



Research Data Management Policy Template

Context

This document has been written in the context of the DLCM project (deliverable WP1.2), financed by Swissuniversities CUS P2, and has been collaboratively developed by colleagues from different partner institutions.

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Version 1.2: August 2016
Version 1.3: September 2016 (added the process part)

For more information on policies and Research Data Management (RDM), please see the DLCM website: www.dlcm.ch.

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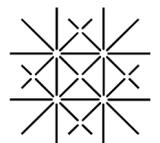


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Terms and Process of Use

This document is not a Research Data Management (RDM) policy in itself, but a **tool** for Higher Education Institutions (HEI) in Switzerland to ease and support the development process of such a document. In order to ensure the consistency of data management policies developed and implemented by HEIs on the national level, the tool proposes to use when creating a policy:

1. **Compulsory chapters** that should be used when elaborating an RDM policy;
2. **Exemplary options** based on several already existing and internationally adopted policies from different countries¹ to illustrate each chapter. These examples do not strive to be exhaustive, but intend to provide a range of different modalities and obligation levels. Every HEI is free to choose its corresponding formulations and examples.

One suggested RDM policy development process is the following:

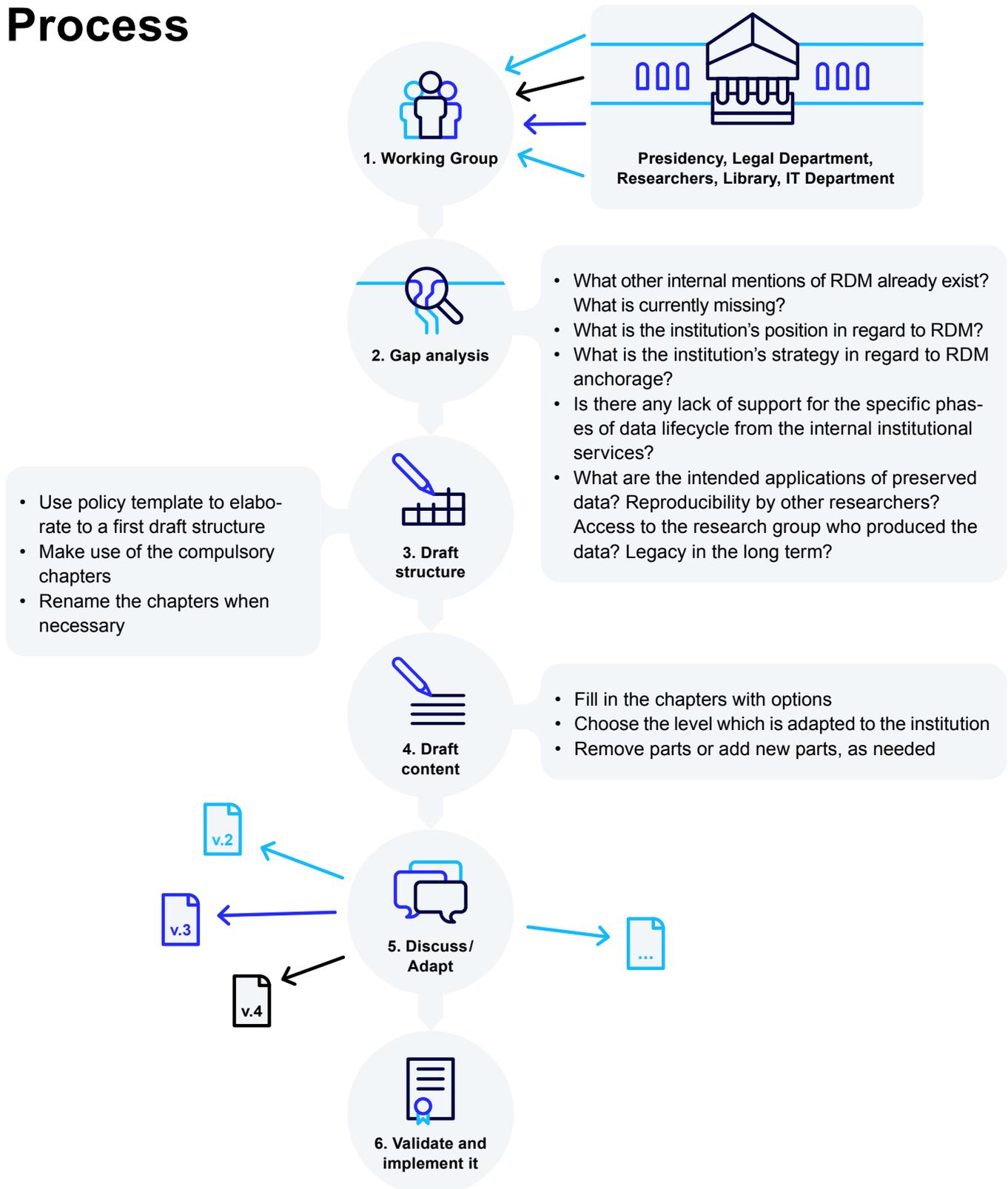
1. **Constitute a policy-working group**, including concerned members from presidency, legal department, researchers, library and IT department².
2. **Perform a gap analysis on:**
 - Which RDM aspects are already defined in existing internal procedures and policies? What is currently missing?
 - What is the institution's position in regard to RDM?
 - What is the institution's strategy in regard to the RDM anchorage?
 - Is there any lack of support for the specific phases of data lifecycle from the internal institutional services?
 - What are the intended applications of preserved data? Reproducibility by other researchers? Access to the research group who produced the data? Legacy in the long term? IP protection? Requirements by the funding bodies, documentation of correct scientific conduct, etc.
3. **Establish a draft Structure:**
 - Use the policy template to elaborate a first draft structure
 - Make use of the compulsory chapters
 - Rename the chapters when necessary
4. **Write a draft Content:**
 - Fill in the chapters with proposed options
 - Choose the level which is best adapted to the institution
 - Remove parts or add new parts, as needed
5. **Discuss and adapt the proposal**
6. **Validate and implement it**

