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## Purpose

This procedure describes how research data (incl. primary materials) and metadata are managed at the University, consistent with the principles and responsibilities of the Australian Code for the Responsible Conduct of Research 2018 (the Code), including the requirements for:

- a) data management planning
- b) storage
- c) retention and disposal
- d) access
- e) managing confidential and sensitive information
- f) reporting potential breaches.

## Applicable governance instruments

Instrument	Section	Principles
<i>Research Policy</i>	2 Responsible conduct of research	2.1-2.2
	4 Research data and output	4.1-4.2
<i>Intellectual Property Policy</i>	2 Ownership and assignment	2.1-2.2
	4 Indigenous Cultural and Intellectual Property Rights	4.2
	5 Copyright	5.1
<i>Data and Information Governance Policy</i>	1 Privacy	1.2-1.5
	2 Cyber security	2.1
	4 Data and information management	4.1-4.4
<a href="#"><u><i>Australian Code for the Responsible Conduct of Research 2018</i></u></a>	All	N/A
<a href="#"><u><i>Management of Data and Information in Research: A guide supporting the Australian Code for the Responsible Conduct of Research</i></u></a>	All	N/A
<a href="#"><u><i>AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research</i></u></a>	All	N/A
<a href="#"><u><i>Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: guidelines for researchers and stakeholders</i></u></a>	All	N/A
<a href="#"><u><i>National Statement on Ethical Conduct in Human Research (2007, updated 2018)</i></u></a>	All	N/A
<i>Archives Act 1983 (Cth)</i> <i>Archives Act 1983 (Tas)</i> <i>Archives Regulations 2004 (Tas)</i>	All	N/A
<i>Privacy Act 1988 (Cth)</i> <i>Personal Information Protection Act 2004 (Tas)</i> <i>Copyright Act 1968 (Cth)</i>	All	N/A

## Procedure

### 1. Background

- 1.1. The safe and secure storage and management of research data is essential to:
  - a. allow for the justification and verification of the outcomes of research;
  - b. maximise the potential for future research;
  - c. minimise waste of resources of value to researchers and the wider community; and
  - d. maintain the confidentiality of sensitive data.
- 1.2. This procedure applies to:
  - a. all research data (incl. primary materials)
  - b. all [University researchers](#) including all persons or entities with primary responsibility for managing research data that is created, acquired or accessed for the purposes of University research.
- 1.3. This procedure does not apply to the management of administrative or teaching data or research outputs. Data acquired during learning and teaching activities that is later used in research is considered research data.
- 1.4. For the purposes of this procedure:
  - a. Research data is defined as:
    - i. all data which is created by researchers in the course of their work, and for which the University has a curatorial responsibility for at least the minimum duration required by the Code and relevant archives/record keeping acts,
    - ii. third-party data which may have originated within the institution or come from elsewhere,
    - iii. primary materials necessary to validate research findings, including data, materials, specimens, samples or information acquired through a process of scholarly investigation by the researcher in its raw, unanalysed state as part of their research and from which research data are derived.
  - b. Research data includes facts, observations, measurements or experiences on which an argument, theory or test is based. Research data may be numerical, descriptive or visual; raw or analysed, experimental or observational. Includes laboratory notebooks, field notebooks, primary research data, questionnaires, audiotapes, videotapes, models, photographs, films, test responses, primary materials (including, but is not limited to, ore, core samples, minerals and rocks; biological materials; the products of a process where the material is stable and can be stored for the requisite time; questionnaires; recordings; films; test responses; photographs; models; videotapes; audiotapes; or any other materials acquired through undertaking research) and any other records that are necessary for the reconstruction and evaluation of the reported results of research.
  - c. Metadata is defined as descriptive information about research data that enables it to be curated, searched, identified, retrieved, and re-used, subject to privacy and confidentiality requirements. Meta data should include information about how the data was collected, research methodology, formatting, and other discipline relevant standards.
- 1.5. The storage, retention and disposal of research data will:
  - a. be consistent with copyright or licensing arrangements in place including any external research partner or funding agency (e.g., National Health and Medical Research Council (NHMRC) and Australian Research Council (ARC));
  - b. align with research discipline-specific practices and standards;

- c. comply with relevant privacy, ethical and publication requirements;
  - d. comply with all relevant laws, regulations and guidelines; and
  - e. comply with the University's *Information Management Procedure*.
- 1.6. A summary of roles and responsibilities is provided in Schedule A.
- 1.7. This procedure is designed to be underpinned by standard operating procedures (SOPs) developed and published by organisational units which are specific to local discipline and school responsibilities.

