

1. INTRODUCTION

- 1.1 The University of Wolverhampton is committed to excellence throughout the entire research lifecycle, recognising that good research is underpinned and validated by good data and that sharing data can enhance the integrity of research.
- 1.2 The University also recognises that sharing research data appropriately can contribute to the impact of research, and therefore advocates an open approach to research data wherever possible, whilst recognising that access will need to be balanced with constraints around security, confidentiality and commercial interests.
- 1.3 This policy has been established to ensure that research data is managed in accordance with the best practice principles outlined by funders, advisory bodies and research councils, whilst retaining legal and ethical compliance.

2. AIMS

The aims of this policy are to:

- 2.1 Provide a strategic framework for the management of data generated by research projects to ensure that data is managed to the highest standards.
- 2.2 Establish responsibilities for the management of research data.
- 2.3 Act as an aspirational best practice document, upon which to build an infrastructure to enable full implementation.

3. SCOPE

- 3.1 This policy applies across all research disciplines and to all research active members of staff affiliated with the University of Wolverhampton involved in conducting research or the creation, collection, or generation of research data.
It applies to postgraduate research students, but excludes taught postgraduate students and undergraduates.
- 3.2 This policy encompasses all research data that underpins published outputs, regardless of whether or not the research is funded.
- 3.3 Research data are defined as any recorded information necessary to support or validate a research project's observations, findings or outputs, regardless of format.
This includes, but is not limited to, results of experiments/simulations, statistics and measurements, models and software, observations, survey results, interview transcripts and recordings, images, textual source materials and annotations, physical artefacts and samples.

4. POLICY

- 4.1 Research data must be managed to the highest standards throughout the research data lifecycle as part of the University's commitment to research excellence.
- 4.2 The Principal Investigator on a grant application or research project is ultimately responsible for research data management, regardless of whether they are the most senior academic on the project team. Sole researchers or research students are considered Principal Investigators for individual projects.
- 4.3 The Principal Investigator for each research project or programme is responsible for the creation of an appropriate research data management plan, and for ensuring that all members of the research team are aware of, understand and abide by the plan.
- 4.4 Data management plans should be created for each proposed research project in line with the funder's specific requirements, or if no requirements are specified by the funder, then in accordance with best practice described by [DMP Online](#).
- 4.5 Once the project is approved the data management plan should be updated and explicitly address the capture, management, integrity, confidentiality, storage, preservation, sharing and publication of research data. Data management plans should take account of and ensure compliance with relevant legislative frameworks which may limit public access to the data (for example, in the areas of data protection, intellectual property and human rights).
- 4.6 Active research data should be backed up regularly, and stored securely on the networked file store provided by the University. Principal Investigators should ensure that access is not limited to a single person.
- 4.7 When research data needs to be shared across multi institutional teams, IT services must be consulted for advice on appropriate shared and cloud based storage.
- 4.8 Data should be classified, stored and processed in accordance with the University's [Data Protection Policy](#) and [Encryption Policy](#). Classification of data will inform the methods of storage and security to be applied.
- 4.9 Researchers must keep clear and accurate records of the research procedures followed and the results obtained, including interim results. Research data must be:
 - Accurate, complete, authentic and reliable.
 - Identifiable, retrievable, and available when needed.
 - Secure and safe with appropriate measures taken in handling sensitive, classified and confidential data.
 - Kept in a manner that is compliant with legal obligations, University policy and, where applicable, the requirements of funding bodies.
 - Preserved for its life-cycle with the appropriate high-quality metadata.
 - Able to be made available to others in line with appropriate ethical, data sharing and Open data principles.
- 4.10 After completion of the research, unless restricted by legal, ethical or commercial considerations, research data should be made accessible in a timely manner by depositing in

either a funder mandated repository, an appropriate national or international data service or a discipline specific repository. A general purpose repository such as [Zenodo](#), or the [registry of research data repositories](#) should be used to find a suitable resource, which should enable open access to data and assign a Digital Object Identifier (DOI).

