



## RESEARCH DATA MANAGEMENT AND SHARING POLICY

<b>Policy number</b>	TLR 5.12
<b>Policy name</b>	Research Data Management and Sharing Policy (Issue 1)
<b>Applicability</b>	Bond University Staff and Students engaged in research activity, Visiting Academics, Industry Fellows, Honorary and Adjunct Title Holders, or Emeritus Professors of the University
<b>Policy owner</b>	Chair, Academic Senate
<b>Contact person</b>	Deputy Vice-Chancellor (Academic)
<b>Policy status</b>	Approved Policy
<b>Date of approval</b>	17 July 2017
<b>Date last amended</b>	
<b>Date last exposed</b>	8 May 2017
<b>Date last reviewed</b>	
<b>Date of next review</b>	17 July 2020
<b>Related policies and forms</b>	<p>Open Access Policy (<a href="#">USP 1.04</a>)            Code of Conduct Policy (<a href="#">HRP 3.05</a>)            Academic Integrity Policy (<a href="#">TLR 4.02</a>)            Copyright Compliance Policy (<a href="#">TLR 6.01</a>)            Intellectual Property Policy (<a href="#">TLR 6.02</a>)            Bond University Human Research Ethics Policy (<a href="#">TLR 8.01</a>)            Bond University Animal Research Ethics Committee Policy (<a href="#">TLR 8.02</a>)            HDR Student Supervision Policy (<a href="#">TLR 8.04</a>)  <a href="#">Australian Code for the Responsible Conduct of Research (2007)</a>  <a href="#">Guidelines Under Section 95 of the Privacy Act 1988 (2014)</a>  <a href="#">Australian Privacy Principles Guidelines Privacy Act 1988 (March 2014)</a>  <a href="#">Research Data Management Toolkit</a>  <a href="#">Research Data Management Plan template</a>  <a href="#">University Sector Retention and Disposal Schedule</a></p>

### 1. INTRODUCTION

This Policy describes best-practice for data management within the Bond University research community and sets out the requirements for Bond University [researchers](#) to ensure that [research data](#) is properly managed as per recommendations in the [Australian Code for the Responsible Conduct of Research \(National Code\)](#) and applicable legal, statutory, ethical and funding body requirements.

This Policy applies to all researchers or visitors, who collect, create, and/or generate research data, regardless of the location of the work; and to all research data, regardless of format.

The National Code states that all individuals and institutions engaged in research have a responsibility to manage research data effectively, by addressing ownership, storage, retention, and access issues.

### 2. GENERAL PRINCIPLES

2.1. Bond University recognises that data (including digital data) must be recorded in a durable and appropriately referenced form for ease of identification and retrieval, including defence of research outcomes if needed. Good stewardship of research data can increase the efficiency and maintain the integrity of research results.

2.2. Bond University Library Services provides [research data management](#) information and assistance and can provide archiving of research data and details on the appropriate reuse of data in accordance with Policy, licensing options, and best practice.

2.3. Research results should generally be open to scrutiny and review by colleagues within the University and through appropriate publication. Providing access to research data ensures a robust research environment and replicable studies, and enables (potentially unforeseen) future use of data. This can

increase returns on public investment and promotes healthy debate in the research sphere. For this reason, adequate record-keeping is essential.

- 2.4. If research involves data of a confidential nature, confidentiality must be maintained, and data securely stored.
- 2.5. Bond University Library provides tools and [resources](#) for academics and students, such as the [Research Data Management Toolkit](#), to assist with data management best practice.
- 2.6. Bond University endorses the [EQUATOR Network reporting guidelines](#).
- 2.7. Research data management is a shared responsibility, and includes appropriate storage and/or disposal. The University expects all researchers, academic units, the Library, and central administrative units to work collaboratively to implement good research data management practice in accordance with legal, statutory, ethical and funding body requirements.

### **3. DATA MANAGEMENT PLAN**

- 3.1. Bond University researchers should consider from the earliest stages of research planning how their research data will be obtained, managed, curated, stored and if possible, disseminated into an appropriate, publicly accessible database.
- 3.2. The Chief Investigator of each research project must submit a [research data management plan](#) prior to research commencing. In the case of a student research project this must be the supervisor. For research projects requiring ethics approval, only the short form data management plan included in the Ethics application form is required.
- 3.3. The Data Management Plan must be an accurate record and therefore must be updated by the Chief Investigator when changes are made.
- 3.4. All Higher Degree Research (HDR) students, on submission of their thesis, must fulfil the obligation of the Research Data Management plan prior to graduation by depositing all research data and a final copy of their thesis with Library Services for the purposes of archiving.

