



THE UNIVERSITY OF  
**NOTRE DAME**  
A U S T R A L I A

# Procedure:

## Research Data Management

Effective: 11 March 2019

Audience: Staff and Students

Policy Category: Academic

Policy Sub-category: Research

Key words:	Research, Research Data Management
Policy Owner:	PVC, Research
Responsible Officer:	Director, Research Office
Review Date:	March 2020

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## 1 PURPOSE

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- 1.1 This Procedure sets out processes to support implementation of the *Policy: Research Data Management*.

## 2 RELATED DOCUMENTS

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This Procedure should be read in conjunction with the following:

- 2.1 *Australian Code for the Responsible Conduct of Research 2018*
- 2.2 *National Statement on Ethical Conduct in Human Research (2018)*
- 2.3 *Policy: Code of Conduct: Students*
- 2.4 *Policy: Code of Conduct: Research*
- 2.5 *Policy: Data Breach*
- 2.6 *Policy: Emails and Internet Usage*
- 2.7 *Policy: Ethics Approval for Research Involving Human Participants*
- 2.8 *Policy: Ethics Approval for Research Involving Animal*
- 2.9 *Policy: Human Ethics Monitoring of Approved Research Projects*
- 2.10 *Policy: Information Security*
- 2.11 *Policy: Intellectual Property*
- 2.12 *Policy: Misconduct (Staff)*
- 2.13 *Policy: Privacy*
- 2.14 *Policy: Records Management (under review)*
- 2.15 *Policy: Research Data Management*
- 2.16 *Policy: Research Integrity*
- 2.17 *Procedure: Student Grievance*

## 3 DATA MANAGEMENT PLAN

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### **Requirements of a DMP**

- 3.1 Managing research data in accordance with compliance obligations requires preparation and planning. All Research projects approved by the University must be supported by a Data Management Plan (DMP) that details arrangements for management of Research Data throughout a research project, and is updated to record any changes throughout the project.
- 3.2 For large research projects involving a team of Researchers, a DMP Author responsible for creating and maintaining the DMP should be nominated.
- 3.3 Researchers engaged in collaborative research with one or more external institution must agree on the data management practices before a research project begins and detail these practices in a DMP.

- 3.4 The management of Research Data must be adequately detailed in the approved DMP Template and in accordance with the *Australian Code for the Responsible Conduct of Research 2018 (The Code)*, *Policy: Research Data Management* and this Procedure.
- 3.5 For collaborative research projects that span other institutions, the DMP must include the agreement on ownership, custodianship, storage of Research Data, intellectual property and ethical approvals prior to commencement of a research project.
- 3.6 For collaborative research projects where another institution is custodian of the data, the Researcher must determine and agree what Research Data are to be copied for University purposes and have a separate, University-specific DMP for the data.
- 3.7 For collaborative research projects where another institution is custodian of the data, and the Researcher is able to access, but not copy or retain that data, a DMP is not required.
- 3.8 DMPs should be completed and recorded electronically. Handwritten DMPs are not appropriate.
- 3.9 DMPs should include details about Research Data that includes, but is not limited to:
  - 3.9.1 Metadata using industry best practices, as outlined in the Australian National Data Service (ANDS) Guide on Meta data<sup>1</sup> for best practices;
  - 3.9.2 Any information that would assist replication of research results, particularly for research enquiries and investigations; and
  - 3.9.3 Any information that would assist another researcher to re-use the data.

### **Approval of a DMP**

- 3.10 Researchers who are staff members should submit their completed DMP to the relevant Chair of the School Research Committee (SRC) for approval. Researchers who are Students should provide their completed DMP to their Supervisor, who should submit this to the SRC on the Student's behalf. Following SRC approval, the Supervisor will then forward a copy of the DMP to the Research Office for record-keeping purposes.
- 3.11 Research projects requiring ethics approval will require a DMP to be submitted with the Ethics Approval Application for the research project. Researchers engaging in research projects involving humans or animals should refer to the *University Policy: Ethics Approval for Research Involving Humans*, the *Policy: Ethics Approval for Research Involving Animals* and any relevant Guidelines.

### **Review of a DMP**

- 3.12 DMPs must be reviewed when:
  - 3.12.1 Any of the data management practices change; and/or

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<sup>1</sup> [http://www.ands.org.au/\\_\\_data/assets/pdf\\_file/0004/728041/Metadata-Working-level.pdf](http://www.ands.org.au/__data/assets/pdf_file/0004/728041/Metadata-Working-level.pdf)

- 3.12.2 The DMP Author responsibilities change; and/or
  - 3.12.3 There is a change of Research project personnel; and/or
  - 3.12.4 There is movement or departure of Research Data between institutions, including those outside Australia.
- 3.13 DMP changes made by a Student are to be submitted to the Supervisor for review. DMP changes made by Staff Members are to be submitted to the Chair of the School Research Committee for review. The Supervisor or Dean provides an updated copy to the Research Office.

