Research Data and Primary Materials Policy

1. STRATEGIC PLAN THEME AND COMPLIANCE OBLIGATION SUPPORTED

The Australian Code for the Responsible Conduct of Research

Strategic Plan Theme: Research and Innovation

2. PURPOSE

To set out the requirements for university researchers to ensure that their research data and primary materials are managed according to legal, statutory, University policy, ethical, funding body and publisher requirements.

3. POLICY STATEMENT

This policy is based on guidelines in the Australian Code for the Responsible Conduct of Research (**The Code**).

The University has an ongoing role in the management of research data and primary materials in accordance with the *Information Management Policy*.

3.1. Collection of research data and primary materials

3.1.1. Researchers will collect research data and primary materials in accordance with legal, statutory, and ethical requirements, and discipline best practice.

3.2. Storage of research data and primary materials

3.2.1. The University will provide facilities for the safe and secure storage of research data and primary materials.

3.2.2. Researchers are responsible for maintaining records, through a Data Management Plan, of where research data and primary materials for their research program are stored.

3.2.3. Research data and primary materials will be stored in the safe and secure storage provided by the University unless contractual agreements state otherwise.

3.2.4. Research data and primary materials collected off-campus must, as soon as practicable, be transferred to a safe and secure storage provided by the University unless contractual agreements state otherwise.

3.3. Ownership of research data and primary materials

3.3.1. The ownership of research data and primary materials will be determined and recorded in the Data Management Plan before the commencement of a research project.

3.3.2. Ownership of research data and primary materials may be influenced by funding agreements, commercial potential, and contractual obligations.

3.3.3. Ownership of intellectual property is governed by Curtin's Intellectual Property Policy.

3.4. Access to research data and primary materials

3.4.1. To ensure integrity the University may access research data and primary materials in accordance with confidentiality requirements, legislation, privacy rules and other guidelines.

3.4.2. The principal investigator of a research project may grant access to the project's research data and primary materials in accordance with contractual obligations, confidentiality requirements, legislation, privacy rules and other guidelines.

3.4.3. The University may give third parties access to research data and primary materials as required by law or regulatory authorities.

3.5. Indigenous Data Sovereignty

3.5.1. Indigenous Data Sovereignty is the right of Indigenous peoples to govern the collection, ownership and application of data about Indigenous communities, peoples,

lands, and resources, while addressing and adhering to the requirements of this policy.

3.5.2. Research involving Aboriginal and Torres Strait Islander Peoples or collections will comply with the AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research.

3.6. FAIR and open access to knowledge

3.6.1. Research data will be made as open as possible and closed as necessary, in accordance with the *Authorship, Peer Review and Publication of Research Outputs Policy*, while safeguarding the privacy of participants, protecting confidential data and intellectual property, protecting sensitive data, and honouring any contractual arrangements including funding body and publisher requirements.

3.7. Confidentiality of research data and primary materials

3.7.1. Confidential information will be managed in accordance with the *Privacy Statement*, *Information Security Classification Policy*, contractual and other legal obligations, and ethical approval provisions for that project, and only be used in ways agreed with those who provided it.

3.8. Retention of research data and primary materials

3.8.1. Research data will be retained for the minimum period specified in the Western Australian University Sector Disposal Authority (WAUSDA) unless contractual agreements state otherwise. The retention period may be longer to allow reference by other researchers and to accommodate regulatory and sponsor requirements and archival and historical value.

3.8.2. Where practical, primary materials will be retained a minimum of seven years after completion of the project or publication, whichever is later, unless contractual agreements state otherwise.

3.8.3. Where it is not practical to retain primary materials, durable records derived from them (such as assays, test results, transcripts, and laboratory and field notes) must be retained and accessible for the period outlined in the WAUSDA.

3.9. Destruction of research data and primary materials

3.9.1. Secure and safe disposal of research data and primary materials may only occur after the minimum specified retention period has expired and Curtin Information Management and Archives have been consulted.

3.9.2. Disposal of research data and primary materials will be in accordance with the *Information Management Policy*.

3.9.3. If the results from research are challenged, all relevant data and materials will be retained until the matter is resolved. Research data and primary materials that may be relevant to allegations of research misconduct will not be destroyed.

4. RESPONSIBILITY FOR IMPLEMENTATION, COMPLIANCE MONITORING, MEASURING AND CONTINUAL IMPROVEMENT

4.1. The Research Office at Curtin (ROC) is responsible for the Data Management Planning tool.

4.2. Properties, Facilities and Development is responsible for the procurement and management of physical facilities that support the collection, access, use, storage, transfer, and retention of physical research data and physical primary materials.

