RESEARCH DATA MANAGEMENT POLICY 2014

The Deputy Vice Chancellor (Research) as delegate of the Senate of the University of Sydney adopts the following policy.

Dated: 29 November 2013

Last amended:

Signature:

Name: Professor Jill Trewhella

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1 Name of policy

This is the Research Data Management Policy 2014.

2 Commencement

This policy commences on 2 January 2014

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

4 Statement of intent

This policy:

(a) articulates the University's commitment to the *Australian Code for the Responsible Conduct of Research*;

Note: This document is available from: http://www.nhmrc.gov.au/guidelines/publications/r39

(b) acknowledges Australian and international initiatives to improve access to and re-use of publicly-funded research data collections, including the *OECD Principles and Guidelines for Access to Research Data from Public Funding 2007* and the *Joint Statement on Sharing Research Data to Improve Public Health (Wellcome Trust)*.

(c) facilitates university-wide planning for the development of digital and physical storage infrastructure, systems and support services to enable the efficient and effective management of the University's research data assets;

(d) supports the University's statutory object of promoting, within the limits of its resources, scholarship, research, free inquiry, the interaction of research and teaching and academic excellence;

Note: See clause 6, *University of Sydney Act 1989 (as amended) (NSW)*.

(e) promotes the University's core values of engaged inquiry and mutual accountability by encouraging transparency, accountability, and openness;

Note: See the *University of Sydney Statement of Core Purpose and Values*.

(f) describes principles for good practice in the management of research data and primary materials and research recordkeeping; and

(g) explains the University's expectations in relation to the management of research data and primary materials, including the responsibilities of staff, affiliates, research students, faculties, University centres and other University units, and the University itself.

5 Application

This policy applies to the University, staff, research students and affiliates.

6 Definitions

affiliate means an individual, who is not a paid member of the University, but who is:

- appointed or engaged by the University to perform duties or functions; and/or
- recognised for their contribution at the University.

The term "affiliates" refers collectively to "clinical title holders; adjunct, conjoint and honorary appointees; consultants and contractors to the University; holders of offices in University entities; members of Boards of University Foundations, members of University Committees; and any other persons appointed or engaged by the University to perform duties or functions on its behalf" as

defined in the University's *Code of Conduct – Staff and Affiliates*.

Note: see also the *Affiliates Policy*.

chief investigator	means the lead University staff or affiliate researcher on a research project.
destruction	means the irreversible obliteration of a collection of data or primary materials. Examples of destruction may include shredding or incinerating physical data or primary material collections, permanently deleting of all copies of digital files, or rendering data storage media unreadable.
disposal	means any action or process undertaken at the end of a required retention period. Disposal does not necessarily mean destruction. Disposal may include permanent archiving, redeployment, transfer of custody or ownership, or destroying research data and primary materials.
intellectual property	has the meaning given to it in the *University of Sydney (Intellectual Property) Rule 2002 (as amended)*.
metadata	has the meaning given in clause 8 of this policy.
primary materials	means physical objects acquired through a process of scholarly investigation from which research data may be derived. It may include raw physical materials such as ore, soil samples or biological material, or physical or digital objects such as artefacts, questionnaires, sound recordings or video. Depending on discipline, primary materials may be considered research data, and may be required to be retained if they are required to validate the outcomes of research, and defend those outcomes against challenge.
RDMP	means a research data management plan, as required by clause 9 of this policy.
research	means investigation undertaken to gain or advance knowledge, understanding and insight. It does not include routine testing and routine analysis of materials, components or processes or the development of teaching materials and similar work.
researcher	means any staff member, research student or affiliate engaged in research.
research data	has the meaning given in clause 7 of this policy.
research records	means any document or other source of information compiled, recorded or stored in any form and which is maintained as evidence or information by an organisation or person, for use in their work.

Note: See the *University Recordkeeping Policy* and *Recordkeeping Manual*

Research records may include:

- correspondence (including email and paper-based correspondence);
- grant application documentation;

- human or animal ethics protocols, (including applications, approvals and other related documents);
- signed participant consent forms and information sheets for research participants;
- research data management plans;
- authorship agreements;
- technical reports;
- research reports (i.e. to a project or funding board);
- laboratory notebooks, field notebooks or research journals (in those disciplines in which notebooks are not considered "data");
- dataset inventories or master lists;
- laboratory protocols and methods;
- clinical trial protocols and standard operating procedures (SOPs); and
- audio-visual documentary evidence material such as sound recordings or visual recordings.

research student means a person who is currently admitted to candidature in a higher degree by research award course at the University, as specified in the *University of Sydney (Higher Degree by Research) Rule 2011(as amended)*. It does not include a person admitted to candidature in a coursework award course.

research supervisor means, in relation to a higher degree by research student, a person appointed to discharge the responsibilities set out in the *Supervision of Higher Degree by Research Students Policy 2013*, and includes research supervisors, co-ordinating supervisors, and auxiliary supervisors as defined in that policy.

