Edinburgh Napier University

Research Data Management Policy

Introduction/Rationale

Edinburgh Napier University (the University) is committed to delivering excellent research and, as research data is at the very core of evidencing research quality and integrity, it is vital that robust research data management, open data policies and procedures are in place to ensure that research conducted by, and under the auspices of, Edinburgh Napier University meets the highest standards to comply with legislative, regulatory, audit, funding body, partner (stakeholder) and internal requirements.

This policy underlines the University's commitment to the Universities UK Concordats on open research data and research integrity, by highlighting the importance of the management of research data to good governance and best practice.

Further to this, in line with the UK and Scottish Government' research funders (such as UK Research and Innovation, Horizon Europe and UK research charities) commitment to open data and to ensuring that the outputs from research are freely accessible, the University requires research data to be managed efficiently and effectively to facilitate such use, sharing and publication as appropriate to ensure the maximum benefit is derived from any research undertaken under its auspices.

Scope of Policy

This policy applies to all researchers and support staff employed to conduct research and innovation activities under the auspices of the University and to all research data regardless of how it is funded. It includes research undertaken by research postgraduate students.

This policy covers all data, information and records created, received, and maintained during research activities, in any format whether physical and electronic. These might be quantitative information or qualitative statements collected by researchers in the course of their work by experimentation, observation, modelling, interview or other methods, or information derived from existing evidence. Data may be raw or primary (e.g. direct from measurement or collection) or derived from primary data for subsequent analysis or interpretation (e.g. cleaned up or as an extract from a larger data set) or derived from existing sources where the rights may be held by others.

They may include statistics, instrument measurements, collections of digital images, sound or video recordings, transcripts of interviews, survey data and fieldwork observations with appropriate annotations, an interpretation, an artwork, archives, found objects, published texts or manuscripts, simulation data, models & software, slides, physical artefacts, specimens, samples, questionnaires, sketches, diaries, lab notebooks, social media data, etc.

Policy Aims and Objectives

• To ensure that all colleagues dealing with research data recognise their responsibilities and the obligations placed on them and the University by stakeholders;

• To promote open access to research data to support collaboration;

• To ensure that the University fully complies with the requirements of specific funding bodies.

Policy Statement

All research data created during research and innovation activities, whether internally, unfunded, or externally funded, must be created, received, and maintained in accordance with associated policies and procedures and as defined in ENU's Responsibilities guidelines.

A Research Data Management plan (DMP) or a declaration stating no data will be generated must be submitted as part of the project proposal for ALL research projects. The DMP must adhere to the requirements of the University using templates and guidance provided by the University, whether or not required by external funding bodies. Where specifically required by funding bodies, the Research Data Management Plan must meet the requirements of both the University and funding bodies.

Intellectual property, copyright and/or rights to re-use/share the data remain with the University (as per the Intellectual Property policy) unless otherwise dictated by the funding body and agreed by the University.

If researchers/employees leave the University, data and records relating to any research conducted under the auspices of the University remain the property of the University. Remaining data files should be assigned a data custodian responsible for the management or the data.

Where the Principal Investigator and the grant transfer to another institution during a project, the University will normally accord the rights for the data and records generated up to that time to transfer as an integral part of the research but will retain a copy as part of its own research record.

New employees bringing with them existing research contracts are required to comply with the University's policy on research data and records from the commencement of their employment.

Responsibilities

The most senior Edinburgh Napier University researcher associated with a research project is the Principal Investigator, unless specified otherwise on the funding application, for that project and is ultimately responsible for research data management and planning including making research data open.

In the case of a PhD project, the Director of Studies is responsible. It is their duty to ensure that all members of the research team with access to the research data adhere to good research data management practice.

In the case of collaborative projects, if the Principal Investigator is based elsewhere, the lead researcher at Edinburgh Napier University must take responsibility for all data generated here.

Throughout the lifecycle of the research data, researchers and support staff involved in the management of the data must ensure that the following principles are adhered to in order to achieve the objective of the capture and maintenance of authentic, reliable, open and re-useable data:

1. Researchers must comply with funder data management requirements and are responsible for making themselves familiar with and adhering to legislation (including data protection and trusted research), contractual obligations and funder policies governing their research data.
2. Ensure they undertake training and cognisance of the guidance and support as offered by the University.
3. Seek to recover the direct costs of managing research data from the research funder where possible.
4. Researchers must ensure that active research data are stored securely and protected from loss. University approved systems such as the University networked storage system must be used for storing research data in both original and processed formats. The University has created a central research data file store for this purpose and will provide advice on technical solutions for research data storage and archiving.
5. Ensure that Metadata describing the structure and content of the data is routinely created and updated, whether manually or automatically, for project continuity purposes in line with University metadata standards and conventions guidance. At the end of the project, researchers will ensure that appropriately structured metadata describing the research data they hold is published (normally within 12 months of the data being generated) and made freely accessible on the internet.
6. Ensure data is stored for a period at least as long as that required by any funder or sponsor of the research. Research data must be retained after project completion if they substantiate research findings, are of potential long-term value or support a patent for at least 10 years.
7. Ensure research data that have been selected for retention are made openly available with as few restrictions as possible, unless this would breach legislative, regulatory, contractual, ethical or other obligations, or where the cost of doing so

would be prohibitive. Wherever possible, potential restrictions on data should be described in the project's data management plan.

