



Funders requirements and support:

AHRC & ESRC data policies

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Drivers for data management & sharing



Common Principles on Data Policy

www.rcuk.ac.uk/research/Pages/DataPolicy.aspx



Code of practice for research




<http://ukrio.org/publications/code-of-practice-for-research>



*Calls for “intelligent openness”
- data must be accessible, useable,
assessable and intelligible*

<https://royalsociety.org/policy/projects/science-public-enterprise/Report>

UK research funders' data policies


 Full Coverage
  Partial Coverage
  No Coverage

	Policy Coverage		Policy Stipulations					Support Provided			
Research Funders	Published outputs	Data	Time limits	Data plan	Access/sharing	Long-term curation	Monitoring	Guidance	Repository	Data centre	Costs
AHRC	●	●	●	●	●	◐	○	●	○	◐	◐
BBSRC	●	●	●	●	●	●	●	●	●	◐	●
CRUK	●	●	●	●	●	●	●	◐	●	○	○
EPSRC	●	●	●	◐	●	●	●	◐	○	○	●
ESRC	●	●	●	●	●	●	●	●	●	●	◐
MRC	●	●	●	●	●	●	○	◐	●	○	◐
NERC	●	●	●	●	●	●	●	●	●	●	◐
STFC	●	●	●	●	●	●	●	◐	●	◐	◐
Wellcome Trust	●	●	●	●	●	●	●	●	●	◐	●

www.dcc.ac.uk/resources/policy-and-legal/overview-funders-data-policies

Summary page for each funder

Contact us

 because good research needs good data

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Funders' data policies

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ESRC - Economic and Social Research

The ESRC has a statement on [open access to research outputs](#).

An updated [Research Data Policy](#) was released in March 2015.

POLICY STIPULATIONS

Time Limits

Publications should be deposited at or around the time of publication.

Data must be made available for preparation for re-use and/or archiving within three months of the end of the award.

Data Plan

In spring 2011 a new requirement came into force as detailed in clause 18, p5 of the data policy.

Grant applicants are required to submit a statement on data sharing in the relevant section of the Je-S form and provide a c.2 page data management and sharing plan. Nine suggested themes are provided to include in this.

Access/Data Sharing

Publications should be made available via the ESRC research catalogue.

Research data should be made available to the scientific community in a timely

Useful links

[ESRC policy on access to research outputs](#)

[ESRC research data policy](#)

[Managing and Sharing Data guide](#)

[ESDS data plan advice for Je-S applicants](#)

[ESRC research catalogue](#)

www.dcc.ac.uk/resources/policy-and-legal/research-funding-policies/esrc

On the whole funders expect:

- timely release of data
 - once patents are filed or on (acceptance for) publication
- open data sharing
 - minimal or no restrictions if possible
- preservation of data
 - typically 5-10+ years for data of long-term value
- data management and sharing plan
 - usually at grant application stage to show how you comply with policy



See the RCUK Common Principles on data policy:

www.rcuk.ac.uk/research/Pages/DataPolicy.aspx

5 common themes in a DMP

1. Description of data to be collected / created
(i.e. content, type, format, volume...)
2. Standards / methodologies for data collection & management
3. Ethics and Intellectual Property
(highlight any restrictions on data sharing e.g. embargoes, confidentiality)
4. Plans for data sharing and access
(i.e. how, when, to whom)
5. Strategy for long-term preservation





AHRC DATA POLICY

Requirements and support

AHRC data requirements

- AHRC expects digital outputs or technologies produced by projects to be **preserved for an appropriate period** after the end of project funding.
- The AHRC normally expects digital outputs that are preserved and/or sustained to be **freely available** to the research community.
- If digital outputs are planned, a **Technical Plan** is submitted at the application stage. This must not exceed four pages.
- AHRC awards cannot cover any direct costs relating to the expenditure occurring after the end date of the grant, though they **can cover appropriate costs of preparation and ingest of digital outputs that are incurred within the funding period.**

www.ahrc.ac.uk/SiteCollectionDocuments/Research-Funding-Guide.pdf

Headings for the Technical Plan

1. Summary of Digital Outputs and Digital Technologies
2. Technical Methodology
 - 2a: Standards and Formats
 - 2b: Hardware and Software
 - 2c: Data Acquisition, Processing, Analysis and Use
3. Technical Support and Relevant Experience
4. Preservation, Sustainability and Use
 - 4a: Preserving Your Data
 - 4b: Ensuring Continued Access and Use of Your Digital Outputs

www.ahrc.ac.uk/SiteCollectionDocuments/Research-Funding-Guide.pdf (pp51-59)