7 Research data

(1) It is not possible to apply a uniform definition of research data across all disciplines. Research data may be numerical, textual, audio-visual, digital or physical, depending on the discipline and the nature of the research.

Note: See clause 9 (3) of the *Research Code of Conduct 2013*.

(2) Research data may include:

(a) laboratory and field notebooks;

(b) primary research data (including machine data in hardcopy or computer readable form);

(c) databases;

(d) clinical data, including clinical records;

(e) questionnaires;

(f) photographs;

(g) audio-visual materials;

(h) test responses;

(i) physical collections of:

(i) slides;

(ii) artefacts;

(iii) manuscripts;

(iv) specimens;

(v) samples; or

(j) other forms, to be developed in the future.

(3) In the creative arts or other areas where the research component of a work may not be immediately apparent within a performance, exhibition or creative publication, a durable record of the work and or the response to the work should be retained as evidence of the outcomes of the research process. Depending on the discipline, retained items may include:

(a) an artist's statement;

(b) exhibition catalogues;

(c) critical reviews of a performance or publication;

(d) visual diaries;

(e) journals;

(f) drawings;

(g) photographs;

(h) manuscripts;

(i) musical annotations;

(j) 3D models; or

(k) audio-visual recordings of the creative work.

8 Metadata and documentation

(1) Metadata means structured or schematised information about the attributes of an item or collection that enables that item or collection to be identified, retrieved and managed over time.

(2) Metadata may include descriptions, details of provenance, structure and location, and other information which could aid comprehension and re-use.

(a) Structural metadata provides a structure for information, or describes how compound items or collections relate to each other (e.g. database fields, an xml schema or a document index).

(b) Descriptive metadata provides contextual information about the content of an item or collection, and information to enable discovery and retrieval (e.g. abstract, title and keywords).

(c) Administrative metadata provides the information required to manage an item or collection (e.g. file type, medium, date created, date modified, creator, rights management or licence and preservation information).

(3) Metadata should be linked to research data for as long as the data is retained.

(4) Where necessary to utilise the research data, the software program, script, code or process used to generate, annotate or analyse research data should be included with that data.

(5) Where physical specimens have been generated using physical, chemical, biological, engineering or other such processes, these should be documented and included with the related data.

(6) Detailed descriptive metadata and other supplementary contextual information should be associated with qualitative and quantitative data collections to enable the interpretation and re-use of that data.

9 Research Data Management Plans (RDMP)

(1) All research projects must be supported by an RDMP in the manner specified in the *Research Data Management Procedures*.

(2) RDMPs must be prepared and registered with the Office of the Deputy Vice Chancellor (Research) in accordance with the *Research Data Management Procedures*.

(3) RDMPs must be updated when the research data management needs of the research change significantly from those captured in the current RDMP.

(4) **The Office of the Deputy Vice Chancellor (Research)** will store RDMPs within its Research Management System for at least the minimum data retention period required by the project.

(5) **The Office of the Deputy Vice Chancellor (Research)** will use the information in RDMPs to inform the development of University infrastructure and research support services.

10 Retention of research data, primary materials and research records

(1) Research data, primary materials and research records must be retained in an accessible form in accordance with the provisions and minimum retention periods set out in:

(a) The relevant general authority issued by the NSW State Records Authority, currently *GDA 23 – University Records*;

(b) clause 9 of the *Research Code of Conduct 2013*;

(c) the *University Recordkeeping Policy* and *University Recordkeeping Manual*; and

(d) the *Australian Code for the Responsible Conduct of Research* (*Section 2: Management of Research Data and Primary Materials*).

(2) Chief investigators and research students (in consultation with their research supervisors) must ensure that sufficient data and primary materials are retained to justify the outcomes of research, and if necessary, defend them against challenge.

(3) Unless otherwise specifically agreed, research data and primary materials will be retained by the chief investigator or research supervisor in their faculty, University centre, University unit, or on University managed storage infrastructure.

(4) Researchers working with human participants should seek informed consent from all participants to retain and re-use research data and primary materials for research and education purposes.

(5) At the end of the retention period, research data, primary materials and research records must be disposed of under the authority of the appropriate Head of School, and in accordance with the requirements of this policy, the *University Recordkeeping Policy*, *University Recordkeeping Manual, and Privacy Management Plan*.

Note: See the *University Recordkeeping Manual, Part 7 – Retention and Disposal*.

(a) Chief investigators or research supervisors (with the consent of the research student(s) where required) may make a recommendation to their Head of School to retain, archive, redeploy for re-use and sharing, or destroy research data and primary materials at the end of the mandatory retention period.

(b) Prior to making a recommendation, chief investigators or research supervisors should assess the value of research data and primary material collections, and where applicable consider techniques to enable the preservation and re-use of the data and primary materials.

