



Palacký University
Olomouc

CATRIN INTERNAL REGULATIONS

CAT-B-23/01

**Data Management Policy
at Czech Advanced Technology
and Research Institute
of Palacký University Olomouc
(CATRIN)**

Content: This internal regulation establishes the rules for the handling of research data generated by research activities at the Czech Advanced Technology and Research Institute of Palacký University Olomouc

Guarantor: Director of CATRIN

Entering into force: February 15, 2023

Taking effect: March 1, 2023

Data Management Policy at Czech Advanced Technology and Research Institute of Palacký University Olomouc (CATRIN)

Article 1 Introductory Provisions

1. The Czech Advanced Technology and Research Institute of Palacký University Olomouc (hereafter 'CATRIN') follows best-practice policy of handling research data and considers it crucial for the effective management of its research activities and their continuity, and for ensuring that sensitive data are handled in accordance with ethical and legal requirements. Rules for archiving data that evidence research results, whether it be shared or not, are integral part of the research integrity and data reproducibility.
2. This internal regulation sets out the rules for the handling of research data generated by CATRIN's research activities and defines the duties and responsibilities of individual group leaders, the heads of CATRIN divisions, and CATRIN's staff while dealing with research data.

Article 2 Interpretation of Basic Concepts

For the purpose of this regulation, the following terms shall be interpreted as follows:

1. **Researcher**—is a UP employee or student who participates in CATRIN's research as part of their scientific activities.
2. **Group Leader**—for the purpose of this regulation is a UP employee that is affiliated to CATRIN and is appointed by the head of the particular CATRIN research division to lead a research group on the basis of project management principles, or is the head of the particular CATRIN research division in case the research division involves researchers organized outside of the project-managed research groups.
3. **Principal Investigator**—for the purpose of this regulation is a researcher acting in the role of the Principal Investigator of a research project funded by external agencies, or in the role of a Co-Investigator of a research project in which CATRIN is involved.
4. **Instrument Responsible Person**—for the purpose of this regulation is a researcher who is responsible for, according to the Data Management Plan, measurements on a particular laboratory instrument and who usually physically performs the measurement.
5. **Main Author of a Research Publication**—for the purpose of this regulation is a researcher who is the corresponding author of the publication; in case the publication is not corresponded by CATRIN staff, it is the particular CATRIN researcher providing the highest mental contribution to the publication.
6. **Research Data**—are data obtained by research activities, regardless of the form or medium in which they are stored, and support the results and conclusions of the research.
7. **Primary Research Data**—are research data obtained as an immediate output of a research activity, e. g., data obtained from measurements or calculations prior to further processing.
8. **Secondary Research Data**—are research data that have been created by processing the primary research data, including changing their data format.

9. **Metadata**—are data that provide additional information about the research data, in particular identification of the place and time of their acquisition and identification of their author.
10. **Laboratory Sample**—is a material, a chemical substance, a mixture of chemical substances, a biological material or a biological organism that was created or collected during the course of the research activity or serves for the purpose of research.
11. **Data Management Plan**—is a document describing how data are to be handled from the moment of their acquisition to their final archiving. The data management plan includes, in particular, a description of data acquisition, data backup and storage, ethical and legal requirements related to the possession of these data, and description of data sharing and archiving.