Writing a technical plan

CASE STUDY
A Digital Curation Centre Case Study
November 2013

**Planning for the future:
developing and preserving
information resources in the
Arts and Humanities.**

Jonathan Rans, Digital Curation Centre

Introduction

The Arts and Humanities Research Council (AHRC) requires the production of a technical plan for any project it funds in which digital technologies play a significant part. The plan should give a summary of digital outputs, explain the technical methodology, describe the expected technical support that will be accessed and discuss plans for the preservation, sustainability and future use of resources produced.

In this case study, we examine the development of an AHRC technical plan by Open University (OU) researcher, Francesca Benatti, and discuss the benefits to her project that were realised with focussed forward planning. We examine some of the potential pitfalls when addressing the requirements of a technical plan and suggest methods for mitigating the risks.

Project background

The project is led by Dr Shafquat Towheed, Dr Sara Haslam and Dr Mathieu D'Aquin, and includes Dr Edmund King and Dr Francesca Benatti (all Open University). It follows on from a considerable body of previous work and aims to produce a sister database to the OU Reading Experience Database, developed over the course of the last 10 years and chosen by the British Library as one of their Curators' top 100 sites (<http://www.bl.uk/100websites/top100.html>). The project will draw primarily on a wide variety of existing digitised source materials, and some hard copy collections digitised as part of the project. These will be collated to produce, among its intended outputs, a searchable database containing around 20,000 entries.

A significant proportion of the project will involve the development, population and hosting of this linked

database. Associated with this resource will be a suite of tools enhancing the utility of the data it contains; for example, visualisation tools will be provided which allow data to be overlaid on geographical maps, enabling selected results to be presented in a simple, accessible way.

Beginning the project planning process

At the outset of the project planning phase a two-pronged approach was adopted in which the technical plan was addressed at the same time that an analysis of available resources was conducted. The information gathering exercise looked at the sources from which data could be drawn to populate the database; much of the necessary research was performed by PhD students employed as consultants. Initially, potential institutional partners were approached and then latterly the search was widened to include national and international resources.

The decision to tackle the technical plan at such an early stage was informed by experience that the project team had gained from speaking and working with colleagues on similar projects, most notably the OU-hosted Listening Experience Database (<http://led.kmi.open.ac.uk/>) an AHRC funded research project currently being developed by Faculty colleagues that bears many similarities to the proposed database. In this case, developing the technical appendix for the AHRC bid required input from a wide range of stakeholders, necessitating multiple rounds of discussion and negotiation and consequently the timeframes for completion were surprisingly long. Although the AHRC had subsequently changed its requirements, with the technical appendix changing to a technical plan, there were still many useful, applicable lessons that could be drawn from the old document and the process of its development.

- Case study based on a digital humanities project at the Open University
- Reflects on collaborating with other units for technical expertise
- Provides lessons on planning for sustainability and writing a DMP

Example technical plan

- Sample DMP shared by University of Bristol
- Based on Religion and Theology project, investigating ritualistic food offerings
- Includes AHRC reviewer comments

University of Bristol 06.03.2013 | version 2

2a: Standards and Formats

In order to ensure the widest possible use I aim to disseminate the video in the widely adopted MPEG4 format. After consultation with JISC Digital Media and the BBC Archive, more 'open' video formats such as OGG Theora have been considered but discounted due to low uptake. The MPEG4 profile I intend to use is as follows: Progressive, 720x1080 pixels (HD), uncompressed audio. This represents an optimum balance of quality and usability. After consultation with the Web Team at Bristol, I can confirm that the target MPEG4 format is suitable for streaming and download via the bristol.ac.uk servers. MPEG4 is also a preferred deposit format for UK Data Archive and accepted by JORUM and Vimeo.

