



**DRAFT – For ASERL Directors’ Review/Approval**

**Model Language for Research Data Management Policies  
ASERL/SURA Research Data Coordinating Committee**

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**Abstract**

This proposal was drafted by a Working Group of the ASERL/SURA Research Data Coordinating Committee. The purpose of this document is to provide model language for universities to consider when drafting policy to support data management practices and infrastructure at their institutions.

ASERL/SURA member institutions may not need all of the sections in this document. Each institution should include the sections that are relevant for their situation, and modify content as necessary.

Much of this document was adopted from Research Data Management Policy, University of Edinburgh, available at (<http://www.ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/research-data-policy>).

**Introduction**

Research data are valuable resources, regardless of discipline or format. Advances in computing have brought about new possibilities and expectations for research data, particularly in digital form.

Research data reside in a variety of computer systems and require institutional policies to protect, preserve, and ensure future access to the data. Funders, administrators, and other stakeholders increasingly believe that research data should be actively managed, in order to both protect the financial investment in research, and improve the transparency and reusability of scientific findings. The ability to re-use research data is rapidly becoming a best practice within research institutions.

Several funding agencies and foundations have indicated that researchers should share their data. The National Science Foundation has required data management plans in all research proposals since January 2011. The National Endowment for the Humanities’ Office of Digital

Humanities has required data management plans since January 2012. The National Institutes of Health, the National Aeronautics and Space Administration, the National Oceanographic and Atmospheric Administration, and the Institute for Museum and Library Services all require data sharing as a condition of sponsored research. As a result, the amount of money tied to data sharing requirements is significant and growing.

It is in the best interests of each University to protect its ability to pursue research funding. The University must adopt a policy to support and advance preservation of and open access to research data when it does not conflict with Federal privacy laws or funder requirements.

Different disciplines generate and analyze different kinds of data. Just as each discipline has its own research methodologies, each discipline also has its own practices for capturing and describing data. Different kinds of data have different requirements for ethical and practical management. Research data policy must respect these differences and be broad enough to serve all disciplines.

### **Aims and Objectives**

The aims of this proposed policy are to:

- Support the University's mission
- Support research excellence
- Protect the legitimate interests of the University
- Protect the legitimate interests of research data subjects and of other parties
- Protect the legitimate interests of researchers
- Acknowledge differing practices in different disciplines
- Support appropriate openness and transparency, and ensure accountability for the use of public funds.

### **Suggested Policy**

1. Research data will be managed to the highest standards throughout the research data lifecycle as part of the University's commitment to research excellence.
2. Responsibility for research data management through a sound research data management plan lies primarily with Principal Investigators (PIs) of any research project or program.
3. All new research proposals [from date of adoption] must include research data management plans or protocols that explicitly address data capture, management, integrity, confidentiality, retention, sharing, access and publication.
4. The University will provide training, support, advice and (where appropriate) guidelines and templates for the research data management and research data management plans.
5. The University will provide mechanisms and services for storage, backup, registration, deposit, description, access and retention of research data assets in support of current and future access requirements, during and after completion of research projects.
6. Researchers may have access to the data if they are no longer part of the original collaborative team, or have left the employ of the University. The University may negotiate a transfer agreement with the researcher to ensure access to the data by all parties.

7. Any data which are retained elsewhere -- for example in an international data service or domain repository – should be registered with the University.
8. Research data management plans must ensure that research data are available for access and re-use where appropriate and under appropriate safeguards.
9. The legitimate interests of the subjects of research data must be protected.
10. Research data of future historical interest, and all research data that represent records of the University, including data that substantiate research findings, will be offered and assessed for deposit and retention in an appropriate regional, national or international data service or domain-specific repository, or a state-wide or University repository.
11. The University research community is encouraged to share data management plans (DMPs) from both funded and unfunded research in a secure environment and only with the approval of participating faculty. Researchers have the sole discretion to redact or not share DMPs that contain proprietary or other sensitive information.
12. Open access to data for later re-use is a primary goal of this policy. Exclusive rights to reuse or publish research data will not be assigned to commercial publishers or other agents, unless this is a condition of funding.

### **Data Ownership**

In order to protect open access to research data, the University retains non-exclusive rights, title and interest in all research data and intellectual property created or developed in facilities operated or controlled by the University, supported by funds administered by the University, and performed in the course of regular duties by all members of the University workforce.

