The Babraham Institute

BI-RES-008 Research Data Management Policy

Document reference

Policy number:	BI-RES-008		
Policy Owner:	Cass Flowers, Chief Information Officer		
Date:	06 October 2021		
Version:	1.0		
Status:	Active		
EIA number:	BI-RES-008-EIA		
Review period:	3 years		
Last reviewed:	06 October 2021	Next review:	31 August 2024

Version control

Date	Version	Status	Summary of Changes
06 October 2021	1.0	Active	Updated in 2021 Policy Review

Document approval

Define the approval authorities for the document

Document version	Document approved by	Position	Date
1.0	Babraham Executive Committee	N/A	06 October 2021

Distribution

Name or Group	Date of issue	Version
All staff and associates	19 October 2021	1.0

Associated policies, procedures and guidance

This policy should be read in conjunction with:

BI-RES-005 Research Integrity Policy
BI-IM-002 Data Protection Policy
BI-KEC-001 Intellectual Property Policy
BI-RES-007 Human Research Policy

Contents

1. Definitions

"Employee"	Institute employees on Institute or Babraham Institute Enterprise Ltd (BIE) terms and conditions, Institute employees on BBSRC or other terms and conditions, and Research Fellows on Institute terms and conditions.
"Staff"	Employees and Babraham Institute registered PhD students.
"Research Data"	Information in digital, computer-readable or paper-based format that:

- Is contained or presented in various ways including notes, facts, figures, tables, images (still and moving), audio or visual recordings; and
- Which is collected, generated or obtained during the course of or as a result of undertaking research (which includes but is not limited to conducting field or laboratory experiments, conducting trials, surveys (excluding staff surveys for HR), interviews, focus groups or analysis of data); and
- Which is subsequently used by the researcher as a basis for making calculations or drawing conclusions to develop, support or revise theories, practices and findings.

"Principal Investigator (PI)"	An Institute researcher primarily tasked with delivering a programme of research on behalf of the Institute, whether or not they are referred to as such in a research grant or Institute Strategic Programme (ISP) application.
"Researcher"	Any person undertaking research or involved in collecting, generating or creating research data, for or on behalf of the Institute, which shall include but not be limited to staff (including students), visiting students and researchers, and the PI.
"**Metadata**"	Data that provide information about other data. Metadata summarises basic information about data, making finding and working with particular instances of data easier. Metadata describes the relevant information on said data, giving them more context for data users. It is not limited to electronic data and can be used to index other forms of data.

2. Commitment statement

2.1. At the Babraham Institute our mission is to be an international leader in research focusing on basic cell and molecular biology with an emphasis on healthy ageing through the human life course.

2.2. Research and operational excellence are essential to meeting our vision of being at the forefront of research that improves lives. The Institute Values set out our approach to how we

operate across all Institute activities, both at an individual level and together as the Babraham Institute. The expectation of the Institute is that each staff member looks to represent and reflect the Institute Values within their own contributions and function, and to support and not hinder the expression of these Values in the work of others.

2.3.   Good research data management enables the Institute and its researchers to meet the standards and responsibilities set out in the Institute's Research Integrity Policy (BI-RES-005) and to meet funder, ethical, legal and other responsibilities. It also ensures that research data is accurate, complete, authentic and reliable, stored securely, preserved where necessary and accessible as required.

3.   Purpose

3.1.   The purpose of this policy is to

- Ensure that researchers manage their data effectively, enabling them to:

    - Demonstrate the integrity of their research.
    - Preserve eligible data for reuse within and outside the Institute (as appropriate).
    - Comply with ethical, legal, funder and other requirements in relation to data and data management.

- To ensure that all Institute Strategic Programmes (ISPs) and Science Facilities understand their responsibilities in relation to the governance of research data management in their groups.

- To ensure that the Institute's responsibilities for research data management are clearly articulated.

