

# Research Data Management Procedure

## Related College Policies:

[Research Data Management Policy](#)  
[Data Governance Policy](#)  
[Data Protection Policy](#)  
[Email Policy](#)  
[Encryption Policy](#)  
[Freedom of Information Policy](#)  
[Information Security Policy](#)  
[Intellectual Property, Commercial Exploitation and Financial Benefit](#)  
[Code of Practice](#)  
[Records Management Policy](#)  
[Research Publications Policy](#)

## Related Procedures:

[Data Protection Procedure](#)  
[Data Breach Management Procedure](#)  
[Human Tissue Act, Creation, Retention and Destruction of Research Records](#)  
[Records and Data Retention Schedule](#)  
[Requests for Personal Information Procedure](#)

## Section I: Statements

### 1.1 A data management plan should be maintained for all projects handling research data

- A data management plan outlines how research data will be looked after during the lifetime of a research project and beyond. Maintaining a data management plan forms part of good information/data governance practice.
- Most funders require data management plans to be submitted with applications for funding. Any extra costs and resources needed for carrying out data management activities for physical, print as well as digital data should be identified in advance and documented in the plan. Researchers should ensure that the costs associated with such data management activities are recovered from the grant before the end of the funding period.

### 1.2 Sufficient metadata and documentation should be recorded during the course of the research

- Metadata and documentation about research data recorded during the course of research should provide information about how and why the data was created, what its content and structure is, and what alterations it has undergone.
- Metadata and documentation about research data should provide sufficient contextual information to enable the data to be accessed, understood, interpreted and reused by future users.

### 1.3 Research data should be managed in compliance with legal, ethical, regulatory, contractual and intellectual property protection requirements throughout its life cycle

- Research data (including physical, print and digital data) should be managed in compliance with any contractual agreements under which the research has been funded/conducted and in compliance with the following King's policies and guidance:

1.3.1	Legal requirements that affect the management of research data, including the protection of privacy and confidentiality of human participants and the release of data under Freedom of Information requests.	<ul style="list-style-type: none"> <li>- <a href="#">Data Protection Policy</a></li> <li>- <a href="#">Data Breach Management Procedure</a></li> <li>- <a href="#">Freedom of Information Policy</a></li> <li>- <a href="#">Human Tissue Act, Creation, Retention and Destruction of Research Records</a></li> </ul>
1.3.2	Secure storage and transmission of research data and authorized access to research data	<ul style="list-style-type: none"> <li>- <a href="#">Email Usage Policy</a></li> <li>- <a href="#">Encryption Policy</a></li> <li>- <a href="#">Mobile Device Policy</a></li> <li>- <a href="#">IT Password Policy</a></li> <li>- <a href="#">Information Security Policy</a></li> </ul>
1.3.3	Appraisal, selection and retention of research data	<ul style="list-style-type: none"> <li>- <a href="#">Records and Data Retention Schedule - Research records</a></li> <li>- <a href="#">Records Management Policy</a></li> </ul>
1.3.4	Retention, exploitation and licensing of intellectual property rights in research data	<ul style="list-style-type: none"> <li>- <a href="#">Intellectual Property, Commercial Exploitation and Financial Benefit, Code of Practice</a></li> <li>- <a href="#">Guidance on Copyright and Research</a></li> <li>- <a href="#">Guidance on licensing research data</a></li> </ul>
1.3.5	Alignment of approach to research data with research publications	<ul style="list-style-type: none"> <li>- <a href="#">Research Publications Policy</a></li> </ul>
1.3.6	Governance of all institutional Data	<ul style="list-style-type: none"> <li>- <a href="#">Data Governance Policy</a></li> </ul>

#### 1.4 Intellectual Property Rights in research data should be addressed

- In order to make research data available for future reuse on a non-exclusive basis, researchers are encouraged to retain the copyright and other reuse rights for their research outputs when signing contracts with publishers and organizations that fund their research.
- Deposit and publication of research data must take into account the King's Code of Practice on Intellectual Property, Commercial Exploitation and Financial Benefit.
- Intellectual property rights contained in third party data and those arising from multi-party collaborations must be respected.

#### 1.5 Research publications should include a data access statement

- A data access statement is a short statement added to a research publication giving details of how data supporting the published results may be accessed. If access to the data is restricted, the reasons for this should be explained e.g. specific legal, ethical, regulatory, contractual, intellectual property protection or other legitimate reason, and any terms and conditions of access to the data should be stated.
- The data access statement should include a persistent identifier link such as a Digital Object Identifier (DOI) link. An instruction to "contact the author" is not sufficient.

#### 1.6 Deposit research data in a repository or archive

- Data which supports published results or that which has been retained following the end of a project should be deposited in a repository or archive for long term preservation, subject to compliance with legal, ethical, regulatory, contractual and intellectual property protection requirements.