### **4. OWNERSHIP OF RESEARCH DATA AND RECORDS**

- 4.1. Unless otherwise dictated by legislation, regulations or separate agreements, the University maintains [custodianship](#) of research which occurs on Bond University campus, or by researchers or visitors affiliated with Bond University.
- 4.2. For the sake of clarity, while the University asserts custodianship of all research data, it does not separately establish or override intellectual property (IP) rights, which are addressed in the Bond University [Intellectual Property Policy](#).
- 4.3. Custodianship permits the University to collect and control such data for long-term data management. It does not impede the normal use of such data by researchers for their research and scholarly purposes. Researchers are permitted to retain a copy of the research data and [primary materials](#) for future use, subject to any contractual, statutory, ethical or funding body requirements.
- 4.4. Where research is conducted in collaboration with partners outside of Bond University, or for external agencies (e.g. funding bodies), ownership of copyright and other IP needs to be explicitly agreed to by the parties at the outset of the project.

Ownership of copyright and other IP will commonly be dealt with in a document such as a funding agreement, contract, or a memorandum of understanding. All researchers should be familiar with the requirements of any funding agreements, contracts, and partnership arrangements, and consider these during the data planning process. See the [Research Data Management Plan template](#).

### **5. AUTHORSHIP**

- 5.1. The University acknowledges that the criteria for authorship outputs differ, depending on the paradigms of particular disciplines.

The University encourages all research teams, including HDR students and supervisors, to develop and agree an authorship plan, detailing contributions, lead authorships, and acknowledgements.

The minimum requirement for authorship (as stated in the Vancouver Protocol) is the substantial participation where all the following conditions are met:

- a) Substantial contributions to conception and design, or acquisition of data or analysis and interpretation of data; and
- b) Drafting the article or reviewing and revising it critically for important intellectual content; and
- c) Final approval for the version to be submitted for publication and subsequently published.

Participation solely in the acquisition of funding or the collection of data may not justify authorship. General supervision of a research group is not sufficient for authorship. An author's role in a research output must ensure that person takes public responsibility for at least the part of the output which is within that person's expertise.

No person who is an author, as outlined in this definition, can be excluded without their permission in writing.

- 5.2. All contributors to a research output who are not authors should be recognised and named in the work's footnotes or the acknowledgments section detailing the nature of their contributions. Provision of technical assistance is not normally sufficient for inclusion as an author. However, provision of important technical support, materials, or other support components by individuals or organisations, should be acknowledged.
- 5.3. A researcher must, prior to publication of any research that names the researcher as an author, assure themselves that:
  - a) authorship has been offered to all people, including students, who meet the criteria for authorship listed above in clause 5.1; and
  - b) appropriate steps have been taken to obtain each person's written or email notification of acceptance or disclaimer of authorship within a reasonable time of the offer being made.
- 5.4. When there is more than one co-author of a research output, one author (by agreement amongst the others) should be nominated as executive author for the entire research output and should be responsible for record-keeping regarding that research output.
- 5.5. Where the research is published, including digitally, all co-authors of a publication must acknowledge their authorship in writing, in terms of the minimum acceptable definition at 5.1 above. The signed statement of authorship must specify that the signatories are the only authors according to this definition and that they have seen the version of the paper submitted for publication. This information must be included in the Statement of Authorship and Retention of Data Form and lodged with the Associate Dean Research in each Faculty and recorded in the University's Research Data Management system.
- 5.6. If, for any reason, one or more of the co-authors are unavailable or otherwise unable to sign the Statement of Authorship and Retention of Data form, the Associate Dean Research may sign on their behalf noting the reason for their unavailability.
- 5.7. Conflicts or disputes about authorship should be mediated by the Associate Dean Research, the Executive Dean, and a senior member of the Faculty Research Committee in the first instance. If the matter cannot be resolved it should be referred to the Deputy Vice-Chancellor (Academic) and then to the Vice-Chancellor.

## **6. PUBLICATION**

- 6.1. Publication of multiple papers based on the same set(s) or subset(s) of data is generally not acceptable, except where there is full cross-referencing and disclosure within the papers (for example, in a series of closely related work, or where a complete work arose from a preliminary publication and this is fully disclosed).
- 6.2. An author who submits a substantially similar work for publication to more than one publisher must disclose this to the publishers at submission.
- 6.3. As a general principle, research findings should not be reported in the public media before they have been reported to an audience of research experts in the field of research and, preferably, in the form of a peer-reviewed journal, unless contractually limited from so doing.

