

FACULTY OF ENGINEERING & INFORMATION TECHNOLOGIES RESEARCH DATA MANAGEMENT PROVISIONS 2015

1 Purpose and Application

- (1) These provisions give practical effect to the [Research Data Management Policy 2014](#) (“the Policy”) and [Research Data Management Procedures 2015](#) (“the Procedures”) within the Faculty of Engineering & Information Technologies (“the Faculty”).
- (2) These provisions apply to University staff, research students and affiliates in the Faculty.

2 Commencement

- (1) These provisions commence on 2 March 2015.

3 Definitions

Words and phrases used in these provisions and not otherwise defined in this document have the meanings they have in the Policy and Procedures.

Note: See clause 6 of the Policy and clause 3 of the Procedures.

Research Director means the person within the Faculty who has oversight of the research activity within their school. The Research Director acts as a conduit between the Head of School and researchers, and is responsible for the implementation of the research policies of that school.

4 Identification of research data and primary materials to be retained

- (1) The definition of research data and the nature of such data and materials varies greatly between disciplines within the Faculty.

Note: See also clause 7 of the Policy for a working definition of research data.

- (2) When deciding which research data and primary materials to retain, chief investigators and research students (in consultation with their research supervisors):

- (a) must determine which research data and primary materials must be retained to justify the outcomes of their research, and if necessary, defend those outcomes against challenge;
- (b) must retain research data and primary materials in a form that others can interpret, including (as appropriate):
 - (i) descriptive metadata;
 - (ii) tools;
 - (iii) source data;
 - (iv) script parameters; or
 - (v) other supplementary materials required to enable researchers to re-analyse or re-use the research data;
- (c) must identify and record the instruments and software used to generate or analyse the research data; and
- (d) should retain copies of the software or source code used to generate or analyse the research data.

Note: See clause 8 and Schedule 2 of these provisions for retention periods.

- (3) Chief investigators and research students (in consultation with their supervisors) should document physical data and primary materials in digital format, where possible, to minimise space and resources required to curate and store them.
- (4) Chief investigators and research students (in consultation with their supervisors) must document the types of research data and materials to be retained within a Research Data Management Plan (RDMP).

5 Research data management plans (RDMP)

- (1) All research projects must be supported by an RDMP in the manner specified in the Policy and Procedures.

Note: See clause 9 of the Policy and clause 5 of the Procedures.
- (2) In addition, RDMPs must be prepared and registered with the Office of the Deputy Vice Chancellor (Research):
 - (a) by researchers undertaking unfunded research that is expected to produce research publications or other outputs that require verification;
 - (b) by chief investigators applying for faculty-funded grants, as specified in the application guidelines or conditions of award; and
 - (c) by research students (in consultation with their supervisors), as a condition of their annual performance review at the end of the first year of their candidature.
- (3) Chief investigators and research students (in consultation with their supervisors) should retain a copy of their RDMP with their research records.
- (4) Chief investigators and research students (in consultation with their supervisors) should contact their Faculty Liaison Librarian for assistance with research data management planning.

Note: See the Library website for contact details
<https://www.library.usyd.edu.au/contacts/subjectcontacts.html>

6 Contacts for research data management training and support

Contacts for research data management training and support are listed in Schedule 1 of these provisions.

7 Ownership of research data and primary materials

- (1) The ownership of data and primary materials is as specified in the Policy.
- (2) The ownership of research data and materials created by researchers and research students in the Faculty may be subject to an agreement with a third party. Chief investigators should contact the Manager, Research Contracts for assistance with research collaboration agreements or other research related contracts or agreements.

Note: See the *Research Support* website, *Research Grants & Contracts*:
http://sydney.edu.au/research_support/funding/rqaf_contacts.shtml

- (3) Chief investigators and research students (in consultation with their supervisors) should record the creator(s) or collector(s) of research data and materials, and note any applicable research collaboration agreements in their RDMP.

8 Retention of research data, primary materials and research records

- (1) All research data must be retained in accordance with clause 9 of the [Research Code of Conduct 2013](#).
- (2) All researchers are expected to familiarise themselves with these requirements.
- (3) Applicable retention periods are listed in Schedule 2 of these provisions.
- (4) **Research agreements or contracts:** chief investigators must be aware of any additional data retention requirements stipulated in their research agreement or contract.

Note: See the [Research Agreements Policy 2011](#).

- (5) **Challenged results:** if the results from research are challenged or are subject to a dispute (including litigation), all relevant data and materials must be retained for at least 6 months after notification by the University that an investigation or dispute has been finalised, regardless of the expiration of any otherwise applicable retention periods.
- (6) Chief investigators and research students should document the applicable minimum retention period(s) in their RDMP.

9 Storage of research data and primary materials

- (1) Research data must be stored in accordance with clause 6 of the Procedures.
- (2) Researchers and research students should contact the Research Director to arrange storage space for physical data and materials that cannot be stored in individual researchers' offices.

