SYDNEY BUSINESS SCHOOL - RESEARCH DATA MANAGEMENT PROVISIONS 2016

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1   Purpose and Application

(1)   These provisions give practical effect within the University of Sydney Business School ("the School") to the _Research Data Management Policy 2014_ ("the Policy") and the _Research Data Management Procedures 2015_ ("the Procedures").

(2)   These provisions apply to University staff, research students and affiliates in the School.

2   Commencement

These provisions commence on 9 December 2016.

3   Definitions

(1)   Words and phrases used in these provisions and not otherwise defined in this document have the meanings they have in the Policy (

   Note: See _clause 6 of the policy_ and _clause 3 of the procedures_.

(2)   In these procedures:

researcher   means the lead researcher or chief investigator with overall responsibility for data management in a research project. This includes research students.

4   Research student responsibilities

Research students are responsible for data management in their own research projects, but must consult with their supervisors in doing so. This includes situations where student research is shared with a supervisor.

5   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 across disciplines within the Business School.

   Note: see clause 7 of the Policy.

(2)   Across the Business School, research data may include (but is not limited to):

(a)   survey questions and responses;

(b)   recordings and transcripts of interviews;

(c)   archival materials which are not otherwise readily accessible to the public;

(d)   unpublished materials (including online materials) which are liable to disappear over time: e.g. copies of political press releases or speeches;

(e)   databases and excel spreadsheets;

(f)   descriptive metadata;

(g)   modelling software;

(h)   source data; and

(i)   personal research notes.

(3)   The research records relating to a research project include:

(a)   ethics approvals;

(b)   records relating to the funding of the research;

(c)   communication between researchers relating to the research; and

(d)   any other supplementary materials required to:

(i)   reproduce or verify the outcomes of the research, or

(ii)   enable researchers to re-analyse or use the data.

(4)   When deciding which research data, research records and primary materials (retained physical materials) to retain, researchers:

(a)   must determine which data and materials need to be retained to justify the outcomes of their research, and if necessary, defend those outcomes against challenge;

(b)   must comply with any conditions concerning retention and storage of research data that are contained in any ethics approval for the research, particularly any confidentiality obligations which attach to the data;

(c)   must retain research data and primary materials in a form that others can interpret;

(d)   must identify and record the methods and software used to generate or analyse the research data; and

(e)   should retain copies of the software or source code used to generate or analyse the research data

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

(3)   Researchers should document physical data and primary materials in digital format, where possible, to minimise space and resources required to curate and store them.

6   Research data management plans (RDMP)

(1)   Each research project must have a research data management plan that records the researcher's plan for storing, retaining and disposing of research data that is acquired or generated in the course of a research project.

(2)   The RDMP must document:

(a)   the types of research data and materials to be retained;

(b)   the creators or collectors of research data and materials, and any applicable research collaboration agreements;

(c)   the applicable minimum retention period;

(d)   the location of physical and digital research data and primary materials;

(e)   the choice of file format;

(f)   the decisions regarding data sharing;

(g)   the plan for disposing of data or materials (including sharing, archiving or destruction); and

(h)   any agreements about ownership and management of research data upon the researcher leaving the University.

(3)   RDMPs must be created through the University's online portal, which provides prompts for relevant questions to ask and links to relevant digital data store facilities. This ensures that the RDMP is registered with the Office of the Deputy Vice Chancellor (Research).

Note: See the *Research Data Management Guidelines* for the *RDMP checklist* and *online RDMP Tool*

(4)   Researchers should retain a copy of their RDMP with their research records.

7   Ownership of research data and primary materials

(1)   The University asserts ownership of data and primary materials created or collected in research conducted in the course of employment or other academic appointment with the University, including any intellectual property subsisting in these research data, in accordance with the University's *Intellectual Property Policy 2016*.

(2)   The University may assert ownership of data and primary materials created or collected in research conducted by a student, including any intellectual property subsisting in these research data, in accordance with the University's *Intellectual Property Policy 2016*.

(3)   The ownership of research data and primary materials created by researchers in the School may be subject to an agreement with a third party. In such cases researchers should contact the Director, Research Grants and Contracts for assistance with research related contracts or agreements

Note: See the Research Support website, Research Grants and Contracts.

8   Data acquisition

As research data is acquired or generated it should, where practicable, be stored without delay in an electronic form using secure University systems and tools.

9 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*. Minimum applicable retention periods are listed in Schedule 2 of these provisions.

(2) **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*).

(3) **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.

10 Storage of research data and primary materials

(1) Researchers should implement appropriate security for research data and materials. This may include locks for physical storage, signs indicating who should be contacted regarding storage, and passwords for digital files

   Note: Research data must be stored in accordance with clause 6 of the Procedures.