## 2. Ownership, stewardship and control of research data and primary materials

- 2.1. Intellectual property (IP), including research data and primary materials, will be owned in accordance with the *Intellectual Property Policy*
- 2.2. Unless otherwise agreed in writing, the University will be the custodian of all research data and primary materials collected by University researchers.
- 2.3. University Researchers wanting to transfer data between projects or as the basis for establishing new research projects will require written authorisation from their Head of Organisational Unit. The University will not withhold permission, subject to legal, statutory, ethical and funding body requirements.
- 2.4. Access to research data and primary materials will be controlled by appropriate security measures in accordance with the *Information Management Procedure* to prevent:
- a. unauthorised access
  - b. misuse of data
  - c. breaches of commercial and contractual agreements.
- 2.5. All persons and entities to whom this procedure applies will report the inappropriate use (fabrication, falsification and misrepresentation of data or source material), access to or loss of data to the relevant Head of Organisational Unit and where the breach or loss relates to:
- a. personal information, it will also be reported immediately in accordance with the [Data Breach Procedure](#).
  - b. a research integrity concern, it will also be reported in accordance with the *Research Integrity Complaints Procedure* or directly to [research.integrity@utas.edu.au](mailto:research.integrity@utas.edu.au)
  - c. the deliverables associated with a research funding contract, it will also be reported to [research.funding@utas.edu.au](mailto:research.funding@utas.edu.au).

Actions taken in relation to the inappropriate use, access to or loss of data will be proportionate to the associated risk, including, but not limited to, risks to individuals, exposure of personal information, the continuation of a research project, the University's reputation, loss of intellectual property and financial implications.

- 2.6. Copyright and use of third-party research data will be clearly agreed and documented in a data sharing agreement.
- 2.7. Databases made publicly available may be protected by copyright. Where researchers use third-party research data that is publicly available, they will seek agreement to reproduce any databases to which copyright attaches.
- 2.8. Where researchers use third-party research data that is not publicly available, they will seek advice from the Research Division to ensure appropriate contractual agreements are in place.
- 2.9. When research involves human participants or their data, researchers will consider and document

ethical requirements relating to data management in accordance with the University's *Research Ethics Procedure*, and with regard to:

- a. privacy:
  - i. comply with relevant privacy laws
- b. confidentiality and consent:
  - i. retain records of confidentiality agreements and consent
  - ii. comply with any confidentiality agreements made with participants regarding stored data and ensure documentation of same for the awareness of future users
  - iii. establish consent processes, including information regarding the form with which the data will be stored (specifically regarding identifiability of participants) and the purposes for which data will be used and disclosed
  - iv. secure data to ensure it is not available for use where participants did not consent.

2.10. When research involves Indigenous people, their culture or heritage, researchers will:

- a. apply the *AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research and Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: guidelines for researchers and stakeholders* or equivalent guidelines in local jurisdictions
- b. consider Indigenous Cultural and Intellectual Property (ICIP) Rights in addition to other copyright and IP requirements
- c. act appropriately and respectfully regarding Indigenous data sovereignty by applying the CARE (Collective Benefit, Authority to Control, Responsibility, Ethics) principles
- d. not make decisions regarding access to or reuse of data or information without proper consultation with its Indigenous owners
- e. consider appropriate ways of collecting, storing and accessing data, and communicating with research participants and/or custodians of the data regarding these issues.

2.11. Researchers will document all special data management arrangements made with other community groups who are participating in research where relevant.