- 6.4. On occasion, issues of public policy and concern may make it desirable that advice is given to the public or professional authorities before the research findings are published in a peer reviewed journal or presented at a scientific conference. In these circumstances, the authorities should be advised of the unreported status of the findings. The media should only be advised of unreported research findings when the responsible authorities fail to act.
- 6.5. Where research which has not yet been scrutinised by peer review is privately reported, especially to prospective funding organisations, researchers are obligated to fully disclose the status of the work and outline the proposed peer review mechanisms to which it will be subjected.
- 6.6. Publications must include information on the sources of financial support for the research and should include recognition of the University's support. While the transparency of financial sources is an important aspect of research integrity, private donor requests for privacy may be preserved where appropriate.
- 6.7. At all times research publications should be prepared with exacting rigour and attention to accuracy. All reasonable steps must be taken to ensure that published reports, statistics or other public statements about research activities and performance are complete, accurate and unambiguous.

## **7. STORAGE OF RESEARCH DATA AND RECORDS**

- 7.1. Datasets (including open, controlled, access or closed digital data and records of all primary materials) of completed projects can be archived by Library Services in appropriate facilities and will be recorded in a durable and appropriately referenced form for ease of identification and retrieval. Confidential research data and records will be stored securely.

Appropriate digital storage is considered to be University networked drives which are routinely backed up, and the University's digital research repository. Such precautions include password access and 'locking' data files.

It is not appropriate to store the primary/master copy of research data on temporary data storage devices such as hard drives, USB sticks, laptops, or in personal cloud storage. Additional onsite server storage can be organised by IT Services if needed

- 7.2. Descriptive and structural [metadata](#) should be created in the University's digital repository for all potentially open or controlled access data/[datasets](#) to enable eventual discoverability and reuse of the data.
- 7.3. Storage arrangements for data relating to indigenous matters must conform to the requirements of the '[Guidelines for ethical research in Australian indigenous studies](#)' following consultation and discussion with the communities involved.
- 7.4. Where the data are obtained from limited access databases, written indication of the location of the original data or specific information regarding the database where the data are contained, must be lodged with the University's digital repository team.
- 7.5. The Chief Investigator must ensure that research data and records are maintained securely to prevent unauthorised access, destruction, alteration or removal, accidental or intended damage or destruction.
- 7.6. Where more than one institution is involved in a project, agreements will be developed from the onset in regard to storage of research data and primary materials.
- 7.7. Agreements must be in place prior to movement or departure of primary materials or research data between institutions including those outside of Australia.

## **8. PRIVACY AND CONFIDENTIALITY**

- 8.1. Researchers have an obligation to respect the confidentiality of information they receive in the conduct of their research. They must only use data in accordance with their agreements with the providers of information and the terms of their institutional and ethical commitments. Researchers are also obliged to make publicly available their research data where possible. Researchers may discharge their responsibility to share data and protect the confidentiality of information by making available aggregated, de-identified or anonymised data. Intention to share data and protection of confidentiality are usually addressed during ethical review prior to the conduct of research.
- 8.2. Data management should comply with relevant privacy protocols such as the Australian Standard on personal privacy protection and must comply with the [National Privacy Principles](#) of the Privacy Act.

- 8.3. In some cases, research is subject to confidentiality agreements to protect intellectual property rights and agreement has been made between the researcher, the University, and the sponsor of the research. Where free publication and discussion has been limited by such agreements, all limitations and restrictions must have been agreed contractually prior to commencement of the research.

## **9. RETENTION OF RESEARCH DATA AND RECORDS**

- 9.1. Data must be held for a sufficient time to allow for reference, for at least as long as the relevant archives or records keeping acts, national codes or funding bodies require. The Australian Code for the Responsible Conduct of Research [Section 2.1.1](#) states:

In general, the **minimum recommended period for retention of research data is 5 years** from the date of publication. However, in any particular case, the period for which data should be retained should be determined by the specific type of research. For example:

- For most clinical trials, research data must be maintained in accordance with the disciplinary standard;
- For areas such as gene therapy, research data must be retained permanently (e.g. patient records);
- If the work has community or heritage value, research data should be kept permanently, preferably within a national collection.

Requests for a deviation from the minimum storage period should be made to the Associate Dean Research for approval by the Chair of the Bond University Human Ethics Committee.