Any video footage with reuse value that we *do not include* within the named digital outputs will be retained in the native DSLR shooting format (MPEG4, 1920x1080) and will also be offered as ancillary material for download alongside the finalised documentaries on the bristol.ac.uk site and via the UK Data Archive.

Digital photographs will also be retained in their larger, .RAW format (and also made available for download) while lower resolution, JPEG surrogates will be created for the online exhibition.

2b: Hardware and Software

- 1x laptop computer and Final Cut Pro video editing package to allow editing in the field
- 2x external hard drives (not for long-term storage, only to allow duplicate backup in the field)
- 1x video kit: DSLR with HD video capability (Canon 550d), video light and tripod with 'fluid' video head
- 1x audio recording kit: Sennheiser MKE 400 Microphone with wind cover, boom pole, and headphones

Note: Costs for each of the items listed here also appear in the 'Justification of Resources and Project Budget'.

2c: Data Acquisition, Processing, Analysis and Use

The timetable below outlines the significant technical tasks involved in the three year project:

	2013				2014				2015				2016											
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S
1																								
2																								
3																								
4																								
5																								
6																								
7																								
8																								

- Task #1 video preproduction/production phase: research, hiring freelancers, meetings, location hunting, etc. and 2x field trips to Sri Lanka
 - o first trip is dedicated to recording testimonies and private offerings (Nov 2013)
 - o second trip to coincide with Vesakh festival (May 2014) is dedicated to recording public food offerings, festivals and feasts

Sample AHRC Technical Plan 3 of 7

Potential data services



www.clarin.eu



<http://archaeologydataservice.ac.uk>



www.dariah.eu

The logo for the UK Data Archive is a large red circle containing the text "UK • DATA ARCHIVE" in white, bold, sans-serif capital letters. The background of the slide is a grayscale photograph of a modern building with a glass facade and a tree on the right side.

UK • DATA ARCHIVE

ESRC DATA POLICY

Requirements and support

ESRC data policy

- Several principles that align with RCUK
- Detailed implementation notes
- Roles and responsibilities split across:
 - Grant applicants
 - Grant holders
 - Grant holders' institutions
 - The ESRC
 - ESRC data service providers

[www.esrc.ac.uk/ images/research-data-policy_tcm8-34123.pdf](http://www.esrc.ac.uk/images/research-data-policy_tcm8-34123.pdf)

Specific requirements

Project planning / application

- Researchers are required to submit a DMP as part of the grant application process
- Costs for long-term preservation can not be included in grant proposals
- Legal, ethical or commercial constraints should be considered in detail before commencing research with the aim of maximising data sharing

Data sharing

- Data will be made available for re-use free of charge, as open data, safeguarded data or controlled data
- An embargo period can be applied, but is generally no longer than 12 months from the end of the grant
- Research data should be deposited with a responsible repository within three months of the grant ending
- Research data should be accompanied by high-quality documentation and metadata to provide secondary users with essential information to independently understand the data, enable discovery, and allow for scientific re-use

Publication and reuse

- When research findings are published, the data that support these findings should be deposited at the same time with a responsible digital repository.
- All publications based on data resulting from an ESRC grant should include information on where and how the data can be accessed, ideally via a formal citation.
- All users of existing data resources have the responsibility to acknowledge the intellectual ownership of data via formal citation or co-authorship

Data Management Plan

- Assessment of existing data
- Information on new data
- Quality assurance of data
- Backup and security of data
- Management and curation of data
- Difficulties in data sharing and measures to overcome these
- Consent, anonymisation and strategies to enable further re-use of data
- Copyright and Intellectual Property ownership
- Responsibilities

<http://ukdataservice.ac.uk/manage-data/plan/dmp-esrc.aspx>

Managing and sharing data: a best practice guide



Planning for sharing



Consent and ethics



Copyright



Documenting your data



Formatting your data



Storing your data



Strategies for centres

<http://data-archive.ac.uk/media/2894/managingsharing.pdf>

The UKDA guide includes:

- Sample consent forms to reuse
- A table of recommended file formats
- Models and tools for version control
- Best practice on storing and transferring data securely
- Guidance on costing data management
- Practical case studies on each topic
- A data management checklist

