

**GUIDELINES****Decision-maker**
President**Valid as of**
2021-01-01**Amended as of****Reference number**
V-2020-0678**Responsible for reviews and questions**
KTH Library

This document is a translation. In case of a discrepancy between the Swedish original and the English version of the decision, the Swedish original will prevail.

Guidelines on managing research data

This regulation has been approved by the President (ref. V-2020-0678) and is valid as of 1 January 2021. The policy document regulates research data management in accordance with international principles of good research practice and in accordance with current legislation for various kinds of data in the field of research. KTH Library is responsible for reviews and questions about the policy document.

1 Managing research data

KTH strives to ensure that the results of KTH's research shall be digitally available and usable for researchers and society. Research data that has been fully or partially financed by public funds and forms the basis of published results must therefore be openly available, to the extent possible with due reference to legal, ethical and possible commercial aspects. KTH supports the internationally adopted FAIR principles to ensure that research data shall be findable, accessible, interoperable and reusable. These principles are compatible with the motto "As open as possible, as closed as necessary".

1.1 Creating a data management plan

Researchers must create a data management plan at an early stage in the research process in order to facilitate the management of research data. Such a plan must state who is responsible for data management and for ensuring that management takes place with due consideration to ethical aspects and in accordance with current legislation. The technical solutions and work methods selected must satisfy the requirements of applicable regulations. It must in particular be clarified whether any stage of the research process involves the management of datasets that

- are a public document in accordance with the Swedish Freedom of the Press Act (1949:105) and how this information is to be made available;
- are a general document subject to confidentiality in accordance with the Swedish Public Access to Information and Secrecy Act (2009:400) and that management takes place to ensure that confidentiality is not prejudiced;
- are security-protected and that in such cases management takes place in accordance with security protection legislation;
- are collected in such a way that an ethical review needs to take place in accordance with the current Swedish Ethical Review Act (2003:460);
- contain personal data and that in such cases processing takes place in accordance with data protection legislation and that processing is recorded in KTH's personal data processing register;

- have a future research value and should be preserved in the long term in accordance with the Swedish National Archives' regulations (RA-FS 1999:1).

The regulatory framework for research data management with regard to preservation is described in KTH's information management plan. The data management plan shall be designed on the basis of this.

The data management plan can be revised continuously throughout the research process.

1.2 Research data management in collaborations

When research takes place in collaboration with other actors, data management must be clarified in, or in connection with, the research collaboration agreement that should be concluded between the parties. This must specify who is responsible, whether there are any reasons for confidentiality and, in cases where intellectual property values arise, who has the access rights and ownership rights. If there is processing of personal data, responsibility for this must be clearly specified.

KTH strives to ensure that exclusive ownership rights to publish and reuse research data are not assigned to other actors, and that KTH retains access rights to use research data in future research and education.

1.3 Publication of research data

As a basic principle, research data that forms the basis of published research results should be made publicly available and be findable in such a way that data can be reused. When publishing research data or metadata about research data, KTH Royal Institute of Technology should be given as affiliation in the same way as for any other publication (see also Guidelines on Scientific Publications). It is also appropriate for the dataset to be assigned a persistent identifier and for there to be an opportunity for versioning when data is made available in connection with publication.

Metadata must state clearly what conditions apply for access and reproduction of the dataset. If there are legal, ethical or commercial obstacles to complete digital availability, it is recommended that metadata be published describing the dataset including the conditions for access. If the publication of metadata is also considered inappropriate with regard to the protection of critical infrastructure or with regard to Sweden's national security or information security in general, publication must be avoided.

2 Responsibility for research data management

KTH has ultimate responsibility for

- ensuring that the necessary digital infrastructure and appropriate services for good research data management are available;
- ensuring that KTH's researchers can obtain advice and guidance on matters concerning the management, documentation, storage, preservation and sharing of research data.

A person responsible for research data management should be appointed in the relevant data management plan. The person who is responsible for research data management should be sufficiently knowledgeable in the field of research to be able to make sure that the documentation of research data that is managed in the research process takes place in accordance with good research practice. If no responsible person has been appointed in the data management plan, the researcher responsible for the project is also the responsible for research

data management. If the responsible person ceases to be employed at KTH, the head of school or the person delegated by the head of school assumes responsibility until a new person responsible for research data management is appointed.

The person who is appointed is responsible for

- managing research data in accordance with good research practice, current legislation, commitments to research funding bodies and KTH's policy document;
- drawing up necessary and adequate documentation of research data;
- ensuring that research data is made available in connection with publication with sufficient documentation to be findable and reusable.