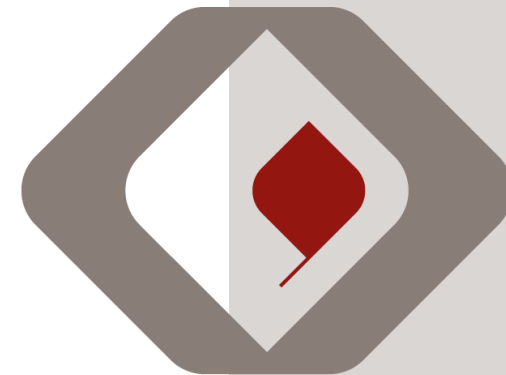


2016

Evaluation Grid for RDM Policies in Europe



learn

LEARN | WP3 - University of Vienna

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Evaluation of RDM Policies

Between July 2015 and June 2016, the Library of the University of Vienna (as the leader of „Work Package 3 – Policy Development and Alignment“ of the LEARN Project) collected and analysed over 40 European RDM policies. In the course of this preparation phase it became obvious that in many countries (especially on continental Europe) there have hardly been published any guiding principles regarding RDM. After a further selection process, 20 policies were examined more closely based on (identified) format and content-related criteria. Using the following analysis grid, 11 RDM policies from the United Kingdom, four from Germany, one from the Netherlands and four from Finland (see listed at the end of this document) were evaluated and checked for possible significant changes during this period at regular intervals. This compact overview is also supplemented by a detailed evaluation of the selected policies with extensive comments (see below).

Criteria	Status - Overview		
	It was NOT taken into consideration	It was PARTLY taken into account	It has been CONSIDERED
Number of institutions: 20			
1. Authorship.		+++ +++	
2. Validity		+++ +++	+++
3. Review	+++ +++		+++
4. Subject			+++ +++ +++
5. Scope and coverage		+++	+++ +++
6. Preliminaries and definitions		+++	+++ +++
7. Institutional awareness, support and services		+++	+++ +++
8. Objectives (“what and how”)		+++ +++	+++
9. Roles and responsibilities		+++	+++ +++
10. DMP			+++ +++ +++
11. Costs	+++	+++ +++	
12. External		+++	+++
13. Ownership	+++	+++	+++
14. Retention	+++ +++		+++
15. Deletion	+++ +++ +++		
16. Legal aspects		+++	+++ +++
17. Ethics		+++	+++
18. Open data / restricted data / closed data		+++ +++	+++
19. Storage and access		+++	+++ +++
20. Metadata curation	+++		+++
21. Exceptions	+++	+++	+++
22. Research infrastructure	+++ +++	+++	+++
23. Long tail of data / head of project data	+++ +++ +++		
24. Educational data	+++ +++ +++ +++		
25. Cultural heritage	+++ +++ +++ +++		

Criteria	Status - Detail			
Number of institutions: 20	It was NOT taken into consideration*	It was PARTLY taken into account*	It has been CONSIDERED*	<i>Comments</i>
1. Authorship. It should be clear who defines the policy	University of Bath Universität Bielefeld Universität Heidelberg	STFC University of Birmingham University of Bristol University of Cambridge University of Edinburgh University of Glasgow University of Leeds University of the Arts London Aalto University University of Helsinki Radboud University Humboldt-Universität zu Berlin Universität Göttingen	UCL University of Oxford Tampere University of Technology University of Turku	<p>STFC : Drawn up by an internal technical working group (information only on the website, not in the document)</p> <p>UCL : Author mentioned by name</p> <p>University of Bristol : Approved by Senate Well-defined authorship only in the previous draft version, not in the updated document</p> <p>University of Cambridge : Approved by Research Policy Committee</p> <p>University of Edinburgh : Approved by University Court RDM Roadmap: authors mentioned by name</p> <p>University of Glasgow : Information only on the website, not in the document Approved by Research Strategy and Planning Committee</p> <p>Tampere University of Technology : Detailed description of working process Working group chaired by Vice President for Research</p> <p>University of Turku : Decision of the Rector</p> <p>Radboud University : Poor information on the authorship (Executive Board)</p> <p>Humboldt-Universität zu Berlin : Approved by Academic Senat</p>
2. Validity. The date of the release of the policy should be clear. It should also be clear how long the terms of the policy are valid.	STFC University of the Arts London	University of Birmingham University of Bristol University of Cambridge University of Glasgow University of Leeds University of Oxford Tampere University of Technology University of Helsinki Humboldt-Universität zu Berlin	UCL University of Bath University of Edinburgh Aalto University University of Turku Radboud University	<p>UCL : Approving policy Ensuring resources Implementation</p> <p>University of Bath : Date of last modification is indicated</p> <p>University of Cambridge : Date of last modification is indicated “The University acknowledges that a full implementation of this policy framework will be a long-term process.”</p> <p>University of Edinburgh : Aspirational policy: implementation will take some years RDM Roadmap: Timeframe August 2012 – July 2016</p> <p>University of Glasgow : Information about release only available on the website, not in the document</p> <p>University of Leeds : Institutional RDM Policy Evolution on the website</p> <p>University of Turku : Realisation is followed with indicators Policy and implementation are developed</p> <p>Universität Bielefeld : Information about release only available on accompanied webpage “Resolution on RDM”</p> <p>Universität Göttingen : Information about release only available on the website, not in the document</p>

