

RESEARCH DATA MANAGEMENT AND SHARING POLICY

Policy number	TLR 5.12
Policy name	Research Data Management and Sharing Policy (Issue Two)
Applicability	Current or past employed staff member, adjunct staff member, academic title holder, visiting fellow or student of the University who conducts, or has conducted research at the University or in the University's name
Policy owner	Deputy Vice-Chancellor (Academic)
Contact person	Director, Research Services
Policy status	Approved Policy
Date of approval	17 July 2017
Date last amended	9 April 2020
Date last exposed	8 May 2017
Date last reviewed	9 April 2020
Date of next review	9 April 2023
Related policies and forms	<p>Academic Integrity Policy (TLR 4.02) Australian Code for the Responsible Conduct of Research 2018 Australian Privacy Principles Guidelines - Privacy Act 1988 Bond University Animal Research Ethics Committee Policy (TLR 8.02) Bond University Human Research Ethics Policy (TLR 8.01) Code of Conduct Policy (HRP 3.05) Copyright Compliance Policy (TLR 6.01) EQUATOR Network Reporting Guidelines Guidelines for Ethical Research in Australian Indigenous Studies Guidelines Under Section 95 of the Privacy Act 1988 HDR Student Supervision Policy (TLR 8.04) Intellectual Property Policy (TLR 6.02) Joint Statement on Sharing Research Data to Improve Public Health (Wellcome Trust) NHMRC Principles for accessing and using publicly funded data for health research. Open Access Policy (USP 1.04) OECD Principles and Guidelines for Access to Research Data from Public Funding (2007) Research Code of Conduct Policy (TLR 5.06) Research Misconduct Policy (TLR 8.07) Queensland State Archives University Sector Retention and Disposal Schedule</p>

1. STATEMENT OF INTENT

This Policy:

- 1.1. articulates the University's commitment to the [Australian Code for the Responsible Conduct of Research 2018 and our obligations under the Queensland Government archiving requirements in the University Sector Retention and Disposal Schedule](#);
- 1.2. acknowledges Australian and international initiatives to improve access to and re-use of publicly-funded research data collections, including the [NHMRC Principles for accessing and using publicly funded data for health research.](#) [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 \(Wellcome Trust\)](#);
- 1.3. 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;

- 1.4. describes principles for good practice in the management of Research Data and Primary Materials and research recordkeeping;
- 1.5. provides the University's framework for managing Research Data and Primary Materials. It sets out the requirements for Researchers to ensure that Research Data and Primary Materials are properly managed to the highest standards. These standards include legislation, policies, funding body requirements, technical protocols, audit and accreditation processes, discipline norms, the expectations of the broader community, and recommendations in the National Code; and
- 1.6. applies to Researchers, who collect, create, and/or generate Research Data, irrespective of their work location, and to all Research Data, regardless of format, and subject to the provisions of any relevant contracts or funding/collaboration agreements.

2. DEFINITIONS

Chief Investigator	The Researcher with overall responsibility for the management of the research project.
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.
Disposal	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.
Metadata	Has the meaning given in clause 5 of this Policy.
National Code	Australian Code for the Responsible Conduct of Research 2018
Primary Materials	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. ¹
Research Data	<p>Data are facts, observations or experiences on which an argument, theory or test is based. Data may be numerical, descriptive or visual. Data may be raw or analysed, experimental or observational. Data includes: laboratory notebooks; field notebooks; primary research data (including research data in hardcopy or in computer readable form); questionnaires; audiotapes; videotapes; models; photographs; films; test responses. Research collections may include slides; artefacts; specimens; samples. Provenance information about the data might also be included: the how, when, where it was collected and with what (for example, instrument). The software code used to generate, annotate or analyse the data may also be included²</p> <p>Research data and primary materials will also include evidence to support the formulation of the hypotheses and findings in areas such as text-based research. It also includes creative outputs, for example drafts of original literary and musical works, and musical performances, as recognised or defined by evaluative processes such as Excellence in Research for Australia (ERA).</p>

¹ University of Sydney Research Data Management Policy <http://sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2013/337>

² The University of Melbourne Policy on the Management of Research Data and Records <http://www.unimelb.edu.au/records/research.htm>

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 over the lifetime of the data collection period as required.
Research Data Officer	The delegated Officer, nominated by the Director, Office of Research Services.
Research Records	Has the meaning given in clause 4 of this Policy.
Researcher	Current or past employed staff member, adjunct staff member, academic title holder, visiting fellow or student of the University who conducts or has conducted research at the University or in the University's name.
Responsible Executive Officer	Deputy Vice Chancellor (Academic).
University Resources	Resources of the University which include premises, facilities, funds, services, equipment, paid leave, staff time and support staff.