4.   Scope

4.1.   This policy applies to all members of the Institute engaged in research including:

- Institute employees on Institute or Babraham Institute Enterprise Ltd (BIE) terms and conditions
- Institute employees on BBSRC or other terms and conditions
- Research Fellows on Institute terms and conditions
- Research Fellows (honorary)
- Honorary Members of Faculty
- Babraham Institute registered PhD students
- Visiting students and visiting scientists (any relevant documents must be passed to the host before leaving the Institute)

4.2.   This policy applies to all research irrespective of funding.

4.3.   This policy is compliant with the Institute's UKRI-BBSRC Terms and Condition of Grant as well as all other current funders.

5.   Responsibilities

5.1. Researchers

5.1.1. All researchers must adhere to their obligations under this policy.

5.1.2. Researchers must:

- Adhere to the data management plan submitted as part of the research bid (where applicable) and the contractual obligations governing research data (as defined in the relevant research contract), and the application of this policy;

- Be aware of their and the Institute's legal obligations and potential liability when processing data relating to people to ensure compliance with handling data protected by the UK Data Protection Act (2018) and the European Union General Data Protection Regulation (2016), together with any other applicable data protection or privacy laws (see the Data Protection Policy; BI-IM-002);

- Ensure that the integrity and security of their data is maintained;

- Researchers are also encouraged to obtain an ORCID identifier or equivalent unique ID. Such identifiers help them record and report their work; they can be used in publications, grant applications, funder reporting and on the Institute laboratory information management system (LIMS).

5.2. PhD students & supervisors

5.2.1. The Institute believes that the embedding of good research data management practice by early career researchers is critical to establishing an effective data management ethos. Good research practice requires research students and their supervisor to plan the collection, storage, security and use of research data, in accordance with conventions in their fields of study and obligations from their funder, sponsors and the Institute.

5.2.2. In addition to the requirements for researchers set out in Section 5.1, research students in consultation with their supervisors should:

- Establish collection and storage procedures for their research data, and ensure that data management is planned and documented at the outset of the research project in accordance with their obligations as defined by the relevant funding bodies or sponsors and Institute policies.

- Ensure the data management plan is completed by the student before the first progression review, and regularly reviewed thereafter.

5.3. Principal Investigators (PIs)

5.3.1. The PI should ensure the data management plan or the research proposal upon which the data management plan should be based addresses the matters set out in Sections 3 to 8 of this policy and considers the requirements of collaborating parties.

5.3.2. It is good research practice to plan data management before commencing any research. Where a data management plan is not a requirement of the funder, it is recommended that PIs nevertheless generate, execute and update one when necessary by keeping it under

review throughout the research data lifecycle. Templates, guidance and examples to create such data management plans are available from the Institute's Research Data Management pages on The Hub.

5.3.3. In addition to requirements for researchers set out in Section 5.1, PIs should:

- Include in research grant proposals appropriate consideration of the cost and time implication of data storage and management;

- Develop and record appropriate procedures and processes for collection, storage, usage (including any re-uses), access, and retention of the research data associated with their research programme;

- Ensure where research is conducted in collaboration with external research partners that suitable agreements for the ownership and use of research data are prepared following advice on the Institute's potential legal liability and agreed in writing by the parties concerned before the project starts (contact the Contracts Office to start the process);

- Define the requirements for the selection of significant research data suitable for deposit at the conclusion of the research project; and

- Plan for the ongoing custodial responsibilities for the research data at the conclusion of the research project or on departure from the Institute.

5.4. ISP Leads

5.4.1. ISP Leads should promote good practice in all aspects of research governance and integrity, including research data management. They should ensure that researchers are aware of their responsibilities and obligations in effective management of research data and identify or promote training where gaps in these skills are identified.

5.4.2. ISP Leads assume stewardship of data once the researchers involved in compiling the data leave the Institute. This role may be delegated to a dedicated data steward or stewards to act as custodian of such data on the Institute's behalf until it is destroyed. ISP Leads must:

- Nominate people to undertake the tasks in Section 5.1.

- Establish procedures to ensure that prior to leaving the Institute, researchers store all significant research data in accordance with Section 6 and that all data ownership is transferred to appropriate groups in accordance to the leaving process.