Articles 3

Laboratory Samples Database

1. CATRIN will use central database for central registration of laboratory samples.
2. The data management plans of the individual research groups established in accordance with Article 7, Paragraph 1 of this regulation, shall include a specification of the types and nature of laboratory samples that are used as part of research activities of the particular research group, including the identification of the moment the material, the chemical substance or mixture of chemical substances, or the biological material or biological organism become a laboratory sample for the purposes of registration according to this article.
3. Every researcher who receives a new laboratory sample or creates a laboratory sample within their research activity is obligated to register it in the central database of laboratory samples.
4. Each laboratory sample will be labelled with a unique identification code matching the record in the database of laboratory samples. Each laboratory sample shall be permanently labelled with such a unique identification code during all operations, in particular during the measurement of its characteristics. This identification code shall also serve for identification of the sample when it is physically stored.
5. The record in the database of laboratory samples must contain in particular:
 - a. the identification of the researcher who created or newly received a sample and who registered it in the database in accordance with Article 1,
 - b. a description of the laboratory sample, usually including information about its composition and preparation,
 - c. information about all measurements that have been performed on the sample, identification of the corresponding instrument responsible person and the unique identification code of measurements in the primary research data database according to Article 4 of this regulation.
6. Data Management Plans of individual research groups established in accordance with Article 7, Paragraph 1 of this regulation, shall also include rules for physical archiving of the registered laboratory samples and rules for their accessibility. If the nature of the laboratory sample and other circumstances allow it, the minimum period of physical archiving of laboratory samples used in the publication of research results is five years after their publication.

Article 4

Primary Research Data Database

1. The handling and archiving of primary research data are carried out by an instrument responsible person specified in the Data Management Plans.
2. Data Management Plans of the individual research groups established in accordance with Article 7, Paragraph 1 of this regulation, shall include a list of instrumentation techniques for which primary research data will be handled and archived in the database. Archiving primary research data that support the results and conclusions of research publications have a high priority.
3. An instrument responsible persons will be assigned to each instrumentation technique for which the primary research data will be handled and archived according to the Data Management Plans. An instrument responsible person usually physically performs the measurement and is responsible for the handling and archiving of the primary research data.
4. If a Data Management Plan identifies two or more instrument responsible persons for a single instrumentation technique, the Plan shall include a clear distribution of their responsibilities for the handling and archiving of the primary research data.
5. Each instrument responsible person shall keep an instrument logbook. Upon replacing an instrument responsible person or before termination of their employment contract with UP or before transfer to another UP unit, they are obligated to hand over the instrument logbook and all documentation for the primary research data database to the corresponding group leader, who will designate a new instrument responsible person.
6. Primary research data are usually archived locally in the instrument used for their measurement. The specific details about archiving and handling the primary research data are described in the Data Management Plans.
7. Primary research data are labelled in the primary research data database by unique measurement identification code and are associated by metadata containing, in particular, the date and time of the measurement, the name of the person who performed the measurement and the unique identification code of the measured laboratory sample according to Article 3, Paragraph 3 of this regulation. This metadata must correspond to the data in the instrumental logbook.

Article 5

Database of Published Data

1. The main author of a research publication is responsible for archiving the data published in their publication, at least the data obtained/measured at UP. The published data must be archived before the publication is added to the ODB database.
2. The published data referred to in Paragraph 1 of this Article are primary or secondary research data that underpin the figures, graphs and statistics published in the publication, including data published in the Supporting Information materials. This includes, in particular, bitmap or vector files of the published figures at or above the resolution at which they were sent to the editorial office, data point values of the published graphs, and data ensembles used for calculations of the published statistics.
3. The published data will be accompanied by metadata containing, in particular, a unique identification codes of primary research data and the identification of the archive of these data and a description of the contributions of the authors to the acquiring and processing of the published data.
4. A quarterly check of the published data database records will be conducted by individual group leaders for all OBD records entered by the main authors of the particular research group.

Article 6

CATRIN's Obligations

1. CATRIN will ensure especially
 - a. sufficient support, assistance and information for its researchers covering all aspects of the data management best-practice policy,
 - b. appropriate infrastructure to ensure the archiving and handling of research data, in particular the infrastructure for operating the laboratory samples database according Article 3, the primary research data database according to Article 5, and the published data database according to Article 5 of this regulation,
 - c. adequate training to ensure the application of the data management best-practice policy.
2. In order to support and enable the application of the rules of the data management best-practice policy, CATRIN undertakes to work with its researchers to ensure that all the obligations described in this regulation are met.
3. In case that particular consultation, infrastructure and training referred to in Paragraph 1 of this Article will not lead to meeting all the requirements for proper data management policy, CATRIN shall take adequate steps to ensure that researchers are able to fulfil their obligations under this regulation.