- 4.11 When the research output is submitted to WIRE via Elements, the DOI link to the dataset should be added to the submission form to allow the appropriate metadata to be created to link the data to the research output.
- 4.12 The University of Wolverhampton strongly recommends use of [ORCID identifiers](#) throughout the research lifecycle, therefore all data deposits should be accompanied by an individual ORCID identifier.
- 4.13 Published papers should include a statement describing how, and on what terms, supporting research data may be accessed.
- 4.14 Primary data should be preserved in an appropriate, non-proprietary format and storage facility for a minimum of 10 years, unless funders specify preservation periods that exceed this. It should be kept in a form that would enable retrieval by a third party, subject to limitations imposed by legislation and general principles of confidentiality.
- 4.15 If research data is to be deleted or destroyed, either because its agreed period of retention has expired or for legal or ethical reasons, it should be done so in accordance with all legal, ethical, research funder and organisational requirements and with particular concern for confidentiality and security.
- 4.16 Members of staff are required to inform their line manager and/or the University Secretary at the earliest opportunity of the compromise or loss of a device or data which contains or may contain classified data. Data breaches must be reported within 72 hours. Any actual or potential data breach must be reported in line with University's [Data Breach Policy](#)
- 4.17 The interests of human participants of research must be protected during all stages of the data lifecycle. Informed consent must be given for the collection of personal data.
- 4.18 Exclusive rights to reuse or publish research data should not be transferred to commercial publishers or agents without retaining the rights to make the data openly available for reuse, unless this is a condition of funding.
- 4.19 A Research Data Management Working Group has been set up to manage the necessary resources for the implementation of this research data management policy, and will be issuing further guidance as this project continues.

5. ROLES AND RESPONSIBILITIES

- 5.1 The Dean of Research is responsible for institutional compliance with this policy.
- 5.2 The Directorate of Academic Support is responsible for the development of research data strategy and policy and for developing the services necessary to implement this policy.
- 5.3 Heads of Departments/Schools and others responsible for research staff and students are responsible for ensuring that researchers in their areas are aware of and follow the University's policy and procedures regarding research data.
- 5.4 During the lifetime of a project, the Principal Investigator is responsible for research data management in compliance with this policy.
- 5.5 All researchers are expected to familiarise themselves with and act in accordance with this policy, and comply with all legal, ethical, funding body and organisational requirements for the collection, use and storage of data, especially personal data, where particular attention should be paid to the requirements of data protection legislation.
- 5.6 The University is responsible for:
 - 5.6.1 Providing access to services and facilities for the storage, backup, deposit and retention of research data and records that allow researchers to meet their requirements under this policy and those of the funders of their research;
 - 5.6.2 Providing researchers with access to training, support and advice in research data management.

6. RELATED POLICIES

This policy should be read in conjunction with the following policies and guidance:

University of Wolverhampton Policies

Open Access Publications Policy

Open Research Statement

[Data Protection Policy](#)

[Document Retention Schedule](#)

[Confidential Waste Disposal Procedure](#)

[Acceptable Use of IT Facilities](#)

[Encryption Policy](#)

[Data Breach Policy](#)

[Ethical Principles](#)

[Intellectual Property Policy](#)

Funder and Research Council Policies

[RCUK Common principles on data policy](#)

[Concordat on open research data](#)

[Guidelines on FAIR data management in Horizon 2020](#)

[Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020](#)

7. DEFINITIONS

7.1 **Research data** are defined as any recorded information necessary to support or validate a research project's observations, findings or outputs, regardless of format. This includes, but is not limited to, results of experiments/simulations, statistics and measurements, models and software, observations, survey results, interview transcripts and recordings, images, textual source materials and annotations, physical artefacts and samples.

7.2 **Research data management** is the effective handling of information that is created in the course of research.

Data management covers all aspects of handling, organising, documenting and enhancing research data, and enabling their sustainability and sharing.

7.3 **Research data life-cycle** refers to the lifespan of data that may be longer than the research project that creates them. Researchers may continue to work on data after funding has ceased, follow-up projects may analyse or add to the data, and data may be re-used by other researchers.

The research data life-cycle refers to the stages of:

- Planning research
- Collecting data
- Processing and analysing data
- Publishing and sharing data
- Preserving data
- Re-using data

7.4 **Storing research data** means ensuring your data are safe. This is crucial to any research project. A good storage and backup strategy will help prevent potential data loss.

7.5 **Research Data back up** refers to making backup copies of files which ensures that original data files can be restored, should originals get damaged or go missing due to:

- Hardware faults or failure
- Software or media faults
- Virus infection or malicious hacking
- Power failure
- Human errors caused by changing or deleting files

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