Overview of Policy

The purpose of this policy is to establish a set of principles to govern the management of data arising from the research activities of the University ("Research Data"). This policy is intended to cover active Research Data sets that are of potential current or future interest or value to the field. It will not apply where there are legitimate legal, ethical and/or commercial constraints on data use.

The University recognises that there is an increased requirement from funders to manage, share and provide open access to Research Data, and acknowledges that the wider benefits of this approach can include additional public interest and funding, increased validation of results, efficiencies through data re-use and novel use of existing data.

For clarity, this policy applies to all Research Data, regardless of whether the research is externally funded or subject to funder mandates. This policy applies to all staff that are authorized to use the University’s name and services in the course of their research, including post graduate students and visiting, honorary and emeritus staff. This policy does not apply to the following categories of Research Data:

- Legacy data, unrelated to current publications and research activity
- Data from research that is solely commercially funded and where restrictions on data use apply
- NHS patient data and clinical data already governed by separate policies

Policy Statement

1. Principles

1.1. The University advocates the highest standards in the management, reuse and open accessibility of Research Data and subscribes to Research Councils UK Common Principles on Data Policy, available at:

   http://www.rcuk.ac.uk/research/Pages/DataPolicy.aspx

1.2. The privacy, confidentiality and other legitimate interests of any participants involved in the gathering of Research Data must remain protected at all times.
1.3. Where appropriate, and adhering to item 1.2, Research Data should be made openly accessible for access and re-use by others.

1.4. Research Data that is of a sensitive nature is not exempt from this policy by default, but may lie out with this policy where restrictions on data use apply. Prior to commencing research, informed consent (including consent for data sharing) should be gathered, and plans for data anonymisation and access restriction should be made.

1.5. Research that is solely commercially funded will lie out with this policy if restrictions on data use apply. Where research is jointly funded by commercial and non-commercial funders, appropriate collaboration agreements must be put in place to define ownership of the Research Data and ensure compliance with the data sharing requirements of the non-commercial funder(s).

1.6. Primary grant holders (Principal Investigators) are responsible for Research Data management and planning throughout their research project or programme. The most senior researcher associated with a project holds responsibility for all Research Data relating to that project. In their absence, responsibility for the data stewardship will transfer upward to the Dean of School.

1.7. New research projects must include research data management plans that cover items such as: data capture, management, integrity, confidentiality, retention, sharing and publication. Any specific funding body, ethical, legal or college level requirements should be taken into account in the development of data management plans.

1.8. Where there is need to establish proprietary rights to protects the intellectual property of the University, Principal Investigators should discuss the intention to place Research Data in the public domain with Research & Innovation Services (RIS) before doing so. Every effort should be made to ensure that the timeframe to establish such rights is kept to a minimum.

1.9. The Library & Learning Centre (LLC) will provide support, guidance and information on appropriate research data management activities, including availability of internal and external research data repositories, licensing of datasets and allocation of persistent identifiers for datasets.

2. Storage and Accessibility

2.1. All Research Data of potential current or future interest, or that which substantiates published research findings, should be assessed by the Principal Investigator for deposition in an appropriate external or University led research data repository.

2.2. The associated costs of data management, archiving and sharing should be recovered from funders in the grant application, where funder’s policies permit.

2.3. Data must be stored securely, with appropriate measures taken to minimize the risk of unauthorised access, loss, destruction or theft.
2.4. A central record of known datasets deposited in public access repositories, or curated by Schools, will be maintained by the Library and Learning Centre. Any Research Data to be deposited with external services, such as Research Council or international repositories, should therefore be made known to the LLC. The University will ensure data continues to be discoverable and compliant with funder mandates. (See http://www.dundee.ac.uk/library/research/datamanagement )

2.5. Published research results should always include information on how to access supporting data. The LLC will provide a persistent and unique identifier for datasets (DOI) where required.

2.6. The University of Dundee will respect the requirements and policies of existing and future partnerships with third parties involved in the storage and safeguarding of Research Data. The governance of NHS patient data is not within the scope of this policy and is managed within a separate policy context. (See Health Informatics Centre Data Security statement: http://www.dundee.ac.uk/hic/data/HICDataSecurity/ )

2.7. The length of time data is stored for should be determined as part of the Research Data management planning for the project, and should adhere to any particular funding body’s requirements and any additional conditions or practices within the field.

2.8. Data is to be made openly available as soon as possible, and typically on publication of results. Embargo periods are permitted, but should adhere to any particular funding body’s requirements and any additional conditions or practices within the field.

2.9. The University of Dundee retains the rights to re-use Research Data or make it openly available for others to re-use. Exclusive rights to reuse or publish Research Data should not therefore be granted to any third party, including commercial publishers, without prior discussion with RIS (paragraph 1.8 refers).

2.10. The University of Dundee retains the intellectual property rights of the Research Data, and original copies of data must be retained. Duplicate copies of data may be taken with permission of the PI or Dean where the re-use of the data is acceptable, as defined by this policy.

3. Assistance with Application of Policy

Guidance on the central record of Research Data sets, open access, appropriate internal and external research data repositories, and research data management planning is available from the Assistant Director, Research & Systems, Library & Learning Centre h.whaley@dundee.ac.uk. Guidance on IPR and collaboration agreements is available from RIS (research@dundee.ac.uk).

If there is uncertainty around the applicability or interpretation of this policy, the matter must be referred to the Convener of the University’s Research Governance & Policy Sub-Committee (contact the Assistant Director (Research & Systems), Library & Learning Centre in the first instance h.whaley@dundee.ac.uk ).