

Research Data Governance & Materials Handling Policy

| Version | Approved by | Approval date | Effective date | Next review |
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1.0 President and Vice-Chancellor (Materials Handling)

principles related to maintaining the integrity, security, quality, and management of research data and materials ('**research data**') at UNSW.

The Policy is to:

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| | <ul style="list-style-type: none"> Outline the requirements and roles and responsibilities associated with access, retrieval, storage, disposal, and backup of UNSW research data and materials Provide best practice measures to enable compliance with the requirements Ensure that UNSW complies with applicable laws, regulations, and operational standards. |
| Scope | <p>The Policy applies to:</p> <ul style="list-style-type: none"> All UNSW Researchers and Research Trainees, staff, contractors, consultants, and external parties engaged in research activities associated or affiliated with UNSW All research data and materials used or generated at UNSW or during UNSW affiliated research Research data and materials in any form, including but not limited to, print, electronic, audio visual, backup and archived data. |
| Policy Provisions | |

1. Introduction

Research data are a strategic asset of UNSW, making the appropriate governance regarding management and use of research data critical to our operations. Lack of governance could expose the University to unwanted risks and may lead to improper management of UNSW assets.

Research data and material allow research findings to be validated and have long-term value as a potential resource for future research and teaching. Good practice in research data governance and materials handling benefits the wider research community by enabling future researchers to publish, share, cite and reuse the research data and material by reducing the risk of loss and corruption.

'Good data management is good research' is the principle upon which our approach to managing research data and material at UNSW is founded. This Policy has been developed in response to the specific needs of the research community. Additionally, an overarching UNSW Research Data Governance Framework (RDGF) has been developed.

2. Research data at UNSW

Research data and materials are the original sources that have been created, generated or collated in

3. The Policy framework and principles

The following framework outlines the principles and minimum standards that are applicable to all individuals fitting the scope of the Policy:

3.1. Roles and responsibilities

The Policy applies to everyone involved in research at UNSW, e.g. researchers, research trainees, staff and consultants. This Policy provides guidance on the different types of roles involved in a research project. A brief description of these roles follows below:

- **Data Custodian:** UNSW, rather than any individual or Organisational Unit, is the Custodian of the data and materials and any information derived from the data. Original research data and primary materials generated in the conduct of research at the University will be owned and retained by the University subject to any contractual, statutory, ethical, and/or funding body requirements.
- **Chief Data & Insights Officer:** is responsible for the overall management of the University's Data and Information Governance.
- **Data Governance Steering Committee:** is responsible for defining the overall vision and Data and Information Governance principles, and oversees initiatives designed to result in more effective and efficient use of data across UNSW.
- **Research Data Management Committee:** is the committee delegated by the Data Governance Steering Committee for the governance of research data at UNSW.
- **UNSW IT:** is responsible for establishing and maintaining secure locations to store research data.
- **Research Data Owners:** are typically Heads of Schools, Heads of Research Institutes, Chief Investigators or Principal Investigators and are accountable for ensuring effective local protocols are in place to guide the appropriate use of their data and materials. They (or delegated Research Data Stewards) are responsible

- **Data Specialists:** are subject matter experts in relation to the data and materials. They are specialists who are responsible for providing ongoing support in respect of research data and related systems.
- **UNSW Researchers and Research Trainees:** Researchers have a responsibility to keep full, accurate and legible records of research methods, research data and primary materials (including laboratory notebooks and electronic data) in a durable, organised and accessible manner.

3.2. Quality and integrity

Everyone responsible for research projects at UNSW must ensure appropriate research data standards are followed to uphold the quality and integrity of the data they create, access, manage and destroy. This

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- Where a researcher moves from UNSW, original data and materials remain at UNSW unless a written agreement has been reached with the researcher's new organisation covering ownership, use, storage and disposal of research data and materials.
- Research materials are stored and used in an appropriate Biosecurity Containment (BC) or Physical Containment (PC) facility as required by the relevant Commonwealth and NSW Biosecurity Acts, as well as UNSW HSE policies and procedures.
- Wherever relevant, research data and materials storage and handling adhere to the conditions of human research ethics approvals.