¹ See the list at the end of this document.

² A clear mandate should be formulated for who (one person or a small group) will be responsible for managing the process and the final outcomes.



Process





Chapters

1. Preamble

1.1 General Principle

1. (Good) RDM as institutional commitment to aim at research excellence and academic integrity

Examples

Research data will be managed to the highest standards throughout the research data lifecycle

- a) as fundamental to both high quality research and academic integrity.
- b) as a part of the HEI's commitment to research excellence.
- c) to promote the need for transparency, and the desirability of making research data openly available with as few restrictions as possible in a timely and responsible manner that does not harm intellectual property, or conflict with legal or third party obligations.

2. Acknowledgment of the importance of making research data available for future reuse

The HEI recognises that

- a) accurate and retrievable research data are an essential component of any research project and necessary to verify and defend, when required, the process and outcomes of research.
- b) responsible handling of research data is critical for confirming research results, for the advancement of science and for the dissemination of knowledge.
- c) research data as a valuable institutional asset, and the role of research data management in underpinning research excellence and integrity.

3. Acknowledgment of HEI's commitment in undertaking appropriate institutional steps to help its academics to adhere to good data management practice

The HEI is committed to

- d) provide guidance to all HEI academics, staff and students on research data management, [and] ensure that [it] undertakes appropriate institutional steps to help its academics to adhere to good data management practice.

1.2 General framework

(other institutional/national documents that have to be read in conjunction with the RDM policy)

1. Directives and laws

- a) Institutional directives concerning research integrity/good scientific practice
- b) Ethics Charters
- c) Principles and Procedures
- d) Swiss Academies of Arts and Sciences
- e) Swiss Data Protection Law
- f) Other



2. Guidelines

- a) Institutional RDM Guidelines, if existing
- b) Other

3. Other documents

- a) Publication charters
- b) Terms of uses
- c) Other

1.3 Institutional mention of adoption

The HEI adopts the following policy on Research Data Management. It is acknowledged that this is an aspirational policy, and that implementation will take some years.

In adopting this Policy the HEI intends

- a) that an evolutionary approach will be taken to implementing it over a number of years.

2. Definitions

Research data

Research data is data that is collected, observed, or created, for purposes of analysis to produce original research results. Research data should be considered as comprehensively as appropriate for the research in question and include e.g. any supporting documentation of procedures and other related data or tools. The word “data” is used throughout this site to refer to research data.

<https://www.bu.edu/data/>

Data management plan

A data management plan is a formal document that outlines what you will do with your data during and after you complete your research. It describes the data that will be created, the standards used to describe the data (metadata), who owns the data, who can access the data, how long the data will be preserved (and/or made accessible), and what facilities and equipment will be necessary to disseminate, share, and/or preserve the data. Several funding agencies require or encourage the development of data management plans for research.