2.12. Researchers will adhere to project-specific protocols where those measures are in addition to those required by:

- a. University policy and procedures;
- b. relevant laws, regulations and guidelines;
- c. research discipline specific practices and standards; and/or
- d. external research partners or funding agencies

### 3. Data management planning

3.1. Researchers will consider data management planning as early as possible in the lifecycle of a project. The University provides a [Data Management Plan template](#) to assist in holistic planning. Researchers are encouraged to create data management plans within the University's [Research Data Portal](#).

3.2. A data management plan (DMP) is a living document that describes:

- a. what data will be created
- b. what policies will apply to the data
- c. who will own and have access to the data

- d. what data management practices will be used
  - e. what facilities and equipment will be required,
  - f. where the data will be stored
  - g. when the data must be destroyed
  - h. who will be responsible for each of these activities.
- 3.3. Where data will result from research involving human participants, a data management plan will also address the requirements of clauses 3.1.44-3.1.50 of the [National Statement on Ethical Conduct in Human Research](#), and will also include:
- a. ethical requirements in accordance with Section 2 of this procedure
  - b. any information from the data management plan that needs to be communicated to potential participants.
- 3.4. Costs associated with data management and retention will be budgeted as part of the research planning and approval process, in accordance with Administering Organisational Unit arrangements or if externally funded the *Research Funding Costing Procedure* and the *General Delegations Ordinance*.
- 3.5. For multicentre or collaborative research projects, researchers will ensure agreements are in place for managing data and information in accordance with the *Collaborative Research Procedure*.
- 3.6. Data planning documents will be kept with other research project documentation or with the research data to assist in future management of the research data.
- 3.7. Researchers will update the research data planning documentation throughout the lifecycle of their research.

#### 4. Storage of research data and primary materials

- 4.1. The University will provide facilities for the safe and secure storage of research data and primary materials and records.
- 4.2. Researchers are responsible for ensuring:
- a. research data and primary materials are kept in a safe and secure environment and that research data is stored in a retrievable way in accordance with clause 1.5 of this procedure, and
  - b. any costs associated with accessing data storage facilities are budgeted for in accordance with clause 3.4 of this procedure.
- 4.3. Where possible and appropriate, research data should be stored in on-site physical storage or one of the University's [data storage options](#). External storage providers are required to comply with University policies and procedures. Consideration will be given to ensure data is stored in the most appropriate facility depending on the stage of the research, amount of data captured, level of access required, and security considerations.
- 4.4. Researchers will record, through a data management plan, where research data, primary materials and records for their research will be stored during the active phase of their research and once the research project or project milestone is complete (see Section 3 of this procedure).
- a. During the active research phase, storage will be provided for digital and non-digital research data within the Organisational Unit. Researchers will be responsible for:
    - i. storing research data and primary material in a safe and secure environment within their organisational unit, where possible and appropriate

- ii. maintaining clear and accurate records of the research methods and data sources used, by way of notes, diaries, laboratory books, etc
  - iii. maintaining an index or catalogue of research data and information generated, accessed and used during the research in an accessible form, stored with the live dataset(s) to facilitate access to the data and information by others where permitted
  - iv. updating the index of research data to reflect any changes in location or storage, or custodians of the data
- b. After the active phase of research is completed, or where there is no need to retain the research data and primary materials within the organisational unit, researchers will work with their organisational unit to arrange for secure long-term storage of their research data and develop a plan for ongoing preservation and curatorship of that data. University researchers are encouraged to obtain a storage location for their complete digital research data sets by completing a data management plan within the University's [Research Data Portal](#).
- 4.5. To optimise project efficiency and avoid information loss and duplication, researchers should employ good data management practices. These practices will vary across disciplines, but the essential elements include:
- a. password protection, [stable storage formats](#) and regular backup
  - b. storage of data in a method appropriate for the format of the data
  - c. version control and relevant mechanisms for datasets, algorithms, models and software configuration management
  - d. workflow documentation with provenance information for instruments (use and calibration) and software used
  - e. adherence to appropriate national and international standards for scientific terminology and information encoding.
- 4.6. Researchers should implement risk-based controls and data governance arrangements to ensure data integrity. Where applicable, this includes complying with the [Good Clinical Practice](#), [Good Laboratory Practice](#) and [Good Manufacturing Practice](#) guidelines.
- 4.7. Standards and agreed processes for creating and maintaining [metadata and documentation](#) will be used to facilitate the identification, retrieval and re-use of research data over the time of its potential use.
- 4.8. Where data is owned by a third party or has been obtained from a limited access database, researchers will document the source of data or materials and describe the access arrangements. This documentation will be retained with other records from the relevant research project and will include:
- a. the location of the original data or
  - b. information about the limited access database from which the data was extracted.
- 4.9. At the appropriate phase of the research, researchers will appraise and archive the research data and:
- a. decide which data and materials will be retained in accordance with Section 5 of this procedure
  - b. destroy research data and primary materials that are not required to be retained in accordance with Section 7 of this procedure
  - c. transfer research data and primary materials to be retained to longer term storage within the University or to an appropriate data repository. Researchers will be encouraged to use the Research Data Portal for this purpose (see Section 4.4? of this procedure).