		<p>Universität Bielefeld Universität Göttingen Universität Heidelberg</p>		<p>Universität Heidelberg : Date of last modification is indicated</p>
<p>3. Review. The policy should be a subject to periodic review</p>	<p>STFC University of Birmingham University of Bristol University of Edinburgh University of the Arts London Aalto University Tampere University of Technology University of Turku Radboud University Humboldt-Universität zu Berlin Universität Bielefeld Universität Göttingen</p>	<p>University of Glasgow University of Helsinki Universität Heidelberg</p>	<p>UCL University of Bath University of Cambridge University of Leeds University of Oxford</p>	<p>UCL : Reviewed at least every 3 years by RIISG and UCL Research Data and Network Services Executive University of Bristol : Revision History only in the previous draft version, not in the updated document University of Cambridge : Regularly reviewed by the Open Access Project Board University of Glasgow : Information on website: “This policy replaces the previous Draft” University of Leeds : Research and Innovation Board is responsible for reviewing and updating the policy University of Oxford : Research and Information Sub-Committee is responsible for updating of the policy</p>
<p>4. Subject. It should be clear what the subject of the policy is</p>		<p>University of Birmingham University of Edinburgh Universität Bielefeld Universität Heidelberg</p>	<p>STFC UCL University of Bath University of Bristol University of Cambridge University of Glasgow University of Leeds University of Oxford University of the Arts London Aalto University Tampere University of Technology University of Helsinki University of Turku</p>	

			Radboud University • Humboldt-Universität zu Berlin • Universität Göttingen	
5. Scope and coverage. The scope and the coverage of the policy should be defined		University of Birmingham • University of Cambridge • University of Edinburgh • University of Leeds • Aalto University • Radboud University • Universität Heidelberg	STFC • UCL • University of Bath • University of Bristol • University of Glasgow • University of Oxford • University of the Arts London • Tampere University of Technology • University of Helsinki • University of Turku • Humboldt-Universität zu Berlin • Universität Bielefeld • Universität Göttingen	<p>University of Bristol : Applies to all research conducted by University staff and postgraduate research students (PGRs) regardless of whether or not the research is externally funded but not to taught postgraduate students or undergraduates</p> <p>University of Glasgow : “For all staff, including technical and other support staff and persons with honorary positions and students carrying out or supporting research at, or on behalf of, the University.”</p> <p>University of Oxford : “Researchers, departments/faculties, divisions, central administrative units and service providers and, where appropriate, research sponsors and external collaborators, need to work in partnership to implement good practice (...).”</p> <p>University of the Arts London : The policy applies to all staff involved in externally funded research at the University, especially where the funding body requires a DMP</p> <p>Aalto University : RDM Policy “to make data management easier for individual researcher”</p> <p>Humboldt-Universität zu Berlin : Policy is addressed to all researchers</p>
6. Preliminaries and definitions. A policy should contain key RDM terms, indicating answers to these questions: a) What is “research data”? b) What is “research”? c) Who is a “researcher”?	University of Edinburgh • University of Helsinki	University of Birmingham • University of Cambridge • Aalto University • Radboud University • Universität Heidelberg	STFC • UCL • University of Bath • University of Bristol • University of Glasgow • University of Leeds • University of Oxford • University of the Arts London • Tampere University of Technology • University of Turku • Humboldt-Universität zu Berlin •	<p>STFC : Implicit definition of data their policy applies to Detailed data definition</p> <p>UCL : Research Detailed data definition</p> <p>University of Bath : Research Research data</p> <p>University of Birmingham : Data Management</p> <p>University of Bristol : Research data Data Steward</p> <p>University of Cambridge : Research data</p> <p>University of Glasgow : Data (research data) Metadata DMPs Persistent object identifier</p> <p>University of Leeds : Research data Research data lifecycle</p> <p>University of Oxford : Research data Research Researcher</p> <p>University of the Arts London : Research data</p> <p>Aalto University : Policy applies to digital research materials produced, used and revised in research projects, i.e. research data. (Physical materials shall be excluded) “The concept of research data is not specified further in this policy (...).”</p>

			Universität Bielefeld • Universität Göttingen	Tampere University of Technology : Research material DMP University of Turku : Glossary of Open Science and Research project (http://avointiede.fi/keskeinen-sanasto) Radboud University : Metadata DMP Humboldt-Universität zu Berlin : Research data Universität Bielefeld : Research data Universität Göttingen : Research data RDM Universität Heidelberg : Lifecycle
7. Institutional awareness, support and services.		STFC • University of Bath • University of Leeds • University of the Arts London • Radboud University • Humboldt-Universität zu Berlin • Universität Bielefeld	UCL • University of Birmingham • University of Bristol • University of Cambridge • University of Edinburgh • University of Glasgow • University of Oxford • Aalto University • Tampere University of Technology • University of Helsinki • University of Turku • Universität Göttingen • Universität Heidelberg	UCL : Identify and implement training or skills development (by the Heads of Department) University of Birmingham : University provides training, support, advice, guidelines and templates for RDM and DMPs University of Bristol : Training and guidance for researchers Support with DMP and in depositing research data in the University's Research Data Repository University of Cambridge : Dedicated website providing guidance in good data management practice University of Edinburgh : Training, support and advice for RDM and DMPs University of Glasgow : Own webpage for support with RDM at Glasgow, Funder Requirements, Storage and Costs, Creating – Organising – Accessing Data Discipline-specific data management training, support and advice, particularly on aspects such as data ownership and ethics Local guidance and support to assist researchers in developing and implementing DMPs University of Leeds : Training , support and advice on RDM University of Oxford : University should provide necessary resources for services and training Tampere University of Technology : Training and orientation for university community including students Support for identifying and solving legal issues University of Helsinki : Training as part of studies and staff training University of Turku : Support for researchers for identifying and solving legal and ethical issues related to research data Training as part of studies and staff training University community is informed about data management and media visibility of data is followed Radboud University : Services on the website Universität Bielefeld : Commitment of the university to support implementation and quality-assurance is available on accompanied webpage " Resolution on RDM " Universität Heidelberg : " Kompetenzzentrum Forschungsdaten " (consulting and support)
8. Objectives ("what and how"). It should be clear what should be		STFC • University of Edinburgh • University of Leeds	UCL • University of Bath • University of Birmingham	University of Bath : Registration of data within 12 months Aalto University : 5 Principles for open access publishing of research data (recommended to be acknowledged in data management in general)