<https://www.lib.ncsu.edu/guides/datamanagement>

Other important terms

Data life-cycle management, Guidelines, Digital Curation, Digital Repository, Dataset, Metadata, Persistent Identifier, etc.



3. Coverage

1. What data are covered by this policy?
2. What research projects are covered by this policy?
3. Who is concerned by this policy?

This policy applies

- a) to any/relevant/specific data that is created or acquired in any/a specific research projects, regardless funded or unfunded, involving staff and/or students of the HEI.
- b) to all/specific research conducted at the HEI, regardless of whether or not the research is externally funded. It includes research undertaken by research postgraduate students but is unlikely to include taught postgraduate or undergraduate research except in exceptional circumstances.
- c) The HEI is committed to achieving compliance with the data policies of its external research sponsors, publishers and governmental agencies, and requires its staff / students to abide by terms and conditions agreed with third parties. The HEI also recognizes that such third parties' policies are evolving and that they may require higher levels of data accessibility and dissemination in the future.

4. Responsibilities

HEI

HEI may be: Presidency, Research Office, Library, IT service

- a) The HEI acknowledges its obligations under research funders' data- related policy statements and codes of practice to ensure that sound systems are in place to promote best practice, including through clear policy, guidance, supervision, training and support.
- b) The HEI will provide training, support, advice and where appropriate guidelines and templates for the research data management and research data management plans.
- c) The HEI recognises its responsibility to support good research data management practice, and will provide appropriate support services and guidelines for researchers.



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Principal Investigator

- a) Heads of Departments and Centres and others responsible for research staff and students should ensure that researchers in their areas are aware of the HEI's policy regarding research data and its associated guidelines and procedures.
- b) Principal Investigators or those in equivalent roles have lead responsibility for ensuring that research data management requirements are observed during a research project or programme.
- c) For each Relevant Project, the HEI participants should nominate, in advance, a principal investigator for the HEI, who will take responsibility for ensuring good research data management practice.
- d) It is the responsibility of the Principal Investigator to ensure that the Research Data Management Plan is created, recorded by the HEI, adhered to and updated as necessary throughout the project lifecycle.
- e) The most senior researcher associated with a research project is the Data Steward for that project and is ultimately responsible for research data management.
- f) Responsibility for research data management, through a sound research data management plan during any research project or programme lies primarily with Principal Investigators.

Researchers

- a) Researchers are responsible for making themselves familiar with and adhering to legislation, contractual obligations and funder policies governing their research data. Where research involves the use of data owned by a third party, researchers must abide by licences or terms of use governing the data.
- b) All researchers are expected to familiarise themselves with and act in accordance with this and other HEI policies relating to research practice.

Data Protection Officer

- a) The HEI has a Data Protection Officer. He/She is responsible that adequate measures of data protection apply to all data with special legal and ethical requirements.
- b) The state has a Data Protection Officer. He/She is responsible that adequate measures of data protection apply to all data with special legal and ethical requirements.



5. Policy Statements

5.1 Objectives

1. To foster awareness and understanding of the stakes associated with RD
 2. To assist researchers and departments to fulfil their responsibilities in RDM
 3. To ensure RD storage, retention and availability for reuse
- a) In seeking to extend the principle of disseminating research and scholarship as widely as possible from research publications to all forms of research data (defined as materials to validate published research findings), the HEI is committed to implementing procedures that are discipline-appropriate, proportionate, evidence-based, practical, cost-effective and sustainable, and in the best interests of enhancing its mission.
 - b) The purpose of this Policy is to ensure that research data is stored, retained, made accessible for use and reuse, and/or disposed of, according to legal, statutory, ethical and funding bodies' requirements.
 - c) The purpose of this Policy is to ensure that data produced or otherwise used through the HEI's research activities is registered, stored, made accessible for use and reuse as appropriate, managed over time and/or disposed of, according to legal, ethical, funder requirements and good practice.
 - d) The purpose of this Policy is to assist departments and individual researchers to fulfil their responsibilities with respect to the storage and retention of data and records associated with, and arising from, their research activities.
 - e) The purpose of this Policy is to create model research data management practices for all Researchers (defined below) at the HEI; foster responsibility for research data management through the development of research data management plans; and ensure that research data which is significant (as determined by the Researcher with guidance from the Faculty) is stored, retained, accessible and disposed of securely in accordance with all legal, statutory, ethical, contractual and funding requirements.

