Universiteit Leiden

Data Management Regulations Leiden University 2021

Preamble

Section 1 Definitions and basis

Article 1.

Research data are a driving force behind academic research. Leiden University considers the careful handling of research data to be of great importance in increasing the reliability, quality, and reproducibility of research, as well as in promoting the reuse of research results. Research data management refers to the careful organisation and management of research data throughout the research cycle. This requires attention during all phases of research. These regulations are intended to provide a framework for a University-wide research data management policy, and require further elaboration at disciplinary level. Each Faculty Board must decide how to further elaborate upon these regulations within their faculty, and what role the institutes play in this process.

Focal points and explanation: The Data Management Regulations provide a framework within which the faculties can as much as possible elaborate their own data protocol. For some sections of the regulations, this is best done at faculty level, while for others, it may be more appropriate to work at institute level, or combine the two. A faculty data protocol with an appendix specifying the protocol per institute guarantees cohesion and creates a layered structure for the general data management policy. The result of the faculties' and/or institutes' elaboration of these regulations is henceforth referred to as the 'faculty data protocol' and/or 'institute data protocol'.

Article 2.

All phases of research must comply with current regulations and legislation, including the General Data Protection Regulation (GDPR, in Dutch: Algemene Verordening Gegevensbescherming, AVG). During all phases of research, the work must be carried out in line with applicable codes of conduct, including the 2018 Netherlands Code of Conduct for Research Integrity, and Leiden University policy, for example on privacy and information security.

Focal points and explanation: The faculty or institute protocol indicates which codes of conduct are relevant for the relevant discipline(s) and which additional procedures and protocols apply.

Article 3.

These regulations apply to all Leiden University employees and all persons affiliated with the University, including external PhD candidates and contract PhD candidates, as well as any other guests or partners who carry out research under the auspices of the University.

Focal points and explanation: Researchers are responsible for managing the research data collected for research purposes by the students under their supervision, as well as for instructing students on how to handle research data. The faculty/institute data protocol articulates the policy for handling research data in the context of bachelor's, master's and research master's programmes.

Article 4.

Research data is understood to mean the following: all data that is used and generated in the course of academic research.

Focal points and explanation: The faculty/institute data protocol elaborates on the types of research data that fall under these regulations. The notion of research data should be understood broadly to include data gathered while processing and analysing raw and other research data. It may also include software and models developed for the purpose of conducting research. Research data also covers metadata, i.e. data required to make research data more broadly accessible and reusable. Think, for instance, of descriptions of equipment or research set-ups. Administrative projects and other data are not always considered to be research data. Where applicable, this is further elaborated in the relevant DMP. See also Article 7.

Article 5.

These regulations apply to all digital and non-digital research data.

Focal points and explanation: The faculty/institute data protocol specifies which non-digital research data fall under these regulations. Non-digital research data may include bio-material, audio and video recordings, paper questionnaires, descriptions of measurement set-ups, and paper lab journals. Where necessary, this is further elaborated for specific research in the relevant DMP (see Article 7). If a given article in these regulations applies only to digital or only to non-digital research, this is explicitly mentioned. Note that this stipulation does not mean that all non-digital data must be digitised per se.

Section 2 Before the research

Article 6.

Before conducting research involving third parties, clear agreements are made on how research data will be collected, processed, accessed, used, and stored, as well as on copyrights and rights of use. These are articulated in a partnership, consortium or similar agreements. If there is exchange of personal data with third parties, an agreement concerning the handling of this data must be drawn up in line with Leiden University privacy policy.

Focal points and explanation: These agreements must be formulated in a way that makes it possible to assess whether research data can be used and/or shared, and if so under what conditions. Both during and after research involving third parties, it is crucial to avoid lack of clarity or disagreement concerning the management of and rights on research data.

Article 7.

Before research starts, a data management plan (DMP) is drawn up in accordance with the faculty/institute data protocol.

Focal points and explanation: In drawing up the DMP, a template is used that is applicable to the research in question. The University has its own template that is accepted by various funding agencies.

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Section 3 During the research

Article 8.

During the research, research data should be handled securely so as to guarantee the integrity, availability, and – where required – confidentiality of the data. All necessary measures should be taken to prevent loss, damage, or unauthorised use or manipulation, in compliance with Leiden University policies on information security and privacy.

Article 9.

The FAIR principles are guidelines for improving the findability, accessibility, interoperability and reusability of research data. Metadata that belong to non-digital data are digitised as much as possible and according to the FAIR principles. The faculty/institute data protocol further elaborates on how the FAIR principles are applied within the relevant disciplines. If necessary, the relevant DMP describes how the FAIR principles are applied for specific research (see also Articles 7 and 10).

Article 10.

During the research (and upon completion of the research) the DMP is updated where required based on the actual situation.

Focal points and explanation: The DMP is a 'living' document. As the research progresses, changes are usually made to the original research plan. It could also happen that at the start of a research project, not all aspects of data management are addressed yet. This often has consequences for the content of the DMP. In every new version, all changes are justified.

Section 4 After the research

Article 11.

Digital research data that form the basis for a scientific publication are registered at the time of publication and managed according to the FAIR principles.

Focal points and explanation: Digital research data are sustainably stored in an archive/repository, preferably a certified repository, together with among other things any required metadata and clear terms of use. The faculty/institute data protocol includes a list of preferred archives/repositories. Where alternative choices are made for specific research, these are documented in the relevant DMP (see Articles 7 and 10).

Article 12.