Note: Techniques to enable the preservation and reuse of data and materials include the anonymisation of human data, conversion of datasets to a different format, or the digitisation of physical data or primary materials.

(c) Chief investigators or research supervisors and Heads of School must consult with the University Archives and Records Management Service (ARMS) for advice on the appropriate manner of disposal or destruction of research data, records and materials.

(d) Where no chief investigator, metadata or RDMP exists for research data or primary materials retained at the University, the appropriate Head of School will undertake the actions of the chief investigator or research supervisor in accordance with clause 10 (5).

11 Ownership of research data and primary materials

(1) The University asserts ownership of data and primary materials created or collected in research conducted in the course of employment or other academic appointment with the University, including any intellectual property subsisting in those research data and primary materials, in accordance with the *University of Sydney (Intellectual Property) Rule 2002 (as amended)*.

(2) The University may assert ownership of data and primary materials created or collected in research conducted by a student, including any intellectual property subsisting in those research data and primary materials, in accordance with the *University of Sydney (Intellectual Property) Rule 2002 (as amended)*.

(3) Subject to any obligation or agreement to the contrary, the University grants the creator or collector of research data and primary materials a non-exclusive, perpetual, royalty-free licence to use those data and primary materials for research and education purposes.

12 Access to research data collections

(1) Chief investigators or research supervisors (with the consent of their research student(s) where required) should make completed research data sets openly available for re-use by other researchers, unless this is prevented by the requirements of legislation or University policy, or ethical, contractual, or confidentiality obligations.

Note: see also clause 9 the *Research Code of Conduct 2013*.

(2) When open access to research data sets is not possible, chief investigators or research supervisors (with the consent of their research student(s) where required) should make research data metadata openly available.

(3) Chief investigators or research supervisors should consult with the University Library for advice regarding the deposit of research data and or metadata to the appropriate data storage facility, archive, repository or metadata store.

13 Roles and responsibilities

(1) Researchers, academic units and central administrative units within the University will work in partnership to satisfy the requirements of the *Australian Code for the Responsible Conduct of Research* and the *Research Code of Conduct 2013*.

(2) **The University** is responsible for:

(a) providing safe, secure and sustainable facilities and appropriate infrastructure for the physical and digital storage of research data and primary materials;

(b) providing enterprise-level research recordkeeping systems;

(c) providing and implementing appropriate communication, training, supporting resources and advisory services; and

(d) providing research data management planning information to faculties, University centres and other units, as specified in procedures.

(3) **Associate Deans (Research) (or equivalent), in collaboration with Heads of School (or equivalent)** are responsible for:

(a) developing local provisions which address the following, as appropriate for the disciplines in which their staff, affiliates or research students are engaged:

(i) methods for managing research data, research records and primary materials, in accordance with this policy and related procedures;

(ii) the identification of which research data, research records and primary materials are to be retained;

(iii) applicable mandatory retention periods for research data, research records and primary materials, consistent with the requirements of legislation and University policy;

Note: See clause 10 of this policy and clause 9 of the *Research Code of Conduct 2013*.

(iv) appropriate authorisation for and recording of the secure destruction of research data, research records and primary materials;

(v) requirements for the ongoing retention of research data, research records and primary materials when a researcher leaves the University; and

(vi) communication of local provisions to staff, students and affiliates; and

(b) providing information, reports and recommendations for amendments to this policy, related procedures and local provisions, as required by the University from time to time and as specified in procedures.

(4) **Chief investigators** are responsible for:

(a) familiarising themselves with relevant data and primary material management requirements and contractual obligations (if any) prior to undertaking research;

(b) developing and documenting appropriate processes for the collection, storage, use, re-use, retention of and access to the research data, primary materials and records associated with their research program;

(c) keeping clear and accurate records of research methods and data sources;

(d) arranging the safe and secure storage and retention of research data, research records and primary materials;

(e) ensuring that any non-University infrastructure, tools and services used to gather, store or convey research data or primary materials (e.g. survey tools such as Survey Monkey, or cloud storage tools such as Dropbox):

(i) comply with all applicable legislation, University policies, and ethical, contractual and confidentiality requirements;

(ii) maintain the security and integrity of the data;

(iii) protect the personal information of research subjects, in accordance with participant consent; and

(iv) provide notification of any breaches of security.

Note: Breaches of the security of personal information must be reported to the University's Privacy Officer. See clause 8 of the *Privacy Policy 2013*.

(f) signing all documents required by the University to facilitate ownership or licensing of data or primary materials, and ensuring other University staff, affiliates and students involved in the research do the same; and

(g) planning for the handover of research data collections, associated primary materials and research records at the end of the project or when a researcher leaves the University, including information about access to and potential re-use of data collections.

