**NTU POLICY**

| Title: | RESEARCH DATA MANAGEMENT POLICY |
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| Approved By: | SENIOR MANAGEMENT TEAM |
| Approved On: | 30/06/2014 |

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## 1. DEFINITIONS

In this Policy, unless otherwise indicated:

1.1. "Principal Investigator (PI)" means the Nottingham Trent University (NTU) employee primarily tasked with delivering a programme of research on behalf of NTU, whether or not he/she is referred to as such in a research grant.

1.2. "Researcher" means any person undertaking research or involved in collecting, generating or creating Research Data, for or on behalf of NTU which shall include but not be limited to employees, workers, visiting researchers, postgraduate research students and the PI.

1.3. "Research Data" means information in digital, computer-readable format or paper-based that:

1.3.1. is contained or presented in various ways including notes, facts, figures, tables, images (still and moving), audio or visual recordings; and

1.3.2. is collected, generated or obtained during the course of or as a result of undertaking research (which includes but is not limited to conducting field or laboratory experiments, conducting trials, surveys, interviews, focus groups or analysis of data); and

1.3.3. is subsequently used by the Researcher as a basis for making calculations or drawing conclusions to develop, support or revise theories, practices and findings.

1.4. "Repository" means the repository or repositories which NTU owns or controls and makes available to Researchers for the storage of Research Data.

1.5. "Access" means methods, tools, software and devices to access the stored Research Data.

## 2      IMPLEMENTATION TIMELINES

The Senior Management Team and University Research Committee of NTU have approved this Policy on Research Data Management. It is acknowledged that complete implementation of this Policy by all researchers will need to be phased. The timing of this phasing will be determined by the mandated requirements of external funders of research activities at NTU.

## 3      UNIVERSITY POLICY

3.1      Research data will be managed to the highest standards throughout the research data lifecycle as part of the NTU's commitment to research excellence.

3.2      Responsibility for research data management through a sound research data management plan during any research project or programme lies primarily with the Principal Investigators (PIs).

3.3 All new research proposals, from 30 June 2014, must include research data management plans or protocols that explicitly address data capture, management, integrity, confidentiality, retention, access, sharing and publication.

    3.3.1 A data plan should be made for each proposed research project or funding application.

    3.3.2 Sufficient metadata should be created and stored to assist with discovery and reuse.

    3.3.3 The data plan should comply with relevant legislative frameworks such as (but not limited to) data protection, intellectual property, ethics and human rights.

    3.3.4 The data plan should evolve and be version controlled as the project develops.

    3.3.5 The final data plan should be retained within NTU alongside the project data outputs (in accordance with the Retention Policy).

3.4 NTU will provide training, support, advice and where appropriate guidelines and templates for research data management and research data management plans.

    3.4.1 NTU will provide mechanisms and services for storage, backup, registration, deposit, retention and access of research data assets in support of current and future access, during and after completion of research projects. This includes tools to ensure the stored Research Data is discoverable and accessible. Once a project has closed, the Research Data should be offered and assessed for preservation in NTU supported repository.

    3.4.2 On project completion, the Principal Investigator is responsible for data transformation or format conversion required to archive and access the Research Data.

    3.4.3 On project completion, the Principal Investigator should ensure all relevant Research Data is made available in the location specified in the data management plan.

3.5 Any Research Data which is to be retained elsewhere, for example in an international data service or domain repository should be registered with NTU. The registration must include the retention and access policy of the relevant data service to help determine compliance with this Policy.

3.6 Principal Investigators are responsible for ensuring that any external Research Data to be incorporated into their research is registered with NTU. The registration must include the retention and access policy governing the Research Data to help determine compliance with this Policy.

3.7 Research data management plans must ensure that research Data are available for access and re-use where appropriate and under appropriate safeguards.

3.8 Principal Investigators are responsible for deciding, subject to legal, ethical and commercial constraints, which Research Data are to be released to meet their obligations. Research Data shall be released for access and re-use as soon as practicable after research activity is completed and results published.

3.9 The privacy and other legitimate interests of the subjects of Research Data must be protected.

3.10 Research Data of future historical interest, and all Research Data that represent records of NTU, including data that substantiate research findings, will be offered and assessed for deposit and retention in an appropriate national or international data service or domain repository, or an NTU repository.

3.11 As a basic principle NTU should retain the right to use its Research Data and outputs for its own teaching and non-commercial research purposes. Exclusive rights to reuse or publish Research Data should not be granted to commercial publishers or agents without retaining the rights to make the data openly available for re-use. Where the granting of such exclusive rights is a requirement of the funder, advice should be sought from NTU'S Legal Services Team to ensure that NTU can comply with its obligations under charity law.

3.12 If Research Data is to be deleted or destroyed, either because the agreed retention period has expired or for legal or ethical reasons, this should be done so in accordance with all legal, ethical, research funder and collaborator requirements with particular attention to confidentiality and security.

# 4    OTHER RELEVANT POLICIES

NTU has a range of policy documents and guidance which offers advice and sets out the regulations pertaining to a number of areas, some of which may impact on the Research Data Management Policy:

- Code of Practice for Research
- Professional Standards in research
- Legal Agreements and Intellectual Property
- IT Security policy
- Staff Disciplinary Procedures

# 5    DOCUMENT GOVERNANCE

## 5.1    Responsibilities

| **Policy Owner** | Pro-Vice Chancellor for Research |
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## 5.2    Version Control and Change History

| Version | Approval Date | Approved By | Amendment |
|---|---|---|---|
| 1.0 | 30/06/2014 | Senior Management Team | New Policy |
| 1.1 | 26/03/2015 | University Research Committee | 3.3. Addition of date of adoption. 4.    "Research Ethics Policy" updated to "Code of Practice for Research". 5.3. Text updated. |

## 5.3    Document Review

This policy will be reviewed annually by the University Research Committee in response to statutory changes, changes in NTU procedures or structures, or as a result of monitoring the application of the Policy.