4.3. Digital and Technology Solutions (DTS) is responsible for providing information and communication technology systems and services to support the collection, access, sharing, use, storage, transfer, retention and destruction of digital research data and digital primary materials.

4.4. Curtin Information Management and Archives is responsible for providing advice to support the collection, use, storage, transfer, retention, disposal and archiving of research data and primary materials. Curtin Information Management and Archives is also responsible for providing approval for the destruction of research data and primary materials.

4.5. University Library is responsible for providing education, training and support in research data management issues such as copyright, licensing of data, embargoes, re-use, privacy, and how to make research data openly available.

4.6. **Researchers** are responsible for:

(a) Completing, maintaining and adhering to a Data Management Plan

(b) the collection, storage, maintaining records of storage, access, sharing and retention of the research data and primary materials associated with their research program;

(c) seeking approval for the destruction of research data and primary materials from Curtin Information Management and Archives;

(d) documenting arrangements for the collection, storage, ownership, access, confidentiality, retention and destruction of research data and primary materials when involved in a joint research project, collaborative research or research undertaken in accordance with a contractual agreement;

(e) the integrity, confidentiality and security of their research data and primary materials within the parameters of the facilities provided by Properties and Digital and Technology Solutions (DTS); and

(f) reporting any breach of security or confidentiality in accordance with Complaints Procedure.

4.7. **Heads of School** are responsible for:

(a) ensuring that researchers are aware of their management responsibilities for research data and primary materials;

(b) in consultation with the Research Office at Curtin and/or Integrity and Standards Unit, providing access to University research data and primary materials to third parties as required by law or regulatory authorities; and

(c) in consultation with Properties, providing shared storage facilities for physical research data and physical primary materials that meet security, confidentiality and safety requirements.

4.8. **Students** are jointly responsible with their supervisor, for the collection, storage, sharing, security and use of research data and primary materials.

5. SCOPE OF POLICY

This policy applies to all staff, adjuncts, associates and students in any location or campus, whether in or outside of Australia.

6. DEFINITIONS
(Note: Commonly defined terms are located in the Curtin Common Definitions. Any defined terms below are specific to this document)

The Code
The Code refers to the Australian Code for the Responsible Conduct of Research and all associated Guides.

Confidential data
Confidential data are those which require enhanced safeguards because their release may be commercially sensitive or damaging to the individuals involved, the University or its collaborators.

Data management plan
A data management plan documents how researchers plan to collect, store, secure, and share their research data.

Primary materials
Primary materials includes but is not limited to ore, core samples, minerals and rocks; biological materials; the products of a process where the material is stable and can be stored for the requisite time; questionnaires; recordings; films; test responses; photographs; models; videotapes; audiotapes; or any other materials acquired through undertaking research from which research data are derived.

Research data
Research data are facts, observations or experiences on which an argument, theory or test is based. Research data may be:

- numerical, descriptive or visual
- durable records derived from primary materials such as assays, test results, transcripts, and laboratory and field notes
- raw or analysed, experimental or observational
- other documents or media containing information associated with the research process.

Sensitive data
Sensitive data are data that can be used to identify an individual, species, object, or location that introduces a risk of discrimination, harm, or unwanted attention. It includes culturally sensitive data, such as data from or about Aboriginal and Torres Strait Islander peoples.

7. **SUPPORTING PROCEDURES**

Authorship, Peer Review and Publication of Research Outputs Policy

Authorship, Peer Review and Publication of Research Outputs Procedure

Information Security Classification Policy

Information Management Policy

Research Management Policy

8. **RELATED DOCUMENTS/LINKS**

Internal

Information Security Classification Policy and Procedures

Privacy Statement

Information Management Policy

Research Management Policy

External

AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research

ANDS Guide to Publishing and Sharing Sensitive Data

Australian Code for the Responsible Conduct of Research (2018)

CAUL Statement on Open Scholarship

Department of Health Guidelines for human biobanks, genetic research databases and associated data

Policy Statement on F.A.I.R. Access to Australia's Research Outputs

NHRMC Principles for Using and Accessing Data

NHRMC Research Quality Strategy

Western Australian University Sector Disposal Authority

Policy Compliance Officer	Misty Fish, Manager, Research Integrity, Research Office at Curtin
Policy Manager	Deputy Vice-Chancellor, Research
Approval Authority	Academic Board
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REVISION HISTORY

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New	Approved	07/03/2014	Academic Board	AB 18/14	Attachment 1 to Document No 0156/14
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