Research Data Management Policy

Reference:

Version: 0.01

Status: Draft

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Date: [Publish Date]

File: Document1

Approval History

Version	Date	Name	Organisation	Review
00.01	04/07/2023	Jane Fawkes as chair	Senior Leadership Team, UCEM	June 2025

To be reviewed bi-annually by SLT

Document History

Version	Date	Reason	Person
V00.01	14/06/2023	New policy	Sharon Youngson-Baines

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1. Introduction

1.1 Statement of Intent

1.1.1   This policy is intended for use by Employees conducting funded research (externally or internally) and Post Graduate Research (PGR) students. This policy does not apply to Taught students.

1.1.2   The University College of Estate Management's (UCEM) produces a variety of research data and wishes to ensure the widest possible access to its research. The value of research outputs increases the more broadly they are available to, and used by others, including scholars, businesses and charities, as well as the general public. Open Data and shared research data will also help scholars and students, foster collaboration, and enhance public engagement with research, as well as maximise the intellectual, social, cultural and economic impact of research. It is our belief that this should be available as quickly and widely as possible.

1.1.3   UCEM aims to meet the Concordat on Open Research Data [i] and the UKRI general policies and guidance on research data [ii] which encourages members of the UK research community to make openly available research data they have gathered and generated so that it is available for use by the public and other researchers. UCEM is committed to reviewing new initiatives in this area as they arise as deemed appropriate.

1.1.4   UCEM also recognises that good practice in data management is key to an efficient and effective research process. It is essential for enabling and safeguarding the digital preservation and continuing intelligibility of data, and for ensuring that sensitive data is handled in compliance with all relevant ethical and legal requirements. Preserving the data that underpins research outputs, whether it is shared or not, is integral to research integrity and reproducibility of results.

1.2 Purpose

1.2.1   Many funders have requirements for researchers to effectively preserve their research data with the intention of sharing it publicly, while at the same time respecting concerns in relation to privacy, safety, security and commercial interests; this is under the assumption that the outputs of UCEM research are a public good, produced in the public interest and for societal benefit. This policy aims to establish the measures required to

facilitate the appropriate curation and management of data, ensuring that it can be retained in a shareable and usable manner.

1.2.2   This policy is intended to help promote good practice around research data, with note to ensure that it is stored securely and preserved in order to ensure long term accessibility and utilisation, this includes ensuring that is remains identifiable and retains contextual information alongside the raw data. All of this is subject to ensuring that it follows all laws and governance relating to the relevant jurisdictions, this will always include compliance with relevant UK Data Protection legislation but may also cover laws in the countries where the data was collected and any contractual requirements of the funder.

This policy's purpose is to ensure research data is to be made available to others in line with appropriate ethical, data sharing and open access principles, especially when the data underpins published research.

This policy outlines the responsibilities of both UCEM and its researchers in relation to research data management and sets out the support and guidance that is available.

1.3   Definition of Research Data

1.3.1   Researcher - A Researcher references any individual engaging in research as part of their employment or studies at UCEM.

1.3.2   Research data - UK Research and Innovation (UKRI) [iii]defines research data as *Research data are the evidence that underpins the answer to the research question, and can be used to validate findings regardless of its form (e.g. print, digital or physical).*

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.

Data may be defined as 'relational' or 'functional' components of research, thus signalling that their identification lies in whether and how researchers use them as evidence for claims.

They may include, for example, statistics, collections of digital images, sound recordings, transcripts of interviews, survey data and fieldwork observations with appropriate annotations, an interpretation, an artwork, archives, found objects, published texts or a manuscript.

Research data can be divided into three categories:
- **Active** research data (e.g., live digital project data in the research data storage platform)

- **Archived** research data (e.g., 'finished' / 'end of project' data prepared for long-term preservation. This may contain sensitive personal information. This is archived for legal, regulatory or contractual purposes and is not publicly accessible)
- **Reusable** research data (e.g., a dataset that has been made findable, sharable and available for reuse through the most appropriate repository / data archive.

For the purposes of this policy 'research data' refers to active, archived or reusable data, that is created, collected, generated, processed or destroyed by any researcher at UCEM.

2. Responsibilities of UCEM

2.1   In order to support and enable this policy, UCEM is committed to *Research data*: the recorded information (regardless of the form or the media in which it may exist) necessary to support or validate a research project's observations, findings or outputs, or which is required for legal or regulatory compliance:

- support, advice and information to researchers on all aspects of research data management

- suitable infrastructure to facilitate the appropriate management, archiving and sharing of research data.

- training and guidance to promote best practice in research data management.

2.2   In order to support and enable this policy, UCEM is committed to engaging with researchers to fulfil mutual responsibilities. UCEM will endeavour to provide research data management services and infrastructure capabilities which are adequate and fit for the purpose of supporting researchers' compliance with the policy, particularly for academic staff and PGRs with externally funded research projects. This will include suitable training as well as suitable digital resources.

2.3   UCEM has set an archiving period of no less than 10 years for all externally funded research data.

3. Responsibilities of the researcher

3.1   All researchers (Principal Investigators (PI) and/or PGR students) are required to prepare a data management plan (DMP) which describes the data management lifecycle for the data to be collected and processed by a research project. DMPs are usually required as part of research proposals

for external funding and UCEM encourages similar best practice for internally funded projects. DMPs should include information on:

- the handling of research data during and after the end of the project
- what data will be collected, processed and/or generated
- which methodology and standards will be applied
- whether data will be shared/made open access and
- how data will be curated and preserved (including after the end of the project)

3.2   Researchers hold day-to-day responsibility for the effective management of research data generated within or obtained from their research, including by their research groups. This shall include understanding and complying with the requirements of any relevant contract with or grant to UCEM that includes provisions regarding the ownership, preservation and dissemination of research data.