- (3) Chief investigators and research students (in consultation with their supervisors) should document the location of physical and digital research data and primary materials in their RDMP.

10 Preferred formats

- (1) Formats for data retention should be in accordance with clause 8 of the Procedures.
- (2) Chief investigators and research students (in consultation with their supervisors) should contact the Library's Research Data Manager for advice on preferred digital file formats.

Note: See the *Research Data Management Guidelines* website or contact the Library's Research Data Manager: <https://library.sydney.edu.au/research/data-management>

- (3) Chief investigators and research students (in consultation with their supervisors) should document their choices of file format in their RDMP.

11 Sharing research data and metadata

- (1) Chief investigators or research supervisors (with the consent of their research student(s) where required) should plan to make completed research data sets available for re-use as specified in the Policy and Procedures, unless this is prevented by the requirements of legislation or University policy, or ethical, contractual, or confidentiality obligations.

Note: See clause 12 of the Policy and clause 10 of the Procedures.

See also the *Research Data Management Guidelines* website:
<https://library.sydney.edu.au/research/data-management>

- (2) Subject to sub-clause 11(1) above, research data may be shared at any stage of a research project.
- (3) There are many ways to share research data, including (but not limited to):
 - (a) creating a record for a dataset in the University's Research Data Registry and advertising that record to Research Data Australia;
 - (b) depositing completed research datasets in the University's open access institutional repository, Sydney eScholarship; and
 - (c) depositing completed research dataset in an open access, mediated access or restricted access discipline repository.
- (4) When sharing data to support research publications, chief investigators or research students (in consultation with their research supervisors) may deposit supplementary data sets in a preferred format in the University's open access institutional repository, and provide a persistent link to their publisher.

Note: Depositing a data set in the University's open access repository and providing a persistent link to the publisher enables the researcher and the University to retain their rights to the dataset.

- (a) Chief investigators or research students (in consultation with their supervisors) should contact the University Repository Coordinator, Sydney

eScholarship, University Library for advice on depositing supplementary datasets in the University's open access repository.

Note See the *Sydney eScholarship* website: <https://ses.library.usyd.edu.au/>

- (5) Chief investigators and research students (in consultation with their supervisors) should contact the Library's Research Data Manager for assistance with sharing research data at any stage during or following their research project.

Note: Contact the Library's Research Data Manager:
<https://library.sydney.edu.au/research/data-management>

- (6) Chief investigators and research students (in consultation with their supervisors) should document decisions regarding data sharing in their RDMP.

12 Disposal of research data and primary materials

Chief investigators and research students (in consultation with their supervisors) should state their intentions for the disposal of data and materials (including sharing, archiving or destruction) in their RDMP.

Note: See clause 10 (5) of the Policy.

13 Retaining and managing data, primary materials and records when a researcher or research student leaves the University

(1) Research students:

- (a) At the end of their project, or when they leave the University, research students must:
- (i) provide their research supervisor with a copy of the research data, research records and where applicable, primary materials (retained physical materials) as agreed in their RDMP; and
 - (ii) create a record of the research dataset(s) within the University's metadata store.
- (b) Research students (in consultation with their supervisors) should contact their Faculty Liaison Librarian to create a record for the data.

Note: See the Library website:
<https://www.library.usyd.edu.au/contacts/subjectcontacts.html>

(2) Research supervisors must:

- (a) ensure the requirements of this provision are communicated and explained to their research students;
- (b) obtain a copy of their research students' research data, research records and any primary materials (retained physical materials) at the end of the project, or when the research student leaves the University;
- (c) ensure their research students create a record in the University's metadata store (providing assistance and resources as required);
- (d) retain their research students' research data research records and any primary materials for the minimum retention period; and
- (e) at the end of the required retention period, make a recommendation to their Head of School to share, retain, archive or destroy the research data,

research records and primary materials. This recommendation must be based upon the record within the University's Research Data Registry and comply with the requirements of legislation, University policy, and any applicable ethical, contractual, or confidentiality obligations.

Note: See clause 10 (5) of the Policy.

(3) **Researchers:**

- (a) When a researcher leaves the University, they must:
- (i) save a copy of their digital research data to the University's Research Data Store; and
 - (ii) create a record for their research dataset(s) and any associated primary materials within the University's Research Data Registry; and
 - (iii) provide a reference to their chief investigator and the Research Director.

- (b) Researchers should contact their Faculty Liaison Librarian to create a record for their data.

Note: See the Library website:
<https://www.library.usyd.edu.au/contacts/subjectcontacts.html>

- (c) At the end of the retention period, the Research Director must make a recommendation to their Head of School to share, retain, archive or destroy the research data and materials. This recommendation must be based upon the record within the University's metadata store and subject to the requirements of legislation, University policy and any applicable ethical, contractual or confidentiality obligations.