### **Stakeholders**

1. Principal Investigators and researchers are the data producers and the key client and beneficiary of institutional support for research data management. It is imperative that policies support rather than inhibit their ability to apply for and execute sponsored research.
2. Offices such as the Vice-President for Research, The Office of Sponsored Research, and the University Provost support grantsmanship at research universities. The Institutional Review Board ensures the rights, welfare and protection of all subjects involved wholly or partially in human subject research. Since data management practices are often tied to mandates from funding agencies, it is in the interest of these stakeholders to participate in data management policy to ensure the continued competitive advantage of the University in sponsored research.
3. Libraries are dedicated to access and preservation of information in all forms. Academic libraries are positioned through current services to provide access, resource description, metadata services, and instructional support for data management.
4. The IT Division supports the University through managing a secure information environment. Management of research data at the University will require secure information architecture at a reasonable cost.

### **Roles and Responsibilities**

Responsibility for implementing this policy falls primarily upon the Provost, the Dean of University Libraries, the CRO/Vice President for Research, and the CIO/Vice President of

Information Technology. This policy will be reviewed annually [or alternative review period] and changes will be made when necessary.

- The Chief Information Officer/Vice President for Information Technology is responsible for overseeing the management of the University Information Technology systems. In consultation with the President, the Senior Vice President and Provost, and the Data Steward/Dean of University Libraries, the CIO mediates conflicts and discrepancies between the interest of the Data Trustees, the University Vice Presidents and the needs and interests of the University. The IT division shall be responsible for providing the hardware and software that stores the research data and for protecting the security and integrity of the data.
- As Data Steward, the Dean of University Libraries will oversee the capture, description, maintenance and dissemination of research data, as well as the data management activities outlined in this policy. The University Libraries shall be responsible for ensuring accessibility of research data through curation, metadata, repositories, and other finding aids. The University Libraries shall be responsible for training and supporting researchers in the creation and implementation of data management plans.
- As Data Trustees, the Senior Vice President, Provost, Chief Research Officer/Vice President for Research, and the Office of Sponsored Research are responsible for ensuring the competitiveness of the University in funding for sponsored research. The Data Trustees ensure that data management practices do not conflict with other University policies or interests, such as the protection of research subjects, national security interests, intellectual property, or technology transfer.
- Principal Investigators are responsible for complying with funder guidelines and University policies.

**Related Policies** *(fill-in URLs or other identifiers for these policies at your University)*

- University's Intellectual Property Policy:
- University's IT Security Policy:
- University's Records Management / Retention and Disposal of University Records Policy:
- University's Ethical Research Policy:
- University's Data Classification Policy:
- University's Data Stewardship Policy:

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## Resources

### Definitions

Data Curation: <http://www.lib.cam.ac.uk/dataman/glossary.html#digitalcuration>

Data Repository: <http://www.lib.cam.ac.uk/dataman/glossary.html#repository>  
<http://www.abc-clio.com/ODLIS/searchODLIS.aspx>

Research Data: <http://www.lib.cam.ac.uk/dataman/glossary.html#D>

Research Data Lifecycle: <http://www.data-archive.ac.uk/create-manage/life-cycle>  
Intellectual Property: <http://www.lib.cam.ac.uk/dataman/glossary.html#I>

### Other Suggested Sources

University of Cambridge's Data Management Glossary  
<http://www.lib.cam.ac.uk/dataman/glossary.html>

Digital Curation Centre, Glossary  
<http://www.dcc.ac.uk/digital-curation/glossary/>

Wellcome Library, Glossary of Terms  
<http://library.wellcome.ac.uk/assets/wtd032218.pdf>

Monash University Research, Data Management Policy  
<http://www.policy.monash.edu/policy-bank/academic/research/research-data-management-policy.html>

Virginia Commonwealth University's Technology Services, Security Standard for Electronic Academic Research Data and Intellectual Property  
<http://ts.vcu.edu/askit/mc-docs/VCUSecurityStandardforResearchData.pdf>

Association of Research Libraries (ARL) / National Science Foundation (NSF) Workshop on New Collaborative Relationships for Long-Term Stewardship of Digital Data Collections  
<http://www.arl.org/pp/access/nsfworkshop.shtml>

ARL's E-Science Overview  
<http://www.arl.org/rtl/eresearch/escien/index~print.shtml>

Interagency Working Group on Digital Data: "Harnessing the Power of Digital Data for Science and Society: Report of the Interagency Working Group on Digital Data to the Committee on Science of the National Science and Technology Council."  
[http://www.nitrd.gov/about/Harnessing\\_Power\\_Web.pdf](http://www.nitrd.gov/about/Harnessing_Power_Web.pdf)

National Science Board and National Science Foundation: "Long-Lived Digital Data Collections."  
<http://www.nsf.gov/pubs/2005/nsb0540/start.jsp>