



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

Policy:

Research Data Management

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Audience: Staff and Students

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Policy Sub-category: Research

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Fremantle

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1 OBJECTS OF THE UNIVERSITY

The University's Objects are defined in Section 5 of its Act of Parliament:

The Objects of the University are:

- (a) the provision of university education, within a context of Catholic faith and values; and
- (b) the provision of an excellent standard of -
 - i. teaching, scholarship and research;
 - ii. training for the professions; and
 - iii. pastoral care for its students.

2 PURPOSE

- 2.1 This Policy sets out principles for managing Research Data in accordance with the *Australian Code for the Responsible Conduct of Research 2018* (The Code), University policies, and relevant legal, statutory, ethical, contractual and funding body requirements.

3 SCOPE

- 3.1 This Policy applies to all Research Data, irrespective of format, created or generated for approved Research conducted for or on behalf of the University.

4 PRINCIPLES

- 4.1 Responsible conduct of research includes the appropriate management and retention of Research Data, in alignment with requirements set out in The Code and in relevant legislative, ethical, contractual, and/or funding body instruments.
- 4.2 Research Data management is a shared responsibility whereby Researchers, Research Institutes, Schools, and relevant central administrative areas work in partnership to ensure Research Data is managed in accordance with this Policy and that appropriate security of any confidential Research Data is assured.
- 4.3 All Research approved by the University must be supported by a Data Management Plan (DMP) that is maintained throughout a research project and that documents location and management arrangements for Research Data associated with the Research.
- 4.4 Researchers are responsible for ensuring appropriate security of any confidential Research Data, including protecting the privacy of data and individuals' identities, in accordance with relevant privacy legislation and any contractual obligations.
- 4.5 The University will provide facilities for the safe and secure storage of Research Data, unless relevant contractual agreements state otherwise.
- 4.6 Non-compliance with this Policy may lead to disciplinary action.

5 CUSTODIANS OF RESEARCH DATA

- 5.1 The University asserts custodianship over all Research Data for research covered by the scope of this Policy, subject to provisions in relevant agreements.
- 5.2 Custodianship of Research Data resides with the University unless data transfer is approved by the Lead or Principal Investigator in accordance with the conditions of the relevant Agreement.
- 5.3 3 The University's custodianship of Research Data permits the University to collect and control Research Data for long-term purposes such as data preservation and data sharing, subject to requirements of relevant Agreements. It does not impede the use of such Research Data by Researchers for their approved Research and scholarly purposes.
- 5.4 The University's custodianship of Research Data does not separately establish or override any existing Intellectual Property rights or any rights assigned by separate agreement. These include, but are not limited to Student Researcher ownership as set out in the University's *Policy: Intellectual Property*.

6 MANAGEMENT, STORAGE AND DISPOSAL OF RESEARCH DATA

- 6.1 Subject to ethics review, Research Data should be discoverable, accessible, interoperable and re-usable.
- 6.2 Subject to any privacy legislation or contractual obligations, Metadata are to be made publically available.
- 6.3 Research data, when it is received or recorded by researchers, must be classified for its level of sensitivity in accordance with the *Procedure: Information Management*.
- 6.4 Research Data must be held in a durable and secure place in the School or Research Institute in which they were generated, and the location must be recorded in the relevant DMP.
- 6.5 Research Data in an electronic format must be regularly backed up, and in a format that is durable, indexed and retrievable for the minimum retention period as required by relevant legislative or contractual provisions.
- 6.6 Digitalised Research Data must be stored in a University approved data storage solution and in accordance with the University's *Policy: Information Security*.
- 6.7 Disposal of Research Data must be in accordance with the *WA State Records Act 2000*, *NSW State Records Act*, and disposal guidelines provided by the *Western Australian University Sector Disposal Authority* and the *General Retention and Disposal Authority 2005*.
- 6.8 Research Data must not be disposed of until notified by the PVC Research (or delegate) where there are:
 - 6.8.1 Open research enquiries; or
 - 6.8.2 Allegations or suspected allegations of misconduct.

7 DISCIPLINARY ACTION

- 7.1 Any allegations of misconduct involving Research Data by a Researcher will be managed in accordance with the *Australian Code for the Responsible Conduct of Research 2018, Guide to Managing and Investigating Potential Breaches of the Code 2018* and the University's *Code of Conduct: Research*.

8 ROLES AND RESPONSIBILITIES

- 8.1 **Deans (or delegate)** are responsible for:

- 8.1.1 Ensuring that Researchers are aware of the obligations relating to RDM in relevant Agreements pertaining to the Research;
- 8.1.2 Approval of Data Management Plans;
- 8.1.3 Facilitating provision of resources for the safe and secure storage of Research Data,
- 8.1.4 Forwarding approved and revised Data Management Plans to the Research Office

- 8.2 **Supervisors** are responsible for:

- 8.2.1 Ensuring that a Data Management Plan is developed and approved for each Research project;
- 8.2.2 Ensuring that students undertaking Research are aware of obligations relating to RDM in relevant Agreements pertaining to the Research;
- 8.2.3 Forwarding approved and revised Data Management Plans to the Research Office.