3.4. Classification and security:

People working on UNSW Research Projects must refer to the Data Classification Standard and the Data Handling Guidelines for information on classification and security requirements. To comply with these requirements, they must:

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| Accountabilities | |
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| Responsible Officer | Deputy Vice-Chancellor Research |
| Contact Officer | Chief Data & Insights Officer, UNSW Planning & Performance Pro-Vice-Chancellor (Research Infrastructure) |
| Supporting information | |
| Legislative Compliance | This Policy supports the University's compliance with the following legislation: State Records Act 1998 (NSW) |
| Supporting Documents | Data Governance Policy Data Classification Standard Data Handling Guidelines UNSW Privacy Management Plan Research Code of Conduct |
| Related Documents | Research Authorship and Publication Dispute Management Procedure Cold Storage Procedure Collibra Data Governance Centre: https://unsw.collibra.com Conflict of Interest Disclosure and Management Policy Information Security Management System Insider Trading Policy Intellectual Property Policy IT Security Policy – Information Security Management System (ISMS) IT Security Standards Paid Outside Work by Academic Staff Policy Radiation Research Safety Procedure Recordkeeping Policy Research Export Controls Procedure Research Misconduct Procedure Statement of Authorship and Location of Data Form UNSW Register of Delegations UNSW Risk Management Framework |
| Superseded Documents | Nil |
| File Number | 2019/15967 |
| Definitions and acronyms | |

Please refer to the [Collibra Data Governance Centre](#) (zID and zPass required) and search for up0 1 rg-0.002 T

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| <p>Institutional data</p> | <p>The representation of facts, concepts or instructions in a formalised (consistent and agreed) manner suitable for communication, interpretation or processing by human or automatic means. Typically comprised of numbers, words or images. The format and presentation of data may vary with the context in which they are used.</p> <p>Data are not Information until used in a particular context for a particular purpose. (Office of the Australian Information Commissioner (OAIC), 2013)</p> <p>Data are typically considered to be conceptually at the lowest level of abstraction.</p> <p>In the context of this Policy this term includes all institutional data including research, administrative, and learning and teaching artefacts.</p> |
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Research data and materials Research data and materials are the original sources or material that have been created, generated or collated in the conduct of research. They can be digital or physical.

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| | <ul style="list-style-type: none"> any other source or primary materials, in particular where these may be necessary to validate research results trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information that is protected under law personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study any other recorded data that are of significance to research undertaken by the University's researchers. |
| Research Data Creator | Research Data Creators are persons responsible for the creation of research data and primary materials. |
| Data Governance Steering Committee DGSC | A University-wide committee with members consisting of Data Executives, Data Owners, Data Stewards and designated Data Users, senior academic and professional staff members. |
| Data Specialist | Data Specialists are subject matter experts in relation to the data or information asset. |
| Information Security Management System ISMS | The ISMS provides information security governance and sets out people, process and technology related controls to assure the confidentiality, integrity and availability of all UNSW data. The ISMS is a response to UNSW data classification and data handling requirements. Moreover, the deployment and measurement of ISMS controls provides input into the risk management process enabling informed business decisions. |
| Integrity or data integrity | Refers to the accuracy and consistency of data over their entire lifecycle. |
| Management Board (MB) | The senior executive team of the University. |
| Record | Any recorded information made or received by a staff member of the university in the course of undertaking their duties. Records are evidence or information about University activities. They exist in any format. |
| Research Data Management Committee | Is responsible for providing consultation and input in relation to research data governance, data quality, and research data and materials management activities across UNSW. |

Research Data Management Lifecycle

Refers to the process fo (m)-16.1 (at)-2.6 (4-0.009 Tc 07 (on)13.3 (s)-2.4eovi)T (an 0 Tw 6.293 (e

APPENDIX 2 – RESEARCH DATA GOVERNANCE ROLES AND RESPONSIBILITIES

