



LJMU Research and Knowledge Exchange Data Management Policy

Responsibility for Policy:	Pro-Vice-Chancellor (Research & Knowledge Exchange)
Relevant to:	All LJMU Staff and Students
Approved by:	University Research and Knowledge Exchange Committee (9 th June 2023) Academic Board (27 th September 2023)
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RELEVANT DOCUMENTS

- UKRI Common Principles on Data Policy
- UKRI Concordat on Open Research data

RELATED POLICIES & DOCUMENTS

- LJMU Code of Practice for Research
- LJMU Data Protection Policy
- LJMU Information Security Policy
- LJMU Records Management Policy
- LJMU Records Retention Schedule

Liverpool John Moores University (LJMU) Research and Knowledge Exchange Data Management Policy

1. This Research and Knowledge Exchange Data Management Policy reflects the University's commitment to research and knowledge exchange as a key component of the institution's Strategy 2030 (and thereafter). It is one of a number of policies in place to facilitate academic and research integrity¹ and the performance of high-quality research and knowledge exchange activities. Specifically, this policy promotes the adoption of sector-endorsed principles² in the management of research data and records³.
2. The University recognises that research data are an essential component of any research project involving LJMU staff and students (undergraduate, postgraduate taught and postgraduate research), regardless of whether the project is supported by external or internal funds. Additionally, the availability of accurate and retrievable data is necessary to verify and defend, when required, the process and outcomes of research. Research data are not just valuable to researchers for the duration of their research, but may well have long-term value for research, teaching and for wider exploitation for the public good, by individuals, government, business and other organizations, as a project develops and after research results have been published.
3. LJMU acknowledges its obligations under research funders' data-related policy statements⁴ and codes of practice to ensure that robust systems are in place to promote best practice, including through clear policy, guidance, supervision, training and support⁵.
4. The University supports the position that publicly funded research is for the public good and should be made openly available when legally, commercially and ethically appropriate⁶.
5. Individual researchers, faculties/schools/departments, research institutes/centres and groups, professional services and, where appropriate, research sponsors and external collaborators, need to work in partnership to implement good practice and meet relevant legislative, research funder and regulatory requirements.

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1. Research Integrity at LJMU: <https://policies.ljmu.ac.uk/UserHome/Policies/PolicyDisplay.aspx?&id=101&l=1>
 2. The Concordat on Open Research Data: <https://www.ukri.org/files/legacy/documents/concordatonopenresearchdata-pdf/>
 3. Research data and records are defined as the recorded information necessary to support or validate a research project's observations, findings or outputs. Research data can take a variety of forms and exist in a range of media.
 4. An overview of the major UK research funders' data policies: <http://www.dcc.ac.uk/resources/policy-and-legal/overview-funders-data-policies> The UK Research and Innovation Common Principles on Data Policy (July 2015): <https://www.ukri.org/files/legacy/documents/rcukcommonprinciplesondatapolicy-pdf/> The European Commission's Guide on Open Access to Scientific Publications and Research Data in Horizon 2020 (August 2016): http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf
 5. LJMU online resources on research data management: <https://www.ljmu.ac.uk/microsites/library/researcher-engagement-and-outputs/research-data-management>
 6. LJMU Statement on Open Research: <https://www.ljmu.ac.uk/ris/research-excellence/open-research-statement>