<p>done and how it should be done</p>		<p>University of Oxford University of the Arts London Tampere University of Technology University of Helsinki University of Turku Radboud University Humboldt-Universität zu Berlin Universität Bielefeld Universität Göttingen Universität Heidelberg</p>	<p>University of Bristol University of Cambridge University of Glasgow Aalto University</p>	
<p>9. Roles and responsibilities. Definition of the responsibilities, tasks and instruments, of:</p> <p>a) the researchers / P.I. (data producing entity)</p> <p>b) research supporting entities (e.g. research services, libraries, IT services)</p> <p>c) the institution</p>		<p>STFC University of Edinburgh University of Leeds Aalto University Tampere University of Technology University of Helsinki University of Turku Humboldt-Universität zu Berlin Universität Heidelberg</p>	<p>UCL University of Bath University of Birmingham University of Bristol University of Cambridge University of Glasgow University of Oxford University of the Arts London Radboud University Universität Bielefeld Universität Göttingen</p>	<p>UCL : Detailed description of responsibilities Students as Data Creators UCL Research Data Service</p> <p>University of Bath : e.a. Data Steward Data loss Contact for queries</p> <p>University of Birmingham : PI Researchers Students University All those undertaking research within the University (including students) has a responsibility to manage their data effectively</p> <p>University of Bristol : Researchers PI Data Steward Postgraduate Research Students and Supervisor University</p> <p>University of Cambridge : University University staff and students</p> <p>University of Edinburgh : PI University</p> <p>University of Glasgow : Researchers School and College Level Support University Services</p> <p>University of Leeds : Responsible owners PI University Researchers Research and Innovation Board</p> <p>University of Oxford : Researchers University</p> <p>University of the Arts London : University PI Director of Research Management and Administration (RMA) Research assistants </p> <p>Radboud University : Researcher Project leader Director of research institute Director of education University</p> <p>University of Turku : Each university community member</p> <p>Humboldt-Universität zu Berlin : Obligation of researchers includes instructing students and doctoral candidates about handling of research data properly “Researchers should take responsibility for deciding at what time and on what legal terms research data may be accessed.”</p> <p>Universität Bielefeld : Researcher PI Rektorat (on accompanied webpage “Resolution on RDM”)</p>

				<p>Universität Göttingen : PI Researcher University</p> <p>Universität Heidelberg :: PI University</p>
<p>10. DMP. The policy should specify a requirement to complete a DMP (either institutional or funder)</p>	<p>Humboldt-Universität zu Berlin</p>	<p>University of Oxford</p> <p>University of the Arts London</p> <p>Aalto University</p>	<p>STFC</p> <p>UCL</p> <p>University of Bath</p> <p>University of Birmingham</p> <p>University of Bristol</p> <p>University of Cambridge</p> <p>University of Edinburgh</p> <p>University of Glasgow</p> <p>University of Leeds</p> <p>Tampere University of Technology</p> <p>University of Helsinki</p> <p>University of Turku</p> <p>Radboud University</p> <p>Universität Bielefeld</p> <p>Universität Göttingen</p> <p>Universität Heidelberg</p>	<p>STFC : Consistent with DMPs of other facilities National and international recommendations for best practice (DCC guidance)</p> <p>University of Birmingham : From 2015, all new research proposals must include DMPs or protocols</p> <p>University of Bristol : DMP should be written before research commences DMP guidance for specific funders on website DMP template for PGR students – DMP online tool by DCC</p> <p>University of Cambridge : Guidance by University of Cambridge and DCC If funders require a DMP, such plan needs to be prepared according to funders' requirements Researchers should update their DMPs regularly, ensure that at the end of the project all their research outputs, together with their location, are indicated in their DMPs and deposit their final DMPs into an appropriate repository</p> <p>University of Edinburgh : All new research proposals must include DMPs</p> <p>University of Glasgow : Researchers have to produce DMP for every research project that will generate a dataset</p> <p>University of Leeds : DMP must be created for each proposed research project or funding application to allow costing and infrastructure planning. Once project is approved DMP should be updated</p>
<p>11. Costs. Questions around the costs of RDM should be well defined</p>	<p>University of Edinburgh</p> <p>University of Oxford</p> <p>University of the Arts London</p> <p>Radboud University</p> <p>Humboldt-Universität zu Berlin</p> <p>Universität Bielefeld</p> <p>Universität Heidelberg</p>	<p>STFC</p> <p>UCL</p> <p>University of Birmingham</p> <p>University of Cambridge</p> <p>University of Glasgow</p> <p>Aalto University</p> <p>Tampere University of Technology</p> <p>University of Helsinki</p> <p>University of Turku</p> <p>Universität Göttingen</p>	<p>University of Bath</p> <p>University of Bristol</p> <p>University of Leeds</p>	<p>STFC : Efficient and cost-effective research Appropriate to use public funds</p> <p>University of Birmingham : Researchers should seek to cover direct costs of RDM from research funder DMP will include costing RDM</p> <p>University of Bristol : Time and any likely cost for storage and management should be explicitly written into research applications, including instances where data will need to be made publicly available or curated for many years beyond the project lifetime. Funders: costs relating to storage and management of research data are legitimate costs and can be included within a research proposal. These costs can generally only cover the lifetime of the grant so any work needed to make the data available for sharing at the end of the project should be built into the proposal. Research Data Service's Anticipating the costs of RDM document Potential costs for larger deposit</p> <p>University of Glasgow : Costs are not mentioned in the policy, but on the website: "Cost of storing data (...): Research Data is £1800 per-terabyte (excluding VAT). This is a one-off charge and guarantees secure data storage for ten years. "</p> <p>University of Leeds : Guide for costing and infrastructure planning is available on the website. Researchers should seek to recover the direct costs of managing research data generated by projects from the research funder</p>