## 4 ETHICS, CONFIDENTIALITY AND PRIVACY

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- 4.1 Researchers given access to confidential data must ensure appropriate security of the confidential Research Data. Confidential information must only be used in ways agreed with those that provided it.
- 4.2 The Dean or Research Institute Director, in consultation with the Research Office, should ensure that Researchers are aware of the obligations relating to Research Data management in relevant Agreements pertaining to the Research.
- 4.3 Researchers must protect the privacy of data and individuals' identities, in accordance with relevant privacy legislation and any contractual obligations.
- 4.4 The University may give third parties access to Research Data as required by law or regulatory authorities.

## 5 COLLECTION AND ANALYSIS

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- 5.1 Research Data collection and analysis activities should be in accordance with the documented RMP and must comply with The Code, relevant University policies and procedures, ethical protocols, and relevant legislative, contractual, and/or funding body instruments pertaining to the Research.
- 5.2 In the case of Research Data that are collected from limited access databases, or via contractual arrangements, written indication of the location of the original data, or key information regarding the database from which it was collected must be documented in the DMP.
- 5.3 Researchers must provide documented instructions within the DMP on how to reproduce/use the data to ensure that all analysis undertaken and outcomes achieved by a research project can be reproduced.

## 6 STORAGE AND BACK-UP

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- 6.1 Data storage and back-up details must be adequately documented within the DMP to enable data and backup data to be readily located and retrieved.
- 6.2 Research Data leaving University-approved data storage solutions must adhere to the University's *Policy: Information Security*.

## 7 DATA ACCESS, SHARING AND RE-USE

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- 7.1 Research Data, excluding data approved for open access, are not available in open fora.
- 7.2 Researchers planning to undertake further research with existing Research Data should consult with the Chief Investigator or their delegate regarding access to the Research Data.
- 7.3 Sharing Research Data electronically should comply with the *University's Policy: Email and Internet Usage*.
- 7.4 Researchers seeking to use data collected from human or animal participants must obtain HREC approval for its use in a new project.
- 7.5 Breaches to the access of Research Data must be reported and managed in accordance with the University's *Policy: Data Breach*, *Policy: Research Integrity*, and the *Policy: Code of Conduct for Research*.
- 7.6 Research Data transfers are subject to approval of the Principal Investigator of the Research, and must take into account provisions of any relevant Agreements and of the University's *Policy: Intellectual Property*.

## 8 RETENTION AND DISPOSAL

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- 8.1 Researchers must retain Research Data in a durable, indexed and retrievable form, for at least as long as the relevant records keeping legislation, The Code, and/or funding body requirements and University policies require. Specifically, these include the *WA State Records Act 2000*, *NSW State Records Act*, the *Western Australian University Sector Disposal Authority* and the *General Retention and Disposal Authority 2005*. Where there is any difference in retention periods between these instruments, the Research Data should be kept for the maximum period.
- 8.2 Subject to clauses 10.1 and 10.2 Researchers can retain copies of Research Data for their own use, taking into account the confidentiality and sensitivity of the data.
- 8.3 Research Data that has been disposed of incorrectly, either intentionally or unintentionally, must be reported immediately. Where instances involve a Student, the disposal should be reported to the Supervisor. Where instances involve a staff member, the disposal should be reported to the Chair of the School Research Committee, or

Institute Director (or equivalent). Breaches should be managed in accordance with the University's Policy: Data Breach.

## 9 RESEARCHERS LEAVING THE UNIVERSITY

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- 9.1 If a Researcher leaves the University, the original Research Data must remain at the University. The Researcher is responsible for ensuring that research data and primary materials are handed over to, and able to be accessed by, the Chief Investigator or Supervisor, in accordance with the Policy: Intellectual Property.
- 9.2 If a Researcher who leaves the University wishes to continue to use the Research Data, the Researcher may take a copy of the Research Data, in accordance with the Policy: Intellectual Property. Any subsequent research publications and other outputs must acknowledge the University.
- 9.3 If any Researcher wishes to utilise the data generated at the University, any subsequent research publications and other outputs must acknowledge the original Researcher.
- 9.4 Any Data Custodian, on leaving the University, must ensure that their data custodianship is transferred to an appropriate Researcher and that the DMP is updated accordingly.

## 10 DATA BREACH OR OTHER MISCONDUCT

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- 10.1 Any suspected breach of the Code, University policies, this Procedures or any agreement associated with Research Data must be reported immediately in accordance with the *Policy: Code of Conduct for Research*.