(2) Researchers should contact Discipline Executive Officers to arrange storage space for physical data and materials that cannot be stored in individual researchers' offices.

11 Preferred formats

(1) Wherever possible researchers should choose digital file formats that are widely used, open and non-proprietary.

   Note: Formats for data retention should be in accordance with clause 8 of the Procedures.

(2) Advice on file formats may be obtained from the Library's Research Data Manager

   Note: See the *Research Data Management Guidelines* website.

12 Sharing research data and metadata

(1) Researchers 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 the *Research Data Management Guidelines* for further information.

(2) Research data may also be shared at any stage of a research project. There are many ways to share research data, including:

   (a) creating a record for a dataset in the University's Research Data Registry and advertising that record to Research Data Australia; and

(b)   depositing completed research datasets in the University's open access institutional repository, Sydney eScholarship.

(3)   When sharing data to support research publications, researchers 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.

13   Disposal of research data and primary materials

(1)   At the end of the retention period research data of all sorts must be disposed of through archiving, re-use or destruction. This will be done on the recommendation of the researcher to the Chair of Discipline.

(2)   Prior to making a recommendation the researcher should assess the value of the data for further use.

Note: See clause 10 of the Policy.

(3)   The 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.

14   Retaining and managing data, primary materials and records when a researcher leaves the University

(1)   **Researchers**:

(a)   When a researcher leaves the University, they must:

(i)   ensure that a copy of any digital research data is retained in the University's Research Data Store;

(ii)   create a record for this research data and any associated research records within the University's Research Data Registry; and

(iii)   provide a reference for that record to their Chair of Discipline (or, in the case of research students, their research supervisor) who then, at the end of the retention period, must make a recommendation to their Associate Dean (Research) on disposal according to the procedure set out in clause 13 of these provisions.

(b)   Researchers should contact the Research Data Manager to create a record for their dataset(s) in the Research Data Registry.

Note: See the Library website for contact details)

(2)   **Research students:**

(a)   Research students, at the end of their project, or when they leave the University must provide their research supervisor with a copy of the research data, research records and where applicable, primary materials (retained physical materials), in accordance with the arrangements recorded in their RDMP.

(3)   **Research supervisors** must:

(a)   ensure the requirements of these provisions are communicated and explained to their research students;

(b)   ensure that a copy of their research students' research data, research records and any primary materials resides on University supported systems 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 at the end of the retention period, must make a recommendation to their Chair of Discipline on disposal according to the procedure set out in clause 13 of these provisions.

15   Contacts for research data management training and support

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

(2)   Researchers should contact their Academic Liaison Librarian or Research Unit Publications Officer for assistance with research data management planning

   Note: See the Library website for contact details).

(3)   Researchers should contact the University Manager Repository & Digitisation Services, University Library for advice on depositing supplementary datasets in the University's open access repository.

   Note   See the *Sydney eScholarship website*.

(4)   Researchers should contact the Library's Research Data Manager for assistance with sharing research data at any stage during or following their research project.

NOTES

School of Business Research Data Management Provisions 2016

Date adopted: 25 November 2016

Date commenced: 9 December 2016

Date amended:

Approved by: Professor Greg Whitwell, Dean, School of Business

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 REQUIREMENTS

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

Intellectual Property Policy 2016

University Privacy Policy 2013

University Recordkeeping Policy

University Recordkeeping Manual

EXTERNALDOCUMENTS

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

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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.	Academic Liaison Librarians for the Business School	See the Library Website
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.	Associate Dean Research	See Research Unit Staff contact list
Interpreting data ownership clauses in research grants, research collaboration agreements and contracts.	Director, Research Grants and Contracts, Research Portfolio	See Research Grants and Contracts
Selecting appropriate storage for digital data, materials and research records.	School Publications Officer	See Research Unit Staff contact list
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
Describing and documenting research data collections.	Research Data Manager, University Library	See the Research Data Management Guidelines website See also clause 8 of the Research Data Management Policy 2014, concerning Metadata and documentation.

Requirement	Key contact	Addresses and links
Depositing completed digital datasets in the appropriate institutional respository; including setting the appropriate access permissions or restrictions.	Research Data Manager, University Library	See the Research Data Management Guidelines website
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
Advice on patents and other registered IP rights; commercialisation of research; advice on selecting alternative licences 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

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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 Business School.

Data type	Retention period	Notes
Machine, instrument or sensor generated data	5 years	The standard *minimum* retention period for non-human data is five years.
Source code and computational data, software generated data including input parameters, scripts, software versions and samples of output data	5 years	These 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	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);