6. Research data and records should be accurate, complete, authentic and reliable.
7. Research data that includes participant identifiers (e.g. name, ID, location data, online identifier etc.) is considered to include personal data and must be managed in accordance with university policy and relevant legislation (e.g. data protection and human tissue legislation).
8. Research data and records should be retained for as long as they are of continuing value to the researcher and the wider research community, and as long as specified by research funder, patent law, the relevant ethical framework/s⁷, legislative⁸ and other regulatory requirements. LJMU staff and students should work in compliance with the LJMU Records Retention Schedule. To ensure compliance with data protection legislation, investigators must consider what research data is considered personal data and whether/how the personal data should be retained in relation to the research data that is not considered personal data. For example, regarding interview/focus group recordings, once a transcript has been created it must be verified as accurate and an evaluation performed to determine if the audio/video recording continues to have research value and should be kept, or whether it would be better to delete it to protect research participants (e.g. confirmed in writing by a supervisor or chief investigator). Research records such as consent forms (including screening forms that include participant identifiers) and contact details are considered personal data. Consent forms must be retained in accordance with the timeframe of research data retention. Contact details must be stored securely whilst they are used to administer the study and then deleted – unless participants have provided explicit consent for their contact details to be retained (e.g. to be contacted about future research).
9. Where research is supported by a contract or a grant to the University that includes specific provisions regarding ownership, retention of and access to data, the provisions of that agreement will take precedence over the University's requirements whilst ensuring compliance with relevant legislation such as data protection and human tissue legislation.
10. If research data and records are to be deleted or destroyed, either because the agreed period of retention has expired or for legal or ethical reasons, this should be done in accordance with all legal, ethical, research funder and collaborator requirements and with particular concern for confidentiality and security. Destruction should follow the guidelines of the LJMU Records Retention Schedule.

7. LJMU guidance on Research Ethics: <https://www.ljmu.ac.uk/ris/research-ethics-and-governance/research-ethics>

8. LJMU Data Protection Policy: <https://policies.ljmu.ac.uk/UserHome/Policies/PolicyDisplay.aspx?&id=84&l=1>

11. Legal, ethical, and commercial constraints on release of research and knowledge exchange data must be considered at the initiation of the research and knowledge exchange process and throughout both the research and data life cycles. Published papers will include a short statement (Data Access Statement) describing how and on what terms any supporting research data may be accessed.

12. Researchers are responsible for:

- Managing research data and records in accordance with the principles and requirements in 5-11 above;
- Developing and documenting clear procedures for the collection, storage, use, re-use, access and retention or destruction of the research data and records associated with their research. This information must be incorporated in a research data management plan⁹ and it is the responsibility of the Principal Investigator to ensure that this plan is adhered to and updated as necessary throughout the project lifecycle. Typically, a data management plan will cover areas such as collection strategy, backup and storage of data, ethical/legal requirements related to data, data sharing and data archiving¹⁰. In the case of collaborative projects, the Principal Investigators must jointly agree how data is managed and maintained, sometimes across different institutions or 3rd parties.
- Research data management plans shall include, where appropriate, a complete definition of the protocols and responsibilities in a joint or multi-institution collaborative research project. It is the responsibility of the Principal Investigator to ensure that ownership of, and intellectual property rights in, all data are agreed formally in advance. Each case should be presented to the Head of KE (RIS) who will draw on expertise and seek guidance both internally and externally as required;
- Planning for the ongoing custodianship (at the University) of their data after the completion of the research or, in the event of the departure of the Principal Investigator or retirement from the University, reaching agreement with the head of School/Faculty (or his/her nominee) as to where such data will be located and how this will be stored;
- Ensuring that any requirements in relation to research data and records management placed on their research by funding bodies or regulatory agencies or under the terms of a research contract with the University are also met.

9. The University recommends the use of the JISC supported online tool for data management plan development 'DMP online': <https://dmponline.dcc.ac.uk/> but appreciates that many funders of research provide their own guidelines for developing data management plans

10. Dissertations and their data: promoting research integrity in undergraduate projects - https://ukdataservice.ac.uk/app/uploads/dissertations_and_their_data_promoting_research_integrity.pdf

13. The University is responsible for:

- Providing access to services and facilities for the storage, backup, deposit, dissemination 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 and knowledge exchange;
- Providing researchers with access to training, support and advice in research and knowledge exchange data and records management;
- Providing the necessary resources to those operational units charged with the provision of these services, facilities and training.

This policy should be read in conjunction with the University's Code of Practice for research¹² which sets out the University's overarching policy framework for good research practice, including the management of research data as well as the LJMU Statement on Open Research¹³.

12. LJMU Code of Practice for Research

<https://policies.ljmu.ac.uk/UserHome/Policies/PolicyDisplay.aspx?&id=100&l=1>

13. LJMU Statement on Open Research: <https://www.ljmu.ac.uk/ris/research-excellence/open-research-statement>