- Research data which supports published research or that which has been retained following the end of a project should be openly accessible, with as few restrictions as possible unless there are compelling legal, ethical, regulatory, and contractual or IPR reasons not to be so.
- Data for deposit in a repository or archive should include sufficient metadata and documentation as stated above.
- When in receipt of external funding researchers should also adhere to their funder's data policy. Most funders require research data to be deposited in a repository or archive within a certain period of time and preserved for a minimum period of time. Some funders specify a designated repository where data should be deposited. In the event that an aspect of the King's College London policy is incompatible with a funder's, the latter shall take precedence.
- When collaborating with researchers from other organizations, e.g. other HE institutions - whether in the UK or elsewhere in the world, or working for/with the NHS - King's researchers should seek to comply with any additional data management requirements stipulated by those organizations.
- The King's Records and Data Retention Schedule for Research Records should be considered alongside any stipulations on data retention set by a funder, and the longer retention period should be applied.
- **Exception:** The requirement to deposit research data in a repository or archive does not apply to self-funded PhD students - unless the data supports published results. However such students are encouraged to deposit their data in this way if they wish.

#### 1.7 A metadata record describing the data should be made publicly available

- A metadata record which describes the data supporting published research findings or that retained following the end of a project should be made publicly available non-exclusively via the King's Research Data Management Service, irrespective of where the actual data is hosted, except in cases in which the research project and metadata describing it is itself confidential.

## **Section II: Roles and Responsibilities**

### Researchers

- King's researchers, as defined in the Scope above, who undertake research activities involving research data, whether externally funded or not, are expected to adhere to the requirements of this policy.
- Researchers in receipt of external funding must meet the requirements of their funder's data policy. In the event that an aspect of this policy is incompatible with a funder's, the latter shall take precedence.
- Researchers should ensure they are sufficiently skilled in good research data management and information governance practices, undertaking training where required. They should also familiarize themselves with support available within the university if queries relating to data management arise.
- The senior researcher/Principal Investigator should ensure all project staff are adhering to good data management and information governance practices.
- In the context of a research project, accountability for compliance with this policy lies primarily with the senior researcher associated with the project, typically the Principal Investigator.

### Library Services

- Provides advice and guidance to researchers on all aspects of this policy and good RDM practice, including advice on preparing data management plans.
- Maintains a series of web pages providing advice on good RDM practice.
- Manages the King's RDM Service in support of implementing this policy and supports

researchers with their data management requirements.

- Maintains an asset register of digital datasets relating to completed research projects i.e. a data catalogue.
- Provides training on managing research data.
- Provides updates about funders' research data policies and the university's work to support this area.
- Provides mediated support for researchers wishing to deposit data with the King's RDM Service.
- Consults researchers and research support staff on the development of RDM systems and services.
- Enquiries should be directed to [research.data@kcl.ac.uk](mailto:research.data@kcl.ac.uk) and further information is available on the web pages:  
<http://www.kcl.ac.uk/library/researchsupport/research-data-management/>

## IT

- Responsible for the development and delivery of the IT infrastructure, digital hosting and storage arrangements in support of this policy.
- Provides maintenance and support for systems and components used by the King's RDM Service to support researchers.

## Research Management & Innovation

- Secures high level buy-in of the policy.
- Oversees institutional compliance with this policy.
- Raises awareness at all levels of the university, from senior management through to faculty academics and administrators.
- Responsible for developing the Research Portal (the front end of King's Current Research Information System and institutional repository Pure) to integrate metadata for research datasets.
- Ensures alignment of this policy with the Research Publications Policy.
- Collaborates with Library Services on advocacy and communications activities.

## College Research Committee (CRC)

- The CRC, led by its chair, is the owner of this policy.

## Faculty Research Committees (FRC)

- Faculty Research Committees and Deans/Heads of Research are responsible for promoting awareness and compliance with this policy in their Faculty/School.
- Promote a culture of good data management and information governance practices, including encouraging researchers to undertake training where necessary.

## The university

- The university is responsible for ensuring that the necessary infrastructure is appropriately funded and in place to support the policy.
- Is committed to ensuring that digital research data deposited with the King's Research Data Management Service is preserved for a minimum of ten years from the date of deposit.

## The Open Research Group

- In recognition of the evolving nature of policies and practice in scholarly communications,

including research data management, it is anticipated that there may be occasional scenarios where the requirements of one stakeholder contrast with another.

- In such a scenario, the issue may be raised:
  - First with the King's RDM Service for advice
  - Second with the Open Research Group for discussion and recommendations
  - Third with the College Research Committee for a decision

#### Data Access decision maker

- It is envisaged that this policy, together with the guidance and support provided by Library Services, will be sufficient for researchers to make judgements about the management of research data that is restricted in any way.
- In the exceptional circumstances where a reasonable request for access to restricted data is in dispute, King's Data Access decision maker – Chair of the College Research Committee, or their nominated representative – will make a deciding judgement on the case.