3. GENERAL PRINCIPLES

- 3.1. The University recognises that Research Data and Primary Materials (including digital Research Data and Primary Materials) must be recorded in a durable and appropriately referenced form for ease of identification and retrieval, including for defence of research outcomes if needed. Good stewardship of Research Data and Primary Materials can increase the efficiency and maintain the integrity of research results and is essential to the integrity of the data collection, analysis and reporting processes.
- 3.2. To optimise research outcomes, Research Data and Primary Materials must be stored, retained, documented and/or described, made accessible for use and re-use, and/or disposed of, according to legal, statutory, ethical and funding body requirements.
- 3.3. The University recognises the need for both open and closed Research Data Management.
- 3.4. The University is committed to achieving Research Data Management standards for secure data retention and optimising the benefits of research through the provision of infrastructure and other resources for the storage of Research Data.
- 3.5. The University requires all Researchers to undertake data management planning at the start of each research project and throughout the lifecycle of the research project. Research Data is valuable to Researchers for the duration of their research and may have ongoing value. Durable Research Data is essential to justifying and verifying reported research outcomes when required. Research Data may also have value for other Researchers or the wider community.
- 3.6. Research results should generally be open to scrutiny and review by colleagues within the University, through peer review and through appropriate publication. Providing access to Research Data and Primary Materials ensures a robust research environment and replicable and verification of studies and enables (potentially unforeseen) future use of Research Data. This can increase returns on public investment and promotes healthy debate in the research sphere. For this reason, adequate record-keeping is essential.
- 3.7. Research Data must be disposed of according to the University's retention and disposal guidelines. Research Data and Primary Materials must be stored securely to protect against theft, misuse, damage or loss.
- 3.8. Research Data and Primary Materials must be held in appropriate facilities that allow access to be managed as required.
- 3.9. The University endorses the [EQUATOR Network Reporting Guidelines](#).
- 3.10. Research data management is a shared responsibility. Researchers and Organisational Units should work in partnership to implement good practice of data sharing in line with discipline practices.

4. RESEARCH RECORDS

- 4.1. 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.
- 4.2. Research records must include a Researcher's raw data, records of methodologies and final data, which may be in the form of:
 - audio-visual documentary evidence material such as sound recordings or visual recordings;
 - authorship agreements;
 - clinical trial protocols and standard operating procedures (SOPs);
 - correspondence (including email and paper-based correspondence);
 - dataset inventories or master lists;
 - grant application documentation;
 - human or animal ethics protocols, (including applications, approvals and other related documents);
 - laboratory notebooks, field notebooks or research journals (in those disciplines in which notebooks are not considered 'data');
 - laboratory protocols and methods;
 - research data management plans;
 - research reports (i.e. to a project or funding board);
 - signed participant consent forms and information sheets for research participants; and
 - technical reports;
 - or any digital formats that are relevant to the research endeavour.

5. METADATA AND DOCUMENTATION

- 5.1. 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.
- 5.2. Metadata may include descriptions, details of provenance, structure and location, and other information which could aid comprehension and re-use.
 - 5.2.1. 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).
 - 5.2.2. 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).
 - 5.2.3. 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).
- 5.3. Metadata should be linked to research data for as long as the data is retained.
- 5.4. Where necessary to utilise the research data, a relevant metadata record of the software program, script, code or process used to generate, annotate or analyse research data should be included with that data.
- 5.5. Where physical specimens have been generated using physical, chemical, biological, engineering or other such processes, a relevant metadata record of these should be included with the related data.
- 5.6. 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.

6. RETENTION OF RESEARCH DATA, PRIMARY MATERIALS, AND RESEARCH RECORDS

- 6.1. 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:
 - 6.1.1. [Queensland State Archives University Sector Retention and Disposal Schedule](#);
 - 6.1.2. Research Code of Conduct Policy ([TLR 5.06](#)); and
 - 6.1.3. National Code ([Australian Code for the Responsible Conduct of Research 2018](#)).
- 6.2. Chief Investigators and research students (in consultation with their research supervisors) must ensure that Research Data and Primary Materials are retained to justify the outcomes of research and, if necessary, defend them against challenge.
- 6.3. Unless otherwise specifically agreed, Research Data and Primary Materials will be retained by the Chief Investigator or research supervisor on University managed storage infrastructure. The Metadata relating to the storage location must be included in the Research Data Management Plan.

- 6.4. Researchers working with human participants should seek informed consent from all participants to retain and re-use Research Data and Primary Materials for research, future use, and education purposes.
- 6.5. At the end of the retention period, Research Data, Primary Materials and Research Records must be disposed of under the authority of the Research Data Officer, and in accordance with the requirements of this policy.
 - 6.5.1. Chief Investigators or research supervisors (with the consent of the research student(s) where required) may make a recommendation to the Research Data Officer to retain, archive, redeploy for re-use and sharing, or destroy Research Data and Primary Materials at the end of the mandatory retention period.
 - 6.5.2. 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 Research Data and Primary Materials.
 - 6.5.3. Where no Chief Investigator, Metadata or Research Data Management Plan exists for Research Data or Primary Materials retained at the University, the Research Data Officer will undertake the actions of the Chief Investigator or research supervisor in accordance with this clause 6.