- 8.3 **Researchers** are responsible for:

- 8.3.1 Completing a DMP in accordance with the DMP Template for approval (this is also required for collaborative research projects where another institution is the custodian of the data; the Researcher must agree what Research Data are to be copied for University purposes and complete a separate, University-specific DMP for the data);
- 8.3.2 Keeping clear and accurate records of their research methods and data sources;
- 8.3.3 Protecting the confidentiality and privacy of data by complying with privacy laws including the Australian Privacy Principles (**APPs**) contained in the *Privacy Act 1988 (Commonwealth)*;
- 8.3.4 Managing Research Data according to ethical protocols and agreements, relevant University policies and any relevant contractual obligations;
- 8.3.5 Take reasonable steps to keep Research Data secure;
- 8.3.6 Reporting data breaches immediately; and
- 8.3.7 Making Research Data available for use by other Researchers and interested persons for further research in accordance with this Policy and associated Procedures.

- 8.4 **Relevant Central Administrative Areas** (including but not limited to the Research Office, ITS Services and the Library) are responsible for supporting Researchers and Schools to implement this Policy and supporting Procedures in relation to their scope of responsibilities.

9 RELATED DOCUMENTS

9.1 External Documents

- 9.1.1 *Funding Rules for Schemes Under the Discovery Programme (2016 edition), ARC*
- 9.1.2 *General Regulation and Disposal Authority 2005, NSW Government State Archives and Records*
- 9.1.3 *Western Australian University Sector Disposal Authority (WAUSDA)*
- 9.1.4 *Australian Code for the Responsible Conduct of Research 2018*
- 9.1.5 *Guide to Managing and Investigating Potential Breaches of the Code 2018*
- 9.1.6 *National Statement on Ethical Conduct in Human Research (2018)*

9.2 University Documents

- 9.2.1 *Regulations: General Regulations*
- 9.2.2 *Regulations: Research Degree Regulations*
- 9.2.3 *Policy: Code of Conduct: Students*
- 9.2.4 *Policy: Code of Conduct: Research*
- 9.2.5 *Policy: Ethics Approval for Research Involving Human Participants*
- 9.2.6 *Policy: Ethics Approval for Research Involving Animals*
- 9.2.7 *Policy: Human Ethics and Animal Ethics Monitoring of Approved Research Projects*
- 9.2.8 *Policy: Information and Information Technology*
- 9.2.9 *Policy: Intellectual Property*
- 9.2.10 *Policy: Misconduct (Staff)*
- 9.2.11 *Policy: Privacy*
- 9.2.12 *Policy: Research Integrity*
- 9.2.13 *Policy: Staff Research Grants and Contracts Application and Management*
- 9.2.14 *Policy: Student Academic Integrity*
- 9.2.15 *Policy: Student Appeals*
- 9.2.16 *Procedure: Research Data Management*
- 9.2.17 *Procedure: Student Grievance*
- 9.2.18 *Procedure: Information Management*
- 9.2.19 *Guideline: Code of Applying Practice for Name-Identified Data*
- 9.2.20 *Guideline: Applying for Ethics Approval (Unit Clearance)*
- 9.2.21 *Guideline: Applying for Ethics Approval (Full Ethical Review)*
- 9.2.22 *Guideline: Applying for Ethics Approval (Low Risk Clearance)*
- 9.2.23 *Plan: Data Management Plan*
- 9.2.24 *The Procedure: Information Management states requirements to ensure the confidentiality and security of information held by the University, including classification of information for its level of sensitivity.*

10 DEFINITIONS

For the purpose of this Policy, the following definitions apply:

Agreement means any agreement/s that exist for a research project within the University and/or with Collaborators in regards to the access and management of research data. This includes the *Data Management Plan*.

ARC means The Australian Research Council, which is an Australian Government Commonwealth entity.

Collaborative Project means A research project whereby the University works in partnership with another research provider/s or stakeholder/s of the research to share equally or proportionately (as contractually agreed) the costs and benefits of the Research.

Collaborator means any person/s who acquires Primary Materials or creates Research Data while taking part in any research project or scholarly activity in conjunction with a University staff member or student.

DMP means a Data Management Plan that is prepared and maintained throughout a research project that describes what data will be created, who will own and have access to the data, research data management practices that will be used, facilities and equipment required and who will be responsible for each of these activities.

HREC means The University's Human Research and Ethics Committee.

ICT Infrastructure means all information and communications technologies. Includes (but is not limited to) software, systems, assets, network resources, servers and switches.

Metadata means Data that provides information about other data. Such as information about an object or resource that describes characteristics of that object, such as its content, quality, format, location and/or access rights.

NHMRC means the National Health and Medical Research Council, which is an Australian Commonwealth Government entity.

Primary Materials means Objects (physical or virtual) acquired through a process of scholarly investigation from which Research Data may be derived.

Research Data means all data, inclusive of Primary Materials, created and/or generated by Researchers in the course of their research work, on which argument, theory, test or hypothesis, or another research output is based, and for which the University has a custodial responsibility under the relevant Agreements and the relevant archives/record keeping Acts.

Researcher/s means staff members, Collaborators, adjuncts, academic title holders and students of the University who conduct research within and/or for the University.

Research means the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative (Excellence in Research Australia 2018 Submission Guidelines 2018, ARC).

The Code means The Australian Code for the Responsible Conduct of Research (2018).

University Resources means resources of the University which include premises, facilities, ICT infrastructure, relevant policies and procedures, funds, services, equipment, staff time and support staff.

Version	Date of approval	Approved by	Amendment
1	11 March 2019	Vice Chancellor	Effective date – new Policy
	4 August 2022	Pro Vice Chancellor, Research	Minor changes - cross-references to <i>Policy: Information and Information Technology</i> and <i>Procedure: Information Management</i> added.