UKDA training materials


Each section contains:

- introductory powerpoint(s)
- presenter's guide - where necessary
- exercises and introduction to exercises
- quizzes
- answers

<http://data-archive.ac.uk/create-manage/training-resources>

Depositing with UKDA

UK Data Service




- How to deposit
 - New depositors
 - Regular depositors
 - ESRC award holders
- Preparing data
- Owners and producers
- ORCID
- Depositor stories

About usGet dataUse dataManage dataDeposit dataNews and Events

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ESRC award holders

"Submit your data within three months of your award ending"



SHARE

As an ESRC award holder you are expected to make the research data that result from your award available for reuse, as set out in the [ESRC Research Data Policy](#).

The majority of award holders should submit their data to the UK Data Service [ReShare](#) repository within three months of the end of the grant, preparing data themselves to the standard required for deposit.

ESRC-funded data resources such as the large-scale national surveys (Understanding Society, the birth cohort studies and the British Election Surveys) or other large data are processed and catalogued by Service staff. If you think your data fits into this category, please [get in touch](#).

LOGIN / REGISTER

DISCOVER UK DATA SERVICE

GO

☐ Data ☐ Website

QUICK ACCESS TO

Guidance for ESRC applicants

ReShare repository

How to deposit data in ReShare

Support for ESRC centres

How to prepare data

Data Purchase Guidelines

Depositor stories

<http://ukdataservice.ac.uk/deposit-data/how-to/esrc-award-holders.aspx>



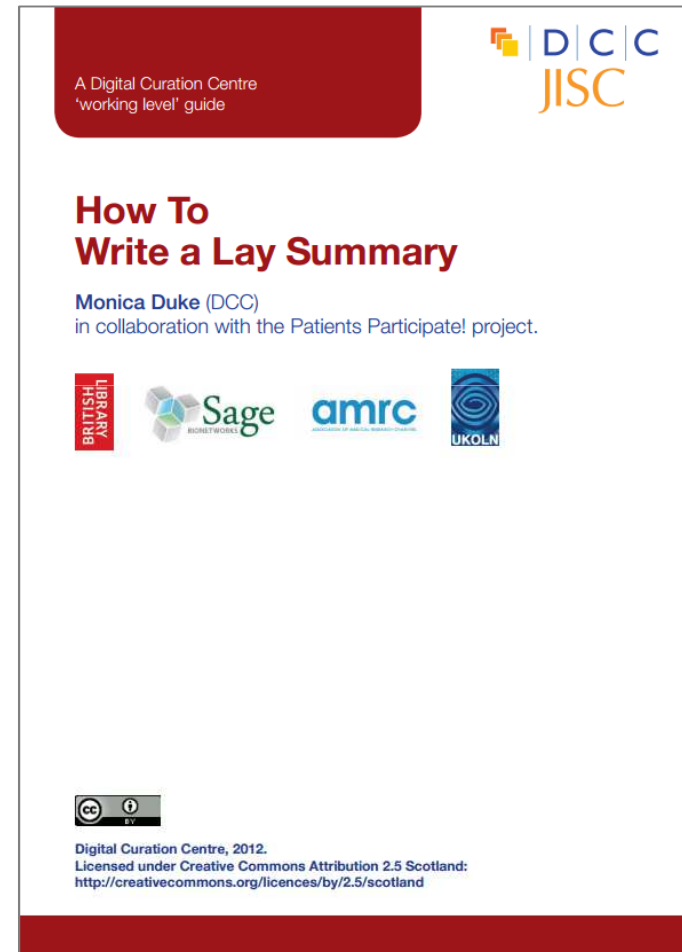
SUPPORT FOR RESEARCH DATA MANAGEMENT

Tools, resources, examples and guidance

DCC How to guides

- Data citation and linking
- Licensing research data
- Selecting what to keep
- Writing lay summaries
- Developing a DMP
- ...

www.dcc.ac.uk/resources/how-guides



Training materials



- Free online training course
- Aimed at PhD students
- Case studies, quizzes etc
- Data handling tutorials
 - R
 - SPSS
 - ArcGIS
 - Nvivo

<http://datalib.edina.ac.uk/mantra>

FOSTER project

- Open science training
- Courses across EU
- Portal to OA materials
- Guidance on Horizon 2020



www.fosteropenscience.eu

DCC tools catalogue

A catalogue of RDM tools for different audiences.
Tools for researchers focus on data handling, managing workflows, citation and impact.