8. Register all research data to be openly discoverable with the repository within the University Research Management System, Worktribe, whether they are hosted by the University or maintained elsewhere, even if access to the data is restricted. It is important that the metadata is open even if the datasets themselves cannot be made freely available to comply with FAIR data requirements (Findable, accessible, interoperable and reproducible).
9. Where you are not sure if data can be made available or if the data is restricted and there are concerns about a data access request you should contact RDM@napier.ac.uk for advice and if necessary to convene the University research data access committee to consider whether it is appropriate to share closed data with another organisation.
10. Datasets deposited in the repository should be accompanied with a readme file. A readme file provides information about a data file and is intended to help ensure that the data can be correctly interpreted, by yourself at a later date or by others when sharing or publishing data.
11. Those who have contributed to the collection and analysis should be acknowledged in the dataset/output record eg contribution tab in output record in Worktribe or through CRediT when available in external systems.
12. Datasets should be assigned a digital object identifier or DOI (the library can provide on request) and other persistent identifiers such as ORCIDs and grant IDs wherever possible and apply appropriate creative commons licenses to clarify ownership and use of data.
13. Ensure published research outputs reporting publicly funded research include a data access statement. This is a short statement describing how and on what terms any supporting research data or underlying research materials may be accessed. Underlying research materials are research data as defined in the Concordat on Open Research Data and can include code, software, numerical scores, textual records, images, sounds, objects and manuscripts. A data access statement should be provided on outputs, even where there are no data associated with the article or the data are inaccessible.
14. Ensure exclusive rights to re-use or publish research data are not handed over to commercial publishers or agents without retaining the rights to make the data openly available for re-use unless this is a condition of funding.

Principal Investigators (PIs)

PIs have primary responsibility for:

• Ensuring that a robust DMP plan is in place, prior to the start of the project (ideally at project planning/application stage) which is implemented and maintained throughout the course of the research project.
• Maintaining appropriate metadata and documentation throughout the lifecycle of the data as prescribed by the University.

• Ensuring staff designated with research data management duties have clearly defined and documented responsibilities which adhere to university guidance.
• Ensuring that they and staff with designated data management responsibilities adhere to the requirements for capturing and maintaining research data.
• Ultimate responsibility to ensure effective data curation throughout the lifecycle of the research data.

Deans of Schools

• Have overall responsibility for the management of research data generated by their School's research activities;
• Responsibility for appointing a replacement should the Principal Investigator leave the University before their duties relating to data management have been discharged;

The University
Edinburgh Napier University recognises its obligations to:

• Ensure that appropriate training, support and guidance is available to enable researchers to comply with this policy;
• Establish a register of research records as per the University guidance;
• Ensure that the necessary central support is available to researchers to facilitate consistent, compliant and best practice research data management; Central support will be provided across Research Innovation and Enterprise, Library Services and IT and Governance Services;
• Provide an institutional repository and appropriate services for the management of research data which will facilitate and enable the capture, storage, maintenance, use, re-use/ sharing/ publication and continuity of the data.
• Maximise the impact and public benefit of research by enabling publication of research data and its metadata via appropriate data repositories and data centres.
• Ensure that this Policy is communicated through publication, promotion, induction and review processes.

Implementation, Compliance and Monitoring

The University will monitor compliance with the DMP policy on an ongoing basis by random sampling. The University may take internal disciplinary action in the event of a breach of this Policy or of the associated legislation and regulation.

Links

• Research Data Management
• Data Protection Policy and Code of Practice
• Information Security Policy
• Records Management Policy
• Access to Information Policy
• Intellectual Property policy

Contact

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V2.0

Version control:

	section	change
V2.0	Introduction	Added references to concordat on open data, updated RCUK to UK Research and Innovation, added other funders - Horizon Europe and UK research charities
V2.0	Scope	Added more details on types of research data as defined in sector documents
V2.0	Policy statement	Minor changes to wording, addition of link to IP policy
V2.0	Responsibilities summary	Some working and formatting changes
V2.0	Responsibilities point 1	Added examples and links related to legal responsibilities
V2.0	Responsibilities point 2, 4	Added links to university guidance
V2.0	Responsibilities points 5-14	Reordered and added links. Addition of reference to FAIR, DOIs, readme files and CC licenses
V2.0	Links	Updated with new unbroken links
V2.0	Contact	Updated contact person