				<p>Aalto University : Opening access to research data shall be implemented in a cost-effective manner</p> <p>Radboud University : “Previous research suggests that a centralised service for data management at Radboud University would be more cost effective than management at an institutional level.”</p> <p>Universität Göttingen : “Specific requirements have to be aligned among all stakeholders and may involve additional funding.”</p>
<p>12. External. The policy should contain a statement on the primacy of external funding requirements and about external research partners</p>	<p>Tampere University of Technology</p> <p>University of Turku</p> <p>Humboldt-Universität zu Berlin</p> <p>Universität Göttingen</p>	<p>University of Edinburgh</p> <p>University of Leeds</p> <p>University of the Arts London</p> <p>Aalto University</p> <p>University of Helsinki</p> <p>Radboud University</p> <p>Universität Bielefeld</p> <p>Universität Heidelberg</p>	<p>STFC</p> <p>UCL</p> <p>University of Bath</p> <p>University of Birmingham</p> <p>University of Bristol</p> <p>University of Cambridge</p> <p>University of Glasgow</p> <p>University of Oxford</p>	<p>UCL : Collaborative research</p> <p>University of Birmingham : Data retained elsewhere should also be recorded with University Funder-compliant storage Third-party Intellectual Property rights in “Code of Practice for Research” (3 Research Data)</p> <p>University of Bristol : Where research is carried out under a grant or contract: terms of agreement will determine ownership and rights to exploit the data External research partners Third party funded research data of PGRs should be passed on to supervisor before the student leaves the University</p> <p>University of Cambridge : “The University is committed to achieving compliance with the data policies of its external research sponsors, publishers and governmental agencies, and requires its staff and students to abide by terms and conditions agreed with third parties. The University also recognises that such third parties’ policies are evolving and that they may require higher levels of data accessibility and dissemination in the future.”</p> <p>University of Edinburgh : Data retained elsewhere should be registered with the University</p> <p>University of Glasgow : Data retained elsewhere should also be recorded with University data registry Researchers have to “familiarise themselves with relevant funder data policies and expectations and endeavour to comply with these policies.”</p> <p>University of Leeds : Research Funder data requirements available on the website Data held outside the University should be recorded in the University data registry</p> <p>University of Oxford : Overview of major research funders’ data policies (DCC)</p> <p>Universität Heidelberg : Data retained elsewhere should also be recorded with the University</p>
<p>13. Ownership. The questions concerning the ownership of research data should be taken into consideration</p>	<p>University of Edinburgh</p> <p>University of the Arts London</p> <p>Radboud University</p> <p>Universität Bielefeld</p> <p>Universität Göttingen</p>	<p>STFC</p> <p>UCL</p> <p>University of Birmingham</p> <p>University of Cambridge</p> <p>University of Leeds</p> <p>University of Oxford</p> <p>Tampere University of Technology</p> <p>University of Turku</p> <p>Humboldt-Universität zu Berlin</p> <p>Universität Heidelberg</p>	<p>University of Bath</p> <p>University of Bristol</p> <p>University of Glasgow</p> <p>Aalto University</p> <p>University of Helsinki</p>	<p>UCL : Owner is responsible for preserving research data</p> <p>University of Bath : Student’s data</p> <p>University of Birmingham : in “Code of Practice for Research” (3 Research Data)</p> <p>University of Bristol :</p> <ul style="list-style-type: none"> Where research is carried out under a grant or contract: terms of agreement will determine ownership Where no external contract exists: University normally has ownership of primary data generated in the course of research undertaken by researchers in its employment University does not automatically own student Intellectual Property (IP) <p> Suitable agreements for ownership should be established and agreed in writing by parties concerned before a project starts</p> <p>University of Glasgow : Researchers have to:</p> <ul style="list-style-type: none"> “Clearly state who owns the data that are being generated through the research activity. Where this is not