Digital research data that do not form the basis for a scientific publication, but are retained nevertheless, are registered no later than upon completion of the research project, and managed as much as possible according to the FAIR principles.

Focal points and explanation: The faculty/institute data protocol provides guidelines on what data must be preserved. Where alternative choices are made for specific research, these are documented in the relevant DMP (see Articles 7 and 10).

Article 13.

Non-digital research data are preserved according to the usual standards within the relevant discipline, and digitised where possible.

Article 14.

The minimal retention period of research data is ten years, unless legislation, codes of conduct, contractual terms, or demonstrable agreements within the discipline point to a different retention period.
Personal data must be retained, destroyed or anonymised during or after completion of a research project in accordance with GDPR and Leiden University privacy and information security policies.

Focal points and explanation: The faculty/institute data protocol refers to the agreements made within the disciplines.

Article 15.

The most recent version of every DMP is stored centrally within the faculty or institute for a minimum of 20 years.

Focal points and explanation: Note that once the DMP is destroyed, the researcher or institute can no longer demonstrate how specific decisions concerning data management (for example the destruction of data) were taken. For reasons of accountability and academic integrity, the retention period of a DMP is longer than that of research data.

Section 5 Responsibilities

Article 16.

The Executive Board establishes the policy frameworks for data management and evaluates these on a regular basis. The Executive Board provides adequate central facilities and support at central level to facilitate responsible data management. The Executive Board monitors compliance with the Data Management Regulations on a regular basis.

Article 17.

The Faculty Board is responsible for further elaborating on these regulations, drawing up the faculty data protocol, and determining the level at which further elaboration takes place: at faculty and/or institute level. The faculty data protocol covers all scientific units within the faculty. The Faculty Board is responsible for providing sufficient resources and support to allow for the implementation of the faculty data protocol. The Faculty Board is also responsible for evaluating the faculty data protocol on a regular basis and monitoring compliance with the Data Management Regulations within the institutes on a regular basis. Any deviations from these regulations should be assessed by the Faculty Board.

Article 18.

The Scientific Director of the institute is responsible for drawing up the institute data protocol. The Scientific Director is responsible for ensuring that the institute data protocol is evaluated on a regular basis. The Scientific Director is accountable to the Faculty Board concerning the elaboration and implementation of the data management policy within the institute and any deviations from the Data Management Regulations.

Focal points and explanation: Accountability is also provided in annual reports and research audits carried out in the context of the Strategy Evaluation Protocol (SEP) 2021-2027.

Article 19.

Superiors and supervisors are responsible for informing the employees and students under their supervision of general data management (policy), ensuring that they comply with the relevant rules, and, where necessary, holding them to account.

Focal points and explanation: Superiors and supervisors are responsible, among other things, for regularly drawing attention to data management in work meetings and ensuring that employees and students are adequately instructed in the responsible management of research data.

Article 20.

The Principal Investigator (research leader, project leader, or the equivalent thereof) is responsible for compliance with the Data Management Regulations, the faculty/institute data protocol, and the legal, ethical and contractual requirements concerning research data throughout the research project. The Principal Investigator is accountable to his or her supervisor in this matter. The Principal Investigator is responsible for drawing up (or having someone else draw up), regularly updating, and archiving the DMP. The Principal Investigator is responsible for making the necessary agreements with employees and students involved in the research project concerning the management of research data.

Focal points and explanation: The latter is mostly relevant for persons joining or leaving the research project in the interim (for example new employees or employees leaving the University).

Article 21.

The researcher works according to the Data Management Regulations and the faculty/institute data protocol and implementing data management within the research project in accordance with the DMP and the applicable guidelines and codes of conduct.

Article 22.

In the faculty/institute protocol is indicated where researchers can find what type of support.

Focal points and explanation: The Faculty gives researchers access to data stewards, privacy officers, security officers, and information managers for support concerning data management, information security, and careful handling of data containing personal details, as well as for the availability and articulation of faculty/institute services related to data management. Some faculties and institutes also have their own ICT support for research.

Article 23.

The Centre for Digital Scholarship (CDS) of Leiden University Libraries (UBL) is the central point of contact for data management.

The ICT Shared Service Centre (ISSC) is responsible for the standard workplace environment. The Research ICT Competence Centre (RICC) within the ISSC is responsible for implementing and supporting the central advanced ICT facilities for the management and processing of research data.

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Section 6 Elaboration

Article 24.

In the process of elaborating these University regulations into a faculty/institute data protocol, faculties (or institutes) must specifically mention and assign all roles and responsibilities for data management within the faculty or institute. The elaboration of these regulations should be as much as possible in line with the standards that currently prevail in the discipline(s). Any diversions from the Data Management Regulations should be submitted to the Executive Board.

Focal points and explanation: This concerns among other things the roles and responsibilities of the researcher, the PhD candidate and their supervisor, the project or group leader (Principal Investigator), the Scientific Director, and the Faculty Board, as well as a specific mention of the person(s) the researcher can contact for support (data stewards and privacy, security and ICT experts). Where necessary, the faculty/institute data protocol also lists the facilities and processes for data management available within the Faculty (or institute).

Section 7 Other provisions

Article 25.

These regulations replace the 2016 Data Management Regulations.

Article 26.

If there is due cause, these regulations will be revised at the request of the Executive Board.

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This is a translated version of the 'Regeling Datamanagement Universiteit Leiden 2021'. Every effort has been made to ensure its conformity with the original Dutch document. In case of disputes, the authoritative version is the original Dutch document.