5.2 Data management planning

1. Aim and short list of the main aspects to be taken into account
 2. Inclusion of a DMP in research projects
 - Recommended for all research project as good research practice
 - Compliance with funding agencies and / or publishers' requirements
- Main aspects can be: Data acquisition, data documentation and metadata, data storage and backup, data ownership, data retention period
- a) All new research proposals must include research data management plans or protocols that explicitly address data capture, management, information security (specifically integrity and confidentiality), retention, preservation, sharing and publication.



- b) Research data management plans must ensure that research data are available for access and re-use where required by their funding body's terms and conditions or where otherwise appropriate and under appropriate safeguards.
- c) Every Relevant Project initiated following the adoption of this Policy must have a research data management plan, which follows Guidelines, and addresses the arrangements for research data management throughout the project life-cycle.
- d) Unless agreed otherwise, the plan must respect the research data management policies of the funder(s) and of any other interested parties. [...] It is the responsibility of the Principal Investigator to ensure that the Research Data Management Plan is created, recorded by the HEI, adhered to and updated as necessary throughout the project lifecycle.
- e) When planning research activity where research data may be created or reused, researchers must prepare and maintain data management plans that as a minimum meet HEI standards, or more rigorous standards as appropriate where required by external bodies.
- f) Data management plans are expected to be written for all new research projects, irrespective of whether submission of such plans is required when applying for research funding.

3. HEI support

HEI Support may be a institutional Data Management Support Service which offers tailored support and assistance for DMP as well as concrete guidelines

- a) The HEI will provide training, support, advice and where appropriate guidelines and templates for the research data management and research data management plans.

5.3 Access to research data

- 1. Institutional recommendations for data access and sharing
- 2. IPR ownership, ethical, privacy, confidentiality requirements

- a) HEI's researchers should take responsibility for deciding at what time and on what legal terms research data may be accessed. Protection of personal data, copyrights and the legitimate interests of third parties must also be ensured.
- b) The HEI expects its researchers to make Relevant Data openly available to other researchers in a timely way, with as few restrictions as possible. It is recognised that some restrictions may be necessary, e.g. to protect intellectual property, respect confidentiality, or honour third party agreements, but these should be minimised as far as is practicable. It is also recognised that it may



- be appropriate to allow a limited period of privileged access to the data for the research team that acquired or created it.
- c) Research data that have been selected for retention must be 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.
 - d) Exclusive rights to reuse or publish research data should not be 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.

List of consulted policies

Research Data Management Policy Framework - HEI of Cambridge
data.cam.ac.uk/university-policy

Research Data Management Policy – HEI of Oxford
researchdata.ox.ac.uk/university-of-oxford-policy-on-the-management-of-research-data-and-records/

Research Data Management Policy – HEI of Edinburgh
ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/research-data-policy

Research Data Management Policy – Humboldt HEI Berlin
cms.hu-berlin.de/de/ueberblick/projekte/dataman/policy/policy-en/rdm-eng-policy

Research Data Management Policy – HEI of Southampton
calendar.soton.ac.uk/sectionIV/research-data-management.html

Research Data Management Policy – HEI of Warwick
warwick.ac.uk/services/ris/research_integrity/code_of_practice_and_policies/research_code_of_practice/datacollection_retention/research_data_mgt_policy/

Research Data Management Policy – HEI of York
york.ac.uk/about/departments/support-and-admin/information-directorate/information-policy/index/research-data-management-policy/#tab-1

Research Data Management Policy – HEI of Bath
bath.ac.uk/research/data/policy/research-data-policy.html

Research Data Management Policy – HEI of Melbourne
unimelb.edu.au/records/pdf/research.pdf

Policy on the management of research data and records – HEI of Manchester
library.manchester.ac.uk/using-the-library/staff/research/services/research-data-management/

Draft of the RDA report “Data Management Trends, Principles and Components – What Needs to be Done Next?” – 2015
rd-alliance.org/sites/default/files/paris-doc-v6-1_2.pdf

Five Steps to Developing a Research Data Policy – Digital Curation Center
dcc.ac.uk/resources/policy-and-legal/five-steps-developing-research-data-policy/five-steps-developing-research

Starting the conversation – HEI-wide research data management policy
oclc.org/content/dam/research/publications/library/2013/2013-08.pdf