For Researchers

Managing Active Research Data



Used by researchers still in the process of collecting, manipulating, and analysing their data.

Sharing Output and Tracking Impact



Used by researchers as they disseminate their work and engage with the wider community.

www.dcc.ac.uk/resources/external/tools-services

Metadata standards catalogue

- Good metadata is key for research data access and re-use
- Many disciplines have formalised community metadata standards
- Use relevant standards for interoperability

Search by Discipline



Biology



Earth Science



General Research Data



Physical Science



Social Science & Humanities



www.dcc.ac.uk/resources/metadata-standards

Data repositories

- Does your publisher or funder suggest a repository?
- Are there data centres or community databases for your discipline?
- Does your university offer support for long-term preservation?



<http://service.re3data.org/search>

Zenodo

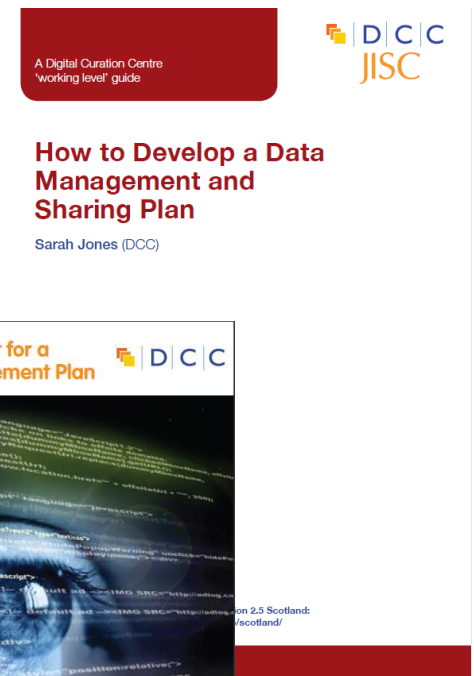
- OpenAIRE-CERN joint effort
- Multidisciplinary repository
- Multiple data types
 - Publications
 - Long tail of research data
- Citable data (DOI)
- Links funding, publications, data & software

www.zenodo.org

Support on Data Management Plans

- Checklist on what to include
- How to guide on developing a plan
- Guidance on assessing plans (forthcoming)
- Webinars and training materials
- DMPonline tool
- Example DMPs

www.dcc.ac.uk/resources/data-management-plans



DMPonline tool

My plan (Horizon 2020 DMP)

0/5 questions answered
approx. 20% of available space used

Plan details Initial DMP Mid-term Review DMP **Final review DMP** Share Export

Scientific research data should be easily: 1. Discoverable (1 question, 0 answered) +

2. Accessible (1 question, 0 answered) -

Are the data and associated software produced and/or used in the project accessible and in what modalities, scope, licenses?

B *I* [List Icons] [Link Icon] [Grid Icon]

EC Guidance -
e.g. licencing framework for research and education, embargo periods, commercial exploitation, etc

St Andrews guidance on IPR Ownership and Licencing -
Intellectual Property Rights (IPR) ownership and copyright
The University asserts its de facto ownership of research data produced by its employees.
In practice this means that you should comply with the University's [Research Data Management policy](#), including seeking to maximise the value of your data via commercialisation activities where appropriate.
For collaborative projects it is important to include in the collaboration agreement who will own which data and how it will be shared/licensed during and beyond the project.
Further information on IPR and copyright can also be found on the [University RDM website](#).

- Presents requirements from funders
- Guidance from funder, uni, discipline...
- Example / suggested answers
- Ability to share plans with collaborators
- Leave comment and suggestions
- Export into a variety of formats
- ...

<https://dmponline.dcc.ac.uk>

Jisc

Thanks – any questions?

DCC guidance, tools and case studies:

www.dcc.ac.uk/resources

Follow us on twitter:

@digitalcuration and #ukdcc



DCC

because good research needs good data