				<p>clear, researchers will work with IPR specialists in Research Strategy and Innovation, the Library and College support teams to verify data ownership as early as possible in the research data lifecycle.”</p> <ul style="list-style-type: none"> “Ensure that, when leaving the University (for retirement or a position elsewhere), data of long-term value which were generated using University resources are deposited in the Institutional Data Repository for long-term storage and preservation.” <p>University of Leeds : Responsibilities of the responsible owners</p> <p>Aalto University : Ownership of copyright protected research data is transferred to the University if the data is created in externally funded research project of the University</p>
<p>14. Retention. The length of time and criteria on what research data is required to be kept, should be defined.</p>	<p>University of Glasgow University of Leeds University of the Arts London Aalto University Tampere University of Technology University of Helsinki University of Turku Universität Bielefeld Universität Göttingen Universität Heidelberg</p>	<p>University of Birmingham University of Cambridge University of Edinburgh Humboldt-Universität zu Berlin</p>	<p>STFC UCL University of Bath University of Bristol University of Oxford Radboud University</p>	<p>STFC : Original data retained for the longest possible period 10 years after end of project reasonable minimum Not re-measurable data: retain in perpetuity</p> <p>UCL : Min. 10 years after publication Plan for custodial responsibilities</p> <p>University of Bath : Data must be retained for 10 years. “Researchers should avoid retaining data using methods that might not persist for 10 years, such as use of project websites or personal computing equipment.”</p> <p>University of Birmingham : in “Code of Practice for Research” (3 Research Data): 10 years clinical, major social, environmental or heritage importance: 20 years</p> <p>University of Bristol : “In order to meet funder requirements around the storage, preservation and accessibility of research data, unless otherwise agreed the University is expected to keep a copy of any significant research data for a specified period after the end of the research (generally 10 years).”</p> <p>University of Cambridge : As long as data seems to be valuable to data creator or to others, or required by funder/other regulatory requirements</p> <p>University of Edinburgh : Research data of future historical interest (and records of University) will be offered and assessed for deposit and retention</p> <p>University of Oxford : Min. 3 years after publication As long as they are of continuing value</p> <p>Radboud University : “The retention period for research data is a minimum of ten years.” The minimum retention period for Radboud University is longer than the code of academic practice suggests. A longer minimum period can be applied by each discipline. A maximum period cannot be defined, because it is dependent on the discipline.”</p> <p>Humboldt-Universität zu Berlin : Researchers are committed to secure their research data for the long term</p>
<p>15. Deletion. It should be clear how the deletion of data should be carried out and who decides about it</p>	<p>STFC University of Bath University of Birmingham University of Bristol University of Cambridge University of Edinburgh University of Glasgow University of Leeds University of the Arts London Aalto University</p>	<p>UCL Tampere University of Technology</p>	<p>University of Oxford</p>	<p>UCL : Suggests recommendation in DMP for destruction of research data</p> <p>University of Oxford : Reason: agreed period of retention has expired or legal or ethical reasons Should be done in accordance with legal, ethical, research funder and collaborator requirements (confidentiality and security)</p> <p>Tampere University of Technology : Intentional destruction of data in DMP</p>

	University of Helsinki University of Turku Radboud University Humboldt-Universität zu Berlin Universität Bielefeld Universität Göttingen Universität Heidelberg			
16. Legal aspects.		UCL University of Edinburgh University of Oxford University of the Arts London Radboud University Humboldt-Universität zu Berlin Universität Bielefeld Universität Göttingen	STFC University of Bath University of Birmingham University of Bristol University of Cambridge University of Glasgow University of Leeds Aalto University Tampere University of Technology University of Helsinki University of Turku Universität Heidelberg	<p>STFC : Compromising data integrity (modification of data or incorrect metadata) considered as serious breach of policy Users acknowledge source of data</p> <p>University of Bath : Guidance on selecting licence for research data</p> <p>University of Bristol : "Researchers must ensure that they abide by licences or terms of use when using or sharing third party data." "(...) Exclusive rights to research data must not assigned, licenced or otherwise transferred to external parties."</p> <p>University of Cambridge : Intellectual Property Rights</p> <p>University of Glasgow : Exclusive rights to reuse or publish should not be handed over to commercial publishers or agents without retaining rights to make data openly available for re-use (unless this is condition of funding)</p> <p>University of Leeds : Guidance on sharing and publication of research data Relevant legislative frameworks</p> <p>Aalto University : Guidelines with "Rules of handling of information materials" Recommended license for research data: CC BY 4.0, metadata: CCO 1.0, software: MIT Licence User rights of third parties – University may charge a fee for the use of research data</p> <p>Tampere University of Technology : Security and data protection Authors appropriately acknowledged by reuse Fee and restrictions on data sets processed for industry or society</p> <p>University of Helsinki : Good practice for attribution of authorship University of Helsinki must always be indicated as the source of data Fee for data sets processed for business and society</p> <p>University of Turku : Attribution of authorship University of Turku must always be indicated as the source of data University has at least rights of use Fee for data sets processed for business and society Creator's right to primary use of research data Commercial utilisation and related protection of rights</p>
17. Ethics. The ethical use/reuse of data, particularly how it affects potential reuse should be considered	Humboldt-Universität zu Berlin Universität Bielefeld	STFC UCL University of Edinburgh University of Oxford University of the Arts London Tampere University of Technology University of Helsinki	University of Bath University of Birmingham University of Bristol University of Cambridge University of Glasgow University of Leeds Aalto University University of Turku	<p>University of Bristol : University has developed methods to provide controlled access to sensitive data Ethics of Research Policy and Procedure</p> <p>University of Cambridge : Research Ethics Policy</p> <p>University of Glasgow : Researchers have to ensure that sensitive data is properly managed (Data Protection Policy, Confidential Data Policy)</p> <p>University of Leeds : Guidance on good practice in ethics and ethical review</p> <p>Aalto University : Guidelines for ethical principles, responsible conduct of research and processing of personal data</p> <p>University of Helsinki : Protection of confidential information Data security and protection</p>

