

Owner:	Library & Learning Support / Research Development & Support
Version number:	2
Date of approval:	23 Jan 2020
Approved by:	University Research and Professional Practice Committee
Effective date:	23 Jan 2020
Date of last review:	23 May 2016
Due for review:	January 2021

Research Data Policy

1. SCOPE AND PURPOSE

- 1.1. Bournemouth University recognises the importance of research data, its value to society and its contribution to the University's research excellence. The UK Research and Innovation Common Principles on Data Policy¹ includes a commitment to make publicly funded research data ... *openly available with as few restrictions as possible in a timely and responsible manner...* BU Research Data Policy provides a framework through which all BU researchers can fulfil both the UKRI principles and any specific requirements of funders regarding access to research data, and comply with legal requirements and ethical principles which apply to management of their research data.
- 1.2. Research data in the context of this policy means information in any format (including paper-based, computer-readable or digital format) that is collected or generated during the course of research with a view to its use as a basis for research findings.
- 1.3. "Open research data" is a broad term for any such research data which are made publicly accessible for further use for research purposes, enabling anyone (whether inside or outside the institution) to access the data for this purpose. This policy aims to ensure that research data is made open where reasonably possible, in particular research data which underpins research findings, which may be used to validate research findings or which may be of use for further research purposes. However not all such data will be open to public access. All research data with on-going use or value must be made accessible to the greatest extent possible without infringing legal and ethical principles or requirements.
- 1.4. This policy is applicable to all Bournemouth University staff, students undertaking research and visiting researchers carrying out research under the auspices of Bournemouth University. References hereafter to 'researcher(s)' include all staff, students and visiting research collaborators who are involved with research in connection with, or as part of, Bournemouth University. This policy must be followed

¹ <https://www.ukri.org/funding/information-for-award-holders/data-policy/common-principles-on-data-policy/>

See also <https://www.ukri.org/files/legacy/documents/concordatonopenresearchdata-pdf/>

by all researchers when planning, conducting and disseminating research. However the steps required to comply with the policy (e.g. the required content of Data Management Plans) will vary depending on the scope of the research data to be managed. The requirements of paragraphs 4.9 to 4.18 (retention, deposit and disposal of research data) do not apply to data collected, generated or used only for the purposes of research undertaken by students as part of undergraduate or post-graduate taught courses.

- 1.5. The principles in this policy apply to all aspects of research data management, including data creation or collection, adaptation, preservation, curation, disclosure, dissemination, access and disposal.

2. KEY RESPONSIBILITIES

- 2.1. The Deputy Vice-Chancellor has overall responsibility for the University research data policy, procedures and strategy.
- 2.2. Deputy Deans Research and Professional Practice (DDRPP) are responsible for ensuring that researchers are aware of the policy; monitoring compliance and succession planning.
- 2.3. The term “‘lead researcher’ is used in this policy to refer to the person responsible for ensuring that a research project or activity complies with this policy. Individual researchers have this responsibility for any project they are undertaking as a sole researcher. For research projects conducted by a team of researchers, this will be the Principal Investigator: they are responsible for ensuring that all members of the research team are aware of, understand and abide by the policy. For undergraduate and postgraduate taught research, the responsibility for compliance with research data policy rests with the supervising academic.
- 2.4. Research Development and Support, Library and Learning Support, IT Services, the Chief Data Officer and Legal Services are responsible for providing organisational support that enables researchers to comply with the policy.

3. LINKS TO OTHER BU POLICIES & PROCEDURES

- 3.1. Research data must be managed in accordance with BU’s Data Protection Policy, Information Classification Policy and Information Security policies available at <https://staffintranet.bournemouth.ac.uk/aboutbu/policiesprocedures/>.
- 3.2. Principles of research data management at BU are further developed in the [BU Code of Good Research Practice](#) (Section 12), which provides guidance on implementation of this policy.

