access repository as appropriate.
- Researchers are responsible for identifying, preparing, and transferring data for sharing and/or preservation to appropriate repositories, including the University's repository. In special cases, Library and IT Services may facilitate transfer and dissemination (e.g. very large datasets or sensitive data).
- 2.5 Unless explicitly stated in a collaborative contract where Intellectual Property Right (IPR) or data responsibility is retained by another institution, all research data must be registered with the University by creating a metadata record in the University's repository, even if the data is hosted elsewhere (e.g., in a third-party repository).
- Researchers are responsible for registering their research data by creating a metadata record in the University's repository or by sending a link to an existing repository record to the Library's Open Research team. Metadata and data records created in the University repository are considered registered. The Library will be responsible for holding and making publicly available these metadata records.
- 2.6 Research data that substantiate research findings or is of long-term value should be preserved in an appropriate format with adequate documentation for verification and reuse for a minimum of 10 years from project end or as long as is mandated by funder, ethical, legal, or regulatory requirements.
- 2.7 A data access or availability statement should be included in published papers. It should describe where and on what terms supporting research data may be accessed.

### **3 Governance Requirements**

#### **3.1 Implementation / Communication Plan**

- 3.1.1 The policy will be publicly available on the [University of Surrey's policy website](#). It will also be promoted via news posts, presentations, and direct communication with relevant staff.
- 3.1.2 Implementation of the policy will be supported by policy specific guidance on the Library's Open Research website, including links to other relevant guidance, e.g. Research Integrity and Governance Office, Data Protection, IT Services, funders policies, etc.
- 3.1.3 The Open Research team, based in the Library, will provide advice, guidance, support, and training on all elements of research data management and open data before, during, and after research is undertaken.
- 3.1.4 Heads of Departments/Schools and others responsible for research staff and students are responsible for ensuring that researchers in their areas are aware of the University's policy and supporting guidelines and procedures regarding research data management.
- 3.1.5 IT Services are responsible for providing technical infrastructure for the storage and backup of research data during active research as appropriate.

#### **3.2 Exceptions to this Policy**

- 3.2.1 Research data subject to funder, regulatory, and contractual requirements should be managed according to those requirements and any exceptions should be approved by the sponsor, funder, or relevant authority. This policy applies in the absence of any superseding requirements or contracts. External researchers may be exempted from this policy with approval from the relevant principal investigator.

#### **3.4 Review and Update**

- 3.4.1 This policy should be reviewed every 2 years, unless changes in regulations, other policies or improvements to its implementation require an interim update. Minor interim changes such as change of a role title or other titles or names or typos, which do not change the meaning of the policy will be handled by the operational owner. Major changes, i.e. anything that alters the meaning of the policy or are substantial, will be submitted via the full approval route.

#### **3.5 Legislative context**

Many funders and charities have policies that apply to universities and researchers. UK Research and Innovation (UKRI) expects researchers to comply with a set of principles surrounding research data management and open data. This includes the Concordant on Open Research Data (<https://www.ukri.org/files/legacy/documents/concordatonopenresearchdata-pdf/>). UKRI also has a Common Principles on Research Data (<https://www.ukri.org/wp-content/uploads/2020/10/UKRI-020920-GuidanceBestPracticeManagementResearchData.pdf>)

Individual research councils have published clear expectations of organisations in receipt of research funding regarding research data management. These individual policies are meant to be understood in conjunction with the Concordant on Open Research Data and UKRI's Common Principles on Data Policy. Similarly, Wellcome Trust is a signatory of the Concordant on Open Data and has its own outputs policy.

<https://www.ukri.org/apply-for-funding/before-you-apply/your-responsibilities-if-you-get-funding/making-research-data-open/>

#### **BBSRC**

<https://bbsrc.ukri.org/about/policies-standards/data-sharing-policy/>

#### **CRUK**

Data Sharing and Preservation strategy:

<https://www.cancerresearchuk.org/funding-for-researchers/applying-for-funding/policies-that-affect-your-grant/submission-of-a-data-sharing-and-preservation-strategy>

#### **EPSRC**

Principles: <https://epsrc.ukri.org/about/standards/researchdata/principles/>

Expectations: <https://epsrc.ukri.org/about/standards/researchdata/expectations/>

#### **ESRC**

<https://esrc.ukri.org/funding/guidance-for-grant-holders/research-data-policy/>

#### **European Commission**

All Horizon 2020 projects are subject to the Guidelines on FAIR Data Management:

[https://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/oa\\_pilot/h2020-hi-oa-data-mgt\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf)

#### **MRC**

Good Research Practice Guidance: <https://www.mrc.ac.uk/documents/pdf/good-research-practice-guidelines-and-standards/>

Sharing of Research Data from Population and Patient Studies:

<https://www.mrc.ac.uk/publications/browse/mrc-policy-and-guidance-on-sharing-of-research-data-from-population-and-patient-studies/>

Data from Clinical Trials and Public Health Intervention Studies:

<https://www.mrc.ac.uk/research/policies-and-guidance-for-researchers/open-research-data-clinical-trials-and-public-health-interventions/>

#### **NERC**

Data Policy Guidance:

<https://nerc.ukri.org/research/sites/environmental-data-service-eds/policy/datapolicy-guidance/>

Data Value Checklist:

<https://nerc.ukri.org/research/sites/environmental-data-service-eds/policy/data-value-checklist/>

#### **STFC**

<https://stfc.ukri.org/about-us/our-purpose-and-priorities/requesting-information-from-uk-research-and-innovation/scientific-data-policy/>

#### **Wellcome Trust**

Data, Software and Materials Management and Sharing policy:

<https://wellcome.ac.uk/grant-funding/guidance/data-software-materials-management-and-sharing-policy>

### **3.6 Stakeholder Statements**

A stakeholder analysis has been conducted and will be submitted alongside the policy.

3.6.1 Equality: There are no adverse impacts on different equality groups for this policy.

3.6.2 Health & Safety: There are no health and safety implications for this policy.