		Radboud University Universität Göttingen	Universität Heidelberg	University of Turku : Processing and preservation of personal data and sensitive material in DMP
18. Regulations for: a) open data b) restricted data c) closed data should be made a subject of discussion	Radboud University Universität Bielefeld	UCL University of Birmingham University of Bristol University of Cambridge University of Edinburgh University of Oxford University of the Arts London Tampere University of Technology University of Helsinki Humboldt-Universität zu Berlin Universität Göttingen Universität Heidelberg	STFC University of Bath University of Glasgow University of Leeds Aalto University University of Turku	STFC : Length of proprietary period specified in DMP Data publicly available University of Birmingham : in “ Code of Practice for Research ” (3 Research Data) University of Bristol : Open and restricted data mentioned in relation to storage University of Cambridge : “There is a balance between openness and duties under professional codes and legal obligations” Make research data as widely and openly available as possible University of Glasgow : Publicly funded research data openly available with as few restrictions as possible Aalto University : Research data is not opened if the opening would violate privacy, safety, security, terms of project agreements or legitimate concerns of private partners Tampere University of Technology : All research materials open by default University of Turku : Leading theme in data policy is openness Openness can be limited for justified reason
19. Storage and access. It should be addressed by the policy where data will be stored and how it will be accessed.	Universität Bielefeld	University of Edinburgh University of Oxford University of the Arts London Tampere University of Technology University of Helsinki University of Turku Humboldt-Universität zu Berlin Universität Heidelberg	STFC UCL University of Bath University of Birmingham University of Bristol University of Cambridge University of Glasgow University of Leeds Aalto University Radboud University Universität Göttingen	STFC : Published data to publication available within 6 months Use of different repositories UCL : Research data: attributable, citable, identifiable, retrievable, available, secure (...) Long-term preservation University of Bath : Security measures University of Birmingham : Security of research data University of Bristol : University’s Research Data Repository – limited amount of free storage Long-term retention Statement on how to access supporting data of published outputs should be ensured by researchers Information security policies University of Cambridge : Publicly accessible discipline-based or institutional repository When depositing research data into external data repositories, researchers should choose repositories which support Open Researcher and Contributor ID (ORCID) University of Edinburgh : National or international data service or domain repository or a University repository University of Glasgow : Researchers have to: <ul style="list-style-type: none"> • “Work with IT Services and College IT teams to identify storage requirements that may exceed that currently offered by the institution. • “Store their data during the course of their research in accordance with guidance from IT Services and funder requirements.” • “Deposit data in a reputable repository for long term preservation and sharing.”

				<p> University Services have to “provide a dedicated institutional research data repository with appropriate security and backup.”</p> <p>University of Leeds : All relevant research data should be offered and assessed for deposit and preservation in an appropriate University, national or international data service or domain repository: Guidance</p> <p>University of Oxford : Planning for the ongoing custodianship (at the University or using third party services) of data after the completion of research or, in event of departure or retirement from the University Agreement with the head of department/faculty as to where data will be located and how this will be stored</p> <p>Aalto University : Research data and necessary software to access data shall be easily accessible Embargo period can be agreed upon Data chosen for long-term preservation shall be safely stored and curated Necessary software stored together with research data</p> <p>Tampere University of Technology : Long-term preservation and reuse All materials must be retrievable and citable</p> <p>University of Helsinki : Discoverability and citability</p> <p>University of Turku : Discoverability and citability</p> <p>Humboldt-Universität zu Berlin : Long-term preservation Open Access Declaration</p> <p>Universität Göttingen : “Storage and archiving of digital research data is carried out within the technological and informational infrastructure of the University or in acknowledged external or internal subject repositories.”</p> <p>Universität Heidelberg : Long-term preservation Open-Access-Policy</p>
<p>20. Metadata curation.</p>	<p>University of Bristol</p> <p>University of Edinburgh</p> <p>University of Leeds</p> <p>University of Oxford</p> <p>Humboldt-Universität zu Berlin</p> <p>Universität Bielefeld</p> <p>Universität Göttingen</p> <p>Universität Heidelberg</p>	<p>UCL</p> <p>University of Birmingham</p> <p>University of the Arts London</p> <p>Aalto University</p>	<p>STFC</p> <p>University of Bath</p> <p>University of Cambridge</p> <p>University of Glasgow</p> <p>Tampere University of Technology</p> <p>University of Helsinki</p> <p>University of Turku</p> <p>Radboud University</p>	<p>STFC : Sufficient metadata to enable re-use</p> <p>University of Birmingham : Sufficient metadata description to aid discovery and re-use</p> <p>University of Cambridge : Metadata Guidance</p> <p>University of Glasgow : Definition of metadata Support by the University Services</p> <p>University of the Arts London : To enable discoverable, accessible and effectively re-use</p> <p>Tampere University of Technology : Metadata describes structure of data and how it was created Must specify owner and legal restrictions</p> <p>University of Helsinki : Metadata must contain owner and legal restriction</p> <p>University of Turku : Metadata must contain owner and legal restriction</p>
<p>21. Exceptions. It should be clear what exceptions there are in the policy and what their extent is</p>	<p>UCL</p> <p>University of Cambridge</p> <p>University of Edinburgh</p> <p>University of Leeds</p> <p>Tampere University of Technology</p> <p>Humboldt-Universität zu</p>	<p>University of Birmingham</p> <p>University of the Arts London</p> <p>Aalto University</p> <p>Radboud University</p> <p>Universität Göttingen</p>	<p>STFC</p> <p>University of Bath</p> <p>University of Bristol</p> <p>University of Glasgow</p> <p>University of Oxford</p> <p>University of Helsinki</p>	<p>University of Bristol : “The policy does not currently apply to taught postgraduate students or undergraduates (apart from in exceptional circumstances).”</p> <p>University of Oxford : “(...) Where research is supported by a contract with 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.”</p> <p>University of Helsinki : “This policy does not cover the physical resources on which research data are based (e.g., paper materials) or the use of biological research material.”</p>