- 3.3. Principles around open data and access to research data do not over-ride research ethics principles nor legal requirements.
- 3.4. Specific requirements for the outputs of funded studentships will be detailed in [8A Code of Practice for Research Degrees](#).
- 3.5. [Guidance on management of research data](#) in accordance with this policy is available.

4. RESEARCH DATA POLICY

Requirements for all staff and students

- 4.1. All BU research data must be managed to the highest practicable standards throughout the research data lifecycle. In line with Principle 2 of the [UKRI Common Principles on Data Policy](#), a Data Management Plan (DMP) is fundamental to achieving this requirement. The lead researcher must ensure that a DMP is developed and completed during the scoping and planning of the research, and then kept under review throughout the life of the project.
- 4.2. Data Management Plans (DMPs) must explicitly identify the nature and scope of the data which will be created, captured and used for the purposes of the research. DMPs must define the researchers' intentions as to, and practical arrangements for, the use, management, sharing or disclosure, publication, commercialisation (if applicable), storage, retention and disposal of research data. DMPs must explain how the researchers will ensure data integrity and security and address requirements referred to in paragraph 3.1.
- 4.3. DMPs must cover all research data and any associated project governance materials (such as research protocols, collaboration agreements (as appropriate) and participant documentation).
- 4.4. For staff and postgraduate research students, the DMP should include plans for deposit of and access to research data at the end of the project, identify potential restrictions and include measures to limit the impact of those restrictions as far as possible. Where restrictions are identified which will or may prevent or substantially limit the lead researcher's ability to proceed with deposit under paragraph 4.13, these should be documented. For externally funded projects, where applicable, any restrictions should be logged on the RDS Research Enterprise Database (RED).
- 4.5. Lead researchers are responsible for identifying ethical and legal requirements and other external considerations which will or may affect the management of their research data or the integrity of their research, seeking the support of BU Professional Services (in particular the RDS, Legal Services and the Chief Data Officer) as required. This may include identifying relevant contractual and funder

requirements, intellectual property rights, licensing provisions and commercial sensitivity issues as well as data protection and information security requirements and ethical considerations. These considerations must be reflected in the DMP.

- 4.6. This policy is not intended to conflict with nor over-ride any conditions attached to the provision of research funding. Researchers must comply with relevant funder requirements regarding research data management, ensuring that these are reflected in the DMP and in information provided to research participants. However lead researchers must carefully review funding conditions before committing BU to them (with the support of Legal Services). Conditions imposed by public and charitable funders will generally require or support public accessibility of research data, but if funding is to be obtained from private or commercial sources BU must identify any restrictions on sharing of data and ensure that they are compatible with its position as a university and charity.
- 4.7. Retention and preservation of research data in accordance with funder requirements is a specific research cost. Where permitted by funders, the costs of data management should be identified and included in the DMP.
- 4.8. The University will provide support for identifying appropriate services that enable registration, deposit, storage, retention and access to research data.

Retention, deposit and disposal of research data: requirements for staff and postgraduate research students

- 4.9. It will usually be necessary or appropriate to retain research data which forms the basis of published research findings for a significant period after the end of the active research period. Such data must be selected for retention, and retained, in accordance with any funder requirements and any external audit requirements. In the absence of explicit funder requirements, a period of 10 years in accordance with Principle 8 of the [Concordat on Open Research Data](#), can be taken as a starting point in determining a retention period. This time period is also reflected in the guidance notes accompanying Principle 2 of the [UKRI Common Principles on Data Policy](#). Any retention period should also consider data protection requirements in accordance with paragraphs 4.10, 4.11 and 4.12. Data disposal and destruction should be conducted in line with BU [Data Protection Policy](#).
- 4.10. Consideration should be given as to whether to retain research data which was generated or collected with a view to its use as the basis for research findings but has not ultimately been used to underpin published research findings. This decision should be based on assessment of the potential value of the data to others, balanced against any risks of retaining the data. In the case of clinical research, researchers should refer to the [Archiving Clinical Research Records \(BU RDS SOP 001\)](#) and the [Records Management Code of Practice for Health and Social Care](#).

