



Management of Research Data Policy

Responsible Officer	Deputy Vice Chancellor (Research)
Approved by	Vice-Chancellor
Approved and commenced	July, 2013
Review by	July, 2016
Relevant Legislation, Ordinance, Rule and/or Governance Level Principle	Ordinance 9 – Student Discipline Ordinance 70 – Graduate Research Ordinance 83 – Research College Board Ordinance 18 – Intellectual Property Governance Level Principle 4 – Intellectual Property Governance Level Principle 12 – Academic Standards Privacy Act 1988 Personal Information Protection Act 2004 (Tas) National Statement on Ethical Conduct in Human Research
Responsible Organisational Unit	Office of Research Services

CONTENTS

1	Objective.....	2
2	Scope	2
3	Policy Provisions.....	2
3.1	Responsibilities.....	2
3.1.1	University of Tasmania	2
3.1.2	Delegated Heads of Organisational Units	2
3.1.3	Researchers	3
3.2	Ownership of Research Data and Primary Materials.....	3
3.3	Storage of Research Data and Primary Materials	4
3.4	Retention of Research Data and Primary Materials.....	4
3.5	Access to Research Data and Primary Materials	5
3.6	Disposal of Research Data and Primary Materials	5
4	Definitions and Acronyms	5
5	Supporting Documentation.....	6
6	Versioning.....	7
	Appendix A.....	8
	Attachment	
	Minimum Retention Times	

1 Objective

The objective of the Management of Research Data Policy is to provide a framework for the management of Research Data in accordance with the *Australian Code for the Responsible Conduct of Research* to ensure that Research Data and Primary Materials are stored, retained, made available for use and reuse, and disposed of, according to legal, statutory, ethical and funding bodies' requirements.

2 Scope

All staff, students, visiting fellows and scholars, and persons holding discretionary titles of the University of Tasmania (hereafter referred to as researchers), who are involved in the conduct of research associated with the University.

3 Policy Provisions

3.1 Responsibilities

3.1.1 University of Tasmania

The University is required to:

- identify ownership of Research Data and Primary Materials
- have processes in place for the retention of Research Data and Primary Materials which are consistent with practices in the discipline, relevant legislation, codes and guidelines
- provide facilities for the safe and secure storage of Research Data and Primary Materials and for maintaining records of where Research Data and Primary Materials are stored
- ensure backup, archival and monitoring strategies are in place to prevent loss of Research Data
- ensure procedures are in place for the secure and safe disposal of Research Data and Primary Materials
- maintain procedures on ownership and storage which cover a range of possible situations that arise in research, including when researchers move between institutions or employers and when data are held outside Australia
- provide facilities for the centralised storage of metadata and
- facilitate and support Organisational Units in delivering this policy.

3.1.2 Delegated Heads of Organisational Units

The Delegated Heads of Organisational Units are required to:

- ensure access to suitable physical and electronic storage for Research Data and Primary Materials that meets security and confidentiality requirements
- facilitate processes within the Academic Unit for storage and retention of Research Data and Primary Material
- authorise procedures adopted by researchers for the storage and destruction of Research Data and Primary Materials

- authorise the destruction of Research Data and Primary Materials on recommendation of the researcher
- ensure that researchers have planned for the ongoing custodial responsibilities for the Research Data and Primary Materials, in the event that they leave the University
- evaluate authorisation for researchers who leave the University to take a copy of Research Data and Primary Materials for further use
- liaise with all internal stakeholders regarding the relocation of Research Data and Primary Materials within the University, as required (for example, where a student researcher transfers Academic Units, where multiple University researchers are involved in a research project etc.)
- ensure that Research Data and Primary Materials are transferred from the Organisational Unit to a longer term data repository or destroyed at the conclusion of the active phase of the research
- ensure that policies and procedures are disseminated to researchers and students, including the specific provisions for research involving humans and
- recommend contributions of metadata and data to appropriate metadata stores and data repositories.

3.1.3 Researchers

Researchers are required to:

- keep clear and accurate records of the research methods and data sources, including any approvals granted, during and after the research process;
- manage Research Data and Primary Materials according to ethical approvals and legislative requirements
- ensure that sufficient Research Data and Primary Material are retained to justify research outcomes and to defend the findings of the research, if challenged;
- ensure that Research Data and Primary Materials are kept in a safe and secure environment, and that Research Data is stored in a retrievable way
- maintain an index of Research Data in an accessible form to a standard that complies with the minimum metadata requirements, as set by the University;
- ensure backup, archival and monitoring strategies are in place to prevent loss of Research Data
- plan for the ongoing custodial responsibilities for the Research Data and Primary Materials at the conclusion of the research project or on departure from the University
- ensure that appropriate procedures are undertaken in relation to the relocation of stored Research Data and Primary Materials within the University, when required
- ensure that a written agreement covering the storage and ownership of Research Data and Primary Materials is developed at an early stage of a research project where it involves at least one external party, in accordance with the University's Collaborative Research Policy
- maintain confidentiality of Research Data and Primary Material when given access to confidential information and
- ensure that student researchers are aware of their responsibilities in relation to the management of Research Data and Primary Materials.

3.2 Ownership of Research Data and Primary Materials

Research Data and Primary Materials will be owned in accordance with the University of Tasmania *Ordinance 18 – Intellectual Property*.

The University of Tasmania will own Research Data and Primary Materials created or developed by an employee of the University where the Research Data and Primary Materials are:

- created or developed in the course of the employee's employment duties; or
- otherwise assigned to the University by written assignment.

The University of Tasmania will request that researchers of the University (including students and persons holding discretionary titles of the University of Tasmania) assign or licence their interest in the Research Data and Primary Materials to the University in the circumstances described in the Intellectual Property Ordinance.