- d. obtain written authorisation from their Head of Organisational Unit prior to relocating research data and primary materials. The location of a longer-term storage facility and the details of a data repository will be recorded on the Data Management Plan and updated in any relevant metadata
- e. deposit metadata in an appropriate metadata store (such as the Research Data Portal).

## 5. Retention of research data and primary materials

- 5.1. When keeping records of research, researchers will:
  - a. retain clear, accurate, secure, and complete records of all research data and primary materials
  - b. retain and produce on request all relevant approvals, authorisations and other administrative documents, such as ethics approvals, agreements and consent forms.
- 5.2. Researchers will ensure that research data and records are sufficiently detailed to justify the outcomes of the research and to defend them if they are challenged.
- 5.3. Researchers are responsible for determining the minimum retention periods that relate to their data.
- 5.4. The general principle is that data and primary material will be appraised, archived and retained for perpetuity unless there is a reason, such as the conditions of ethics approval, contractual obligations, or legislative requirements, mandating that the data or materials must be destroyed.
- 5.5. At a minimum, research data will be retained according to the periods specified in the archives and records legislation, including the University's [Records Retention and Disposal Schedule \(DA 2398\)](#). Retention plans will be documented during research data planning in accordance with Section 3 of this procedure.
- 5.6. In general, the minimum retention period is five years post-publication; however, the specified period may vary depending upon the local jurisdiction, the discipline and type of research, other institutional policies, Indigenous data governance principles (where applicable), and the requirements of bodies such as funding agencies, commercial sponsors, government bodies and publishers. Researchers should consult the [Records Retention and Disposal Schedule \(DA 2398\)](#) to determine which retention period applies to their data.
- 5.7. Where existing results from research are challenged, all relevant data and materials will be retained beyond the minimum retention period until the matter is resolved, and for any further term as required.
- 5.8. Research records that may be relevant to allegations of breaches of the Code will be kept until the resolution of the matter, and for any further term as required.
- 5.9. The minimum retention period of data and primary materials will be reviewed by the Researcher at:
  - a. the completion of the data capturing phase of research
  - b. the publication of the data or of any research flowing from the data
  - c. the end of the minimum retention period
  - d. at any other time considered necessary by the researcher or the University.
- 5.10. Where data is appraised and the decision made that research data, or a portion of that data, is to be disposed, this will be done in accordance with Section 7 of this procedure. Any prior disposal recommendations and usage will be reviewed before data is destroyed.
- 5.11. The following criteria will be considered in deciding which research data and primary materials will be retained beyond the minimum retention period:



- a. uniqueness and non-replicability
- b. reliability, integrity, and usability
- c. relevance to a known research initiative or collection
- d. community, cultural or historical value
- e. economic benefit
- f. value of the data or material for further research.