- Ensure that researchers conducting human research, and any student(s) under their supervision, are aware of and appropriately trained in all of their responsibilities and obligations relating to the management of research data collected or otherwise processed in any way in the course of their research.

5.5. The Institute

5.5.1. The Institute has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. The Senior Information Risk Owner (SIRO) is accountable at an executive level for ensuring that appropriate provisions are in place. This role is held by the Institute's Chief Operating Officer.

5.5.2. The strategy and planning of resources to meet the Institute's needs in the area of research data management is a responsibility of the Chief Information Officer (CIO). The CIO also has the responsibility of disseminating best practice and defining the Institute's policy regarding research data management, including:

- Developing infrastructure and training to promote best practice in data management amongst Institute researchers.

- Supporting researchers to plan for data management and write data management plans for grant applications.

- Managing web pages on The Hub providing guidance for the Institute's researchers in good data management practice, including data deposition and related metadata description, and good data governance, in compliance with relevant legal and ethical obligations.

- Maintaining an institutional metadata catalogue of research datasets for publically funded research in line with funder requirements.

6. Storage & management

6.1. All researchers must ensure that all research data in digital and computer-readable form is:

- Stored securely in a durable format appropriate for the type of research data in question;

- Stored with adequate metadata and / or documentation to facilitate identification and support effective reuse of research data where this is appropriate. Science Facilities will have access to a LIMS that will enable researchers to add metadata to their files / folders.

6.2. Non-digital research data unsuitable for digitisation, but which is significant, should be:

- Stored securely;

- Indexed or categorised and labelled appropriately in order to identify the research data in question and support effective reuse of research data where this is appropriate; and

- Subject to Section 6.1, an entry must be made in the LIMS identifying that the research data in question is held by the Institute.

7. Ownership & Intellectual Property Rights (IPR)

7.1. Intellectual property contained in research data collected, created or generated by Institute Researchers shall be owned by the Institute in accordance with the Institute's Intellectual Property Policy (BI-KEC-001). All legal rights in and to the research data shall vest in the Institute.

7.2. The Institute shall be entitled to enter into agreements governing amongst other things, the sale, supply, transfer, access to or use of research data generated by Institute Researchers. These agreements will be subject to the intellectual property rights of third parties and the contractual obligations of the Institute (if any).

7.3.   Where research involves external funding and / or collaboration with other institutions or external parties, intellectual property ownership rights, and rights of use should be dealt with in the relevant contract prior to commencement of the project, and adhered to by Institute Researchers. It is essential that where possible, the contract identifies a process for research data management that is consistent with the broad principles of this policy.

7.4.   Where a research project involves use of data (which may include research data) owned or controlled by a third party who is not a collaborating party, each researcher must abide by the terms of contract governing the use of that data, and ensure that the use of such data will not place the Institute in breach of its contractual or funding obligations.

8. Access

8.1.   Subject to Section 8.2, the Institute recognises the benefits of making research data accessible to the public or wider academic community.

8.2.   Before sharing research data during or after a project it is essential to consider whether this is permissible considering IPR ownership, ethical, privacy, confidentiality requirements or any legal, regulatory or funding restrictions. Further information about human data can be found in the Human Research Policy (BI-RES-007). In addition, researchers must consider whether Research Data has commercial potential and in consultation with the Institute's Knowledge Exchange and Commercialisation team (KEC) consider if it is suitable for protection and / or transfer under the Institute's Intellectual Property Policy (BI-KEC-001).

9. Further information

9.1.   For further information see:

- [The Limitation Act 1980](1)

9.2.   This policy will be reviewed regularly to incorporate any changes, legislative or otherwise. The next review date is specified on the cover sheet.

9.3.   Associated policies, procedures and guidance are listed on the cover sheet. The Policy Owner named on the cover sheet can be contacted with any queries.

9.4.   This policy may be varied, withdrawn or replaced at any time by the Institute at its absolute discretion.

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[1] https://www.legislation.gov.uk/ukpga/1980/58