3.3   Researchers will protect confidential, personal and sensitive personal research data in accordance with legal and ethical requirements related to the research they conduct.

3.4   Researchers will make every reasonable effort to keep an accurate and comprehensive record of their research, including documenting clear procedures for the collection, storage, use, reuse, access and retention or deletion of the research data associated with their records. Where appropriate, this should include defining and documenting protocols and responsibilities in collaborative research projects.

3.5   Researchers will make every reasonable effort to recognise Intellectual Property arising from their research activities and manage that Intellectual Property according to any funder requirements or contractual obligations.

3.6   Researchers will preserve and provide appropriate access to their research data supporting outputs after the end of their project for as long as it has continuing value, in accordance with legal and funder requirements and paying due regard to discipline norms and cost. Notwithstanding, the

minimum retention period for research data and records is ten years after publication or public release of the work of the research.

3.7   Researchers should deposit their data in an appropriate data repository along with sufficient descriptive metadata (a data record) to ensure that it can be found and understood.

3.7.1   This may include redacting identifiable information and presenting data in a way, which when viewed as a whole, will ensure that participants cannot be identified.

3.7.2   The data will usually be in a format that can be easily accessed and interrogated in the UCEM repository, however if the lead partner is publishing this elsewhere this can be linked to instead.

3.8   Published papers which rely on data generated by the authors should include a data access statement even where there are no data associated with the article or the data are inaccessible, in line with the UKRI policy on Open access[iv]. Authors should also apply good data citation principles and formally cite data which has directly informed the conclusions drawn in their papers.

3.9   Researchers are responsible for agreeing ongoing arrangements (with the Associate Dean (Research)) as to where their research data will be stored and who will have access to this (with attention to if they are absent, after they leave, or retire from UCEM).

4. Roles and responsibilities

4.1 Researcher's Responsibilities

4.1.1   The researcher should ensure that ethical approval is obtained for all research projects before any data collection takes place.

4.1.2   The researcher has overall responsibility for research data management before, during and after any project. Research data management duties may be shared or delegated but should be clearly outlined in a DMP. This must be approved before any data collection work begins.

4.1.3   All researchers are responsible for familiarising themselves with the research project DMP and complying with all legal, contractual, ethical or regulatory requirements that are associated with the data in their research project.

4.1.4   All researchers are responsible for ensuring their project data are processed, transferred and stored in a secure manner that preserves its

integrity. Active data must be securely stored on UCEM's research data storage platform, or an appropriate alternative (with formal agreement), in accordance with the specified contractual requirements.

4.1.5   Where data ownership may be ambiguous (e.g.in collaborative projects with external organisations), the researcher will be responsible for clarifying responsibilities.

4.1.6   The researcher is responsible for appraising and preparing active data for archiving and reuse.

4.1.7   The researcher is responsible for ensuring the research data are suitably archived and shared in UCEM's research repository, subject to specific legal, contractual, ethical, or regulatory requirements.

4.1.8   The researcher is responsible for destroying data that cannot be retained due to legal requirements or that is not of long-term value as specified in the DMP.

4.2   UCEM's Responsibilities

4.2.1   UCEM is responsible for providing appropriate infrastructure for secure data storage through a centralised storage solution in order to ensure the safety, integrity and accessibility of live research data.

4.2.2   UCEM provides an archive and research repository for the archiving, sharing, and long-term preservation of research data.

4.2.3   UCEM is responsible for the provision of training, support and advice on research data management.

4.2.4   Review and approve each DMP to ensure that it aligns with current legislation.

5.   Rights and Restrictions

5.1   It is not always possible or appropriate to make research data open, but any restrictions to access must be justified. Such as where the costs of preserving or supplying the data are disproportionate.

5.2   Access to research data via UCEM's research repository can be restricted where necessary to comply with contractual, ethical, legislative or regulatory requirements.

5.3   The legitimate interests of research subjects must be protected. When gaining informed consent, researchers should include provision for data sharing and be fully transparent in how the data are to be used. Any personal data must be anonymised prior to publication and access to sensitive or confidential information must be carefully controlled.

5.4   All research data at UCEM are subject to **HYPERLINK "https://www.ucem.ac.uk/wp-content/uploads/2021/07/UCEM-Intellectual-Property-Policy.pdf"** UCEM's Intellectual Property Rights (IPR) Policy.

5.5   Researchers involved in the creation of original research data retain the right to exclusive first use for an appropriate and well-defined period. Any period of exclusive use should be set out in the DMP and should be balanced against the public interest in release.

6. Relationship with existing policies

- IT Security Policy
- Intellectual Property Policy
- Code of Practice for Research
- Research Ethics Policy
- Open Access Policy
- Data Protection Policy

ⁱ [UKRI-020920-ConcordatonOpenResearchData.pdf](#)
ⁱⁱ [Making your research data open – UKRI](#)
ⁱⁱⁱ [UKRI-020920-ConcordatonOpenResearchData.pdf](#)
^{iv} [UKRI open access policy – UKRI](#)