- 5.12. Generally, the decision whether to retain primary materials for the same duration as associated data will depend upon discipline, methodological and project specific considerations and whether the primary materials are needed to substantiate the findings of the research, should those findings be contested.
- 5.13. While it is not practical to retain all primary material (such as ore, biological material, questionnaires or recordings) durable records derived from them (such as assays, test results, transcripts, and laboratory and field notes) will be retained and accessible.
- 5.14. Archival practice will include scheduled reviews of items in long-term storage, in accordance with the University's *Information Management Procedure*.

## 6. Exit planning

- 6.1. During data planning, researchers will establish and document ownership of research data and primary materials and agreed procedures for managing data and primary materials when a researcher(s) leaves the University in accordance with Section 2 of this procedure.
- 6.2. Researchers will ensure agreements are in place to govern circumstances where researchers leave a project or move from one institution to another during the project.
- 6.3. Research data identified as owned by an individual may be removed from the University by the individual when exiting the University. The individual will advise their Head of Organisational Unit of their intention to take data and agree to and document any ongoing access for the unit.
- 6.4. University data will remain the property of the University. Individuals leaving the University may negotiate to take copies of data and will obtain written authorisation from their Head of Organisational Unit. Any arrangements made will be documented and documentation will be stored with the data.
- 6.5. Processes will be established and documented at the commencement of projects for individuals or groups exiting a project using third-party data. Documentation will be kept with other project documentation such as initial agreements on the use of the data.

## 7. Review and disposal of research data and primary materials

- 7.1. When the specified period of retention ends for research data and primary material that has not been transferred to a repository or archive (refer to Section 5 of this procedure for minimum retention periods), researchers will review the data and materials scheduled to be disposed against the criteria in clause 5.9 of this procedure to confirm they are:
- a. not of archival value and are not to be permanently retained
  - b. not required to carry out the business of the organisational unit
  - c. not subject to any outstanding legal, ethical or publication requirements, challenges to research results or allegations of breaches of the Code.
- 7.2. Where the disposal of research data and primary materials is required, researchers will obtain

written authorisation from their Head of Organisational Unit prior to disposing of the research data and primary materials. This requirement will be subject to contractual arrangements.

- 7.3. Following authorisation, when required, researchers will arrange for the safe and secure disposal of research data and primary materials in accordance with requirements of the University's *Information Management Procedure*.
- 7.4. Researchers will retain documentation specifying the research data and primary materials that have been disposed, the disposal process that was used and will update any relevant metadata and data management plan (or equivalent documentation) to include this information.

## 8. Sharing and reuse of research data and primary materials

- 8.1. Researchers will, where possible and appropriate, allow access to research data and primary materials, to enable and facilitate the sharing of research data. This access will be facilitated by indexes or catalogues of data and information generated, accessed and used during the research.
- 8.2. Researchers will consider appropriate approaches to maximising the benefits of valuable data and information in the context of required or reasonable restrictions on sharing the data or information, such as the character of the consent provided, permissions granted by any data custodians and the requirements of privacy laws. Researchers will be sensitive to the tension created by these competing imperatives.
- 8.3. There can be compelling ethical reasons for the sharing/reuse of data and primary materials, and include, but are not limited to:
  - a. risks/significant burdens associated with the data collection
  - b. the potential participant pool is 'over-researched'
  - c. the situation is rare
  - d. the costs associated with the collection/generation/access to the data or primary materials.
- 8.4. Researchers conducting human research, must comply with consent processes approved by the Ethics Committee regarding participant consent for *specific, extended or unspecified reuse/retesting of data/primary materials, and consent to contact participants about future research*. An amendment to the ethics application can be submitted to the Ethics Committee to revise consent protocols if required.
- 8.5. Sharing of data may be required or encouraged by funding bodies and publishers, such the [NHMRC's Open Access Policy](#) and the [ARC's Research Data Management requirements](#).
- 8.6. In addition to standard publication requirements, research data may be published in international, national, or discipline-based repositories, such as international databanks, in addition to University-based storage or archiving. Where data is published through non-University repositories, researchers will ensure metadata is updated in accordance with Section 4 of this procedure. Researchers are encouraged to select a repository that will maximise the discoverability of their research.
- 8.7. Researchers will adhere to established national and international standards for data description and structuring to facilitate reference tracking. Standards include using Digital Object Identifiers for datasets, ORCID IDs for researchers, and standard terminology for scientific concepts.
- 8.8. Published research data will be accompanied by appropriate metadata and should be [Findable, Accessible, Interoperable, and Re-usable \(FAIR\)](#), both manually and with automated tools. This will require researchers to include appropriate context (descriptive, technical, methodological, access, and provenance information) either within the data structure or in separate metadata records for