- 9.2. The potential value of data and material for further research should also be considered, particularly where the research would be difficult or impossible to repeat.
- 9.3. Data related to publications should be described, and made available in the University's digital repository where possible, through open or controlled access, for discussion with other researchers.
- 9.4. Subject to clause 4.3, Researchers can retain copies of Research data for their own use, taking into account the confidentiality and possible sensitivity of the data.
- 9.5. Agreements covering all aspects of primary materials and research data management are to be reviewed whenever there is movement or departure of Researchers between institutions.

## **10. ACCESS AND RE-USE OF RESEARCH DATA AND RECORDS**

- 10.1. Prior to submitting data to an archival repository, personal or confidential data should be de-identified to preserve the privacy of participants unless an agreement has been put in place during ethics review.
- 10.2. Subject to clauses 4.3 and 4.4, research data and primary materials should be made openly available by researchers for use by other researchers and interested persons for further research, after reasonable periods following the completion of the research.
- 10.3. Access to research data should be considered in the context of ethical, privacy, confidentiality, cultural and intellectual property requirements. Refer to [Guidelines Under Section 95 of the Privacy Act 1988](#), and [Guidelines to Australian Privacy Principles](#).
- 10.4. Appropriate access to research data should be considered within a Research Data Management Plan for each project.
- 10.5. Research data and primary materials should normally be made available under open access licence (such as a [Creative Commons licence](#)) or by negotiated or controlled access through a system of permissions and authentication. If the primary materials and research data are not available in open forums, researchers interested in undertaking further research should consult with the Chief Investigator or their delegate regarding access.
- 10.6. Research data, or at least the metadata, from publicly funded research projects (such as by the ARC or the NHMRC) must be placed into the University's digital repository or another appropriate repository, usually within twelve months of publication. As this requirement may change, refer to the open access policy of the funding body to ensure compliance. (Refer to clause 2.2)
- 10.7. When using or re-using research data made available by other researchers, Bond University researchers must comply with copyright, moral rights, and licence requirements.

10.8. Research data and primary materials should be made openly available for use by other researchers for further research unless precluded by either the conditions under which they were obtained, or for reasons of privacy or confidentiality.

## 11. DISPOSAL OF RESEARCH DATA AND RECORDS

11.1. Disposal of primary materials and research data are to be conducted in accordance with the [Queensland State Archives University Sector Retention and Disposal Schedule](#) and the relevant disciplinary retention standard. Research data and primary materials must be retained at least until the end of the retention period as in Section 8 (601.2/F8) of the Schedule.

11.2. If the results from research are challenged, all relevant research data and primary materials must be retained at least until notification from the University that the matter is resolved.

11.3. Records that may be relevant to emerging or current allegations of research misconduct must not be modified or destroyed, as addressed in the University's Research Misconduct Policy.

## 12. DEFINITIONS

**Custodianship:** The individual with responsibility for the management of a project's research data during the active phase of a project.

**Dataset:** A collection of research data and supporting documentation.

**Metadata:** Means information or facts about research data for the purpose of attribution, description, management and discovery.

**Primary Materials:** Objects (physical or virtual) acquired through a process of scholarly investigation from which research data may be derived.

**Research Data:** Includes all data created and/or generated by researchers in the course of their research work, on which an argument, theory, test or hypothesis, or another research output is based, for which the University has a custodial responsibility under relevant agreements and the relevant archives/record keeping acts.

**Research Data Management:** All the processes and actions required to manage data using good practice throughout the research life-cycle to enable it to be preserved and accessible, where appropriate, for current and future research.

**Research Data Management Plan:** The statement record of the management of a project's research data created at the start of a project. This record should be updated as required. For research projects requiring ethics approval, a short form data management plan is included in the Ethics application form. Where a more detailed data management template is required, Researchers should use the [Bond University Data Management Plan template](#), or a relevant external template.

**Researchers:** Staff, visiting fellows and researchers, adjuncts, visiting students or volunteers, academic title holders and students of the University who conduct research and acquires or creates research data.

**National Code:** [The Australian Code for the Responsible Conduct of Research \(2007\)](#)

**University Resources** Resources of the University which include premises, facilities, funds, services, equipment, paid leave, staff time and support staff.

## 13. RELATED PROCEDURES, GUIDELINES, AND FORMS

[Research Data Management Toolkit](#)

[Research Data Management Plan template](#)

[University Sector Retention and Disposal Schedule](#)