- 4.11. Any research data which is Personal Data within the terms of the General Data Protection Regulation and which the researcher intends to retain in identifiable form at the end of the project, must be subject to a data protection assessment. This will determine whether it is necessary and lawful to retain the data in that format. If so, the assessment should also determine for how long the data will be retained and establish appropriate data security arrangements established.
- 4.12. The DMP should identify the planned retention periods for each category of research data and associated project documentation, referencing the factors which have been considered when setting these periods. In addition to funder and audit requirements these may include: public interest or heritage considerations, data protection or other legislative requirements and regulatory requirements. Separate retention periods should be set for any personal data and for anonymised data where this is indicated by a data protection assessment carried out in accordance with paragraph 4.11 above.
- 4.13. Following the end of the research project, subject to the provisions in paragraphs 4.15 and 4.16, the lead researcher must ensure that research data retained in accordance with this policy, is made accessible to other researchers as follows:
- 4.13.1. Data must be deposited in accordance with any funder requirements, which may require deposit in a specified data repository or in a data repository which meets certain criteria;
- 4.13.2. If there are no specific funder requirements, data must be deposited in BU's data repository (currently [Bournemouth Online Research Data Repository \(BORDaR\)](#)) or in another appropriate data repository such as the UK Data Archive or a recognised subject-specific repository;
- 4.13.3. Where funder requirements result in data being deposited in an alternative repository other than BORDaR, the lead researcher must ensure that metadata which complies with paragraph 4.14 is registered in BU's repository.
- 4.14. The requirement to deposit research data includes a requirement to record and make available sufficient metadata relating to the research data, to enable other researchers to understand the nature of the research to which it relates; identify the re-use potential; know how to access the data, and any key project documentation (e.g. protocols) required for the same purposes.
- 4.15. Research data should not be deposited under paragraph 4.13 if and to the extent that this would breach any legal obligation or ethical principle. The lead researcher should identify and take into account all relevant considerations as identified in the DMP, including data protection (if applicable), intellectual property rights and confidentiality or commercially sensitive issues.

- 4.16. The lead researcher should aim to achieve the maximum level of access to the data, taking into account paragraph 4.15. This may mean considering whether redaction, anonymisation or other adaptations would enable public access to be given, whether deposit or access could be delayed for a limited period or whether the data could be deposited on a restricted or confidential basis rather than for public access. With regard to externally funded projects, any restrictions on the ability to deposit research data as provided for in paragraph 4.15 should be documented in the BU Research Enterprise Database (RED). These should have been identified in the DMP as described in paragraph 4.5 above.
- 4.17. Where research data are deposited to be made available to others, such access must be subject to licence conditions which are consistent with the University's and the funder's legal, ethical and contractual requirements and the position with regard to ownership of intellectual property rights. Such licences may restrict use of the data to research or other non-commercial purposes and set requirements as to citation, attribution or acknowledgement.
- 4.18. Researchers must give appropriate citations of research data in published outputs and comply with any funder and/or publisher requirements regarding citation, attribution or acknowledgement.

Retention and disposal of research data: requirements for undergraduate and postgraduate taught students

- 4.19. Research data collected, generated or used only for the purposes of research undertaken by students as part of undergraduate or post-graduate taught courses is not subject to the requirements in paragraphs 4.8 to 4.18 above. Such data should usually be retained only until the award of the student's degree (or their withdrawal from the course if applicable). The DMP should record the arrangements for retaining the data during this period (in particular arrangements for secure storage of any personal data within the research data) and for destruction of the data at the appropriate time in compliance with the BU Data Protection Policy.
- 4.20. The student's supervisor will be responsible for ensuring that the data is destroyed in accordance with the BU [Data Protection Policy](#) and the DMP.