the research data. Where applicable, researchers must also apply the [CARE \(Collective Benefit, Authority to Control, Responsibility, Ethics\)](#) principles for Indigenous Data Governance.

- 8.9. Researchers will consider options for licensing of research data to govern subsequent use of the data. When considering licensing for this purpose, the least restrictive option, such as a Creative Commons Attribution licence, is encouraged. Researchers will be required to justify the use of more restrictive controls.
- 8.10. Researchers are encouraged to utilise the University's [Research Data Portal](#) for dataset publishing. The Research Data Portal securely stores datasets and allow researchers to make data publicly available through [Research Data Australia's Search Portal](#). The Research Data Portal allows researchers to control the level of access to their data ("open", "mediated" or "closed") and select preferred Creative Commons licencing to ensure their rights as the data creator are protected.

## 9. Resolution of disputes relating to access to data

- 9.1. Researchers will not unreasonably withhold University-owned research data and primary materials from use by other researchers unless required for ethical, privacy, contractual or confidentiality reasons or by law.
- 9.2. Where there is a dispute concerning provision of access, the Deputy Vice-Chancellor (Research) or delegate will determine if the research data or primary materials will be made available.
- 9.3. Where the sharing of research data has been requested and access has been denied, the reasons for not sharing the data will be transparent and justifiable.
- 9.4. 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.
- 9.5. Researchers given access to confidential information will maintain that confidentiality. Confidential information will only be used in ways agreed with those who provided it, unless required by law.

## 10. Managing confidential and other sensitive information

- 10.1. Researchers will exercise care in managing confidential or other sensitive information. Obligations of confidentiality or other sensitivities commonly apply to the following:
  - a. data or information that is commercial-in-confidence, has IP considerations or is inherently confidential and has been provided in confidence e.g. secret and sacred religious or cultural practices, or information on the location of vulnerable species
  - b. sensitive data or information subject to privacy legislation e.g. identifiable human medical/ health and personal data or information
  - c. data or information subject to classification regimes and other controls e.g. national security information, police records or information and primary materials subject to export controls.
- 10.2. Researchers will ensure that measures to protect the security and privacy are proportionate to the risks. These measures will address storage, access and sharing of the data and information and will be recorded in the data management plan.
- 10.3. Sensitive research data may be appropriately shared through mediated access arrangements, subject to any requirements resulting from a risk assessment conducted in accordance with the *Risk Management Procedure*.

## 11. Breaches of the Australian Code for the Responsible Conduct of Research

- 11.1. Breaches of the Code relating to management of data and information in research include, but are not limited to:
- a. falsification of research data or primary materials
  - b. fabrication of research data or primary materials
  - c. failure to notify the institution and relevant authorities in a timely manner of a data breach or instance of inappropriate access to data held by the researcher
  - d. failure to retain clear, accurate, secure and complete records of all research including research data and primary materials
  - e. failure to adhere to the conditions of any institutional policy or project-specific approvals relating to the retention, sharing or destruction of research data or primary materials
  - f. selective retention of research data or primary materials to hinder the verifiability of a research output or access request
  - g. failure to apply appropriate security controls to research data or primary materials
  - h. failure to obtain necessary approvals or acting inconsistently with a condition of any approval granted relating to the management of research data or primary materials.
- 11.2. Concerns and complaints about potential breaches of the Code will be managed in accordance with the:
- a. *Research Integrity Complaints Procedure*, and
  - b. the University's [Risk Framework](#).
- 11.3. Potential breaches will be reported through the University's [Legal Compliance Framework](#).