7. ACCESS TO RESEARCH DATA COLLECTIONS

- 7.1. Chief Investigators or research supervisors (with the consent of their research student(s) where required) should make completed research Datasets 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.
- 7.2. When open access to research Datasets 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.
- 7.3. Chief Investigators or research supervisors should consult with the Research Data Officer for advice regarding the deposit of Research Data and/or Metadata to the appropriate data storage facility, archive, repository or metadata store.
- 7.4. Data access arrangements with any third party must be fully documented and comply with the original ethics approval conditions.
- 7.5. Third party use of research data should include a requirement of acknowledgment in any publication that is subsequently generated from the data use.
- 7.6. Licence agreements should be used, as appropriate.

8. ROLES AND RESPONSIBILITIES

- 8.1. Researchers and Organisational Units within the University will work in partnership to satisfy the requirements of the National Code ([Australian Code for the Responsible Conduct of Research 2018](#)) and the Research Code of Conduct Policy ([TLR 5.06](#)).
- 8.2. The University is responsible for:
 - 8.2.1. providing safe, secure and sustainable facilities and appropriate infrastructure for the physical and digital storage of Research Records and Primary Materials;
 - 8.2.2. providing enterprise-level research recordkeeping systems that meet legislative requirements;
 - 8.2.3. maintaining a register of research Datasets relating to research projects;
 - 8.2.4. providing and implementing appropriate communication, training, supporting resources and advisory services; and
 - 8.2.5. providing Research Data Management planning information to Organisational Units, as specified in procedures.
- 8.3. **Chief Investigators** are responsible for:
 - 8.3.1. familiarising themselves with relevant Research Data and Primary Material management requirements and contractual obligations (if any) prior to undertaking research;
 - 8.3.2. developing and documenting appropriate processes for the collection, storage, use, re-use, retention of and access to the Research Data, Research Records and Primary Materials associated with their research program;

- 8.3.3. keeping clear and accurate records of research methods and data sources, and relevant metadata records;
 - 8.3.4. arranging the safe and secure storage and retention of Research Data, Research Records and Primary Materials;
 - 8.3.5. 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;
 - 8.3.6. 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; and
 - 8.3.7. ensuring the deposit of Research Data, Research Records and Primary Materials with the Research Data Officer in the University approved storage facility in accordance with the Research Data Management Plan throughout the project and at the end of the project, to ensure that Research Data, Research Records and Primary Materials from their projects are retained on University managed infrastructure, in a retrievable form, for the applicable mandatory retention period along with relevant metadata records..
- 8.4. **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.
- 8.4.1. Unless otherwise specifically agreed, during the project the Chief Investigator will retain the Research Data, Research Records and Primary Materials relating to collaborative research projects on University managed storage infrastructure, with assured access to all members of the research project.
- 8.5. **Research students, in consultation with their research supervisors** are responsible for:
- 8.5.1. familiarising themselves with relevant Research Data and Primary Material management requirements and contractual obligations (if any) prior to undertaking research;
 - 8.5.2. developing and documenting appropriate processes for the collection, storage, use, re-use, retention of and access to the Research Data, Research Records and Primary Materials associated with their research;
 - 8.5.3. keeping clear and accurate records of their research methods and Research Data and Primary Material sources and relevant metadata records;
 - 8.5.4. arranging the safe and secure storage and retention of Research Data, Research Records and Primary Materials;
 - 8.5.5. signing all documents required by the University to facilitate ownership or licensing of the Research Data or Primary Materials;
 - 8.5.6. planning for the retention of Research Data, Research Records and Primary Materials at the end of their candidature, to ensure that Research Data, Research Records and Primary Materials from their projects are retained on University managed infrastructure, in a retrievable form, for the applicable mandatory retention period along with relevant metadata records; and
 - 8.5.7. ensuring the deposit of Research Data, Research Records and Primary Materials with the Research Data Officer at the point of thesis examination, to ensure that Research Data, Research Records and Primary Materials from their projects are retained on University managed infrastructure, in a retrievable form, for the applicable mandatory retention period.
- 8.6. **Research supervisors** are responsible for:
- 8.6.1. communicating the relevant Research Data and Primary Material management requirements to their research students;
 - 8.6.2. assisting their research students to:
 - 8.6.2.1. understand applicable policy, contracts, regulations, licenses, consents and procedures; and
 - 8.6.2.2. access appropriate data and primary material storage infrastructure and advisory services; and
 - 8.6.3. taking joint responsibility with their research students for the management of the research students' Research Data and Primary Materials.