(5) **Research teams undertaking collaborative research projects** (e.g. cross-discipline, cross-faculty or cross-institutional research projects) are responsible for defining and recording the applicable methods for storing and retaining research data and primary materials as part of their research collaboration agreement.

(a) Unless otherwise specifically agreed, the chief investigator will retain the research data, research records and primary materials relating to collaborative research projects within the chief investigator's faculty, University centre or University unit, or on University managed storage infrastructure, with assured access to all members of the research project.

Note: See clause 15 of the *Research Code of Conduct 2013* and the *Research Agreements Policy 2011* for guidance on collaborative research.

(6) **Research students, in consultation with their research supervisors** are responsible for:

(a) familiarising themselves with relevant data and primary material management requirements and contractual obligations (if any) prior to undertaking research;

(b) developing and documenting appropriate processes for the collection, storage, use, re-use, retention of and access to the research data, primary materials and records associated with their research;

(c) keeping clear and accurate records of their research methods and data and primary material sources;

(d) arranging the safe and secure storage and retention of research data, research records and primary materials;

(e) ensuring that any non-University infrastructure, tools and services used to gather, store or convey research data or primary materials (e.g. survey tools such as Survey Monkey, or cloud storage tools such as Dropbox):

(i) comply with all applicable legislation, University policies, legislation, codes, personal information, contractual and ethics and ethical, contractual and confidentiality requirements;

(ii) maintain the security and integrity of the data;

(iii) protect the personal information of research participants, in accordance with participant consent; and

(iv) provide notification of any breaches of security.

Note: Breaches of the security of personal information must be reported to the University's Privacy Officer. See clause 8 of the *Privacy Policy 2013*.

(f) signing all documents required by the University to facilitate ownership or licensing of the data or primary materials; and

(g) planning for the retention of research data, primary materials and research records at the end of their candidature, to ensure that research data, records and materials from their projects are retained within their faculty, University centre or University unit, or on University managed infrastructure, in a retrievable form, for the applicable mandatory retention period.

(7) **Research supervisors** are responsible for:

(a) communicating the relevant data and primary material management requirements to their research students;

(b) assisting their research students to:

(i) understand applicable policy, contracts, regulations, licenses, consents and procedures; and

(ii) access appropriate data and primary material storage infrastructure and advisory services; and

(c) taking joint responsibility with their research students for the management of the research students' data and primary materials.

Note: See also the *Research Code of Conduct 2013*, and the *Supervision of Higher Degree by Research Students Policy 2013*.

NOTES

Research Data Management Policy 2014

Date adopted: 29 November 2013

Date registered: 2 December 2013

Date commenced: 2 January 2014

Administrator: Manager, Research Strategy & Policy Framework

Review date: 29 November 2018.

Related documents:

LEGISLATION

Copyright Act 1968 (Cth)

Electronic Transactions Act 1999 (Cth)

Privacy Act 1988 (Cth)

Therapeutic Goods Act 1989 (Cth)

Government Information (Public Access) Act 2009 (NSW)

Health Records and Information Privacy Act 2002 (NSW)

Human Tissue Act 1983 (NSW)

Privacy and Personal Information Protection Act 1998 (NSW)

Protection of the Environment Operations Act 1997(NSW)

Research Involving Human Embryos Act (2003)

State Records Act 1998 (NSW)

University of Sydney Act 1989

University of Sydney By-Law 1999 (NSW) (as amended)

UNIVERSITY LEGISLATION AND POLICIES

Affiliates Policy

Charter for Academic Freedom

External Interests Policy 2012

Information Security Policy 2010

Research Agreements Policy 2011

Research Code of Conduct 2013

Supervision of Higher Degree by Research Students Policy 2013

University of Sydney Enterprise Agreement 2009-2012

University of Sydney (Higher Degree by Research) Rule 2011 (as amended)

University of Sydney (Intellectual Property) Rule 2002 (as amended)

University of Sydney (Policies Development and Review) Rule 2012

University Privacy Policy 2013

University Recordkeeping Policy

University Recordkeeping Manual

EXTERNAL DOCUMENTS

ARC Open Access Policy

Australian Code for the Responsible Conduct of Research 2007 (NHMRC/ARC)

Excellence in Research Australia 2010 Submission Guidelines (Australian Research Council)

NHMRC National Statement on Ethical Conduct in Human Research 2007 (especially section 3.2: Databanks)

NHMRC Revised Policy on the Dissemination of Research Findings

NHMRC Statement on Consumer and Community Participation in Health and Medical Research

NSW General Retention and Disposal Authority GA28

NSW General Retention and Disposal Authority GDA23

OECD Principles and Guidelines for Access to Research Data From Public Funding

Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research (NHMRC 2003)

Wellcome Trust Joint Statement on Sharing Research Data to Improve Public Health

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AMENDMENT HISTORY

Provision	Amendment	Commencing