	Berlin • Universität Bielefeld • Universität Heidelberg		University of Turku	University of Turku : “The data policy does not apply to physical and biological materials and the University’s practises related to them are presented in the research infrastructure policy of the University of Turku.”
22. There should be a recommendation for institutional research infrastructure	STFC • UCL • University of Birmingham • University of Bristol • University of Edinburgh • University of Oxford • University of the Arts London • Humboldt-Universität zu Berlin • Universität Bielefeld • Universität Heidelberg	University of Bath • University of Cambridge • University of Leeds • Aalto University • Universität Göttingen	University of Glasgow • Tampere University of Technology • University of Helsinki • University of Turku • Radboud University	University of Cambridge : Infrastructure and training to promote best practice in data management amongst academics University of Glasgow : Technical infrastructure and services University of Leeds : Costing and infrastructure planning Tampere University of Technology : Tools and services University of Helsinki : Tools and services University of Turku : Tools and services “(...) Data infrastructure is built and developed together with national and international parties, taking into account the services and infrastructures that they offer.” Universität Göttingen : Services for research data infrastructure
23. Researchers should know how to deal with: a) the long tail of data b) the head of project data	University of Bath University of Birmingham University of Bristol University of Cambridge University of Edinburgh University of Glasgow University of Leeds University of Oxford University of the Arts London Aalto University Tampere University of Technology University of Helsinki University of Turku Radboud University Humboldt-Universität zu Berlin Universität Bielefeld Universität Göttingen Universität Heidelberg	STFC • UCL		STFC : Very large data sets UCL : Curate smaller collections of digital research data
24. Educational data should be mentioned in the policy	STFC • UCL • University of Bath University of Birmingham University of Bristol			

	University of Cambridge University of Edinburgh University of Glasgow University of Leeds University of Oxford University of the Arts London Aalto University Tampere University of Technology University of Helsinki University of Turku Radboud University Humboldt-Universität zu Berlin Universität Bielefeld Universität Göttingen Universität Heidelberg			
25. Cultural heritage should be an issue	STFC UCL University of Bath University of Birmingham University of Bristol University of Cambridge University of Edinburgh University of Glasgow University of Leeds University of Oxford University of the Arts London Aalto University Tampere University of Technology University of Helsinki University of Turku Radboud University Humboldt-Universität zu Berlin Universität Bielefeld Universität Göttingen Universität Heidelberg			

Selected European Policies

STFC (UK) : [STFC scientific data policy](#) (?) – (April 2016)

Very detailed policy addressing most of the identified main topics. Contains also **advice**: “Any deliberate attempt to compromise [data] integrity, e.g. by the modification of data or the provision of incorrect metadata, will be considered as a serious breach of this policy.”

UCL - University College London (UK) : [UCL Research Data Policy](#) (2 August 2013)

Clearly arranged policy addressing most of the identified main topics with particular focus on roles and responsibilities (Data Creators (students, supervisors and Researchers) | UCL Research Data and Network Services Executive | Director of UCL Library Services and UCL Records Manager | RIISG | Vice Provost (Research) | Provost).

University of Bath (UK) : [Research Data Policy](#) (9 April 2014)

The policy is only available on the website of the university (not as pdf document) and the policy text is complemented by: [Research Data Policy guidance](#) (27 March 2015). Very detailed policy addressing most of the identified main topics. Contains also **limitation**: “Researchers should avoid retaining data using methods that might not persist for 10 years, such as use of project websites or personal computing equipment.”

University of Birmingham (UK) : [University RDM policy](#) (May 2014)

The policy is only available on the website of the university (not as pdf document) under the overarching topic: “Principles of Research Data Management”. The policy is a single-page ten-point paper addressing most of the identified main topics.

University of Bristol (UK) : [Research Data Management and Open Data Policy](#) (19 October 2015)

The University of Bristol provided a draft policy in June 2014 (Research Data Management Principles). The content of the draft version was substantially expanded but the clearly arranged document history disappeared. Very detailed policy addressing most of the identified main topics. Guidance with additional information is also provided on the website (not as pdf document): [Research Data Management and Open Data Policy Guidance](#). The first issue the policy addresses is “Ownership of Data”. Document for guidance about costs: [Anticipating the costs of research data management](#) (October 2015). Contains also **commitment**: “(...) Funders require that research data is preserved after the end of a project (typically for at least 10 years). There is a cost to the technical curation of data which cannot be built into project funding, therefore the University is committing to meeting these costs”.