## 12. Resources and advice

- 12.1. Advice is available where researchers are in doubt about their obligations or require guidance:

Funding team (Post-Award)	Contractual agreements for third-party research data that is not in the public domain
Research Ethics Unit	Ethical issues relating to data for human or animal research such as storage, destruction, confidentiality and consent
University Library	Learning & Research Librarians can provide advice on managing and publishing research data links to resources and guides on <a href="#">Research Data Management</a>
Information Technology Services	University data storage options, data security, University recordkeeping
University Copyright Officer	Copyright obligations
Legal Services	Intellectual property, privacy, Notifiable Data Breaches, and other legal obligations

**Related procedures***Collaborative Research Procedure**Information Management Procedure**Research Integrity Complaints Procedure**Research Ethics Procedure**Research Funding Costing Procedure***Versions**

<u>Version</u>	<b>Action</b>	<b>Approved By</b>	<b>Business owner/s</b>	<b>Approval Date</b>
1	Approved	Deputy Vice-Chancellor (Research)	Executive Director Research	10 November 2021
2	Approved	Deputy Vice-Chancellor (Research)	Executive Director Research Operations	10 November 2022

## Schedule A: Summary of Roles and Responsibilities

The University will:

- a. identify ownership of research data and primary materials
- b. have processes in place for the retention of research data and primary materials consistent with practices in the discipline, relevant legislation, codes and guidelines
- c. 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
- d. ensure backup, archival and monitoring strategies are in place to prevent loss of research data
- e. ensure procedures are in place for the secure and safe disposal of research data and primary materials
- f. maintain procedures regarding ownership and storage covering a range of possible situations that arise in research, including when researchers move between institutions or employers and when data are held outside Australia
- g. provide facilities for the centralised storage of metadata and facilitate and support organisational units to implement this procedure.

Heads of organisational units will:

- a. ensure access to suitable physical and electronic storage meeting security and confidentiality requirements for research data and primary materials
- b. facilitate processes within the organisational unit for storage and retention of research data and primary materials
- c. authorise procedures adopted by researchers for the storage and destruction of research data and primary materials
- d. authorise the destruction of research data and primary materials on recommendation of the researcher
- e. ensure researchers have planned for the ongoing custodial responsibilities for the research data and primary materials, in the event they leave the University
- f. evaluate authorisation for researchers who leave the University to take a copy of research data and primary materials for further use
- g. liaise with internal stakeholders regarding relocation of research data and primary materials within the University as required eg, where a student researcher transfers academic unit, where multiple University researchers are involved in a research project etc.
- h. ensure that research data and primary materials are transferred from an organisational unit to a longer term data repository or destroyed at the conclusion of the active phase of the research
- i. ensure policies and procedures are disseminated to researchers and research trainees, including specific provisions for research involving humans and recommend contributions of metadata and data to appropriate metadata stores and data repositories.

Researchers will:

- a. keep clear and accurate records of their research methods and data sources, including any approvals granted, during and after the research process

- b. manage research data and primary materials according to ethical approvals and legislative requirements
- c. ensure sufficient research data and primary materials are retained to justify research outcomes and to defend the findings of the research if challenged
- d. ensure research data and primary materials are kept in a safe and secure environment and that research data is stored in a retrievable way
- e. 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
- f. ensure backup, archival and monitoring strategies are in place to prevent loss of research data
- g. plan for ongoing custodial responsibilities for research data and primary materials at the conclusion of a research project or on departure from the University
- h. plan for the destruction or disposal of research data at the end of the appropriate retention period or a period as specified by the relevant approved ethics protocol.
- i. ensure appropriate procedures are undertaken in relation to the relocation of stored research data and primary materials within the University when required
- j. ensure 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 *Collaborative Research Procedure*
- k. maintain confidentiality of research data and primary material when given access to confidential information
- l. report any inappropriate use of or access to or loss of data
- m. ensure research trainees are aware of their responsibilities in relation to the management of research data and primary materials and
- n. where possible and appropriate, allow access to research data and primary materials.