The University of Tasmania recognises that there may be cultural considerations that define the ownership of Aboriginal and Torres Strait Islander Peoples' intellectual and cultural property rights in which University research activities may be based.

Subject to any written agreements, the University will remain the custodian of the Research Data and Primary Materials

Researchers may be permitted to maintain a copy of the Research Data and Primary Materials for further use, where authorised by the delegated authority. Subject to legal, statutory, ethical and funding body requirements, the University will not withhold permission for any reasonable request from researchers to maintain a copy of Research Data and Primary Material for further use.

3.3 Storage of Research Data and Primary Materials

Research Data and Primary Material must be stored in a safe and secure environment and, wherever possible and appropriate, in a University-approved data repository. Arrangements for Research Data and Primary Material held in other locations must be documented.

3.4 Retention of Research Data and Primary Materials

Researchers are responsible for deciding which Research Data and Primary Materials should be retained, although in some cases this will be determined by law, funding agency, publisher or by convention in the discipline. Sufficient materials and data must be retained to justify the outcomes of the research and to defend them if they are challenged. The potential value of the material for further research should also be considered, particularly where the research would be difficult or impossible to repeat.

At a minimum, Research Data and Primary Material must be retained for as long as specified by the *Australian Code for the Responsible Conduct of Research* (the Code), the University's Records Retention and Disposal Schedule (DA 2398), and legislative, contractual, and other regulatory requirements. In general, all Research Data and Primary Material must be retained for a minimum of 5 years from the date of publication; however, the specific period should be determined with reference to the discipline and type of research, as indicated in Appendix A.

Where the results of research are challenged, all relevant data and materials must be retained until the matter is resolved.

3.5 Access to Research Data and Primary Materials

Researchers should not unreasonably withhold University-owned Research Data and Primary Materials from use by other researchers unless prevented by ethical, privacy, contractual or confidentiality matters or by law. Where there is a dispute concerning the provision of access to Research Data or Primary Materials, the Deputy Vice Chancellor (Research) or Delegate will determine whether the Research Data or Primary Materials should be made available.

In situations where access to data is governed by an agreement with a third party, access to the data will be handled on a case by case basis upon legal advice, as required.

Researchers given access to confidential information must maintain that confidentiality. Confidential information must only be used in ways agreed with those who provided it, unless required by law.

3.6 Disposal of Research Data and Primary Materials

Disposal must be in accordance with the requirements of the Code, the University's Records Management Policy, Records Management Guidelines and Records Retention and Disposal Schedule (DA 2398), and subject to relevant legislative requirements.

Subject to contractual arrangements, researchers must obtain written approval from their Delegated Head of Organisational Unit for the transfer or destruction of Research Data and Primary Material.

Upon disposal of Research Data and Primary Material, the relevant metadata store and Research Data index must be modified appropriately.

4 Definitions and Acronyms

Academic Unit	Means the secondary organisational unit in the academic structure of the University, reporting directly to the College Executive Deans, as per Ordinance 14 – Academic Structure.
College	Means (a) the primary organisational unit in the academic structure of the University, as per Ordinance 14 – Academic Structure (b) the University College
Delegated Head of Organisational Unit	Head of academic organisational unit responsible for implementing this policy. May include a Head of Academic Unit or Executive Dean.

Executive Dean	Means: (a) the Executive Dean of the relevant College, or (b) in relation to the University College, the Principal of the University College
Head of Academic Unit	Means the head of the relevant Academic Unit
Metadata	Information or facts about research data for the purpose of attribution, description, management and discovery.
Organisational Unit	College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.
Primary Materials	Physical objects acquired through a process of scholarly investigation from which Research Data may be derived. Includes, but is not limited to, ore, biological material, questionnaires or recordings, artwork and photographs.
Research Data	Facts, observations, measurements or experiences on which an argument, theory or test is based. Research Data may be numerical, descriptive or visual. Research Data may be raw or analysed, experimental or observational. Includes laboratory notebooks, field notebooks, primary Research Data, questionnaires, audiotapes, videotapes, models, photographs, films, test responses, and any other records that are necessary for the reconstruction and evaluation of the reported results of research.
The Code	Australian Code for the Responsible Conduct of Research.

5 Supporting Documentation

- Australian Code for the Responsible Conduct of Research (National Health and Medical Research Council, Australian Research Council, Universities Australia, 2007)
- National Statement on Ethical Conduct in Human Research (National Health and Medical Research Council, Australian Research Council, Australian Vice-Chancellors' Committee, 2007)
- *Ordinance 18 – Intellectual Property*
- *Records Management Policy*
- *Records Management Guidelines*
- *Records Retention and Disposal Schedule (DA 2398)*
- *Collaborative Research Policy*
- *Responsible Conduct of Research Policy*
- *Archives Act 1983 (Cth)*
- *Archives Act 1983 (Tasmania)*

- *Archives Regulations 2004* (Tasmania)
- *Privacy Act 1988* (Cth)
- *Personal Information Protection Act 2004* (Tasmania)
- *Copyright Act 1968* (Cth)

6 Versioning

Former Version(s)	Version 1 – <i>Management of Research Data Policy</i> ; approved TBA, 2012; reviewed Month, 2015, amended in December 2016 to incorporate Colleges.
Current Version	Version 2 – <i>Management of Research Data Policy</i> ; approved July 2013, amended in December 2017 to reflect College structure and nomenclature.

Appendix A

Minimum Retention Times

Type of Research	Minimum Retention Time
Short-term research projects for assessment purposes only	12 months
General research	5 years after publication
Clinical trials	15 years after publication
Gene therapy (e.g. patient records)	Permanently
Community or heritage value	Permanently