University of Cambridge (UK) : [Research Data Management Policy Framework](#) (23 April 2015)

The policy is only available on the website of the university (not as pdf document). Detailed policy addressing most of the identified main topics. The focus is on the responsibilities of the University, Staff and Students. e.g.: “The University is responsible for managing a dedicated [website](#) providing guidance for the University’s academics in good data management practice.” Contains also a **collection** of RDM policies of major [research funders](#) in the UK.

The University of Edinburgh (UK) : [Research Data Management Policy](#) (16 May 2011)

The policy is only available on the website of the university (not as pdf document) and is complemented by the [Research Data Management \(RDM\) Roadmap, August 2012-July 2016](#) (September 2015) from the Information Services RDM Policy Implementation Committee. It is a 1 page document with 10 points partly addressing a large part of the identified main topics.

University of Glasgow (UK) : [Good Management of Research Data Policy](#) (19 November 2015)

The draft version was updated (significantly expanded) at the end of 2015. Very detailed policy. No information about retention or deletion. Contains also **advice**: “It should be noted by all research staff that many major funders now mandate certain research data management actions and failure to meet funder expectations can lead to sanctions as detailed in funder data policies. In addition to this, failure to implement good research data management can potentially lead to situations which expose researchers to research misconduct allegations.”.

University of Leeds (UK) : [University of Leeds Research Data Management Policy](#) (June 2015)

The first final version of the policy: [Research Data Management Policy](#) (July 2012) as part of a [policy timeline](#) is available as pdf document, the updated version is only available on the website. The older version had comments on sufficient metadata, the new version has comments on costing and infrastructure planning instead. Clearly arranged 1 page policy with 10 points, many embedded links and additional guidance for most of the identified main topics. Contains a list of **benefits** (9) by implementing the policy.

University of Oxford (UK) : [Policy on the Management of Research Data and Records](#) (?) - (9 July 2012)

Clearly arranged, precisely formulated policy with 12 points addressing most of the identified main topics. Contains well-defined information about **deletion** and **reference** to other university policies.



University of the Arts London (UK) : [UAL Research Data Management Policy](#) (2014)

Clearly arranged policy addressing most of the identified main topics. The text is divided into the following topics: Background | Aims | Principles | Scope (What does it cover? Who does it apply to?) | Roles and responsibilities | Workflow.

Aalto University (FIN) : [Aalto University Research Data Management Policy](#) (10 February 2016)

The precisely formulated policy seems to be rather a strategy focusing on the promotion of open access publishing (+ 5 Principles for open access publishing of research data). Roles and responsibilities are hardly addressed.

Tampere University of Technology (FIN) : [TUT Research data policy](#) (21 January 2016)

The policy (divided into 6 points with the main focus on DMPs) is only available on the website of the university (not as pdf document). Contains a detailed description of the work of the [Research data policy working group](#).

University of Helsinki (FIN) : [Research Data Policy](#) (11 February 2015)

The policy (divided into 8 points) is only available on the website of the university (not as pdf document). Contains also **licence**: “© 2015 University of Helsinki, licenced under the Creative Commons Attribution 4.0 International licence”. Addresses most of the identified main topics but “Definition” and “Retention”.

University of Turku (FIN) : [Open science and research data policy of the University of Turku](#) (9 February 2016)

Clearly arranged, well-designed policy with 12 points which indicates other “utilised data policies”: University of Helsinki, Concordat on Open Research Data coordinated by the Research Councils UK, and training sessions of the Open Science and Research project of the Ministry of Education and Culture. Main topics are: Starting points | Responsibility (of each university community member) | Legal and ethical issues | Data Management Infrastructure | Training, Orientation and Instructions | Communication | Realisation of data policy.

Radboud University (NL) : [University policy for storage and management of research data](#) (25 November 2013)

A brief summary with 4 main elements of the policy is available on the university website. The policy focuses mainly on the storage of selected data (including dissertations, Bachelor and Master theses) with a well-defined retention period (minimum 10 years) and on the responsibilities within the university. The university RDM policy will be supplemented by each research institute: 9 thematic focal points are listed which should be included in these policies (Responsibilities | Selection on data | Metadata | Storage | Safety of data | Retention | Accessibility and reuse | Privacy of sensitive data | Support and training). Contains also **limitation**: “The principles of validation and reproducibility imply that storage on a PC/laptop or a mobile device is not an option.”

Humboldt-Universität zu Berlin (D) : [Humboldt-Universität zu Berlin Research Data Management Policy](#) (8 July 2014)

Clearly arranged policy with main focus on the responsibilities of researchers (individual topics have not been disclosed in detail). Contains also unusual **obligation**: “Researchers should take responsibility for deciding at what time and on what legal terms research data may be accessed.” The policy is complemented by: [Guidelines - A supplement to the Humboldt-Universität zu Berlin Research Data Management Policy](#) (25 August 2014).

Universität Bielefeld (D) : [Principles and guidelines on handling research data at Bielefeld University](#) (19 July 2011)

The policy is only available on the website of the university (not as pdf document) and is complemented by: [Resolution on Research Data Management](#) (12 November 2013). Brief policy with general statements mainly about responsibilities.

Universität Göttingen (D) : [Research data policy of the Georg-August University Goettingen \(incl. UMG\)](#) (28 August 2014)

A 1 page document with 10 points partly addressing most of the identified main topics.

Universität Heidelberg (D) : [Research Data Policy. Richtlinien für das Management von Forschungsdaten](#) (18 July 2014)

The policy is only available in German on the website, not as pdf document. It deals mainly with legal and ethical issues.