Article 7

Obligations for Researchers

1. Individual group leaders are responsible for setting specific rules for the effective handling of research data generated by their research groups and for specifying these rules in the Data Management Plan.
2. In case that a research project requires a Data Management Plan, the Principal Investigator is responsible for its preparation, considering the Data Management Plans of CATRIN's research groups participating in the project. The Principal Investigator is responsible for keeping this Data Management Plan in compliance with the Data Management Plans of the research groups.
3. Main authors of research publications are required to archive published data in accordance with Article 5 of this regulation. Individual group leaders will ensure that main authors falling under their supervision meet this obligation.
4. Instrument responsible persons listed in the Data Management Plans are required to archive the primary research data and keep their databases in accordance with Article 4 of this regulation. Instrument responsible persons shall not accept a sample for particular measurement that is not labelled with a unique identification code and properly recorded in the laboratory sample database in accordance with Article 3 of this regulation.
5. Researchers shall keep proper records of laboratory samples in accordance with Article 3 of this regulation.
6. Researchers are responsible for the accuracy, credibility and originality of research data generated by their own research activities, including documentation of acquisition, storage, processing, access and deletion of data in accordance with the Data Management Plan.
7. Researchers are obligated to observe the principles of intellectual and industrial property protection and to consider the interests of UP when dealing with research data having commercial potential. They are also obligated to observe the principles of protecting the intellectual and industrial property of third parties, especially in the case of laboratory samples and research data created and processed as part of contractual and collaborative research. If necessary, researchers shall contact CATRIN's Technology Transfer Office or the UP Science and Technology Park via their group leaders and, in cooperation with them, take further steps towards the protection of the intellectual and industrial

properties in accordance with the UP internal regulation for implementation of industrial property rights.

8. If the research data contain personal data, researchers shall also follow the internal UP regulation on personal data protection.
9. Researchers are obligated to follow the rules for archiving and sharing data specified in the Grant Agreement and the Code of Conduct for Employees and Students of Palacký University in Olomouc. Regardless of these rules, the minimum period of archiving research data is five years after their publication.
10. Researchers are responsible for handing over all documentation and access to research data to their group leader before terminating their employment contract at UP or transferring to another unit of UP.
11. If a researcher concludes that they are unable to perform the duties specified in this Article because of inadequate CATRIN's support addressed in Article 6 of this regulation, they are to contact their group leader who will ensure adequate support and initiate, in coordination with CATRIN's management, appropriate steps to rectify the situation.

Article 8 **Final and Temporary Provisions**

1. CATRIN shall provide an analysis of the research groups needs to meet the duties of researchers specified in Article 7 of this regulation and shall ensure the implementation of its duties specified in Article 6 of this regulation within 6 months of the validation of this regulation.
2. Individual group leaders shall ensure the development of the Data Management Plan for their research group within 4 months of the validation of this regulation.
3. The obligations for researchers to register laboratory samples specified in Article 3 of this regulation shall become mandatory once CATRIN has provided access to the laboratory sample database in accordance with Paragraph 1 of this Article and after the development of the Data Management Plan of the research group in concern.
4. The obligations for the instrument responsible persons according to Article 4 of this regulation shall become mandatory after the development of the Data Management Plans according to Paragraph 2 of this Article and after ensuring access to the infrastructure sufficient to fulfil these duties.
5. The obligations for main authors specified in Article 5 of this regulation become binding on the date of validation of this regulation.
6. The obligations for researchers specified in Article 7 of this regulation become binding the moment appropriate conditions are ensured for their fulfilment according to Article 6 of this regulation, but no later than within 6 months of the validation of this regulation.
7. This internal regulation shall enter into the force on the date of its publication and shall take effect on the first day of the month following its entry into force.

Olomouc, February 16, 2023

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Director of CATRIN