Note: See clause 10 (5) of the Policy.

NOTES

Faculty of Engineering & Information Technologies Research Data Management Provisions 2015

Date adopted: 10 February 2015

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Approved by: Professor Archie Johnston, Dean, Faculty of Engineering & Information Technologies

Signature:

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)

Privacy and Personal Information Protection Act 1998 (NSW)

Protection of the Environment Operations Act 1997(NSW)

State Records Act 1998 (NSW)

University of Sydney Act 1989

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

UNIVERSITY LEGISLATION AND POLICIES

Information Security Policy 2010

Research Agreements Policy 2011

Research Code of Conduct 2013

Supervision of Research Higher Degree Students Policy 2013

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

Intellectual Property Policy 2016

University Privacy Policy 2013

University Recordkeeping Policy

University Recordkeeping Manual

EXTERNAL DOCUMENTS

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

*NHMRC Revised Policy on the Dissemination of Research
Findings*

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

SCHEDULE 1

CONTACTS FOR RESEARCH DATA MANAGEMENT TRAINING AND SUPPORT

Chief investigators and research students (having first consulted with their supervisors) are encouraged to contact the following for advice and assistance with research data management training and support.

Requirement	Key contact	Addresses and links
Research data management training and support, including individual assistance with research data management plans.	Faculty of Engineering Faculty Liaison Librarians (FLL).	See the Library website: https://www.library.usyd.edu.au/contacts/subjectcontacts.html
Identifying which research data and primary materials are to be retained, or other advice on the interpretation of the provisions in this document or the Policy and Procedures	The Research Director of the appropriate school	See the Faculty of Engineering & IT website: http://sydney.edu.au/engineering/about/schools.shtml
Interpreting data ownership clauses in research grants, research collaboration agreements and contracts	Manager, Research Contracts, Research Portfolio	See the University Research Support Website, Research Grants & Contracts: http://sydney.edu.au/research_support/funding/rgaf_contacts.shtml
Selecting appropriate storage for digital data, materials and research records	Faculty IT Manager	See the ICT website to contact the Faculty IT Manager for the Faculty of Engineering & IT: http://s1.sydney.edu.au/ict/contact/it-managers.shtml
Transferring data and materials (including physical materials) into the University from another institution or out of the University to another institution.	Commercial Development and Industry Partnerships	See the Commercial Development and Industry Partnerships website http://sydney.edu.au/sydnovate/staff/agreements/material_transfer.shtml
Describing and documenting research data collections.	Research Data Manager; University Library	See the Research Data Management Guidelines website: https://library.sydney.edu.au/research/data-management See also the Research Data Management Policy 2014 , clause 8 Metadata and documentation.

Requirement	Key contact	Addresses and links
Depositing completed digital datasets in the appropriate institutional or discipline repository; including setting the appropriate access permissions or restrictions when required.	Research Data Manager, University Library	See the Research Data Management Guidelines website: https://library.sydney.edu.au/research/data-management
General advice on copyright and IP in research data; selecting an appropriate University approved license for open access datasets.	Manager, Copyright Services, University Library	See the Copyright website: https://library.sydney.edu.au/help/copyright/
Advice on patents and other registered IP rights; commercialisation of research; advice on selecting alternative licenses and/or terms of use to enable open access to research datasets.	Commercial Development and Industry Partnerships	See the Commercial Development and Industry Partnerships website http://sydney.edu.au/cdip/

SCHEDULE 2

RETENTION PERIODS FOR RESEARCH DATA

All research data must be retained in accordance with clause 9 of the [Research Code of Conduct 2013](#). The following retention periods apply to the management of research data and materials within the Faculty.

Data type	Retention period	Notes
Machine, instrument or sensor generated data	5 years	The standard <i>minimum</i> retention period for non-human data is five years.
Source code and computational data, such as binary or ASCII data, software generated data including input parameters, scripts, software versions and samples of output data	5 years	Source code and computational data, such as binary or ASCII data, software generated data including input parameters, scripts, software versions and samples of output data are considered research data within the Faculty, and must be retained as per the provisions of the Policy, the Procedures and these provisions.
Data involving human research participants	7 years	The minimum retention period for research data collected during clinical trials is 15 years or otherwise in accordance with the applicable requirements of the Therapeutic Goods Administration (TGA), or Department of Health and Ageing. For a list of minimum retention periods for other types of data collected from human participants, refer to clause 9 (6) of the Research Code of Conduct 2013 .
Data from clinical trials	15 years	Data relating to research subjects who were children at the time it was collected must be retained for the longer of 20 years or until the subject(s) reaches the age of 25.
Data relating to patent applications	20 years or the life of the patent	Data that relates to any patent applications must be retained for the life of the patent (generally 20 years);