## 11 DEFINITIONS

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For the purpose of this Procedure, the definitions outlined in the *Policy: Research Data Management* apply.

In addition, the following definitions apply:

**APPs** means *Australian Privacy Principles* contained in the *Privacy Act 1988 (Commonwealth*

**Chief Investigator** (sometimes also referred to as a *Principal Investigator*), means the person is responsible for the intellectual, administrative and ethical aspects of a research project.

**Clinical Research** means research obtained through clinical trials which are pre-planned, usually controlled, clinical studies of the safety, efficacy, or optimum dosage schedule (if appropriate) of one or more diagnostic, therapeutic, or prophylactic drugs, devices, or interventions in humans selected according to predetermined criteria of eligibility and observed for predefined evidence of favourable and unfavourable effects.

**Data Custodian** means the Researcher that is the custodian of all Research Data for a specific project. The Research Data Custodian may also be the same person as the DMP Author.

**DMP Author** is the Researcher that prepares and maintains the DMP. The DMP Author may be the same person as the Data Custodian.

**DMP Template** is a Data Management Plan template that is provided by the University for Researchers to use in preparing their DMP.

**Student** means a person enrolled in a Program or Course at the University of Notre Dame, Australia.

**Supervisor** means a person appointed by the Pro Vice Chancellor, Research (or delegate) who meets the requirements set out in the *Procedure: Supervision and Candidacy Processes for Research Degree Students*.

Version	Date of approval	Approved by	Amendment
1	11 March 2019	Vice Chancellor	Effective date – new Procedure



## 12 PROCESS SUMMARY

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<p><b>Develop Data Management Plan (DMP)</b></p> <p>Data management practices are detailed in a DMP before a research project begins, using the approved DMP Template.</p> <p>Researchers are informed of their obligations under any Agreements regarding Research Data ownership, custodianship or IP issues.</p> <p>The DMP includes instructions on how to reproduce/use the data to ensure that all analysis undertaken and outcomes by a research project can be reproduced.</p>	<p><i>Researcher</i></p> <p><i>Dean or Institute Director</i></p>
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<p><b>DMP Approval</b></p> <p>The DMP is submitted to the Dean (or delegate) (Staff) or to the Supervisor (Students) for approval. Handwritten DMPs will not be accepted.</p> <p>For research projects requiring ethics approval, the DMP is submitted with the Ethics Approval Application.</p> <p>A copy of the approved DMP is forwarded to the Research Office.</p>	<p><i>Supervisor/Dean/Chair, School Research Committee</i></p> <p><i>Supervisor</i></p>
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<p><b>Amendments to DMP</b></p> <p>Changes to the DMP are submitted to the Supervisor or Dean (or their delegate) for review and approval.</p> <p>The Supervisor or Dean (or delegate) provides an updated copy to the Research Office.</p>	<p><i>Researcher</i></p> <p><i>Supervisor or Dean (or delegate)</i></p>
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<p><b>Collection, Analysis and Management</b></p> <p>Research Data is collected, analysed and managed according to legislative provisions, ethical protocols, relevant University policies and any relevant agreements.</p> <p>Document location of original data where Research Data is collected from limited access databases or via contractual arrangements.</p>	<p><b>Researchers</b></p>
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<p><b>Storage and Back up</b></p> <p>Adequate information about storage and back-up details for easy location and retrieval is recorded in the RMP.</p> <p>Data storage is undertaken in accordance with the University's <i>Policy: Information Security</i>.</p>	<p><b>Researchers</b></p>
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<p><b>Access, Sharing and Re-using</b></p> <p>Sharing Research Data electronically is undertaken in accordance with <i>Policy: Email and Internet Usage</i>.</p> <p>Data collected from human or animal participants is subject to approval of HREC for use in a new project</p> <p>Breaches of access to Research Data reported and managed as per <i>Policy: Data Breach</i></p>	<p><b>Researchers</b></p>
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<p><b>Retention and Disposal</b></p> <p>Research Data is retained in durable, indexed and retrievable form, for minimum five years from data of publication (15 years for Clinical Research Data); in accordance with relevant legislation, Codes, or funding body requirements.</p> <p>Research Data is not disposed of if there are open research enquiries, or allegations or suspected allegations of misconduct.</p> <p>Instances of incorrect disposal are reported to a Supervisor or Chair of School Research Committee or equivalent.</p>	<p><b>Researchers</b></p>
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***Researchers leaving the University***

If a Researcher leaves the University, the original data must remain at the University.

Data custodianship is transferred to an appropriate Researcher, and the DMP is updated.

***Researchers***